Department of Provincial and Local Government
Mangaung Local Municipality
South African Local Government Association

Community-Based Planning in South Africa: the CBP project as at 30 September 2004

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Project manager:

Khanya – managing rural change cc

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All project documents can be found on the Community-Based Planning Page at www.khanya-mrc.co.za/cbp. These include: reports on the situation with CBP in each country; reports on visit to India; the core, Ugandan and SA manuals, examples of community-based plans. For further details, please contact the project manager, Ian Goldman (goldman@khanya-mrc.co.za). Partner contacts in each country are:

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The report is available from the Community-based planning page on www.khanya-mrc.co.za/cbp

CONTENTS

GLOSSARY

CBF	Community-based facilitator
CBO	Community-based organisation
CBP	Community-Based Planning
CDF	Community Development Forum
CDS	Centre for Development Support, University of Free State
CTO	Community-based Tourism Organisation
CV	Bolivian Comite de Vigilancia (Vigilance Committee)
DFA	Development Facilitation Act
DFID	Department for International Development
DPLG	Department of Provincial & Local Government
DWAF	Department of Water Affairs and Forestry
EDA	Environment and Development Agency
EXCO	Executive Council
FS	Free State
GTZ	German technical assistance agency
IDP	Integrated Development Planning
IDT	Independent Development Trust
IMDC	Isulabasha/Mvunyane Development Committee
KPI	Key Performance Indicators
LDFS	Local Development Forums
LDO	Land Development Objectives
LDOSC	LDO Steering Committee
LED	Local economic development
LTDF	Long-term development framework
LTO	Local Tourism Organisation
MLM	Mangaung Local Municipality
O&M	Operation and maintenance
OTB	Organizacion Territorial de Base (Bolivian lowest level recognised representative structure)
PIMS-Centre	Planning and Implementation Management Support centre
PMS	Performance Management System
PRA	Participatory rural appraisal
PSC	Project Steering Committee
SA	South Africa
SALGA	South African Local Government Association
TJSB	Tugela Joint Services Board
TRCs	Transitional Rural Councils
UTA	Ukhahlamba Tourism Association
VDP	Village development plan
WC	Ward committee
WRC	Ward Representative Committee

EXECUTIVE SUMMARY

PART A: INTRODUCTION

1   Introduction

If livelihoods of poor people are to improve, there is a particular problem in the poor linkages between the micro level (community) and meso level (local government and district service providers). Khanya (2001) identified three key governance requirements at micro/meso levels:

Micro level[6]
(1) Poor people must be active and involved in managing their own development (claiming their rights and exercising their responsibilities);
(2) The need for a responsive, active and accessible network of local service providers (community-based, private sector or government);

Meso level [7]
•   At local government level (lower meso) services need to be facilitated, provided or promoted effectively and responsively, coordinated and held accountable.

The first of these requirements implies **community involvement in planning and management of local development**. This has formed the basis of a DFID-funded action-research project covering Uganda, Zimbabwe, Ghana and South Africa, "Action Research on Community-Based Planning". This paper is based on the work on this action-research project in South Africa, providing the background to the topic and findings after 3.5 years. The main objective of this project was to share experiences and learnings between these countries and to strengthen community based-planning as part of the decentralisation process. Lessons were also gathered through a study tour of India and Bolivia, where forms of community based planning systems have been applied.

PART B: THE SITUATION IN SA PRIOR TO THIS PROJECT

2   Administrative structures/policies in relation to sub-municipal planning

2.1   The South African government system consists of three spheres of government, national, provincial and local government. The provincial sphere is responsible for most developmental services but local government is taking an increasing role, both at district and local municipality levels. Beneath this are wards, and a ward committee system has been introduced to give effect to the principle of participatory local governance.

2.2   The Reconstruction and Development Programme (RDP) was "focused on our people's most immediate needs, and it relies … on their energies to drive the process of meeting these needs … Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment (1994:5). Other key **policies** include The White Paper on Local Government which introduced the notion of "developmental" local government, including the concept of community empowerment. Subsequently the Municipal Systems Act (MSA) introduced integrated development planning (IDP). Chapter Four of the MSA deals with "community participation" in local government,

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[6] Community level
[7] lower level where services are managed, usually local government level

saying that municipalities must develop "a culture of municipal governance that complements formal representative government with a system of participatory government". Municipalities must "encourage, and create conditions for, the local community to participate in the affairs of the municipality" – including the drafting of the IDP. Municipalities must also contribute to "building the capacity of the local community to enable it to participate in the affairs of the municipality, and of councillors and staff to foster community participation".

2.3   National **planning** includes the National Spatial Development Framework, and Provincial Growth and Development Strategies. Municipal planning processes are defined in the MSA. There is a considerable challenge for IDPs in transcending sectoral boundaries and involving and committing provincial and national departments to the IDP process and product. According to FCR the envisaged IDP processes have not catered sufficiently for active and sustained community involvement in planning processes. Partly this is due to the IDP falling between different approaches to development management, ranging from existing traditional approaches, new public-management approaches with their private sector orientation, and governance approaches. The governance approach is most relevant to CBP, as it emphasises accountability and rebuilding democracy through creating new patterns of consultation with local stakeholders, constructing inclusive decision-making mechanisms, and building the capacity of communities – especially the poor - to interact with them.

3   Case studies in operationalising participatory planning prior to the CBP Project

3.1   **Diepsloot** is a residential area situated approximately 50 km north of Johannesburg. The settlement started as an informal settlement in 1995. Planact became actively involved in co-ordinating the various community efforts into a unified vision, culminating in the formation of a Community Development Forum (CDF), which became the communities' representative in housing development. The CDF interacted on a weekly basis with the local government and the developer in planning the project, making inputs into the project plan as well as to get feedback on progress. The CDF identified the beneficiaries, and set up a labour desk, which was used to recruit community members who would work on the implementation of the project. The community was given the authority to monitor the project especially the quality of the end product.

3.2   The **Maluti District** LDO/IDP process in 1998 identified tourism as one of the major strategies for income generation and livelihood improvement for rural communities in the foothills of the Drakensberg. An NGO, the Environment and Development Agency (EDA) facilitated the establishment of the Maluti District Planning Committee, with various task teams representing interests in land and agriculture, youth issues, water supply, tourism, roads, gender equity issues, health and welfare, and education. EDA assisted in securing the necessary funding, facilitating the planning process, capacity and institutional development, working closely with community institutions on the ground. Guidelines were developed to familiarise local communities with the new "community tourism" concept. A series of tourism awareness workshops followed which eventually resulted in formation of a Local Tourism Organisation (LTO) called Ukhahlamba Tourism Association (UTA) which was officially launched in September 2000. Village based structures called Community-based Tourism Organisations (CTO) also emerged. EDA first facilitated a process that could assist to identify resources and skills in each CTO. A PRA mapping exercise was done with villagers in each CTO. Ward Committees are now seen to be the overseer of all development initiatives at local village level. However they lack the capacity of CBOs and LDFs which have been involved in development issues since 1994, and their capacity needs to be built.

3.3   The Free State case study covered **rural and urban experiences in setting land development objectives (LDOs) in the Free State (FS),** including Phuthaditjhaba, QwaQwa and Bloemfontein, with differing participatory planning processes. This was prior to the establishment of ward committees. In QwaQwa a Ward Representative Committee (WRC) of 30–40 people was established in each ward and the WRCs analysed the present situation in their ward, defined the priority needs and desired outcomes, and developed a vision for each ward. During the second round of workshops WRCs explored various avenues to achieve desired outcomes in effective and sustainable way. WRCs had considerable energy and enthusiasm, but with less involvement of councillors. In Bloemfontein there was a conflict between a participatory approach with workshops in each ward, and a more technocratic approach. In the former workshops were held at ward level, where the livelihoods approach was used to structure information from the mass meeting.

3.4   **Isulabasha/Mvunyane Water and Sanitation Project** is located approximately 35km south of Vryheid in KwaZulu-Natal. It was funded by the Department of Water Affairs and Forestry (DWAF) and DANIDA through the Mvula Trust, and started prior to the enactment of local government. At inception only the youth group was in place. This was subsequently constituted as a Development Committee, hence the name "Isulabasha" which means the "plan of the youth". The first phase involved community mobilisation, including committee formation using social and technical consultants. A community profile, training needs assessment and training plan were undertaken, plus a feasibility study. A detailed design and training plan were then developed. The community drove project prioritisation and made decisions on project funds, which were held locally. It was a labour intensive project and operations and maintenance were done by trained community members. Other local skills involved a bookkeeper, water minders, plumbers, pump operators, etc. Breakdowns were dealt with by either the water minder, pump operator, foreman, management systems operator or office clerk (spares).

3.5   Learnings from previous experience

Some of the learnings of experience prior to CBP include:

3.5.1   In the previous round of IDPs, **consultants** played a very large role – often with problematic results. IDP consultants tend to be engineers or town planners, and are therefore trained to focus on physical, infrastructural or spatial issues, rather than process dynamics or community consultation.

3.5.2   Planning to date has concentrated on **needs and wish lists**, without indications that communities are prepared to make their assets available for development, assets such as skills, time to undertake voluntary work, or natural resources (e.g. land or livestock). These have tended to focus on capital projects/infrastructure, which are expensive to build and maintain. There is a need for an empowering methodology, but one that is also replicable in all wards of a municipality, and potentially all municipalities.

3.5.3   Historically **funding for planning** has been from national to local governments (and often then to consultants). Project proposals were not linked to budgets. The Mvula Trust case study provides an example of funds which are held locally and where the community does make major decisions such as project prioritisation. It is very important to link planning with known funds.

3.5.4   There has been disappointing progress with regard to **community participation** in the IDP process. Even among municipalities that prioritised participation, community and stakeholder attendance often dropped off significantly as the process continued. Experience elsewhere such as in KwaZulu-Natal, Diepsloot and Matatiele shows that the community can successfully guide development planning and initiatives, resulting in a more inclusive, community-based and bottom-up planning process.

3.5.5   The importance and positive role played by **traditional authorities** in planning such projects in rural areas is demonstrated in the Isulabasha/Mvunyane water and sanitation project, and the Maluti District Planning Committee. Although the roles and functions of traditional authorities is still unclear, they can play a big role in CBP. They serve both as an agent for change and an important entry point into the community as they command a lot of respect in the community and are able to engage or influence people.

3.5.6   In terms of other **stakeholders,** there has been limited involvement of the private sector, and the involvement of government departments is also disappointing.

3.5.7   Effective community-based planning may well lead to changes in the ways municipalities deliver their services. IDPs could consider **community involvement in service delivery**, e.g. partnerships with social groups in delivering services.

3.5.8   The success of CBP will to a great extent be influenced by the recognition of various **structures** involved in CBP and the **linkages** between them. Such structures include the three spheres of government, NGOs, CBOs, and the business sector. At the moment these linkages are not very clear, as the distribution of the roles and responsibilities of different actors is not clearly defined.

3.5.9   **Building capacity** and a firm commitment to supporting communities by service providers forms a basis for the successful implementation of CBP. This should be strengths- and opportunities-focused, participatory, driven by the communities themselves, sustainable and replicable.

PART C   WHAT HAPPENED DURING THE CBP PROJECT

4   Phase 1 – implementation from April 2001 to November 2002

4.1   The **partners** in South Africa were a local government (Mangaung Local Municipality); Decentralised Development Planning, the section of the national Department of Provincial and Local Government who were responsible for local government planning; CARE; and Khanya-managing rural change. Various Free State Provincial Government Departments also assisted the roll out of CBP. CBP was also undertaken in Limpopo with the Department of Agriculture, and this section also mentions briefly similar work that was happening in eThekwini Municipality, who later became one of the CBP partners.

4.2   Table 4.2.1 shows a summary of the evolution of the project during Phase 1.

Table 4.2.1   Timeline for activity with CBP in South Africa

Activity	2001	2002
Country review of experience	May-June	
Country workshop	June	
4 country SA workshop	August	
Development of manual	September	
Pilot	Sept-Oct	
Visit to India	October	
Full implementation	October -	February
Development of IDP	October	June
IDP Representative Forum agrees CBP priorities from first 6 wards	November	
Exchange to Uganda		April
Visit to Bolivia		May
Limpopo DoA approaches Khanya for assistance with planning		May
Uganda workshop		July
Work on Limpopo CBP		July-Sept
SA CBP workshop		29-30 Oct

4.3   In terms of the **planning process,** early 4 country meetings developed a set of principles for CBP:

- The need to ensure that *poor people are included* in planning;
- Systems need to be *realistic and practical* using available resources within the district/local government;
- Planning must be linked to a *legitimate structure* that can handle funds;
- Planning should *not be a once off* exercise, but part of a longer-term development process;
- The plan must be *people focused and empowering*;
- Planning must be based on *visions*, *strengths* and *opportunities*, not problems-based;
- Plans must be *holistic* and cover all sectors;
- The plan and process must be *learning oriented*;
- Planning should promote *mutual accountability* between community and officials;
- Systems should be *flexible and simple*;
- There must be *commitment* by politicians and officials to implementation.

The generic planning process developed for the project was adopted, with some modifications made for affluent and commercial farming areas. This involves a 2 day situation analysis using participatory tools with different groups within the community. This is followed by the prioritisation of outcomes and threats derived from the different groups, and planning for the top 5 outcomes. The plans emphasise community action, as well as the use of R50 000 allocated by Mangaung, and a community action plan to implement the plan. Proposals are made for projects to be included in the IDP or by other agencies. The total contact time is 4 days.

4.4   **Visits** were made to learn from experience in India and Bolivia. In India the Panchayats at local level very much drive development, and government staff are seconded to lower level local governments. Funding goes down to the village panchayats. In Bolivia subward structures are accredited from existing CBOs to represent an area (OTBs). This provides a basis for representation at subward level which could be useful for SA. Representatives of the OTBs also sit on a municipal-level Vigilance Committee which has to approve the development plan and monitor implementation. This provides some ideas for how

the IDP Representative Forum could take on a bigger role in promoting accountability for the IDP and its implementation to wider stakeholders.

4.5   **Mangaung implemented CBP** or ward planning in all 43 wards of the City and rural areas, ranging from central business districts, squatter settlements, commercial farming areas, high density townships to predominantly white affluent suburbs. This occurred over the period from September 2001 to March 2002. Section 4.5 draws from an independent evaluation carried out by the Centre for Development Support (CDS) at the University of the Free State, based on field work in 6 sample wards and a questionnaire to all wards. Overall the evaluation by councillors and ward committees of CBP was extremely positive with ratings of between 3.5 (good) to 5 (excellent). Some suggestions were made to improve preplanning, the timing of planning, planning in affluent areas, and in ensuring follow-up. Some issues were:

- **Training** was provided in a learning by doing process, but facilitators felt they would have benefited from some prior training;
- The **CBP methodology** worked, ensured the voices of the poor were heard, and created a spirit of participation and empowerment. It was modified in certain situations to fit people's availability and preferences, notably in affluent and commercial farming areas;
- The **facilitation** was conducted by people from various institutions, notably the municipality and provincial departments. Facilitators were very positive about the experience and only in one case was the councillor not satisfied with the facilitator. The lowest level of satisfaction seemed to be in Thaba Nchu and Mangaung-east and seems to be a direct result of logistical problems that were experienced, for example transport problems;
- The **manuals** were regarded as very helpful;
- There was some confusion about the **sustainability** of projects and the plan;
- In most wards there were significant **contributions** by volunteers to implement the plans eg school cleaning, tree planting, cleaning campaigns, etc. No ward reported a direct financial contribution.

4.6   In terms of **impact** of CBP, 42 of the wards completed their plan and 41 of the 42 wards spent their R50 000 allocation. In 18 of the 20 wards surveyed, there were regular ward committee meetings afterwards, implying that the planning was giving some impetus to the ward committees, and 97% of the funds were accounted for. Specific impacts include:

- **Extent to which CBP was carried out** - local action resulted in almost all wards, although there were some problems with some of the projects funded;
- **Improved plans** – there were no ward plans prior to CBP. The ward planning changed the course of Mangaung' IDP. Economic development was overwhelmingly the top development priority rather than the traditional municipal focus on infrastructure, and other priorities emerged such as HIV and security, where the municipality has to play an enabling rather than provider role. CBP also contributed to the thinking behind the development programmes and some specific projects. The timing meant it was not possible in the first year to directly incorporate projects proposed for the IDP and these are being included in year 2;
- **Improved services** – where service providers participated in the ward planning, there does seem to have been impact on services, for example with police, even though the evaluation was carried out only 6 months after the plans were completed;

- **Community empowerment, ownership and action** - The feeling of ownership was one of the most significant aspects raised in interviews with councillors, contributing to "proud community members and ward committees". A wide range of actions on their own initiative occurred in the different wards;
- **Addresses demands of the poor/vulnerable/gender/HIV-affected** - the involvement of poor and disadvantaged groups in the methodology was one of the major positive outcomes of the process. The emphasis on social or interest groups with a disadvantaged background made this possible. It is noteworthy that a ward dominated by urban white middle class people decided to spend 70% of their allocated money on the skills development of farm workers in the ward;
- **Impact on the local government** - MLM managed the CBP process, with support from Khanya during the initial stages, and some 30 MLM facilitators were trained. They found the process very empowering, and it gave them a much better understanding of planning in general (even for the planners).

4.7   In **Limpopo** CBP was carried out in 31 villages. An intensive one-week CBP **training** was run for 40 district staff of the Department of Agriculture. Immediately afterwards they spent a week applying the learnings in a planning process with three communities and then applied this in 28 other villages, to produce Village Development Plans. It was decided to take this work forward rather with a local government, and Greater Tzaneen decided to become involved.

4.8   Meanwhile **eThekwini** was experimenting with similar approaches to community participation. Citizen needs assessment was made an important starting point for the IDP. 50 Council employees were identified, trained and paid as facilitators to support the process. In addition 100 **community facilitators** were identified from local CBOs and Forums to assist with their knowledge of community dynamics. This helped to create a needs-based IDP. The Municipality for the first time approved a budget which is integrated with planning based on extensive community involvement. Hence the Municipality refers to it as a People's Budget. The Municipality also established a Community Participation and Action Support Office.

5   Phase 2 – upscaling to 9 municipalities – Nov 2002-Sept 2004

5.1   The national CBP workshop held in October 2002 highlighted the success and the learnings of the piloting in Mangaung. It was agreed to establish a national Steering Committee to take forward CBP, including the current partners, other national and provincial organisations, and other municipalities committed to participatory approaches (eThekwini and Tzaneen). The organisations now involved are DPLG, SA Local Government Association (SALGA), Mangaung Local Municipality, Free State Dept of Local Government and Housing, Khanya, IDT, eThekwini Municipality, Greater Tzaneen Municipality.

5.2   The Steering Committee has met every two months since its formation in November 2002, and the broadening of the ownership to these key organisations, while maintaining the balance of policy makers and implementers, has made for an effective Steering Committee. Table 5.2.1 shows a timeline for this second phase of CBP in South Africa.

Table 5.2.1   Timeline for activity with CBP phase 2 in South Africa

Activity	2002	2003	2004
SA CBP workshop	October		
Steering committee meets	Nov	Jan, March, May, Aug, Oct	Jan, March, May, July, Oct
GTZ indicates interest in supporting links to IDP		Jan	
Presentation to Parliamentary Committee		March	
Proposal finalised including GTZ support and work commences		May	
Technical team of Khanya and Development Works revising methodology		May-Sept	
Additional support components finalised at various points to		August	
Guides completed		September	
Training of Trainers		September	
Municipalities received first tranche of R125k for piloting		Nov	
Municipalities start on ward planning		November	
Ward planning completed for Nkonkobe, Tzaneen, Mbombela			March
DFID funding completes (and DBSA not yet released)			March
Ward planning in eThekwini and Makana			May-
Workshop with pilots on learnings and implementation			June
SALGA conference demonstrates massive interest in CBP			Sept
Release of interim funding by dplg as advance for DBSA			Sept
Start of CBP Phase 2 in Mangaung including partic budgeting			Oct

A proposal was developed which was approved by the Steering Committee and Khanya was appointed project manager for a next stage of piloting the upscaling of the work to 8 municipalities (and later one additional municipality has been added, but not as a formal pilot). A total funding package of R6 million was raised from Netherlands Aid, DBSA, DFID, GTZ and pilot municipalities, who committed themselves to fund 50% of their costs.

5.3   Implementation was **widened** to include pilots in Bela Bela, eThekwini, Maluti-a-Phofung, Mbombela, Msunduzi, Nkonkobe, Tzaneen, as well as Mangaung, and a range from rural to urban situations. Makana was later added, funded through the SCAPE Project, managed by CARESA/Lesotho, particularly to pilot implementation mechanisms and use of NGOs as service providers.

5.4   The methodology was **deepened** to include improving the linkages between the participatory planning and the IDP, development of the M&E systems, definition of support systems, production of a resource book for ward committees, development of draft national manuals, piloting, learning from the pilots and then finalisation of the national manuals and proposals for national rollout. Two Guides were added to the CBP Facilitators Guide - a Training of Facilitators Guide, and a Guide for IDP Managers.

5.5   A **national training** of Lead Trainers was held in September 2003, and a training for IDP managers in October 2003.

5.6   The **process with the pilots** included a briefing of Council, development of an agreed process plan, a training of municipal and ward facilitators, facilitation of ward plans, appraisal of those plans, implementation based on the process funds and M&E, and some learning processes. Five pilots plus Makana have completed their ward plans, with 3 more in process.

6   Impacts of CBP at provincial and national level

6.1   **Partnerships** – it was critical that the initial partnership included a committed municipality (Mangaung), the relevant national authority (dplg), and a facilitator with the skills to develop and adapt the methodology and to train the municipality (Khanya). As the process has evolved, a much wider range of stakeholders are now involved, notably through a National Steering Committee.

6.2   At present there has been no indication of changes needed in **legislation**, although potentially there is a need for **guidance** in terms of enacting participation, eg through the CBP methodology, in structuring of ward committees, in providing support centrally, and for integrating CBP into the IDP process. Dplg has seen this Steering Committee as critical in developing an agreed approach to participation.

6.3   In terms of national systems, dplg accepted the concept of **widening CBP** to 8 municipalities, **deepening the methodologies** in areas which have been shown to need strengthening, to define a national suite of methodologies available to municipalities wishing to undertake CBP.. Based on this national guidelines will be produced for municipalities considering CBP/IDP in the 2004/5 year.

PART D   LEARNINGS AND WAY FORWARD

7   Learnings overall

7.1   CBP was originally implemented in Mangaung in 43 wards, covering 750 000 people with over 10 000 people participating, and some 30 facilitators trained. CBP has now been implemented in 9 municipalities throughout South Africa covering an estimated 252 wards affecting approximately 4-5 million people. The formal learning process on the 8 pilots is not complete and so this section draws on the detailed learning from Mangaung in 2001/2, and initial reflections by the service providers and municipalities on the learnings to date in the other pilots.

7.2   The **planning process** was found to work. The weakest element has been preplanning which needs to be strengthened. In working with pilots of very differing capacity a suite of methodologies is now proposed depending on the level of municipal and ward capacity, ranging from:

(1) In very weak municipalities and wards, a combined **simple expanded sample-based CBP approach and municipal planning**, using the CBP methodology in an intensive facilitated process for a simple IDP, eg doing both in a 10-15 days process;

(2) In low capacity municipalities but medium capacity wards, **Full CBP, plus a facilitated IDP process**

(3) In very weak local municipalities, but where wards/communities have significant capacity, **District-driven CBP**, where district municipalities contract service providers (eg NGOs) to support ward-based CBP and supply process funds, and local municipalities play little role;

(4) In medium capacity municipalities, **Integrated CBP and more strategic IDP (the current model)**

(5) In high capacity municipalities, **CBD/IDP as in 4, but strongly aligned to other stakeholders**
In cases (2) to (4), CBP is undertaken more-or-less as at present, while the level of work on the IDP changes. In case 1 CBP tools are used in sample wards rather than every ward as part of a facilitated IDP based on the CBP planning methodology.

7.3   What has come clear is that many municipalities underestimated the work involved in managing CBP. It is therefore suggested that a series of **preconditions** are needed, which would also help to guide which model of CBP/IDP is relevant. These include allocating someone to manage CBP (CBP Coordinator) and lead trainers who are full-time during the planning process, and part-time during implementation.

7.4   Ensuring appropriate **representation** is an important methodological issue, particularly in large rural wards with many villages.

7.5   In terms of **linkage with local government level**, the CBP process in all municipalities was used to bridge the gap between IDP and community involvement in the planning. These linkages have been strengthened in the second phase of CBP, with the development of a linkage methodology, but there are still some key linkages which need to be strengthened, notably around implementation using process funds and M&E.

7.6   It proved very positive using **facilitators** drawn from municipal staff, PIMMS centre staff, and provincial departments. The **training** of ward committee members has also been positive although they need to be screened, as happened in eThekwini. The 10 day training of facilitators has also worked. It is important in future to strengthen the management of logistics by providing administrative support.

7.6   In terms of **finance**, the main cost is for the **process funds** to support implementation which should be R25 000 to R50 000 per ward. In terms of the **cost of planning**, it is estimated that implementation of CBP costs about R375 000[8] for a 40 ward municipality, including R160 000 for training 40-50 facilitators, R92 000 optionally for accreditation of the facilitators[9], R27 000 for a workshop to learn the lessons and around R30-40 000 for the direct costs of doing the planning. Costs of planning would vary according to the number of wards, but not in simple proportion, as the cost of training is largely fixed. Therefore for a 10 ward municipality the figure is likely to be around half this.

7.7   There was considerable involvement of **stakeholders**, but it is important to involve provincial departments more effectively, eg by local staff participating in the planning process.

7.8   In terms of **community management**, there was considerable community action resulting from CBP in Mangaung, and we await to see the results of the current pilots. However, the implementation and constant follow-up (monitoring of implementation and mentoring with implementation) were lacking. There was also a lack of ongoing feedback regarding the use at municipal level of community-planning inputs. These will be worked on in 2004/5.

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[8] Approximately £1=R11.7
[9] Includes the time taken to appraise 40 ward plans

7.9   There may well be a need to formalise some form of representative structure for participation at subward level, such as a village, neighbourhood or cell, as happens in Zimbabwe, Ghana and Uganda. This may need **policy changes** at some point

8   Way forward

8.1   The 9 municipalities piloting CBP this year need to complete the planning and move to implementation. At that point it will be important to hold the learning events and evaluations, to see the impacts, how the costs and benefits are perceived, and this will help to guide the way forward.

8.2   The national upscaling process continues and looks likely to complete in mid-2005. This has been delayed by a delay in finalising a contract between dplg and DBSA.

8.3   First thinking has been done on what elements of a possible national support system could be. This is moving beyond a pilot process, to a system using national, provincial and district systems to support municipalities interested in undertaking CBP. A budget is being drawn up for inclusion in the dplg budget for 2004/5.

PART A: INTRODUCTION

1.   INTRODUCTION

1.1   Background to the project

In 1998-2000, Khanya undertook action-research funded by the UK's Department for International Development (DFID) looking at "Institutional Support for Sustainable Livelihoods in Southern Africa". The main focus of the work was looking at institutional issues arising in South Africa, Zambia and Zimbabwe if sustainable livelihoods (SL) are to be promoted. This work identified that if livelihoods of poor people are to improve, there is a particular problem in the linkages between micro level (community) and meso level (local government and district service providers), both in terms of improving participatory governance and in terms of improving services (Khanya, 2001). Three key governance requirements were identified at micro and meso levels if poverty was to be addressed:

Micro level[10]
(6) Poor people must be active and involved in managing their own development (claiming their rights and exercising their responsibilities);
(7) The need for a responsive, active and accessible network of local service providers (community-based, private sector or government);

Meso level [11]
• At local government level (lower meso) services need to be facilitated, provided or promoted effectively and responsively, coordinated and held accountable.

The first of these requirements implies community involvement in planning and management of local development. The requirement for widely dispersed and accessible services implied by the second suggests a rethinking of service delivery paradigms. The first of these has formed the basis of a further DFID-funded action-research project covering Uganda, Zimbabwe, Ghana and South Africa, "Action Research on Community-Based Planning". This report is based on the work of this action-research project in South Africa over the 3.5 years from April 2001 to September 2004.

The CBP project is a four-country study linking South Africa, Zimbabwe, Uganda and Ghana, with partners at national level, local governments, and facilitators working with local governments. A list of project partners is inside the cover. The main objective of this project is to share experiences and learnings between these countries and to strengthen community based-planning as part of the decentralisation process. Lessons were also gathered through a study tour of India and Bolivia, where forms of community based planning systems have been applied.

Community-based planning (CBP) is a new term, but most people are familiar with the idea of participatory planning. CBP can be used to refer to any planning which addresses activities or problems at community level, in which members of the community are themselves

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[10] Community level
[11] lower level where services are managed, usually local government level

involved. Community here refers to a level at which local people can identify themselves as belonging to, often the lowest level of the planning system (in SA the Ward, in other countries lower).

During the project a specific approach was developed which is outlined in section 5.

1.2   Objectives of the report

This report summarises the development and results of the Community-Based Planning Project in South Africa. It aims to inform organisations in South Africa of the context to CBP, and some of the lessons from its initial application during 2001/2 in Mangaung Local Municipality of Free State Province, in Limpopo Province and in a further 9 municipalities during 2003/4.

1.3   Structure of the report

The report has three main parts:

Part B: The situation prior to the project
This provides the policy background to CBP (Section 2), and section 3 the situation prior to the start of CBP, with case studies of participatory planning prior to CBP and some learnings from this experience prior to CBP.

Part C: What happened during the CBP Project
Section 4 shows how the CBP project developed in SA in Phase 1 with the pilot in Mangaung, and Section 5 the development in Phase 2, extending to 9 other municipalities during 2003/4. Section 6 highlights the impact of the project at provincial and national level.

Part D: Learnings and way forward
Section 7 draws out the overall learnings from the project and Section 8 suggests ways forward for SA, based on the current stage of the CBP/IDP Project in SA.

PART B: THE SITUATION PRIOR TO THIS PROJECT

2 ADMINISTRATIVE STRUCTURES/POLICIES IN RELATION TO SUB-MUNICIPAL PLANNING

2.1 Different structures and their roles

The South African government system consists of three spheres of government, namely, national, provincial and local government. In addition to this the ward committee system has been introduced to give effect to the principle of participatory local governance.

2.1.1 National Government

The roles and responsibilities of national government include:

- Implementing national legislation;
- Developing and implementing national policy;
- Co-ordinating the functions of state departments and administrations;
- Preparing and initiating legislation and;
- Supervising provincial administration in a situation where a province cannot or does not fulfil an executive obligation in terms of the legislation or Constitution.

2.1.2 Provincial Government

The provincial government is charged with the responsibility of:

- Implementing provincial legislation in the province;
- Implementing all national legislation within the functional areas listed in Schedule 4 or 5 of the Constitution;
- Administering in the province national legislation outside the functional areas listed in Schedules 4 and 5, the administration of which has been assigned to the provincial executive in terms of an Act of Parliament;
- Developing and implementing provincial policy;
- Co-ordinating the functions of the provincial administration and its departments;
- Preparing and initiating provincial legislation and;
- Performing any other function assigned to the provincial executive in terms of the Constitution or Act of Parliament.

2.1.3 Local Government

The third sphere of government is local government, which consists of Local Municipalities, District Municipalities (typically covering 5 local Municipalities) and Metropolitan Councils. According to the Constitution, local government has two major developmental functions. Firstly, it has to structure and manage its administration, and budgeting and planning processes to give priority to basic needs and social and economic development of the

community. Secondly, it has to participate in national and provincial development programmes.

Some of its objectives are to:

- Provide 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 the involvement of communities and community organisations in the matters of local government.

2.1.4 Ward Committees

Both the Municipal Structures Act and the Municipal Systems Act (see section 2.2) give effect to Section 152 of the Constitution, which identifies representative democracy and participatory democracy as the primary objectives of local government. This constitutional mandate is translated into practice through the establishment of ward committees in each local municipality. Their primary function is to act as a formal communication link between the community and the council. These ward committees play a central role in getting communities to participate effectively in the IDP process.

2.2 Policies

2.2.1 Background

The Reconstruction and Development Programme (RDP), published in 1994, was the cornerstone of South African development policies. One of the six principles of the RDP was that development must be "people-driven":

> "The RDP is focused on our people's most immediate needs, and it relies … on their energies to drive the process of meeting these needs … Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment (1994:5).

2.2.2 The White Paper on Local Government

The White Paper on Local Government fundamentally redefined the role of local government. It introduced the notion of "developmental" local government, which would have four major objectives:

- The provision of infrastructure and services;
- The creation of liveable, integrated towns, cities and rural areas;
- Local economic development, and;
- Community empowerment and redistribution.

As will be shown later, the concept of "developmentalism" is poorly defined at a policy level. There are several implicit theoretical (or normative or ideological) approaches to

developmental local government, with the result that local decision-makers have interpreted their mandate in widely differing terms.

2.2.3   *The Municipal Systems Act (2000)*

This piece of legislation laid the basis for SA's future municipal government.   The significance of the Act is that it provides new and far-reaching philosophical underpinnings for virtually all aspects of municipal functioning, including the concept of Integrated Development Planning (IDP) at municipal level. Notable in the Structures and Systems Act was the definition of a municipality as comprising the political and administrative spheres, as well as the community itself, helping to promote an external focus. Two important ideas are contained in the IDP philosophy.   Firstly, local authorities are expected to take on an "*enabling role*" (i.e. a facilitating and co-ordinating role), in addition to the inherited role of direct service and infrastructure delivery.   Secondly, municipalities need to become *strategic* in their orientation, i.e. plan for longer-term developments, respond timeously to key local issues, and leveraging comparable responses by other actors.[12]   Both these ideas were dramatic changes to established municipal ways of operation.   Furthermore, as this report will show later, both ideas have a profound impact on the way in which community-based planning is conceptualised and carried out.

Chapter 5 deals exclusively with integrated development planning.   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. Such a plan must reflect:

- The Council's vision for the long term development of the municipality, with special emphasis on the most critical development and internal transformation needs;
- An assessment of existing levels of development, and an identification of communities which do not have access to basic municipal services;
- The Council's development priorities and objectives;
- The Council's development strategies, which must be aligned with any national or provincial sectoral plans;
- A spatial development framework, to guide land use management;
- The Council's operational strategies;
- A financial plan;
- Key Performance Indicators and performance targets.

The Act stipulates that IDPs must be reviewed annually, in accordance with an assessment of the municipality's performance measurements.[13]

On the issue of public participation, the Municipal Systems Act stipulates that municipalities must adopt a predetermined programme specifying timeframes for different steps in the public participation process.   The public participation process must use "appropriate mechanisms, processes and procedures", established in Chapter Four of the Act.

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[12]   FCR, *Review of Integrated Development Planning in the Western Cape*, 1999, p. 7.
[13]   Chapter Six of the Systems Act provides that municipalities must establish a Performance Management System (PMS).

Chapter Four, in turn, deals with "community participation" in local government. It prescribes that municipalities must develop "a culture of municipal governance that complements formal representative government with a system of participatory government". Municipalities must "encourage, and create conditions for, the local community to participate in the affairs of the municipality" – including the drafting of the IDP.[14] Municipalities must also contribute to "building the capacity of the local community to enable it to participate in the affairs of the municipality, and of councillors and staff to foster community participation".

The Systems Act indicates that the "council…has the duty to..encourage the involvement of the local community, consult the community about the level quality, range and impact of municipal services provided by the municipality, either directly or through another service provider". "Members of the community have the right…:

- to contribute to the decision-making processes of the municipality and submit written or oral recommendations, representations and complaints to the municipal council…
- To be informed of decisions of the municipal council..
- To regular disclosure of the affairs of the municipality, including its finances

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 (and) the local community to participate in the drafting of the IDP." In addition a "municipality, through appropriate mechanisms, processes and procedures …must involve the local community in the development, implementation and review of the municipality's performance management system". These are strong statements, and require more creative mechanisms than are currently in place.

2.3   Planning processes

2.3.1   National planning processes

At present there are two planning processes, namely the development planning process and the Medium Term Expenditure Framework (MTEF). The Development Facilitation Act of 1995 (DFA) provided the framework for land development in the country. Its main objective was to fast-track land development and to promote integration and a well balanced development. This was followed by the Municipal Structures Act and the Municipal Systems Act that went a step further by providing for the establishment of local government structures and preparation of IDPs. Further to this, the Department of Land Affairs has issued a Land Use Bill which seeks to harmonise the provisions of DFA with the current local government legislation.

The production of the MTEF is a planning process through which provincial and national departments identify projects and corresponding budgets on a three-year basis. This is to ensure greater predictability in the budget, and to promote linkages between budgets. The problem with the MTEF is that it focuses on fiscal discipline and this tends to place planning under pressure to be fiscal driven rather than issues driven. The IDP includes the MTEF and in fact an outline 5 year budget.

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[14]   Communities must also participate in the establishment of a Performance Management System, performance monitoring, the preparation of budgets, and strategic decisions relating to the provision of municipal services.

Recently a National Spatial Development Perspective (NSDP) has been introduced specifically out of concerns that national investment and development programmes were not fully addressing the distortions of the inherited apartheid space economy. This was intended to provide a set of principles to guide infrastructure and development expenditure, as well as a set of economic activities it was felt the country should focus on (see Box 2.3.1) and is an "ambitious but controversial plan to reshape the way our economic landscape looks and works, to speed development". Overall, these are being driven through four sectorally defined 'clusters' for coordination, and together they focus on a growth agenda. As metropolitan areas are spaces where both need and potential are high, they are envisaged to receive a strong dose of fixed investment[1], and indeed National Treasury is promoting direct linkages with these major urban centres so that they can influence their development, eg through additional funding through Restructuring Grants.

2.3.2 Planning at provincial level

At *provincial level*, provinces are tasked to develop Provincial Growth and Development Strategies/Plans. These are typically 3-5 year strategies intended to provide an interpretation and response to development trends in the province, and to provide a broad strategic framework for public and private sector agents operating in the province. These are prepared assuming cooperative governance, to ensure that all 3 spheres of government are playing appropriate roles. The idea is that they should not be detailed, but that the detail would be elaborated in preparing municipal IDPs, and be implemented via the proposals in the IDPs, based on action by the municipalities as well as provincial and national departments. From the

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Box 2.3.1   Principles of NSDP

1.   Economic growth is a pre-requisite to achieve other policy objectives
2.   Governments spending …should be focused on areas of areas of economic growth/potential.
3.   Efforts to address past inequalities should focus on people, not places. ….in localities with low development potential, Government spending beyond basic services should focus on social transfers, human resource development and labout market intelligence …to enable people to become more mobile and migrate
4.   ..future settlement and economic development opportunities should be channelled into activity corridors and nodes that are adjacent to or link the main growth centres…

PGDS a MTIEF is drawn up, and sector strategic plans are derived. Box 4 provides some examples of the economic strategies in the Free State Development Plan, and Annex 3 shows the development objectives and strategies in the plan. In Zimbabwe, the provincial development plan used to be a compilation of district plans. There are now attempts to produce provincial PRSPs. Provinces also have oversight of municipal IDPs.

Provincial plans have provided some strategic guidance for the provinces, and have generally not been prescriptive about place and project. They appear to have served to assist with horizontal alignment across provincial departments. However, the impact they have had on changing strategic priorities and spending patterns is variable. In some provinces such as KwaZulu Natal, provincial planning is clearly aligning developmental expenditure both, recurrent and capital, to locally defined initiatives within a well formulated understanding of the regional space economy[15], while in others such as the Free State, the plans are becoming

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[15] See the work of the KZN Regional Planning Commission:1999, which supplements the Provincial Growth and Development Strategy and has gone so far as to define and adopt a land use management systsem (LUMS) which accommodates urban rural interfaces previously planned for separately under apartheid and now commonly defined in terms of Demarcation Board boundaries. See Zingel, J (2001) for suggested private sector instruments for a sustainable forestry sector.

subject to frequent adjustment in order to promote a more accurate basis for investment into specific regional needs and demands (Goldman et al, 2004).

2.3.2 *How local government fits into national planning*

The Municipal Systems Act (Section 24) envisages IDPs as part of the philosophy of "co-operative government". On the one hand, it requires municipal planning to be aligned with the development plans and strategies of other municipalities, as well as national and provincial "organs of state". On the other hand, such "organs of state" must consult with local authorities, and take reasonable steps to assist municipalities to compile their IDPs in the time prescribed. In practice it has proved difficult to link provincial and national departments to municipal IDPs.

The Municipal Systems Act (Section 27) stipulates that each district municipality must undertake a consultative process with the local municipalities in its area. It must then adopt a framework for integrated development planning in the district. This will be a *binding framework* for future development, including development in the local municipalities.

There is no legal priority given to either the local or the district plan. Each level of IDP needs to be done by "taking account of" plans drafted by the other (Section 29).

Communities' needs typically transcend the sectoral boundaries of water, sanitation, housing, and transport. Furthermore, infrastructural (or "hard") issues tend to overlap with "soft" or social development issues (see Box 2.3.3). Communities or groups which have been empowered to think through their situation and their problems tend to propose solutions which cut across Departmental boundaries, and which require municipalities to think beyond their traditional core functions.

Part of the problem is that different national line departments have different time horizons for their plans (e.g. Water Services Plans, Transport Plans). Another difficulty is that, frequently, different sets of consultants draw up sectoral plans, resulting in very little inter-sectoral integration. In this context, it is impossible for communities to make a meaningful input into inter-sectoral opportunities for development.

All municipalities have now done their IDPs. In relation to District IDPs, they have tended to be a consolidation of local municipality's IDPs, with an unclear participation process, and are undifferentiated from locals. An appraisal conducted after the first round of IDPs[16] suggests that generally the IDP has become a municipality-owned and -driven process, which was consultative and implementation orientated. In most municipalities, a focused analysis of the current situation was limited to a simple participatory process for the identification of needs and a desk-top consolidation of general information. As in Uganda or Zimbabwe, a deeper analysis of causes, trends, resources and potentials, related to the identified issues, rather than needs, was rarely

> **Box 2.3.3 Community's concern cross sectors**
> In ward 2 in Mangaung, one of their highest priorities was improved security. They identified crime problems as being at particular hot spots such as dark alleyways.
>
> Addressing these vulnerabilities needed work on infrastructure such as widening alleys, installing street lights (a Municipal responsibility) as well as potentially improving street patrols (use of horses was suggested due to the problem with vehicles - Police responsibility).

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[16] Marc Feldman of Development Works, based on an appraisal of IDPs in Limpopo Province

carried out. Strategies on how best to make use of the limited but available resources, within policy guidelines, and to suit the people and the place was mostly absent. As a result most project designs did not systematically consider cross-cutting issues such as spatial and environmental planning, poverty and gender. Where they were addressed, it was inconsistently and arbitrarily or sectorally treated. It is still not a real strategic planning process in which appropriate (ie effective and efficient) and policy-framed solutions for the priority issues are formulated. Further, there is still an enormous and difficult task to undertake for the IDP to become part of a recognised, authoritative and coordinated inter-governmental planning and budgeting system that is effective between the spheres and across the sectors of government.

2.3.3 *Planning systems involving communities*

IDPs have the potential to democratise local government to a significant extent. This will depend on the achievement of three aspects of community participation and empowerment (FCR, 1999a, p 45):

- **Representation**: Through broadening the range of stakeholders that need to be involved in the IDP process (e.g. the local press, NGOs, women, community leaders), IDP broadens the representative mandate of the local authority;

- **Responsiveness**: Through promoting flexible, needs-based planning in partnership with communities, IDPs make local authorities more responsive to unique local problems and needs;

- **Accountability***:* IDPs are proposed as a means for public assessment and prioritisation of needs within communities. Local Authorities are made accountable to citizens by having to demonstrate the extent to which they have acted on these priorities.

From a community-based planning perspective, the IDP processes have been interpreted in a minimalist way. Although the IDP process urges municipalities to consult widely, in general there has not been a fundamental emphasis on active community involvement. The IDP methodology is a major improvement on the technicist and spatially-oriented planning approaches of the past; but in practice, IDPs have tended to be driven by municipal officials, consultants, and at best, community leaders.

This is not a fundamental indictment of IDPs, for several reasons. Both IDPs and previous LDOs represent the first formal attempts in the history of South African planning whereby a diversity of non-state stakeholders can participate in planning. This is a great leap forward. Secondly, the overriding purpose is to achieve policy coherence within Municipalities' own ranks – which is another leap forward, in a context of massive municipal restructuring. Furthermore, the IDP process brings to bear new types of planning philosophies, which are unfamiliar in the South African context. These are incremental planning (as opposed to structure planning), participatory planning (as opposed to technicist planning), integrated planning (as opposed to sectoral planning), sustainable development and environmental issues, and a combination of economic and spatial planning.

The main argument here is that the envisaged IDP processes have not catered *sufficiently* for active and sustained community involvement in planning processes. This is a shortcoming,

although one that can be rectified in future planning phases. The following section will give an overview of some of the guides and manuals available to local authorities, and to assess the potential role of CBP in these documents.

Annex 2 indicates some key sources from legislation relating to participation.

2.3.4   *Conceptual confusion: What paradigm of planning prevails?*

Various authors have pointed to the difficulties experienced in drafting IDPs. In 1999 the Foundation for Contemporary Research (FCR)17 argued that the IDP is afflicted by conceptual problems, sitting uneasily between three ideal types of municipal planning and administration reflecting different conceptions of the long-run objectives of municipalities, their core functions, and the roles and functions of other local actors in relation to the municipality (FCR 1999:26). The tensions between these approaches are still evident today. These three ideal types are:

(1) The Traditional approach

This approach emphasises conventional bureaucratic service delivery, based on the conscientious application of rules and procedures. (Given that the fiscal crisis of local government is substantially due to non-payment of services, there are some grounds for this approach). In terms of this approach, the IDP process would attempt to improve the operation and management of existing municipal activities, through building better rule-sets to guide bureaucratic decision-making (FCR 1999:23). The FCR survey of IDP processes in the Western Cape found that municipalities still remained within the traditionalist paradigm (1999:49).

(2) The market-based approach

This approach emphasises what is sometimes referred to as the New Public Management approach, involving private sector management techniques, e.g. performance management, expansion of line management autonomy, reducing administrative overheads, and out-sourcing service delivery (e.g. public-private partnerships, competitive tendering) (FCR 1999:16). It is also reflected in certain departments' philosophies of ring-fencing specific services (e.g. Water Affairs, National Electricity Regulator).

In terms of this approach, the overriding purpose of IDPs is to re-engineer administrative systems and practices. Output-based measures of performance are emphasised – "getting the job done most efficiently". This approach regards residents as "customers" of municipal services. The role of councillors in reflecting residents' preferences is minimised, since "customers" can articulate their own preferences through market or neo-market mechanisms (e.g. choosing which services they would like to pay for). Community participation in planning is largely redundant. Municipal planning thus focuses on the technical issues of contracting and contracts management – with a central role played by senior officials (FCR 1999:28).

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17   See David Savage *et al, A Review of Integrated Development Planning in the Western Cape*, FCR, 1999.

(3) The Governance approach

From the perspective of community-based planning, this is the most important approach. Briefly, this approach emphasises accountability and rebuilding democracy, through creating new patterns of consultation with local stakeholders, constructing inclusive decision-making mechanisms, and building the capacity of communities – especially the poor - to interact with them. Communities are expected to play an integral and ongoing part in the affairs of the local government, beyond the traditional boundaries of representative democracy.

In terms of this approach, IDPs involve the transformation of municipal systems to promote community involvement in development decisions. It involves an important role for Councillors, who need to reflect the political preferences of voters. However, their role should be supplemented by consultative and participatory mechanisms whereby residents can become involved in decision-making on an on-going basis. Goldman (2001) explores this governance approach in analysing the restructuring process in the rural sector in the Free State.

2.4 Involving other stakeholders

A successful participatory planning process rests with all stakeholders and their understanding of their own and other role-players' roles and responsibilities. The current IDP guidelines propose a number of stakeholders and their central role in the planning process. These are summarised in the table below.

Table 2.4 The roles and responsibilities of different actors in the IDP process

Role-players	Roles and Responsibilities
Local Municipality (Municipal Government)	• Prepare, decide on and adopt a Process Plan • Undertake the overall management and co-ordination of the planning process • Adopt and approve the IDP • Adjust the IDP in accordance with the MEC for Local Government's proposal • Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP
Residents, Communities, and stakeholders (civil society) including traditional leaders	• Represent interests and contribute knowledge and ideas in the planning process.
District Municipality	• Prepare a District IDP • Co-ordinate roles for local municipalities
Provincial Government • Depts of Local Government • Sector Departments and Corporate Service Providers	• Contribute relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects • Provide sector expertise and technical knowledge to the formulation of municipal strategies and projects • Engage in a process of alignment with district municipalities • Participate in the provincial management system of co-ordination
PIMS-Centres and Municipal Officials	• Facilitation of planning workshops • Support the communities to effectively engage and contribute to the planning process
Technical Experts, Consultants, NGOs,	• Prepare specific and product related contributions of a technical nature, in support of informing and documenting the outputs of the analysis, strategies,

Role-players	Roles and Responsibilities
	projects and integrated programmes of the IDP
Municipal Council	• Consider and adopt a Process Plan for the planning process • Consider, adopt and approve the IDP
Executive Committee or Executive Mayor or Committee of Appointed Councillors	• Decide on the Process Plan for the planning process • Be responsible for the overall management, co-ordination and monitoring of the process and the drafting of the IDP • Nominate persons to be in charge of the different roles, activities and responsibilities of the process
Ward Councillors	• Link the planning process to their wards • Be responsible for organising public consultation and participation • Ensure that the annual business plans and municipal budget are linked to and based on the IDP • Ensure that IDP is aligned with provincial and national departments budgets
Municipal Manager and/or IDP Manager	• Undertake the overall management and co-ordination of the planning process, ensuring that all relevant role-players are involved • Ensure the MEC for local government's proposals are responded to
Heads of Departments and Officials	• Provide relevant technical, sector and financial information • Be responsible for preparation of project proposals and integration of projects and sector programmes • Undertake responsibilities in response to proposals made by the MEC

3   THE SITUATION IN 2001 - LEARNINGS FROM EXPERIENCE PRIOR TO THE CBP PROJECT

This report summarises four South African case studies of participatory planning and community management which were implemented prior to the CBP project. One of these covers an IDP process, the other planning with communities for water, housing and tourism. These case studies were presented at the CBP national workshop in July 2001 (CBP, 2001) and are covered in more detail in the 2001 and 2003 versions of this report, as well as the workshop report. Section 3.5 summarises the learnings from this experience.

3.1   Diepsloot

Diepsloot is a residential area situated approximately 50 km north of the centre of Johannesburg. The settlement started as a reception area in 1995 with most of the original inhabitants coming from the townships of Alexandra, Soweto and some neighbouring farms. Today, Diepsloot consists of a formal township with approximately 4000 formal houses and informal settlements with approximately 16 000 people. Some improvements have been made in the area, including some basic infrastructure (roads some of which are tarred, a combination of communal taps and house connections for water, some sewerage system, some electricity in some parts) there are also some primary and high schools and a clinic. The development of Diepsloot was identified as a Presidential project and various stakeholders worked together to develop the project, including various government departments.

Community participation started at a minimal level in the early stages of settlement development. However, it improved as the community became stabilised in their new habitat. The communities' involvement began in a fragmented way, where people participated in social, economic, political and developmental issues in an uncoordinated way. Planact, an NGO, became actively involved in co-ordinating the various community efforts into a unified vision for the development of Diepsloot. This co-ordination culminated in the formation of a Community Development Forum (CDF), which became the communities' representative in the housing development, which was identified as a priority for development by the community as well as by provincial and local governments.

Through the assistance of Planact, the CDF and the community of Diepsloot became involved in the development of the project in various ways:

- weekly meetings where the CDF interacted with the local government and the developer in planning the project.
- the CDF set up a labour desk, which recruited community members to work on implementing the project. #
- the Community Development Forum identified the beneficiaries.
- the community monitored the project especially the quality of the end product and informed the developer who then had to rectify any faults that were identified within three months of completion of each housing unit.

The Diepsloot housing project was funded from the Province, which had developed the original plan. The funds were then held at local council level. The community however had a

significant input into the budgetary process and worked together on projects that have an overall benefit for the communities in which they live.

This project demonstrated that involving communities in project planning and development does not necessarily imply extra costs and time delays, and the end product is more acceptable to the ultimate beneficiaries.The project also demonstrated how national plans such as housing, poverty alleviation, access to clean water and other services can be achieved well by involving various stakeholders and initiating community driven projects.

3.2 Community-based planning for community eco-cultural tourism development in the Maluti area, Eastern Cape

The Maluti district LDO/IDP process in 1998 identified tourism as one of the major strategies for addressing local economic development (LED), through its potential to have an impact on income generation and livelihood improvement for rural communities in the foothills of the Drakensberg. During this process an NGO, the Environment and Development Agency (EDA) facilitated the establishment of a district level structure called the Maluti District Planning Committee. This committee was composed of representatives from each of the ten local tribal authorities.

Following the process Village Development Committees through the Local Development Forums (LDFs) prioritised tourism as the major economic development activity for Maluti. EDA assisted in securing the necessary funding, facilitating the planning process, capacity and institutional development, working closely with community institutions on the ground.

The Maluti District Planning Committee had various task teams representing interests in land and agriculture, youth issues, water supply, tourism, roads, gender equity issues, health and welfare, and education. The objective was to reach out to all tribal authorities and to share information and discuss local level issues and problems, opportunities, potential for tourism development, and resources available in each village.

Each task team had the responsibility of mobilising relevant Government Departments, traditional local authorities, Traditional Rural Councils (TRCs), Community Based Organisations, Local Development Forums, and a range of other service providers, to ensure buy-in before moving to the next stages. Prominent functional village based structures then were traditional leaders, TRCs, Local Development Forums, and Community Based Organisations.

The idea of a village-to-village trail through the foothills of the Ukhahlamba mountains in the rural Maluti District was first envisioned in late 1998 by members of the Environment and Tourism Task Team.. Initial guidelines were developed which were aligned with existing policies, followed by a workshop to familiarise local communities with the new " community tourism " concept. A wide range of stakeholders were brought on board, notably from the private sector. A series of tourism awareness workshops followed. Eventually a Steering Committee representing Maluti and Mount Fletcher districts was established which formed a Local Tourism Organisation (LTO) called Ukhahlamba Tourism Association (UTA) which was officially launched in September 2000. A series of village based structures called Community- based Tourism Organisations (CTO) emerged. In 2001 there were eight CTOs in this area. CTOs and LTO members were trained in leadership and planning skills, financial management and role of office bearers.

In terms of the planning process, EDA first facilitated a process that could assist to identify resources and skills in each CTO. A PRA mapping exercise was done with villagers in each CTO. This process involved CBOs, Traditional Leaders, Councillors and Local Development Forums (LDFs). There was a continuing process of consultation and support from the Department of Land Affairs (DLA), Department of Water Affairs and Forestry (DWAF), and District Councils. The primary objective underlying this multi-stakeholder participation was to ensure that all stakeholders are well informed so that if issues such as land allocation or water service provision arise, they are in a position to resolve them relatively quickly, unlike if they were brought on board only when there is a problem.

When decisions were made to go ahead with phase one, the local authorities were traditional authorities and Transitional Rural Councils (TRCs). A major problem was that the roles of these authorities were not clarified by government, especially in relation to ownership and management of community assets. The structures were not familiar with the democratic and transformation process and were not given the necessary capacity. As a neutral organisation, EDA had to intervene and based build the capacity of the different community institutions is based on their identified roles in the development processes. However the Local Development Forums and TRCs were perceived as a threat by traditional authorities as their role was not well understood. It was therefore not easy to work or plan together with both of them.

During the implementation phase there were Ward Councillors and Committees. However the newly elected councillors also had little capacity and were unfamiliar with the democratic transformation process. While Ward Committees were perceived as the overseer of development initiatives at village level, they lacked the knowledge held by the CBOs and LDFs, which had been involved in development issues from 1994. This highlighted the importance of building the capacity of these Ward Committees to be conversant with integrated development processes.

In 2001, political and development structures were not yet working together effectively, in part as political structures believed they should be the senior partners even though they lacked the knowledge held by the development structures. Despite this the community-based approach showed itself as one of the best ways of ensuring sustainability, as it built the capacity and confidence within the ranks of the beneficiary groups.

3.3   Rural and urban experiences in setting LDOs in the Free State (FS)

The Free State case study covered the operation of the precursor to IDPs, the setting of Land Development Objectives (LDOs) in three areas of the Free State, Phuthaditjhaba, QwaQwa and Bloemfontein. Phuthaditjhaba is an urban settlement, with a population of approximately 70 000 people with reasonable infrastructure. QwaQwa is a peri-urban community, with approximately 250 000 people living in villages without basic infrastructure. Bloemfontein is the capital of the Free State Province. It has a population of between 350 000 – 450 000, with residential areas that have excellent infrastructure as compared to squatter areas with basic infrastructure.

The Development Facilitation Act, No 67 of 1995 required the formulation of a strategic plan (LDOs) for development for a 5-year period, which needs to be reviewed annually. The process proposed in the guideline suggested a typical planning methodology, namely PRA. The process was consultant-driven in much of the country, with the participation process interpreted in different ways by different consultants.

3.3.1   *Case study 1: QwaQwa IDP*

A Free State Town Planning Company was appointed as facilitator, who worked with a local development company experienced in participation to assist in the participation process.

QwaQwa TRC had ten wards. As a planning process a Ward Representative Committee (WRC) of between 30–40 people was established in each ward.   In the first round of workshops, WRCs analysed the present situation in their ward, defined the priority needs and desired outcomes, and developed a vision for each ward. During the second round of workshops WRCs explored various avenues to achieve desired outcomes in effective and sustainable way.

An LDO Steering Committee (LDOSC) was established with elected representatives from each WRC, officials and Councillors of the local authority, and representatives from service agents. LDOSC workshops were then held to develop a vision, integrate the inputs made by each WRC, align strategies with government policies, programmes and plans, and to formulate the overall priorities, objectives, strategies and projects. The officials from both provincial and national departments and some Councillors did not attend these meetings while representatives from the WRCs were committed and always present.

3.3.3   *Case Study 2: Bloemfontein*

A Town Planning company from outside the province with experience in LDOs in South African cities was appointed as the lead agency, with a small Bloemfontein-based company with experience in participatory developmental planning.

In Wards in the 'traditional white' suburbs, there were no Local Development Committees, as councillors believed residents were not interested in council affairs. In Wards in 'township' suburbs, there were Local Development Committees, chaired by the Councillor, which identified their needs and proposed development projects to the council.

Contrasting approaches to participation emerged whereby the lead planning company held an initial mass meeting where the community could express their 'needs'. Three follow-up meetings for report back on progress were also organised. Facilitators experienced apathy, distrust and there was no interest by the residents. The local company proposed the use of sustainable livelihoods analyses per ward to develop a culture of participation. The idea was to use the information collected to plan development programmes, and especially to alleviate poverty. Consensus was reached to do sustainable livelihoods analysis as an experiment in planning. Participating structures included the Municipal Department of Urban Planning and Housing, which was the institutional home, community structures; and 30 wards, each with a Councillor. A working group of officials and consultants formed to guide the process and an official was tasked to be the contact person, but also to learn and to drive the process in later stages.

Finally the planning process that evolved harnessed the support of political party caucuses in the municipality. Sixteen workshops, were held with responsible councillors, one per ward,. Pamphlets were distributed via schools, posters with dates and venues in the wards at shopping centres and weekly articles in the two newspapers. In these meetings quantitative information was collected on assets and access to communication, health services, transport and local markets. The number of participants involved with specific activities was counted

by showing of hands. Qualitative information was based on the opinion expressed by those present.

A technical report was compiled on infrastructure to supply water and electricity services, types of streets, number of clinics, schools, etc. Each ward determined their own desired outcomes, which were combined into ten priorities for whole area. Each ward elected two representatives onto the LDO Forum. The purpose of the forum was to meet regularly to make an input into the planning process. The first meeting of the LDO Forum was well attended by the ward representatives, officials and politicians and the ten selected outcomes were discussed and targets set. The vision of the city was discussed at this workshop.

It was felt by some that 630 participants at these ward meetings did not represent the view of all the residents. The workshops were described as unrepresentative, because councillors invited participants, which was considered as selective. Most resistance came from officials who did not attend the workshops. A local professor in urban and regional planning requested the process to be declared null and void. This brought an end to the participatory planning.

The leading company decided that the participatory process was against their approach. It was agreed that systems for public participation would be developed over time. The existing plans of the different departments were collected as development strategies.

The LDO Forum met again three times. Each time there were fewer participants, and at the last meeting only the Heads of Departments were present.

3.4 Isulabasha/Mvunyane Water And Sanitation Project

The project is located approximately 35km south of Vryheid in the Nqutu District, KwaZulu-Natal. It falls under Inkosi Mdlalose of Hlahlindlela Tribal Authority. It was funded by the Department of Water Affairs and Forestry (DWAF) and DANIDA through the Mvula Trust and started prior to the enactment of local government, hence the involvement of traditional authorities and the Tugela Joint Services Board (TJSB). It was later funded by the KwaZuluDepartment of Traditional and Local Government Affairs.

At inception only the youth group was in place. This was subsequently constituted as a Development Committee, hence the name "Isulabasha" which means the "plan of the youth". The local Traditional Authority played a prominent role. Other structures were set up including gardening, poultry, piggery and block-making sub-committee, all operating under the Isulabasha/Mvunyane Development Committee (IMDC). The IMDC consists of twenty members, eleven on an EXCO, nine from sub-projects. In the event water served as an entry point for LED.

The planning process involved three phases:

- *Pre-implementation / Planning Phase*. This involved community mobilisation, committee formation and drawing up of a funding proposal. Consultants were appointed as Social (Training Agent) and Technical (Project Agent) consultants. A Community profile, training needs assessment and training plan (TA) were undertaken, plus a feasibility study (PA). A detailed design and training plan were then developed. All planning was community driven and consultative. Mvula Trust was the implementation agent (IA) and DWAF (the Funder) provided constant support and guidance.

- *Implementation phase.* This involved construction and institutional and social (ISD) training and capacity building. The project was commissioned which was followed by the operations, maintenance and mentoring process. The Bambamanzi prepaid system was installed, funded by DANIDA. There was a delayed transfer process to the Water Services Authority. The IMDC still serves as the Water Services Provider. Learnings and gaps were identified.

- *Evaluation and continuation phase.* The Project Management Cycle is characterised by continuous monitoring, communication, awareness creation and stakeholder participation

The community drove project planning and prioritisation. Decisions on project funds were made locally and funds were held locally. Some of the lessons learnt were the importance of fiscal discipline and accountability, and a good track record. One of the gaps is that funding from the Department of Traditional Affairs is not disbursed to IMDC. There was stakeholder participation throughout the project cycle. This included the community, Mvula Trust, DWAF, DANIDA, Tribal Authority Dept. of Health, Dept. of Traditional and Local Government Affairs, as it was a multi-institutional project.

A gap was the poor relations between the Inkosi and the local government structure. The Inkosi (Chief) played a prominent role as an ex-officio member of the IDMC with a clearly defined role. However the project had a unifying effect, and demonstrates the possibility of rising above political limitations.

There was visible community participation which was a key pillar of success. It was a labour intensive project and operations and maintenance (O&M) were done by trained community members. Other local skills involved a bookkeeper, water minders, plumbers, pump operators, etc. Breakdowns were dealt with by either the water minder, pump operator, foreman, management systems operator or office clerk (spares). During emergencies, the chairperson may be involved.

The project showed the important of an effective community-based committee with a mandate from the community, good communication and relationship between the committee and traditional leadership as well as local government. Government departments should be visible and accessible and there need to be clear guidelines in terms of service provision. There should also be maximum stakeholder involvement to ensure a demand responsive approach.

The project also showed the need for institutional and social development training and capacity building. Training is needed in particular in project management, financial management, contracting, bookkeeping, communication skills, conflict resolution, health and hygiene, O&M, etc.

3.5 Learnings from previous experience

3.5.1 Roles in relation to participatory planning

In the previous round of IDPs, consultants played a very large role – often with problematic results. IDP consultants as well as municipal planners tend to be engineers or town planners, and are therefore trained to focus on physical, infrastructural or spatial issues, rather than process dynamics or community consultation. This problem was widely recognised by DPLG

and the training in IDPs conducted in 2001 attempted to broaden understanding of development as opposed to physical planning.

3.5.2   *Planning Processes In Practice*

Planning based on needs or outcomes

Public participation in IDPs, especially amongst the poor, has tended to focus on needs and "wish lists" for infrastructure, which is expensive to construct, to operate and to maintain. This is partly because this is often seen to be what government provides, and municipalities in particular There are seldom indications that communities are prepared to make their assets and time available for development. Real community-based planning needs to break this syndrome, and to focus not just on infrastructure, nor just on the services that municipalities provide, but also on their developmental enabling role. A way to change the planning paradigm is to plan around outcomes, not needs, as shown in the Bloemfontein example. However people struggle with the conceptualisation of outcomes. Another challenge is maintaining local priorities when aggregating - lower level analysis tends to get lost when aggregating into the overall plan. Planning based on needs and current skills also often leads to unsustainable projects. Opportunities, like markets must be acknowledged;

Acceptance that community and planners priorities may differ

Community involvement in planning is likely to lead to changes in outcomes once people have the opportunity to express their views. One example of this is around land use, where planners may have a particular picture of what is "right", but people may have other priorities, such as the use of streets for street trading, or open spaces for emergent businesspeople, or commonage for emergent farmers.

Strategic or comprehensive, short vs long-term

The IDP must be strategic and there is a danger of being over comprehensive. It needs to be holistic in terms of coverage of groups and providing an overall picture, but sectoral projects will result. It is important to have some top-down priorities to guide decision-making and to give a focus to plans and budgets.

Another challenge is that environment and sustainability is often not a direct priority for communities who focus on their immediate needs. This needs to become part of a development dialogue with communities, and the municipality will need to retain some oversight to ensure that community planning and decisions do not jeopardise long-term sustainability.

Empowering but replicable

The challenge is to establish a CBP process which can be empowering (and hence implies intensive and in-depth) and yet affordable and replicable for municipalities to be able to apply these across the whole area of the municipality (and potentially across the whole country). The challenge is to develop a methodology which is an acceptable compromise between these two objectives.

3.5.3   Funding Flows

Because the previous round of IDPs was consultant-driven, funding for the planning process flowed from national government to councils and from there to consultants. The community did not receive any funding to support or empower them to participate effectively in the planning process. Furthermore, project proposals were not linked to the budget. They were just a "wish list" that was not linked to availability of resources.

However, at NGO level, the Mvula Trust case study provides an example of funds which were held locally and where the community does make major decisions such as project prioritisation.

When involving communities it is important to plan with a known budget. There is a danger of participatory planning if results are not seen by the people. Prior to 2001 this was seen to be important. At the stage the project is at now, it is clear that this is essential, and in fact that specific funds must be allocated to community structures that are planning.

3.5.4   Relationship of community structures to CBP

Although most local authorities have attempted community participation in different ways – prior to CBP there was little evidence of systematic and deep community participation in the IDP process. Even among municipalities that prioritised participation, community attendance dropped off significantly as the process continued. as in the Free State case studies.

Some of the case studies which were not primarily about planning, but projects, the community did guide planning and initiatives. This resulted in a more inclusive, community-based and bottom-up process. In reality there is a lot of community action in the rural areas such as on community-based projects, for example in water and sanitation, housing, tourism and natural resource management.

In some cases this included setting up new structures where none existed. For instance, during the QwaQwa and Bloemfontein IDP processes the consultants had to set up representative structures, as there were no formal structures. This was necessary in order to have representatives with whom planning could be done. Another example is the establishment of the Maluti District Planning Committee in Matatiele. The case study in KZN showed the importance of recognised and legitimate structures.

One of the challenges in looking at participation is who should be empowered, politicians, officials, or the people? Empowerment takes time and funds need to be allocated for this. It is important to listen well, understand the context, and to attend community sessions. People lose belief if they are not listened to;

In addition political processes are often biased. It is important to get a structured and representative process for participation involving stakeholders and role-players from the beginning. The structures established for planning must have powers and the capacity they need. It is a challenge to get the white community involved, particularly white women, and it is important to acknowledge differences within the white community. A CBP methodology needed to find a methodology which could include very diverse people, possibly in a joint planning process.

3.5.5 *Involvement of traditional structures in CBP*

At present the role of traditional leadership in the new local government system is not clearly defined. Traditional structures are still very important in rural areas. For example, in KwaZulu-Natal the local traditional authority played a prominent role in the Isulabasha/Mvunyane water and sanitation project, and the Maluti District Planning Committee. Although the roles and functions of traditional authorities is still unclear, they must play a role in CBP in rural areas. They serve both as an agent for change and an important entry point into the community as they command a lot of respect in the community and are able to engage or influence people.

3.5.6 *Involvement of stakeholders*

Prior to 2001, the **private sector** had not really played a major role in the planning process, particularly in the rural areas, as happened for example in QwaQwa. In the urban areas, however, their role was often limited to that of a service provider. In Diepsloot, for example, the contractor provided serviced land and jobs to the local community.

To a large extent **government departments** have not played an active role in the IDPs, which they saw as municipal plans. During the last round of IDPs they only provided funding for the process.

To date, **civil society organisations** (NGOs, CBOs and other interest groups) have played a major role in facilitating the involvement of communities in their own affairs as in some of the case studies. This role is perhaps declining as more legitimate structures such as ward committees are established, although as in the case studies there has been contestation between these and previously established structures such as LDFs, civics etc.

3.5.7 *Towards community management*

Effective community-based planning is not sufficient if it does not lead to action by the communities themselves in partnership with municipalities. Community based planning may also lead to changes in the ways municipalities deliver their services, for example considering community involvement in service delivery, e.g. partnerships with community groups in delivering services. Community involvement in service delivery is already happening in places like KwaZulu-Natal and Eastern Cape where the community is engaged in provision of water and sanitation and tourism, respectively.

The KZN water case study illustrated a range of capacity-building needed for communities to manage development resulting from the planning. These included building institutional and social capacity, project management, financial management, contracting, bookkeeping, communication skills, conflict resolution, health and hygiene, O&M, etc.

3.5.8 *Structures and linkages required*

The success of a CBP process will to a great extend be influenced by the involvement of various structures, including the three spheres of government, NGOs, CBOs and the business sector. In 2001 there was no clear participation process for the IDP, and these linkages were not very clear, as the distribution of the roles and responsibilities of different actors was not clearly defined, nor the role of ward committees. Some challenges included the following:

- The low linkage clarity between ward and municipal wide activities;
- Little or no participation of the business sector in the planning process;
- Non-alignment of individual community projects to the broader planning process;
- Lack of understanding between communities, councillors and consultants ;
- Poor relationships between different spheres of government and local structures;
- Loss of a gender perspective.

3.5.9   Training needs for planning and managing the community based processes.

Training is one of the means for building the community's capacity to develop their own plans. Some of the groups that could be trained include councillors, ward committee members and facilitators.   This also needs to build on their strengths rather than needs.

PART C   WHAT HAPPENED DURING THE CBP PROJECT

4   PHASE 1 – IMPLEMENTATION FROM APRIL 2001 TO NOVEMBER 2002

4.1   Design of partnership

Initial discussions in South Africa were held by Khanya with Mangaung Local Municipality as a local government, Decentralised Development Planning section of the national Department of Provincial and Local Government, who were responsible for local government planning, and CARE. Mangaung committed themselves early on, including committing their own resources to support the project, notably in the R50 000 ($5000) per ward they allocated, plus additional resources for Khanya to undertake the training of trainers work to get the project going.

Various Free State Provincial Government Departments also assisted the roll out of CBP including Local Government and Housing (which provided up to 4 planners as facilitators, although only one was consistent), Social Development, and at an early stage Economic Affairs. These attended the first SA national workshop on CBP, along with Motheo District Municipality who also provided two facilitators to the CBP process.

At a later stage SALGA became involved, joining for the visit to Uganda in July 2002, and co-hosting the CBP workshop in October 2002. CARE were involved in the South African visits, but not in implementation. This section highlights the work carried out in Mangaung, briefly mentions the work carried out in Limpopo (4.7) and also some participatory work being carried out at the same time by eThekwini Municipality, addressing similar challenges.

4.2   Overall timeline

Table 4.2.1 shows a timeline for the evolution of activities in South Africa re CBP

Table 4.2.1   Timeline for activity with CBP in South Africa

Activity	2001	2002
Country review of experience	May-June	
Country workshop	June	
4 country SA workshop	August	
Development of manual	September	
Pilot	Sept-Oct	
Visit to India	October	
Full implementation	October -	February
Development of IDP	October	June
IDP Representative Forum agrees CBP priorities from first 6 wards	November	
Exchange to Uganda		April
Visit to Bolivia		May
Limpopo DoA approaches Khanya for assistance with planning		May
Uganda workshop		July
Work on Limpopo CBP		July-Sept
SA CBP workshop		29-30 Oct

4.3   Planning process developed

The 4 Country Workshop of August 2001 developed a core approach and principles to be adopted for CBP, which was then developed into a generic manual across the 4 countries. This was a critical phase which developed the approach which underlay the rest of the project. There were some critical elements to the methodology developed at this stage, which responded to the learnings identified in section 3 as well as in the other partner countries:

The approach to planning was based on the sustainable livelihood principles (see Box 4.3.1). Key principles that this approach to CBP are based on included:

- we need to ensure that **poor people are included** in planning
- systems need to be **realistic and practical**, and the planning process must be implementable using available resources within the district/local government, and must link in and integrate with existing processes, particularly local government planning
- planning must be linked to a **legitimate structure,** ideally one that can take funds
- planning should **not be a once off** exercise, but should be part of longer process
- plan must be **people focused and empowering**
- we must **plan from vision and strength/opportunities** not problems
- plans must be **holistic** and cover all sectors
- planning should promote **mutual accountability** between community and officials
- there must be **commitment** by councillors and officials and there must be someone responsible to ensure it gets done

> **Box 4.3.1 Principles of the sustainable livelihoods approach**
>
> For effective pro-poor development interventions must be:
> - People focused
> - Participatory and responsive
> - Based on strengths not needs
> - Holistic
> - Based on partnerships
> - Sustainable (economic, social environmental, and instititional)
> - Flexible and dynamic

The <u>clients</u> of the planning are communities/interest groups/individuals, local politicians as well as technical staff of local governments, service providers (including national and provincial Departments, NGOs).

A practical planning methodology (see table 4.3.1) was developed based on a 4-5 day contact process. The Mangaung manual of September 2001 was very close to this generic manual and this was piloted in the first 3 wards, after which some minor modifications were made. Some further work was done on the generic manual in late 2002 and a second version of the generic CBP manual was produced, including for examples some additions on environment.

The CBP facilitation manual suggests that the process should follow the following time schedule (see Table 4.3.1). In most cases this planning process was followed, although it was adjusted in commercial farming areas (see Table 4.3.2) and in the former white suburbs (see Table 4.3.3) to a shorter process, eg taking off a day, and having two community meetings in the evening, one to develop the visions and priorities, and one to approved the emerging plan

The first plan was undertaken on the week of September 17th, after which the methodology was adapted slightly (changing the visioning methodology), the next on 1 October, then 15

October which completed the pilot process. After this the manual was adapted once again, and then 2-10 plans were done in specific weeks, initially with a week between planning to allow facilitators to write up and prepare for the next ward.

In practice all the ward plans were completed in Mangaung by March 2002, with some 30 facilitators trained drawn from a variety of internal departments, as well as some external agencies.

Table 4.3.1   The time schedule and daily plan for the CBP process per ward in the MLM, 2001/2002

Day	Activities	With whom?
Pre Planning		
0.5 days	Pre-planning meeting Compiling background information	Local leaders
Planning (up to 5 days)		
Day 1 (situation analysis)	Meeting to launch community planning	Broad community group
	Timeline	Smaller community group
	Venn diagram	Smaller community group
	Livelihood analysis	Socio-economic groups
Day 2 (situation Analysis)	Livelihood analysis continued	Socio-economic groups
	Well-being analysis	Smaller community group
	Service provider interviews	Service providers/CBOs
	Community feedback meeting SWOT	Broad community group
	Resource map (optional)	Smaller community group
	Transect (optional)	Smaller community group
Day 3 (planning)	Visioning exercise	Broad community group
	Strategy development	Smaller community group
Day 4 (planning)	Strategy development continued	Smaller community group
	Meeting to plan community action	Broad community group
Day 5 (writing)	Writing the plan Project profiles	Core facilitation team plus other co-opted community members
Planning follow up (within next week or by deadline)		
	Submission of plan	Core facilitation team

Table 4.3.2 shows how this was modified in commercial farming wards, and 4.3.3 gives an example for a predominantly white ward. These changes were made on the spot, reflecting views of the ward committees.

In the commercial farming wards they found it important to do the SWOT exercise with the school principals and church leaders before the meetings with the planning forum because some of the vulnerable livelihood groups in the community were not always accessible. The SWOT exercise with the planning forum was a consolidation of all the information of the livelihood groups, modified as needed. In these cases the Councillor finalised the amounts allocated to the different projects, but he or she could not change the projects which the planning forum compiled.

Table 4.3.2   Modified CBP process used in the commercial farming areas

		Planning Event	**Those involved**
Pre-Planning			
Day 1		Meeting to: • Introduce CBP to the councilor and determine a date for a meeting with the ward committee • Explain the responsibilities of the councillor and his/her role during the planning week	Councillor
Day 2		Meeting to: • Identify livelihoods groups and finalizes meeting with each livelihood group • Identify service providers • Finalized the venue and time for evening meetings • Explain the CBP process and the different events • Explain the responsibilities and role of the ward committee	Councillor and Ward Committee
Planning Week			
Day 1		Livelihood analysis	Livelihood groups
Day 2		Livelihood analysis	Livelihood groups
		Timeline	Elderly
		Interviewed Church leaders and School Principals (SWOT)	Community Leaders
Day 2 Evening		SWOT, vision, priorities	Planning Forum
Day 3		Interviewed Service Providers	Service Providers
Day 3 Evening		Goals, strategies, projects	Planning Forum
Day 4		Finalized project details and project profiles for IDP submission	Facilitator Team
Day 5		Finalized budget for the R50000 and community action plan	Councilor

In predominantly white Ward 20, the number of evening meetings was reduced to avoid fatigue. There was some hostility to the participatory approach at the beginning, and there was also a tension in that the Councillor was used to working with some of the NGOs in the ward, not necessarily arranging groups of residents around specific livelihood groups, and was not comfortable with large participatory meetings. However this did work out in the end, the white residents enjoyed the participatory approach used, and the Councillor was very enthusiastic.

The methodology for **rolling the plan** still needs to be developed, which will not require the 4-5 day intensive contact process, but perhaps a 2 day process to review progress and update the plan.

4.4   Incorporation of learnings from other partner countries, Bolivia/India

The visits to India took place in October 2001 and to Bolivia in May 2002. The key learnings from these visits for the South African team are shown in Sections.4.5.1 and 4.5.2. These have not yet been incorporated into South African practice but the visits were very useful for stimulating debate amongst the 4 countries and building a common picture as to what we were trying to do. Reports on both visits are available at www.khanya-mrc.co.za/cbp.

Table 4.3.3   Modified CBP process used in a predominantly white ward (Ward 20)

	Planning Event	Community Sector
Pre-Planning		
	Initial meeting with councillor to introduce concept of CBP, determine a date for a meeting with the ward committee, and explain the responsibilities of the councillor and his/her role during the planning week	Councillor
	Meeting with ward committee to : • Explain the CBP process and the different events • Explain the responsibilities and role of the ward committee • Identify livelihoods groups and finalize meeting with each livelihood group • Identify service providers • Finalize the venue and time for evening meetings	Councillor and Ward Committee
Planning Week		
Day 1	Livelihood analysis, list service providers, meet service providers	
	Community meeting to discuss problems (not part of CBP methodology but previously organised by councillor). SWOT conducted.	Mixed group
Day 2	Livelihood analysis with some groups	Livelihood groups
	Meet service providers	Service providers
	Timeline	Mixed group
Day 2 Evening	Vision, priorities	Community meeting
Day 3	Working on goals, strategies, projects, proposals for R50 000 and action plan	Groups on specific topics
Day 4	Ward committee writing up plan, and completing outstanding tasks, eg Venn Diagram	Ward committee
Day 5	Continue	Ward committee

4.4.1   Learnings from India

In India the Village Panchayat represents an empowered community-based organisation to lobby for local needs. The Village Panchayats are recognized by law and are an active part within the planning processes Some State Government officials have been seconded to Block Panchayat to assist with needed skills at that level. Those officials are paid by the state but are accountable to the Block Panchayat. If for example the Block Panchayat is not happy with the performance of a state official, then the Panchayat will not recommend to the state to pay the official's salary. In South Africa there is no formal arrangements amongst provinces and local governments in South Africa in terms of sharing of skills, while on the other hand the short-skilled local governments are expected to deliver services to communities.

The Village Panchayat submits proposals to the Block Panchayat and are eventually received at the State level. There exists a dual funding mechanism where funds aimed at development projects are channelled down to the Village Panchayat through the District and the Block, while the other route aims to cut down on bureaucracy and sends the funds directly from the State to the Village Panchayat. This is a useful way of speeding up development

interventions. In South Africa there are no clear lines of channelling funds to the communities.

4.4.2 Learnings from Bolivia

Bolivia has a sub-ward structure (Comites de Vigilancia (CVs) or Vigilance Committees) which is well established. This provides a basis for representation on a legitimate basis below ward level, The social control structure of the CV provides oversight over municipalities, ensuring the municipalities are accountable to civil society. The CVs have a role to organise regular meetings to review progress against the plan (the EDAs). This could be applied in SA in strengthening the role of the IDP Representative Forum, so that external stakeholders have regular reports on progress against the plan This would require formalising the representation in the Forum and having a schedule of, say, 3-4 meetings a year, to which the Municipality would be required to report.

In Bolivia traditional structures are well recognized as representative structures at community level.

The delegation of services in La Paz to regional structures (sub-mayoralities) has been effective, and most services have been delegated to this level. In addition there is a political link in that the community association of CVs in the area meets twice a week with the sub-mayor. This is definitely an approach which can be looked at in the South African context.

4.5 What actually happened in Mangaung

Mangaung implemented CBP or ward planning in all 43 wards of the City and rural areas, ranging from commercial farming areas, high density townships to predominantly white affluent suburbs. This occurred over the period from September 2001 to March 2002.

This section draws largely from the independent evaluation carried out by the Centre for Development Support (CDS) at the University of the Free State. The evaluation was based on:

- A purposive sample of 4 wards where the CBP had had some impact (wards 13, 20, 30,42) and 2 wards where it had not (wards 2 and 26). 2 of the 4 were from Mangaung-Bloemfontein and one each from Botshabelo and Thaba Nchu;
- interviews with the six councillors representing these 6 wards under evaluation;
- the relevant facilitators for each of the six wards were also interviewed;
- focus group interviews with these ward committee members;
- results of 29 questionnaires (out of 43 wards) completed by the ward committees or the relevant ward councillors. Although the majority of the wards/councillors completed the questionnaires, there were 14 wards where forms were not completed. The CDS will, therefore, refer to the response rate with regard to the different questions where necessary.

4.5.1 Overall satisfaction levels

Overall the evaluation by councillors and ward committees of CBP was extremely positive (see Figure 4.5.2). The wards in Thaba Nchu had some of the lowest levels of satisfaction with facilitators, but had very high levels of satisfaction on the CBP process overall. The

traditionally white suburbs rated the exercise a bit more critically not having been used to a highly participatory process like CBP before.

The average time to submit plans was 4.6 weeks, but this ranged from 1 week to 14 weeks. It seems that the process to submit plans in the former white suburbs was considerably shorter. It took an average of 4.8 weeks to approve plans in the municipality (range of 1-7.8).

Comments were received from councillors and facilitators from different parts of Mangaung on what was helpful and what was difficult. Some suggestions for areas where it needed to be strengthened included:

- **Pre-planning** - Although the CBP manual for the facilitation of the process suggested that the pre-planning meeting should take place 1-2 weeks prior to the main planning process, in some cases these meetings took place the Sunday evening before the planning started. This impacted negatively on the ability of the ward committee to make all the necessary arrangements. Some facilitators were of the opinion that the pre-planning process did not enable the ward committees to understand fully the CBP process;

- **Need to shorten process in affluent/white areas** - Councillors in the former white Bloemfontein area commented that the process was too drawn-out to ensure effective participation from ward members. Hence the shortened version of the CBP process shown in Table 4.3.3;

- **Need to ensure enough time for documentation before the next field work. Having a shorter time in between planning sessions in wards compromised on the level of preparation by facilitators for the next ward and the quality of the documentation of the previous ward plans.** This led to delays and accumulated backlogs in writing up of plans by facilitators;

- **Use of participatory tools** - The appropriateness of the PRA tools was seen as inappropriate by some councillors in the former white suburbs of Bloemfontein and even in the urban areas of the Mangaung township;

- **Use of social groups** – understanding of the meaning of a social group and hence organising these was problematic. It was equated to organised social clubs. A more appropriate term should be sought;

- **Ensuring follow-up** - It took some time for the people to understand the process. As one facilitator put it: "People are bombarded with several of these participatory processes but nothing ever happens. In Thaba Nchu there was a concern from the community that people are only used as guinea pigs. linking the planning process to funds that can be used to take forward the plans helped reduce the frustration with calling people for participatory processes.

Table 4.5.1 Comments on the CBP methodology from a self-administered questionnaire by councillors

Area	What was helpful during CBP	What was difficult	Overall comments
Bloemfontein Commercial, (mixed)	• Work with different groups in different areas	• Ward is vast	• Good and necessary
Bloemfontein North (low density suburb)	• The assistance of the facilitator • Input from the community • Needs of the community and exposure of poor people as role players • Availability and enthusiasm of ward committee members. Willingness of different community groups, in particular scholars	• Involvement of residents e.g. to attend meetings • Getting all role-players together • Meeting most of the needs with limited funds • Bad timing to do the planning in December	• Very useful • Excellent tool to assist achieving developmental goals of community. • Good opportunity for everybody to participate in planning their own future
Bloemfontein Central (medium and high density, CBD)	• Community members were able to identify their own challenges/problems within friendly and encouraging atmosphere. WC was united and committed.	• People did not turn up in numbers as anticipated. This caused some disruptions of planned programme.	• Unique and helpful process as a contribution to IDP. Bound to be a better process next time. •
Bloemfontein South/East (high density former township)	• Identify needs of different groups • Identify needs of community • Made us aware of planning for commercial benefit • Insight/advice from facilitator	• Developing strategies • Consolidated needs • None • Prioritising services for Bergman Square	• Direct participation • Excellent process • Very progressive • Benchmark
Mangaung Central (commercial farming)	• Facilitator helped all to participate	• Difficult to understand at first	• Very important
Botshabelo (high density township and CBD)	• Interactive, info-sharing • Vulnerabilities and commercial potential • Prioritised needs • Massive participation • Needs of different groups • Learnt how to plan and prioritise	• No structures • Little funds to address issues • New concept and not easy for community to understand • High expectations as first time participated • Did not understand language • People to inexperienced	• Satisfied • Planning must be done again and people must participate • Participating • Enhances participation and community proud to participate • Good as covers all community • Complicated as no proper guidance
Thaba Nchu (high density township and CBD)	• Identify community needs and frustrations	• Organising community and service providers to participate at very short notice and undesirable weather conditions	• Unites community towards developmental goals and creates opportunity for participatory processes
Mangaung East (rural/small farms)	• Understand needs and prioritise	• Ward committee do not understand the process	• Good concept

4.5.2   Training of facilitators

The training of the facilitators took place in a learning-by-doing process. The first ward plan was led by the service provider with 12 facilitators as observers. During the second plan, some of these facilitators took on the facilitation. In the third the facilitators together ran the facilitation process with the service provider present to assist. The facilitator then broke into groups of 6 to run two ward planning sessions simultaneously on their own. Following this groups of 2-3 ran the facilitation sessions. The intention was that facilitators would have been through 3 sessions before they had to lead the facilitation. Unfortunately many of the 30 or so municipal staff allocated, were only allocated after the first 3 plans were done. To address this a two-day refresher training workshop was conducted as many facilitators had missed the initial learning-by-doing.

Facilitators interviewed in the evaluation felt that they would have benefited from more intensive training on methodologies, concepts, conflict resolution, normal facilitation and communication tools. It was also felt that councillors and ward committees should also be trained. Despite this the evaluation of the facilitators by the ward committees and councillors showed a high level of satisfaction. It seems that the need for better training is probably related to a feeling of uncertainty during the process. A mentoring system might also be helpful.

4.5.3   CBP Methodology

In the evaluation the following positive aspects were recorded with regard to the methodology:

- The methodology specifically targeted poor and disadvantaged groups in the wards and ensured that their voices were heard;
- The fact that objectives were not set in tangible terms is a positive aspect. It assisted wards to also do things for which money was not directly available;
- In general, it seems that councillors and ward members accepted the methodology;
- It also seems that the methodology created a spirit of participation and empowerment within the wards;
- The fact that the process was linked to the R50 000 grant also gave it legitimacy.

On the negative side one councillor mentioned that it was difficult to influence the methodology and to adapt it in such a way that it suits the specific ward. The feeling was that the councillor should have the freedom to adapt the methodology. In the case of Ward 20 (which an experienced Khanya facilitator led) and also some of the commercial farming wards, the process was modified to fit into convenient timings for those areas

4.5.4   Facilitation

The facilitation was conducted by a wide variety of individuals from various institutions. As Khanya was the consultant to the project, a number of staff members from Khanya facilitated wards. Other facilitators included staff from the Free State Department of Local Government and Housing (Directorate Spatial Planning), officials from various departments in the municipality, the Free State Department of Social Development and Motheo District

Municipality's PIMMS centre. The six facilitators for the six sample wards came from the following institutions:

- City Treasurer's Department – MLM;
- Department of Urban Planning – MLM;
- Department of Local Government and Planning (Spatial planning directorate) – Free State Provincial Government;
- Library services – MLM;
- Khanya (2 wards).

An important aspect that should be kept in mind is the personal growth that the facilitators and councillors experienced during the CBP process. The nature of this personal growth can be seen in the Box 4.5.4 with quotes by facilitators that were interviewed:

Box 4.5.4   Comments by facilitators and councillors on the CBP process in the MLM as captured in the evaluation, 2002

"I was initially annoyed when my Head of Department nominated me. But now I am glad that I could play a role in this process. My eyes were opened and I can now make better contributions in my department"

"Initially, I was extremely sceptical. However, I think the process is an absolute necessity. We in government do not always know what the needs of communities are. This process helped me to understand these needs and priorities better. For the first time in my life we actually asked people their opinion."

"This was an excellent exercise. We did planning with the people and not on our own".

"It was an eye-opener when people told you about their living conditions and needs".

"It is the best thing that happened to Bloemfontein. I cannot see how we could have worked as councillors for such a long time without direct interaction with the community. Those who did not know about you will now know."

"It was great fun."

In general it seemed that councillors were extremely satisfied with the role the facilitators played during the process. Only in one case was the councillor not satisfied with the facilitator. Figure 4.5.5 below provides an overview of the satisfaction levels per ward category in the MLM. It should be noted that these figures are for 29 of the 43 wards and that the zero for Bloemfontein-west in the figure below represents no response and not total dissatisfaction. The ward committee or councillors which completed the questionnaire were requested to state their level of satisfaction with the facilitator where 0 represented very unhappy, 1 unhappy, 2 fair, 3 happy, 4 very happy and 5 excellent.
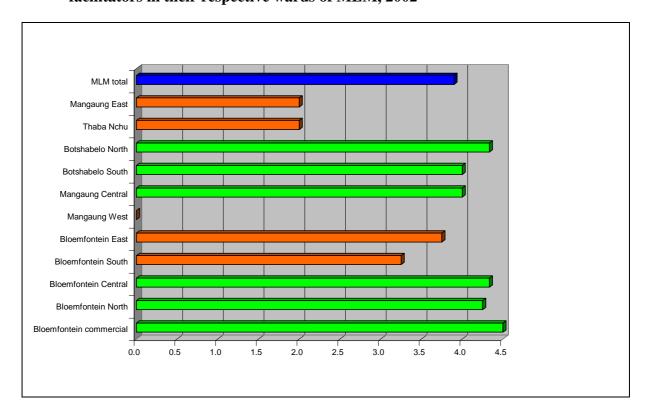
Figure 4.5.5   The satisfaction levels of councillors / ward committee members with the facilitators in their respective wards of MLM, 2002

The lowest level of satisfaction seemed to be in Thaba Nchu and Mangaung-east. The dissatisfaction with facilitators in these wards seems to be a direct result of logistical problems that were experienced, for example transport problems. In one case this resulted in the facilitator not being able to comply with his/her commitments. The Thaba Nchu Ward Committee also indicated that a representative from the Thaba Nchu community should rather have been trained to do the facilitation because this person will know the local community dynamics much better.

It is interesting to note that in the former white suburbs, where the general level of participation was lower, the degree of satisfaction with facilitators seemed to be above the average of 3,9 for the MLM.

Councillors and facilitators raised the following concerns:

- **Need for 2-3 facilitators** - A single facilitator was not adequate to facilitate the process. This places unnecessary stress on the one facilitator and impacted negatively on the speed with which it was possible to finish the facilitation on time an produce written plans for each ward.
- **Incentives** - While incentives are important higher commitment is required from the facilitators. Where there is no commitment facilitators are only concerned with the incentives that they received during the process and not really committed to make a success of the process.
- **Facilitation role** - One facilitator critically asked whether: "do we not still lead the community to identify their needs?"

- **Logistical support** - The majority of facilitators felt that they received adequate support from the IDP Manager and Khanya. Only one facilitator was of the opinion that the support could have been better. However, some concerns were expressed with regard to the logistical support from the municipality. The logistical support by the MLM to facilitators seems to have been inadequate, especially in Thaba Nchu. Some concern was raised about the fact that people had to find their way to the ward on their own. For instance, women had to go home on their own late at night.

- **Participation**- In some wards the facilitators were somewhat frustrated with the process of participation. In some of the former white wards it was difficult to get effective participation and participation was at a level where ward committee members brought their friends along. This also has two sides to it. On the one hand, the lack of participation probably reflects on a culture of non-participation (which should be respected). On the other hand, it makes it difficult to facilitate the process effectively where energy levels are low;

- **Relationship of councillor and ward committee** - In one case conflict between the ward councillor and the ward committee also impacted negatively on the process due to conflict. Although one should probably try to limit conflict, conflict is a reality in any participation process.

- **Traditional leadership** - The fact that the Tribal Authority in Thaba Nchu participated during the process should also be seen as a positive aspect.

4.5.6 Manuals

The manuals were regarded as very helpful by most of the facilitators with whom interviews were conducted.

4.5.7 Sustainability of the projects/plan

Some of the threats to the sustainability of initiatives are inter alia:

- Limited inter sectoral planning;
- Linkages with IDP not always that clear;
- R50 000 allocation not enough to realise a medium to longer term vision;
- WC not structured in terms of the same portfolios as council committees;
- No feedback from the IDP office regarding the implementation of the IDP and to what extent the CBP has influenced IDPs.

4.5.8 Actors, involvement and partnership

A range of community-based stakeholders, service providers and CBOs participated in CBP. Some of the organisations include the following groups: business people, elderly, youth and children, farming community, disabled, single women with children, homeless people, hawkers, spaza shop owners, HIV/AIDS affected and infected people, unemployed people, hawkers, local development organisations, community organisations, service providers (i.e. clinics, police, municipality, provincial departments).

One of the aims of the CBP planning process was to get various service providers involved in the process. Table 4.5.8 provides an overview of the number of service providers that were present during the CBP process for the categorised wards in the MLM.

Table 4.5.8   The average number of service providers that were part of the CBP process per categorised wards in MLM, 2001

Wards as categorised	Number of service providers available
Bloemfontein Commercial, (mixed)	3.0
Bloemfontein North (low density suburb)	6.8
Bloemfontein Central (medium and high density, CBD)	3.3
Bloemfontein South (high density former township)	1.8
Bloemfontein East (high density former township)	0.8
Mangaung West (commercial farming)	0.0
Mangaung Central (commercial farming)	2.0
Botshabelo South (high density township)	3.6
Botshabelo North (high density township and CBD)	1.0
Thaba Nchu (high density township and CBD)	8.0
Mangaung East (rural/small farms)	7.0
Average for MLM	**4.0**

Once again the zero in the Mangaung-west wards should not be seen as no service providers being available, but rather as an indication that the questionnaire was not completed.

From the Table above it seems that, on average, approximately 4 service providers were present or were interviewed during the process. Service providers were usually involved at two levels. In the first place, specific interviews were conducted with service providers during the initial phases of the project. Then service providers were also requested to attend the plenary sessions of the ward meetings.

In the 6 sample wards the following service providers were consulted and were also requested to form part of the planning process i.e. SA Police, health clinics, schools, municipal officials, Department of Social Development and the Department of Local Government and Housing. It seems from the interviews that the links between service providers and the community were improved and where these did not exist, some were established. One excellent example is that, in most cases, it brought the SAPS closer to the wards.

The issue of the involvement of government departments, as well as MLM departments, needs some more strategic thinking. It seems fair to request service providers such as municipal clinics and the police to attend these sessions as they have a direct contact with the citizens of the wards on a daily basis. This involvement may not be practically possible for all municipal departments, and more so for provincial departments. Those departments that have local operations in the ward should be involved, and ideally it should be a local staff member that participates, eg a clinic staff member.

4.5.9   Involvement of CBOs

The involvement of CBOs is also a crucial aspect that needs to be evaluated. Table 4.5.9 provides an overview of the number of CBOs that participated in the process.

Table 4.5.9   Number of CBOs that participated in the CBP process per ward categories in MLM, 2001

Wards as categorised	Number of CBOs that participated
Bloemfontein Commercial, (mixed)	3.0
Bloemfontein North (low density suburb)	2.8
Bloemfontein Central (medium and high density, CBD)	2.3
Bloemfontein South (high density former township)	2.0
Bloemfontein East (high density former township)	2.0
Mangaung West (commercial farming)	0.0
Mangaung Central (commercial farming)	2.0
Botshabelo South (high density township)	5.0
Botshabelo North (high density township and CBD)	2.3
Thaba Nchu (high density township and CBD)	1.0
Mangaung East (rural/small farms)	0.0
Average for MLM	**3.0**

In general, it seems that the involvement of CBOs has been fairly low or that there was some confusion about what a CBO is.

4.5.10 Financial contributions made by the community

Most of the contributions were made by volunteers i.e. school cleaning, tree planting, cleaning campaigns, etc. No ward reported a direct financial contribution.

4.5.11 Projects funded using the R50 000

The table below shows the sectors to which projects were funded, based on 29 wards for which information was available at the time of the evaluation.

Table 4.5.11   The amount and percentage of money used for various project categories identified in the wards during the CBP process in MLM, 2002

Type of programme	Amount (R'000)	Percentage of total
Job creation	181.2	17%
CBD regeneration	0	0
Clean environment	211.5	20%
Community resilience	70.93	7%
HIV/AIDS	156.7	15%
Safety and security	158	15%
Service excellence	31.17	3%
Education	168.8	16%
100% campaign	2.5	0.2%
Sustainable shelter	7.76	0.8%
Other	49.59	5%
TOTAL	**1038**	**100.00**

It is extremely important to note that the lists of projects mentioned above imply a totally different orientation than what municipalities generally focus on. This is, for example, reflected in that more than 17% of the projects that had some form of income generating dimension. It is encouraging that HIV/AIDS is being recognised and also received a good share of the funding at ward level.

4.6   Impact of CBP

4.6.1   Extent to which CBP was carried out

Table 4.6.1 indicates that 42 of the wards completed their plan and 41 of the 42 wards spent their R50 000 allocation[18]. In 18 of the 20 wards surveyed, there were regular ward committee meetings afterwards, implying that the planning was giving some impetus to the ward committees.

Table 4.6.1   An overview of the extent to which community-based planning was implemented in the MLM, October 2002

Wards/parishes	No	%
Completed CBP plan	42	97,6
Approved plan	42	97,6
Funds issued from the R50k	41	95,3
Total issued	R2.1 million	
Total accounted for	R2,05* million	97,6
Wards using up all R50k	R2,05* million	97,6
Total implementing at least 1 project as a result of CBP	41	97,6
Ward committees meeting at least monthly	18/20 surveyed	90

*Some wards overspent marginally
* This refers to the figure in the questionnaire

4.6.2 What evidence is there of improved plans (including better intersectoral planning)

Sections 4.6.2-4 address the 3 main objectives which were set for CBP, to improve plans, services and people's control over their own lives. In terms of plans this can be seen at two levels, at ward level, and at municipal level.

Ward level

There were no ward plans prior to CBP, although during the previous LDO process there was a workshop in each ward, generating a list of problems. With CBP a full plan was produced, including a vision, development objectives based on outcomes, activities the community would do, as well as the municipality. One facilitator and one councillor were of the opinion that, despite the intention in the methodology not to focus on needs but on outcomes, some of the plans were still "wish lists". This implies that not all facilitators were adequately trained to facilitate such a process.

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[18] However, the CDS found in the 6 wards that were evaluated that 2 did not spend their full amount!

However the plans were adequate for wards to take forward the plans themselves, including using the R50 000 from the municipality. Therefore they achieved the objective of promoting local action.

There were problems with some of the projects funded at a technical level. For example, in one of the wards funds were given to groups of people who wanted to start some sort of income generating project. Amounts of between R3000 – R5000 were given to these groups. The financial viability of some of these projects can be questioned from a technical point of view. For example, to what extent was this grant dependent on a business plan and to what extent did it go hand in hand with capacity building in the field of business skill? This reflects some confusion in the role of the R50 000.

Municipal IDP

The ward planning changed the course of Mangaung's IDP, and contributed to it, in several ways:

- the overall **municipal priorities** were derived from adding together the priorities of all the wards. While this could have been unstrategic, in reality this proved to be a highly realistic and strategic prioritisation which fundamentally changed the approach of the Municipality (see Table 4.6.2) and has led to a major focus on economic development, increased emphasis on environment and HIV, all of which have been taken forward by Mangaung;
- contribution to the thinking behind the **development programmes** – which were being developed while the CBP was rolling out;
- some **specific projects** being adopted.

Table 4.6.2   Preferred outcomes based on 33 wards[19]

Preferred outcome	Aggregate score[20]	% of wards with this in top 10 priorities
Personal income and jobs	**291**	**97%**
Security	**204**	**94%**
Housing	**166**	**85%**
Improved education	**161**	**85%**
Roads	**155.5**	**73%**
HIV	**129**	**55%**
Clean environment	**89**	**55%**
Recreational facilities (inc parks)	77.5	52%
Health	62	52%
Title deeds	61	27%
Water	60	27%
Improved services/decentralization	54.5	27%
Improved services for elderly/decentralised paypoints	45	27%
New/well maintained infrastructure	35	12%
Sanitation	27.5	24%
Public Transport	26	12%

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[19] From Mangaung's IDP
[20] Where first priority gets 10 points, second 9, up to 10th priority.

However there were some methodological problems which meant that the projects proposed by wards for the IDP were not specifically included in the IDP document. This arose for the following reasons:

- heads of municipal departments did not participate in CBP, and were sceptical about CBP;
- the budget process was happening prior to the projects being given to departments, so budgets had to some extent been already drawn up prior to these projects being submitted;
- a delay in getting ward-proposed projects to technical departments;
- no technical evaluation process was developed and implemented so that the ward proposals could be appraised, and decisions made.

As a result, in the evaluation some councillors were concerned about the fact that they did not see their larger projects in the IDP and they had had no feedback about this. This points to areas which need to be strengthened in the future, notably:

- undertaking CBP before the IDP review process starts so that projects are available in time;
- involving service departments more in the planning process;
- finding a better way to summarise and report on key issues as well as projects from ward plans (bearing in mind it is a major challenge to read 43 plans);
- establishing a formal review process to appraise projects involving technical departments.

4.6.3   Improved services

It was not anticipated that we would see impacts on services after approximately 6-8 months from planning to when the evaluation took place. However, it seems that, in terms of service provision, a number of aspects had improved within the wards. Table 4.7.3 provides an overview of the aspects that improved as recorded from the questionnaires. From the interviews with the councillors it seems that, in most cases, they were of the opinion that the CBP process resulted in better service delivery by some of the service providers in the community, notably the police. On a practical level it probably meant that the police were informed about a number of crime hotspots while the municipal clinics could have been able to focus their service more directly on the needs and priorities of a specific ward. From interviews with the ward committees, 4 out the 6 WCs indicated that there was no improvement in service delivery, while one WC indicated limited improvement and one WC mentioned substantial improvement.

4.6.4   Community empowerment, ownership and action

The feeling of ownership was one of the most significant aspects that came to the fore in interviews with councillors and facilitators. In five of the six wards the councillors were of the opinion that the process contributed to proud community members and ward committees. Although the participatory process probably contributed to this level of ownership, one should also recognise that without the R50 000 grant from the municipality the levels of ownership would have been considerably lower.   The level of ownership is also reflected in the initiatives that wards took without any reward or which was not linked to the R50 000 grant (see Table 4.6.4).

Table 4.6.3   Comments on the improvement of services in the wards in MLM, 2002

Wards as categorised	Comments on service improvement
Bloemfontein Commercial, (mixed)	• Security improved • It is much better after the cleaning operation
Bloemfontein North (low density suburb)	• Community understands the constraints to municipal services better • Municipality cuts grass more frequently • Street name boards were replaced • Maintenance improved
Bloemfontein Central (medium and high density, CBD)	• Minimal littering • Awareness about HIV • Two projects have designed businesses • Officials visible in the area • Police also acted more pro-actively to prevent crime
Bloemfontein South (high density former township)	• Availability of computers • Cleanliness of ward and park • Elimination of illegal dumping
Bloemfontein East (high density former township)	• Security of white house • Help community to be aware of crime • Some improvement in Berg Square
Mangaung W (commercial farming)	• No response
Mangaung Central (comm farming)	• Area is now clean
Botshabelo North (high density and CBD	• People disclose their health status • Clean environment; Development of parks • Schools maintaining clean environment • Projects providing services
Botshabelo South (high density)	• Project only started or not yet completed
Thaba Nchu (high density and CBD)	• Improvement in housing awareness
Mangaung East (rural/small farms)	• No improvement

Table 4.6.4   Comments by Ward Committees on projects or activities conducted on own initiative in MLM as a result of the ward planning, 2002

Activities conducted
Home-based care
Consortium formed to deal with HIV/AIDS
Groups that were trained are reorganising and positioning themselves to start income generating activities.
Implementing way forward as planned
Ward facilitators train other wards
WC working hard to implement plan
Keeping ward clean, encourage children to go to school
Playing sport - sewing is in process
Sewing project, access by learners to computers
AIDS Committee organising some areas/activities
Brickmaking project and HIV caretakers
Too early – training
Training/gardening service
Ward business forum is functioning
Home-based care established & volunteer groups
Community waiting for computer centre to be open and projects working
Drafting constitution for NGO, youth busy with park
Community shares ideas and participate in implementation
Income generating projects

Although not all the wards had activities in table 4.6.4, the considerable number of activities and actions that resulted from the CBP process is noteworthy. This is surely an indication of ownership. Furthermore, it should be noted that the activities mentioned were a direct result of the CBP process.

As shown in Table 4.6.1, in 41 of the wards the funds were all used, indicating that in these wards there had been community action as a result. In addition the high satisfaction levels shown in Figure 4.7.2 are indicative that the planning was owned by the ward committees.

4.6.5   *Improved civil society – government linkages*

During the WC interviews there were several reasons cited for improved civil-society-government linkages as a result of CBP. These are amongst others:

- A first time engagement between the affluent and less-affluent at ward level;
- Improved communication between Councillor, WC and ward community;
- Greater willingness of ward members to participate in ward affairs – also a better attendance of meetings.

Two WCs indicated no improvement in civil society-government linkages.

4.6.6   *Evidence of improved coverage of the poor/vulnerable/gender/HIV-affected*

The involvement of poor and disadvantaged groups in the methodology was one of the major positive outcomes of the process. The emphasis on social or interest groups with a disadvantaged background made this possible. It is, for example, noteworthy that a ward dominated by urban white middle class people decided to spend 70% of their allocated money on the skills development of farm workers in the ward. Although the project had not yet materialised during the few months to when the evaluation was conducted in June 2002, the fact that farm workers were able to raise their needs and priorities was significant and emphasise the effectiveness of the methodology in this regard.

The ward grant was intended primarily to help the ward take forward their plan, and was not enough to support significant projects, which had to be supported from the IDP. In Phase 2 this grant has been referred to as a Process Fund to distinguish it from project funds. A number of plans directly attempted to address the issue of job creation and, for this purpose, allocated money to groups that wanted to start or expand income-generating activities. While this is noble, these initiatives are unlikely to lead to long term job creation, and may not be an appropriate use of these process funds. The technical nature of such initiatives means that a far greater effort is required to ensure that viable businesses are created. Although the majority of projects have focused on the poor, the real impact might be low. This may be due to the small grant of R50 000, but also the low levels of technical input.

There was also some confusion between stakeholders in the purpose of the process fund, reflecting the importance attributed by the community to them actually having control of some funds, however small.

The questionnaire completed by the ward committees and councillors also reflected on the manner in which the poor were taken into account during the planning process (see Table 4.6.6).

Table 4.6.6   The impact of the CBP plans on the poor according to the questionnaire of the MLM, 2002[21]

Wards as categorised	Relevance of plans for the poor
Bloemfontein Commercial, (mixed)	• Children's safety and community aware of crime • Job creation for 500 – skills for 18 • Research and planning on increasing livelihoods in sub-economic flats • Grants for NGOs working with the poor i.e. Association for people with disabilities, Kidz Care Trust, etc.
Bloemfontein North (low density suburb)	• Contributes to school fund • Training workshop for unemployed people • Income generating workshop
Bloemfontein Central (medium and high density, CBD)	• Crime prevention focus on HIV individuals • Poor people will ensure stable incomes • Job creation
Bloemfontein South (high density former township)	• Improved living conditions • Improved environment • Job opportunities
Bloemfontein East (high density former township)	• Uniforms for indigent children • Skill transfer
Mangaung West (commercial farming)	• A literacy project for farm workers • Transport for children of farm workers to school
Mangaung Central (commercial farming)	• Awareness of HIV/AIDS and environmental issues • People have knowledge and income • Skill development and empowerment
Botshabelo North (high density and CBD	• Commitment towards job creation • Computer training • Funds for youth and development
Botshabelo South (high density)	• Youth access computers • Unemployed mobilised in cleaning campaign and gardening • Old age feast
Thaba Nchu (high density and CBD)	•
Mangaung East (rural/small farms)	• Helpful for income

4.6.7   *Impact on the local government as a result of CBP*

The Municipality managed the CBP process, with support from Khanya during the initial stages, and Khanya also provided 2 additional facilitators. Some 30 facilitators were trained in the Municipality, as well as 2 facilitators from the District Municipality's PIMMS centre, 2 from Social Development, and up to 3 from the Free State Department of Local Government and Housing. Box 4.6.4 summarises comments from these facilitators, who found the process very empowering, gave them a much better understanding of planning in general (including for some of the planners) and a better understanding of their clients.

As indicated earlier in 4.6.2, there was a major impact on the IDP of the municipality, with economic development becoming the top priority. The municipality has taken this forward and has employed an LED Manager, and the programme has started. Implementation of other programmes is also underway.

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[21] Appropriate targeting of projects towards the poor was augmented after the WC interviews. Generally the pro-poor targeting was spot-on and quite good.

4.7   Results of CBP in Limpopo

Limpopo Province is one of the poorest regions of South Africa. There is a joint intervention by the Limpopo Department of Agriculture and the Government of Finland known as Limpopo Province Rural Development Programme (LPRDP). The key objective of LPRDP is to support low-income households as well as emerging farmers to access support for undertaking viable income-generating activities for increasing their livelihoods strategies. They are promoting integrated farming approaches to allow such small holders to engage in diversified production activities, and the programme decided to use the CBP methodology to undertake joint planning exercises with communities around the province.

An intensive one-week CBP **training** was run for the district staff of the Department of Agriculture. Immediately afterwards they spent a week applying the learnings in a planning process with three communities. 40 people were trained including Extension Officers, District Coordinators and other levels of management at district level. The trainees in turn trained their colleagues upon return to their respective districts, and a core cadre of trainers/facilitators was formed in each district.

In terms of **linkages with other Sectors**, the Village Development Plans (VDP) contain a host of multi-sectoral activities and projects. The focus of LPRDP is largely agricultural, and many of the activities and projects suggested fall outside its scope, but can be supported by other sectors such as health, education and housing. Local government in particular saw the VDPs as an opportunity to link with municipality service plans in the IDPs.

The village plans have served to assist LPRDP with agriculturally-based projects, but also for communities to market their plans to other interested stakeholders. District-based Extension Officers have played a major role in assisting and linking communities with potential supporters of projects and interventions raised in the plans, notably local government. No evaluation has been conducted on the **impact** of these plans. In terms of taking CBP forward it was decided to focus on working with local government, and Greater Tzaneen Local Municipality agreed to pilot CBP.

4.8   A different approach to participatory planning – eThekwini's experience

eThekwini Municipality has also experimented with citizen-focused planning, and has latterly become a partner in the CBP project. They used a different process and some information on that process is included here. In May 2001, the Municipality crafted a Long Term Development Framework (LTDF) – a 20 year growth path for Durban. This included research on area-based management systems, workshops were held with key stakeholders (Big Mama workshops), and citizen needs assessment was made an important starting point for the IDP. Surveys such as quality of life survey were carried out, and information was compiled from Municipal departments and census information. The city budget was allocated upfront into four strategic block sums, then split within these block sums informed by the strategic commitments, and indirectly through the needs assessment process.

50 Council employees were identified, trained and paid as facilitators to support the process. In addition 100 **community facilitators** were identified from local CBOs and Forums to assist with their knowledge of community dynamics. Facilitators were **trained** on a number of areas, including workshop organizing, programme design, workshop facilitation techniques, negotiation, role-playing etc. Training sessions were participatory, and

exploratory in nature. The emphasis was placed on logic and facilitators were encouraged to think process not activity, and of outcomes, and expanding the sphere of possibilities. This proved vital during need assessment workshops as participants were challenged to think beyond the ordinary way of raising issues and solutions.

Each community-based facilitator (CBF) was **supported** by a facilitator employed by the Municipality whose responsibility was to ensure that community-based facilitators were assisted with logistical support. Internal facilitators were in turn supported by co-ordinators seconded to work full-time at the central office which managed and facilitated the whole process.

Stakeholders (labour, business, NGOs, CBOs, education institutions, other government spheres, etc) were involved in the Big Mama workshops and the local planning. There were no **financial contributions** by the community as the plan is yet to be implemented. It is expected that the Community Action Planning process will result in communities introducing new ways to work as partners, including sweat equity and possible financial contributions.

The **results** of the citizen focused planning initiative include:

- A highly participative process of formulating the IDP;
- A needs-based IDP which helped inform and drive Municipal priorities and strategic responses. These are set out in terms of households, businesses, and vulnerable groups;
- The Municipality has for the first time approved a budget which is integrated with planning based on extensive community involvement. Hence the Municipality refers to it as a People's Budget;
- The Municipality has established a Community Participation and Action Support Office.

The purpose of the **Community Participation and Action Support Office** is to provide community support services to citizens in order to enable them to influence Council decisions which will lead to improved co-operation/partnership between citizens and the Council.

Some of the **learnings** are:

- Not to produce a wish list of problems, but these need to be carefully thought-out and analysed, as well as how citizens can be involved in dealing with them;
- Not all needs require capital investment from the Municipality, but some can be addressed through a different type of co-ordination, and at times through some support for communities to take action;
- It is crucial to develop new measurements of success, which are in line with the global purpose of the organization, and citizens must contribute to developing these indicators;

5   PHASE 2 – UPSCALING TO 9 MUNICIPALITIES – NOV 2002-SEPT 2004

5.1   National workshop on CBP October 2002

The national workshop held in October 2002 highlighted the success and the learnings of the piloting in Mangaung. There was tremendous interest at this event, and many of the ward committees participated in the first day, which had over 400 participants. Table 5.1.1 shows the SWOT that was produced at the workshop.

Table 5.1.1 SWOT on CBP from SA National Workshop October 2002

Strengths	Weaknesses
There is a tried and tested tool for vision and sterngths-based planning	Need to strengthen representation process
People and ward committees have been empowered	Current plans don't balance short and long-term plans adequately
Vulnerable groups have been targetted	Limited buy-in by service providers
Links people to the IDP and resource alloocation	Links with IDP inadequate at present
Opportunities	**Threats**
Existing legislation enshrines participation	Inadequate resources allocated to planning
Other potential partners can add value to CBP	Power struggles in wards
Strengthen coordination between local, provincial and national plans	Lack of budgetary allocation to support CBP
Potential for integrated planning	Manipulation of priorities possible

It was agreed to establish a national Steering Committee to take forward CBP, including the current partners, other national and provincial organisations, and other municipalities committed to participatory approaches (eThekwini and Tzaneen). The organisations involved are DPLG, SA Local Government Association (SALGA), Mangaung Local Municipality, Free State Dept of Local Government and Housing, Khanya, IDT, eThekwini Municipality, Greater Tzaneen Municipality, Thabo Mofutsanyane District Municipality. The way forward is shown in Table 5.1.2.

Table 5.1.2   Way forward from SA National Workshop

Actions to take CBP forward	By who
Methodology	
Expand CBP methodology and guidelines to include community mobilisation and awareness of citizen rights	Khanya with support from DFID and other partners
Develop and package information sources to provide to WCs on government/NGO programmes to assist quality of planning	Provincial and national government
DPLG to develop new simplified guidelines on CBP	DPLG
Define the capacities and resources required for effective ward-based plans – including for less well resourced municipalities	Khanya
Strengthen linkage between ward plans and IDP and prov/national programmes including information	Khanya/ Municipality
Follow-up and feedback	
Clarify role of WCs and other community structures in implementation and review of IDPs	DPLG

Actions to take CBP forward	By who
Need for accountability of councillors, eg WCs seeing Council minutes, feedback meetings and need to simplify information	Municipality
Training	
Training needs assessment and training programme for municipal technical officers involved in CBP so can fulfil their role properly	HRD manager for Municipality
Feed experience into training of development planners	Universities/DPLG
Incentives	
Create incentives for ward participation (such as the R50 000)	Municipalities, Service Providers and WCs
Linking with budget	
Budget for CBP during IDP review and in business plans	Municipality (plus other levels). National (DPLG) and province
Commitment and advocacy	
Education for awareness and acceptance (of CBP). Target all stakeholders (councillors, officials, communities, business). Use range of methods (community meetings, adverts, workshops etc)	Municipality with partners, e.g NGOs. DPLG and provinces to direct and fund
Advocacy for the value of CBP with political leaders at highest level (municipal, provincial, national)	Mayor and MEC for Local Government and Housing
Establish Steering Committee to take forward CBP in South Africa	Various
DPLG national should establish a platform for learning for service delivery to communities	DPLG
Initiate/support pilot CBPs per province with an awareness programme, selection of sites and building on 4-country study	DPLG/ Participants at this workshop
Policy and legislation	
Revisit legislation re roles of ward committees to increase powers and functions so they can fulfill their role more effectively	DPLG/ Municipality
Lobby for inclusion of CBP approach into the IDP manual	MLM through MEC for Local Government
Harness senior government commitment to participation so IDP guidelines legislated, including CBP, role of constituency office and training of ward committees	DPLG
Establish how CBP can best be promoted/replicated	DPLG
Establish a network to coordinate methodologies – SALGA/DFID/Gov	This meeting
Report given to PCC on results of CBP	DPLG
Communication and networking	
Improve networking of different participatory methodologies (yearly forum, news letters, websites)	Local government and other stakeholders
Establish listserve/newsletter for CBP – so people can disseminate ideas eg DPLG establishing a system	DPLG
Internationally	
Adding additional countries, using other methods of networking and communication eg using videoconferencing, or through other networks such as Africities	
Take forward within NEPAD and SADC	

5.2   Driving by a Steering Committee

The Steering Committee meeting is hosted by members on a rotational basis; the host chairs, and the Secretariat is provided by Khanya. The steering committee has met every two months since its formation and the broadening of the ownership to these key organisations, while

maintaining the balance of policy makers and implementers, has made for an effective Steering Committee. Another very positive factor was the broadening of the champions from Khanya, Mangaung and dplg, to a very important role played by SALGA and the Free State Minister (MEC) for Local Government. Having a committed politician on the Steering Committee proved very powerful. Table 5.2.1 shows the evolution in this phase since November 2002.

In March 2003 the steering committee was invited to make a presentation to the **Parliamentary Committee** on Provincial and Local Government which was well received.

Table 5.2.1   Timeline for activity with CBP phase 2 in South Africa

Activity	2003	2004
SA CBP workshop		
Steering committee meets	Jan, March, May, Aug, Oct	Jan, March, May, July, Oct
GTZ indicates interest in supporting links to IDP	Jan	
Presentation to Parliamentary Committee	March	
Proposal finalised including GTZ support and work commences	May	
Technical team of Khanya and Development Works revising methodology	May-Sept	
Additional support components finalised at various points to	August	
Guides completed	September	
Training of Trainers	September	
Municipalities received first tranche of R125k for piloting	Nov	
Municipalities start on ward planning	November	
Ward planning completed for Nkonkobe, Tzaneen, Mbombela		March
DFID funding completes (and DBSA not yet released)		March
Ward planning in eThekwini and Makana		May-
Workshop with pilots on learnings and implementation		June
SALGA conference demonstrates massive interest in CBP		Sept
Release of interim funding by dplg as advance for DBSA		Sept
Start of CBP Phase 2 in Mangaung including partic budgeting		Oct

A service provider who had been strongly involved in the development of the IDP methodology was brought in to work with Khanya in deepening and widening the methodology, and improving the linkage to the IDP. A proposal was developed which was approved by the Steering Committee and Khanya appointed project manager for a next stage of piloting the upscaling of the work to 8 municipalities (and one additional municipality has been added). This included improving the linkages between the participatory planning and the IDP, development of the M&E systems, definition of support systems, production of a resource book for ward committees, development of draft national manuals, piloting, learning from the pilots and then finalisation of the national manuals and proposals for national rollout.

This proposal covers:

The **purpose** of this project is that "by April 2004 we have refined the methodology and support required for integrating CBP with the IDP process (including monitoring, capacity-building and support for implementation) and this is ready for roll-out countrywide".

This involves the following **outputs**:

Output 1   Development of refined concept for methodology, support system for implementation, monitoring and piloting
Output 2   Resource book for ward committees developed
Output 3   Pilots undertaken in 8 municipalities
Output 4   Learnings assessed and proposals made for way forward for CBP/IDP for 2004/5
Output 5   Advocacy and dissemination around CBP in SA
Output 6   400 facilitators trained to facilitate CBP
Output 7   Linkages maintained and sharing with partners in 4 country CBP project

Pilot municipalities, committed themselves to fund 50% of the costs.

DPLG/SALGA/DBSA committed themselves to;

- Provide funding for 50% of the cost of the pilot;
- Make available expert service providers to facilitate this, who are involved in the learnings nationally and internationally (drawn from Khanya-managing rural change and Development Works);
- Support the adaptation of the methodology to suit each municipality;
- Support the lesson learning process across municipalities, including exchanges.

The pilot municipalities were expected to:

- Fund 50% of the cost of the pilot;
- Provide municipal staff and ward committee members for training and to be used later as facilitators;
- Commit to linking CBP to their IDP;
- Be committed politically to support the rollout of ward committees;
- Consider the release of up to R50 000 as seed funding per ward.

It was estimated that implementation of CBP would cost about R150 000 for a 40 ward municipality, including R85 000 for training facilitators, and around R30-40 000 for the direct costs of doing the planning. In addition the Municipality had to allocate some funds to each ward to implement each ward plan which provides an incentive for ongoing community action, as soon as the ward plan is finished. Mangaung allocated R50 000 and it was recommended that 1-2% of the capital budget could be a rule of thumb.

For the pilots, additional costs were involved. These are related to the development of methodologies that are specifically tailored to the municipal context and requirements, the training of facilitators, the provision of hands on support to assist learning. These required support from an external support provider. It was estimated that the cost for a pilot would be R500 000 for a 40 Ward municipality.

5.3   Widening and upscaling

Many of the pilots were municipalities which had indicated their interest in participating in CBP. For CBP it is essential that there is interest and political commitment to take CBP forward. In addition the following criteria were used to ensure a suitable mix of pilots (see Table 5.3.1):

- large and small municipalities, metros/not
- urban and rural
- Ward system operating
- Competent IDP
- including ISRDP nodes

Table 5.3.1 Pilot municipalities that were selected

Pilot	No. of wards	Other characteristics
Bela Bela	7	Small municipality. No IDP manager. 3 wards urban, 4 rural
eThekwini	100	A Metro. An amalgamation of four towns. Second largest metro in South Africa. Total population is 1.7 million.
Maluti	34	Very rural, an IRSDP node. No IDP manager. Former Homeland
Mangaung	43	Secondary city and capital of Free State. Has undertaken CBP before and aiming to move to phase 2. Urban and rural.
Mbombela	36	Includes secondary city of Nelspruit and capital of Mpumalanga. Has area management system. Some ward very dispersed. Urban and rural.
Msunduzi	37	Secondary city of Pietermaritzburg. Provincial Capital of Kwazulu Natal. Big political divisions. Urban and rural.
Nkonkobe	21	Rural. Former homeland of Ciskei
Tzaneen	34	Secondary city of Tzaneen. Half rural and half urban

5.4   Deepening the methodology

The key methodological elements in the proposal were:

(i)   Improving the methodological link and tools between CBP and IDP
This would be a 20 page methodology paper which links to the IDP guide, and the CBP manual. This would have been tested in 8 municipalities

(ii)   Definition of support system required for CBP process
This would define the support process and its implementation, recognising provincial differences, which will eventually be included in the long-term DDP programme "Capacity building for local governance". An issue is who is used for support at local level and who is used at local government level? It would include ward committee support and monitoring person(s) at local government level and would need to consider the relationship between local government and provincial departments, the sustainability of the support system, and the monitoring system.

(iii)   Development of a resource book for ward committees
This would be a resource book which is a simple and short guide targeted at ward committees, which would introduce CBP, IDP and provide some methodological information, probably in local languages. This would be a mobilising mechanism so that the Ward Committees can see their route to articulate community interests and would need to consider the role of traditional structures. It should be in local languages – potentially a total print run of around 100,000.

(iv)   Development of monitoring system

The first roll out of CBP in Mangaung demonstrated the weakness in the monitoring system for wards. If CBP is to be effective and convincing, it is essential that there is an effective monitoring system, by the ward committee of implementation of its plan, by the municipality of the ward committees, and by citizens of the ward committees.

In the end the CBP methodology has been revised, but not significantly. The major change has been the development of a methodology for analysing information from the ward plans for use in the IDP, and provision of more detail on management of the CBP process. This has resulted in 3 Guides:

- A Guide for Facilitators of CBP
- A Guide for Trainers of Facilitators
- A Guide for IDP Managers to manage the CBP process, and to incorporate CBP information in the IDP process

Key changes in the CBP Facilitators Guide are addition of a day for reconciliation of the data that is produced and modifications to some of the tools so that the information can be analysed more effectively for the IDP. The manuals have received constant review through out the course of the piloting process. In addition it was proposed that facilitators should also be drawn from ward committees, and it was proposed to train approximately 8 municipal officials and one ward committee member per ward.

5.5   National training

A training of trainers was held in Bela Bela (Warmbaths) from 29 September to 9 October 2003, where seven of the municipalities sent up to 4 lead trainers for a two weeks training. (Msunduzi municipality became the eighth pilot later). The training was run by Khanya and Development Works with two additional trainers provided by Mangaung. The training involved 4.5 days in training, plus 5 days actually undertaking the ward planning, usually with a 1.5 hour training session in the morning. Partners from Zimbabwe and Uganda joined us for the training.

Trainers were very enthusiastic about CBP after the training, and in the evaluation when asked whether they viewed CBP as worthwhile, the rating was 86% ie between very good and excellent. Participants saw the importance of CBP in improving the quality of plans, in services, in improving community control, and in promoting community action.

A second training was conducted for IDP managers and those involved in managing community participation. This focused on managing the CBP process and on linking CBP to the IDP and vice versa. The four day training included all eight municipalities, each sending their IDP managers. The training was also very successful (77%). At the end of the training each municipality produced a process plan for rollout in their municipality.

5.6   Process with the pilots

The first step with each pilot was to finalise a process plan and contract. Each municipality had to decide who their facilitators would be (municipal, ward, other). After this a service provider then worked with the lead trainers to conduct the two week training of facilitators in

each municipality. Thus started in the earliest municipalities in November 2003, with some starting much later.

Mangaung (Free State Province)
Mangaung was the site of the first pilot in SA where 43 ward plans were completed, as well as implementation. It has not yet started on its second phase of piloting. It hopes to cover a wide range of issues including participatory budgeting, formalising its process funds, M&E and communication.

BelaBela (Limpopo Province)
BelaBela Municipality was selected as a predominantly rural and a small municipality, and only has 7 wards. The Municipality had the advantage that the first training of trainers was held there, covering four of the wards. Bela Bela has completed their ward plans, although this was delayed due to the resignation of the lead trainer. Refresher training has been undertaken due to the loss of the lead trainer. The Municipality has started linking CBP outcomes to their IDP.

BelaBela found that the CBP process rejuvenated its ward committees, helped to access data from the communities and helped in changing the attitude of communities to providing information towards the IDP review process. They feel they have participated and there is a sense of pride in having influenced developmental issues within their own wards.

One of the challenges was problems of language in ward 1, where a settlement of former Namibian citizens who speak Owambo and Kavango, languages which are not local and made facilitation difficult.

Mbombela (Mpumalanga Province)
There are 36 Wards of which 34 have completed their ward plans. The CBP process was co-ordinated by 4 lead trainers and facilitators. The process had good backing from the Mayoral Committee, the municipal technical forum and the IDP office. R15 000 has been allocated for Process Funds during 2003-2004 budget year, with R 10 000 Process Funds for 2004-2005 budget year. Mbombela is also using a structure of Planning Areas and Precincts above ward level. CBP is being used as a means to get input into the IDP, improve the quality of services, and reducing dependency. There was a mixed reaction from the rural and urban areas. The process was supported better in the rural areas.

Mbombela would like to integrate CBP with the Planning for Area Planning process and then into the IDP. Mombela has four planning level, IDP/Municipal Planning, Planning Area Planning (PAP), Community-Based Planning and Precinct Planning.

Tzaneen (Limpopo Province)
Tzaneen has 33 wards and CBP was undertaken by four lead trainers and a ward facilitator from each ward. There was a good turn out of ward councillors and high level of community participation. Many volunteers came from the community. Two white wards did not undertake CBP due to low mobilization by the councillor.

The municipality has allocated R15 000 for each ward to take forward their plans. The ward plans have been presented to council and have been used to re-align the IDP for the municipality. Technical reviews are underway to enable release of process funds.

Institutionalisation discussion is also underway. The ward planning process has strengthened relations between the municipality and its people.

Nkonkobe (Eastern Cape Province)
Nkonkobe (around Fort Beaufort) is a rural Municipality with 21 wards. Ward plans were produced in all 21 wards by 25 facilitators. An amount of R10 000 was allocated for each wards to use to take forward their ward plans. The CBP/IDP linkage has been done and all the projects coming out of the CBP were included in the IDP for the purpose of sourcing funding.

A Project Steering Committee was created to facilitate the process, and Nkonkobe has been an outstanding municipality in terms of the coherence and effective working of politicians with administration. Traditional leaders were involved in the process giving further authenticity to the CBP process. The Council has also committed enough resources for the process to proceed without problems

CBP has brought to the fore the importance of the people's participation in planning to improve the IDP. Other benefits have been the ability to stimulate the enthusiasm of young and old together to rally around this programme, as participants as well as leaders. The ward committees have started to play roles as leaders and community mobilisers as a result of the CBP process. The CBP process itself has played a meaningful role in the reconciliation and mobilization of our communities, particularly where there was polarization between traditional leaders and councillors and has created better understanding of each other.

The outcomes of CBP have forced the municipality to revisit its development strategy on how it should formulate its IDP priorities bringing about more realistic planning with IDP projects area specific, responsive to communities and time bound.

Maluti-a-Phofung (Free State Province)
Maluti is a rural ISRDP node with 34 wards. It decided to take on CBP well before this pilot programme. Five wards were completed in the first training, which included five ward councilors, five officials from MAP, two from Free State Department of Local Government and Housing and 50 ward committee members. 1000 members of the community participated in the planning. Council has accepted and committed itself to the five completed ward plans. However the remaining wards have not yet been covered.

During the IDP review the CBP outputs were used to improve the plan; R3 million has been budgeted for the outstanding 29 wards. Process funds for the first 5 wards was secured though not yet distributed to them. Some municipal-wide projects were identified as a result of CBP, eg a cleaning campaign for all wards was implemented with a budget of R2 million and 620 job opportunities were created. CBP also gave direction to the ASALGP pilot study which was conducted at Maluti

Msunduzi (Kwazulu-Natal Province)
Msunduzi Municipality (Pietermaritzburg) has 37 wards. Training was conducted of 15 Municipal officials with experience in working with communities drawn from different departments plus 10 community representatives. During the initial training four wards were completed. Msunduzi has been interacting with the team in eThekwini, building on their proximity. Discussions are underway about where to appropriately house the CBP process in a particular department in the municipality and when to finish off the planning.

eThekwini (Kwazulu-Natal Province)

eThekwini (Durban) is a well resourced and organized Metro. They do not have ward committees but groups of stakeholders working with the councillor. eThekwini has piloted CBP in 40 of their 100 wards. They used a dedicated project team of 4 trained CBP trainers working with 10 lead facilitators from different municipal departments. They are coordinated by the department of community participation and were assisted in the ward planning process by 30 volunteers. Community mobilisation was undertaken by community mobilisers who have done this for previous IDP "Big Mama" workshops. In eThekwini all the planning happened over weekends.

The first training was held in May 2004 and to complete all the wards took three months. eThekwini has allocated R50 000 per ward for wards to take forward their plans. As a result of the ward planning process many wards have started those activities that the ward will undertaken without external resources while waiting for the release of the R50 000. The ward plans have been handed over to technical departments for appraisal before the process funds can be released.

Makana

Makana was not one of the original pilots but is also taking forward CBP in 4 of its wards, funded by the SCAPE Project, managed by CARESA-Lesotho. In the process NGOs proved to be effective CBP facilitators and partners of the municipalities. We are also testing out implementation methodologies, assisting wards to implement and monitor their plans. Staff from GTZ's RuLiv project in Eastern Cape were also present at the trainings.

6   IMPACTS OF CBP AT PROVINCIAL AND NATIONAL LEVEL

6.1   Partnerships

The CBP project was designed so that it could impact at national level, in terms of several elements:

- involvement of a national partner, Decentralised Development Planning, within the national Department for Provincial and Local Government;
- encouragement for different departments in the Free State to participate at a range of stages;
- promotion of a model which is cost-effective, so that all municipalities should be able to implement it;
- inviting key partners to join the study visits, or 4 country meetings, to stimulate interest;
- sharing with organisations nationally each year, so that a coalition to support CBP could be developed, and wider debate encouraged around the topic.

As the project evolved, wider partnerships became appropriate. For example, it became clear that if this was to be of interest to municipalities, then SALGA would be an important stakeholder. They were invited to a meeting in Uganda, and later decided to become a full partner. The second national CBP workshop held in Mangaung in October 2002 was attended by some 150 national stakeholders plus over 200 ward committee members. At this meeting it was decided that the programme should go national, and proposed a Steering Committee comprised of DPLG, SALGA, Free State Department of Local Government and Housing, Mangaung Local Municipality, Greater Tzaneen Local Municipality, Ethekwini Municipality, and GTZ with Khanya – managing rural change being the secretariat

The Steering Committee has proved effective in promoting CBP, and has met every two months since its formation in November 2002. Members have also briefed the Parliamentary Committee on Provincial and Local Government.

SALGA has also resolved in its Economic and Social Committee to adopt CBP as one of its programmes.

6.2   Policies

DPLG has all along stressed its interest in CBP as a pilot process. With the advent of the national Steering Committee this soon became a reality. At present there has been no indication of changes needed in legislation, although potentially there is a need for guidance in terms of enacting participation, in structuring of ward committees, in providing support centrally, and for integrating CBP into the IDP process. ISRDP and the community participation directorate of DPLG have been invited to be members of the steering committee.

DPLG clarified their national position with regard to CBP and IDP as follows:

- IDP is a participatory instrument, and municipalities must ensure that communities are participating;

- DPLG want to support deepening of these processes, eg CBP/ward planning, strengthening the IDP but also community action and self-reliance
- they want a coordinated approach on participatory planning with **one national platform – which is the CBP/IDP Steering Committee** for managing the learning, and all stakeholders must commit to this
- DPLG wants to **integrate the learnings** at local, provincial and national level, disseminate the learnings and empower municipalities to make their own decisions
- They want to commit to working towards **one suite of methodologies** which will take account of all the learning

One of the key performance indicators for dplg now includes CBP.

6.3   Systems

DPLG has accepted the concept of widening CBP in deepening the methodologies in areas which have been shown to need strengthening. Based on this national guidelines would be produced for those municipalities interested to take forward CBP. DPLG itself, GTZ and DFID have funded this.

PART D   LEARNINGS AND WAY FORWARD

7   LEARNINGS OVERALL

7.1   Overall

CBP was originally implemented in Mangaung in 43 wards, covering 750 000 people with over 10 000 people participating, and some 30 facilitators trained. CBP has now been implemented in 9 municipalities throughout South Africa covering an estimated 252 wards affecting approximately 4-5 million people. The municipalities themselves have undertaken CBP and substantial capacity has been built in the municipalities to engage the population in an intensive participatory process. This was a major achievement. The formal learning process on the 8 pilots is not yet complete and so this section draws on the detailed learning from Mangaung in 2001/2, and initial reflections by the service providers and municipalities on the learnings to date. Early in 2005 evaluations will be undertaken in 3 municipalities, and there will be learning workshops in all the pilots.

7.2   Planning process and methodology

The planning process was found to work. The weakest element has been preplanning, where most municipalities did not plan in advance enough. This would be enhanced by having a fulltime CBP Coordinator.

The reconciliation process that has been added has helped to strengthen the use of the tools. Some of the challenges were:

- ensuring participation in the affluent former white and black suburbs, and the challenge of politically very divided communities such as IFP and ANC communities in Kwazulu-Natal;
- encouraging whites to participate in group work;
- ensuring appropriate representation in large rural wards that may be up to 30 km across and have several villages
- Strengthening training to ensure that planning is based on outcomes and strengths and not needs;
- Ensuring that pre-planning is done early enough and thoroughly enough.

What has become clear is that where municipal capacity is very low, a different approach may be needed. What has been suggested is that we are dealing with a suite of methods, from less to more complex. The key elements of capacity include:

Municipal capacity:
- To manage an IDP process
- To organise at community level
- To process, make decisions and act
- Developmental orientation (target for transformation)

Community capacity:
- Mobilisation capacity

- Capacity to manage implementation (facilitate, monitor)
- Effective relationship between WC and councillor
- Skills to lead the process (facilitate meetings, document…)

Table 7.2.1 shows what this suite may look like depending on municipal and ward capacity. It also approximately locates the current pilots in this matrix. The current model is 4.

Table 7.2.1   Types of CBP depending on municipal and ward capacity (showing where current pilots fit)

Ward/community capacity	Municipal capacity		
	Low	**Medium**	**High**
Low	**1 Simple/integrated CBP/IDP** Makana		
Medium	**2 CBP plus short IDP** Bela Bela	**4 Full CBP plus linked IDP** Mangaung, Mbombela, Tzaneen, Msunduzi	**4 Full CBP plus linked IDP** Nkonkobe eThekwini
High	**3 District-driven CBP and IDP** Maluti		**5 Full CDD**

Box 7.2.1 shows what each of these models comprises. Figure 7.2.1 shows what each of these models comprises.

Box 7.2.1   Different CBP/IDP models

1   Simple expanded sample-based CBP and municipal plan
Participatory situation analysis based on sample using CBP tools, but not applied in each ward.
Planning uses CBP methodology but applied municipal-wide rather than in a ward, and in an intensive facilitated process, as per CBP. So it is a simple strategic process.

2   CBP plus short IDP
Full CBP, plus a facilitated IDP process

3   District-driven CBP
Districts contract service providers to support ward-based CBP and supply process funds
They may well extract information from wards for the district IDP.
CBP is aimed at increasing community action roles and responsibility
Forget IDP at local municipality level.
Community-based services are critical in terms of service delivery due to weak municipal capacity

4   Integrated CBP and more strategic IDP
One integrated process

5   CBD/IDP aligned to other stakeholders
One integrated process, but also strongly aligned to other stakeholders plans and programmes

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Figure 7.2.1   Components of different CBP/IDP combinations

Model / Planning element	1 Sample-based CBP and munic plan	2 CBP plus short IDP	3 District-driven CBP	4 Integrated CBP and IDP	5 Fully aligned CBP/IDP
How much in Ward process					
• CBP phase 1 (situation analysis)	x	x	x	x	
• CBP phase 1+2 (reconciliation)	x	x	x	x	
• CBP phase 1-3 (all)		x	x	x	
• CBP 1-3 plus link to IDP	*	*	x	*	*
How much in IDP process					
• municipal 3-5 day strat plan plus action plan for projects	x (Facilitated)	x (Facilitated)	x	X (choose tools from Guide 5 of IDP)	x
• more business planning/ integration				x	x
• more strategic about area planning		x (Facilitated)		x	x
• alignment across sectors and spheres					

Key:

* Relevant while no revised IDP guide

Guide 1   Based on existing guide, plus possibly simple linkage (within this project)
Guide 2   Develop new easily based on current CBP guide (if DBSA comes forward)
Guide 3   Complex linkages guide (within this project)
Guide 4   New IDP guide including minimum bus planning and alignment (new funds)
Guide 5   Full version of IDP, which people can select from (new funds)

In terms of the IDP Managers' Guide that has been added, it can be simplified and some of the tools are key (see Table 7.2.2).

Table 7.2.2   Key tools from IDP Managers' Guide

Subject	Tool
Identification of municipal-wide prioritised key issues	Tool 4-5
Packaging info re socio-economic analysis	Tool 8,9 (Activity 4)
Assessing responsiveness of IDP priorities to CBP priorities	Activity 6
Summary of proposals from CBP for IDP	Tool 13
Participation of ward reps in IDP processes	3.1/3.2
For when start CBP	IDP Summary

7.3   Preconditions

What has come clear is that many municipalities underestimated the work involved in managing CBP. It is therefore suggested that a series of preconditions are needed, which would also help to guide which model of CBP/IDP is relevant. CBP is not a simple process, requiring facilitation of a plan per ward, analysing the information to use in the IDP, and supporting of implementation. A decision to undertake it should not be taken lightly. However for those committed to deepening democracy, it has significant benefits. In order to support this empowering participation process the municipality must:

- Allocate someone to manage CBP full-time (CBP Coordinator) during the planning process, and part-time during implementation
- Establish a CBP and Implementation steering committee, including those responsible for planning, for participation, councillors, and ward committee members
- Ensure training of 2-4 lead trainers who then train local facilitators (around 1 per 8 facilitators to be trained) in a 10 day experiential training, and to ensure quality
- Provide municipal facilitators drawn from different sectoral departments, for training
- Commit to train 1 ward committee member per ward, and support them with travel and meal costs during implementation
- Run 1-2 training of facilitators in the municipality (depending on numbers), the first of which would be supported by a an external trainer
- Ensure the documentation of the plans in a suitable form to be used for the IDP;
- Allocate people to undertake on-going monitoring of planning and implementation;
- Allocate R25-50 000 per ward to support local action (process funds), and allow wards to decide on what they wish to fund.

7.4   Representation

The evaluation in Mangaung indicates the priorities of poor and disadvantaged people were reflected in the ward plans. However there are still issues about this:

- who is present during the planning, particularly the prioritisation meeting – the lack of a structured representation system in SA makes it more difficult to ensure that representation at this meeting is adequate and attention needs to be put to deal with this;
- It is also easy for the priorities of the disadvantaged to be lost. Consideration could be given to ensuring that at least one of the 5 priorities reflects the needs of the most disadvantaged, eg malnourished children, the elderly.

During this second set of pilots, 1 ward committee member has been trained as a facilitators along with the external facilitators. Overall this seems to have been an improvement.

7.5   Linkage with local government level

The CBP process in all municipalities was used to bridge the gap between IDP and community involvement in the planning. The process has been useful although it has not always resulted in community action immediately due to delays in disbursement of funds from municipalities. This has tended to frustrate communities many of whom had started

doing things n their own. The need for the process funds needs to be emphasised before municipalities take the decision to undertake CBP.

In Mangaung the results from CBP were fed into the IDP process as each ward was planned, so that for example when the first IDP Representative Forum was held, the results of 5 wards were available (carefully selected to provide a range of situations from urban to rural and disadvantaged to advantaged). These led to the first approximation of development objectives which were refined later, but right from the beginning the overwhelming priority of economic development could be seen.

The linkages which happened in practice were:

- Feedback from wards on priorities overall, and for specific areas, which directly led to the overall priority for the IDP);
- Information on the situation in each ward, including for specific social groups (this could have been strengthened in analysis across wards);
- Proposals for specific projects for the IDP[22];
- Proposals for support by the Municipality through the R50 000;
- Proposals for other actions by the municipality and other service providers;
- Ideas for how specific programmes can be handled (such as an emphasis on People's Housing Process in housing), which were incorporated into the planning for the specific programmes;
- Feedback on the overall IDP;
- Operating of the funding mechanisms for handling the R50k.

These linkages have been strengthened in the second phase of CBP, with the development of a linkage methodology. Key linkages which still need to be strengthened are:

- Feedback to communities on what has been approved;
- Practical support for implementation;
- Monitoring by ward committees of their programmes;
- Monitoring by the Municipality of the ward committees;
- Monitoring by the community of the ward committees and overall progress on their plan.

All of these areas can be strengthened. Some ideas for how this could be handled are shown in table 7.5.1 and these will be picked up in the remainder of the programme.

Table 7.5.1   Possible mechanisms for strengthening linkages between CBP and local government

Areas of linkage	Possible actions to strengthen
During the planning process	
Proposals for other actions by the municipality and other service providers	- consider process for onward submission of plans and projects to provincial and national departments, both at ward and provincial level. - Involve service providers in the planning, especially local
Ideas for how specific programmes can be handled	Develop methodology for feeding back results to technical departments

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[22] Although these were too late to directly influence budgets for 2003/4 but are being incorporated in 2004/5.

Areas of linkage	Possible actions to strengthen
	• Ensure that technical departments participate in some ward plans, particularly where they lack knowleddege
Feedback to communities on what has been approved	• System to be developed as soon as proposals finalised for IDP
During implementation:	
Operating funding mechanisms for handling the R50k	• Worked in Mangaung, still to be tested in other pilots
Practical support for implementation	• consider use of community development workers as suggested by the President, whose main role is to assist wards in planning and implementation of their ward plans
Monitoring by ward committees of their programmes	• develop mechanisms, such as action plan and reporting formats • ensure support available to wards to do this, eg community development workers
Monitoring by the Municipality of the ward committees	• have at least one community support officer, whose job is to receive reports from wards, including minutes of meetings, monitor progress • consider development of "ops room" facility for monitoring wards
Monitoring by the community of the ward committees and overall progress on their plan	• monitor operation of ward committee, including regularity of public meetings • promote use of posters showing projects and progress at central location, as done in Uganda • publicise amounts of money agreed for projects, as done in Uganda

7.6   Facilitation and training

There are a range of issues here:

• Who should be the facilitators of the plans?
• How the training of facilitators can be strengthened?
• How the logistics of the planning process can be improved?
• How support during the planning process can be improved?

Facilitators

In the Mangaung pilot, it proved very positive using municipal staff, PIMMS centre staff, as well as from provincial departments. 4 ward committee members were also used to assist with facilitation in other wards. In the second phase, to maximise local ownership and improve local governance, one ward committee member per ward was trained as well. This raises the cost of training considerably, but overall has been a positive feature, although some people selected did not have the right skills. eThekwini interviewed these people first, screening them which seems to have been very positive.

In addition it would be useful to draw in **local staff from technical departments**, from local police stations, clinics, schools etc. For them to be release their departments would have to approve, but this would be the ideal way of integrating CBP with their work and their plans.

Strengthen training

The training required is shown in Table 7.6.1.

Table 7.6.1   Areas for training around CBP and IDP

Area for training	Who should be trained
Training on the understanding of roles and responsibilities in CBP;	CBP trainers and facilitators
Different actors' roles and responsibilities in the IDP process;	IDP managers, CBP trainers and facilitators
Local governance and CBP;	IDP managers CBP trainers, facilitators and NGOs
Leadership skills;	IDP managers, NGOs, CBP trainers and facilitators
Facilitation skills;	CBP trainers and facilitators
Financial Management;	IDP managers
Fundraising;	IDP managers
Business plans;	IDP managers
Communication Skills;	IDP managers, Faciliators and trainers

The 10 day **training of trainers** course was successful in training the lead trainers. **Refresher training** may well be needed on an annual basis. This would provide an opportunity to go deeper with the methodology with the facilitators, reduce the degree to which it is mechanical, and increase the degree to which it is empowering. The IDP Manager training was also useful.

How the logistics of the planning process can be improved

In Mangaung one person in the Municipality was **responsible for logistics**, as well as supervising the actual planning. It is proposed now that a CBP Coordinator is appointed (or given that role) who is full-time during the planning process, and part-time afterwards during implementation. Decisions need to be made in advance about issues including:

- payment of travel allowances/mileage;
- payment of meal allowances or provision of meals;
- whether to pay overtime for the long hours needed, or to give time off;
- the physical organisation of transport, especially if the ward is remote or large and rural.

7.7   Finance

Some of the issues around finance include:

- the budget for the planning process, and whether any incentives should be paid to facilitators or community participants;
- the availability of funds to the ward for taking the plan forward;
- how IDP resources are allocated, and whether this is based on CBP;
- how projects proposed are appraised.

7.7.1 Budget for planning

During the pilots, funds were spent on fees for external service providers to adapt the generic methodology, initiate the CBP, train local facilitators and to assist with quality control and linkage to the IDP. Other costs included meals for the facilitators, travel costs of facilitators, stationery, and some overtime costs for facilitators. Some ward committee members who assisted with facilitation in other wards were also given some payment for doing so.

During the Phase 1 pilot in Mangaung, the amounts are shown in table 7.7.1. Excluding overtime, the cost worked out at R6708 per ward (approximately £600). If fees for external facilitators are excluded, the cost was R50172, or R1167 per ward (around £100) and in the longer term this would represent the cost of implementing CBP.

It is now estimated that implementation of CBP costs about R375 000[23] for a 40 ward municipality, including R160 000 for training 40-50 facilitators, R92 000 optionally for accreditation of the facilitators[24], R27 000 for a workshop to learn the lessons and around R30-40 000 for the direct costs of doing the planning. Costs of planning would vary according to the number of wards, but not in simple proportion, as there cost of training is largely fixed. Therefore for a 10 ward municipality the figure is likely to be around half this.

Table 7.7.1   Amount spent on supporting the CBP process in Mangaung

Item	Fees	Travel	Meals	Misc	VAT	Sub-total	Overtime	Total
Amount spent	208125	2226	32300	15635	30136	288423		

Provision of process funds

There has been a history of planning without a budget to implement these plans. The ward plans were meant to contribute to the IDP but projects resulting from the IDP were likely to start at least a year after the planning was completed. Therefore it was proposed and Mangaung agreed to use R50 000 per ward to assist with implementation of the plan. This was not intended to substitute for mainstream funding in the IDP, but to ensure that small amounts were available to start the plan being implemented, for such matters as visits to other projects, funding of meals for voluntary workers, subsidising of community workers, very small infrastructure projects. The largest cost is actually for these process funds. R25-50 000 per ward is recommended, or 1-2% of the Municipal capital budget. This could be R2 million for a 40 ward municipality. These funds were not intended as a substitute for the main funding process, ie addressing in itself the main developmental issues such as lack of income, nor for paying the community to undertake work which otherwise they might do voluntarily. It was rather intended for support to the community to take forward their plan, to supplement what they can do themselves, and where they actually need cash to assist their process.

The principle behind the original concept was that the money was for the last of these, although what emerged was that there was confusion amongst municipal staff and councillors over this. Inevitably R50 000 cannot substitute for the main funds, and therefore in this short

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[23] Approximately £1=R11.7
[24] Includes the time taken to appraise 40 ward plans

process seeking to address sustainable development projects with amounts of R3-5000 will not work. However there was some confusion about the role of the R50 000, and in some wards the monies <u>were</u> used for income generating projects, which caused certain problems, as the funds are inadequate for this purpose. As the evaluation states, "addressing community employment needs by means of R50 000 is virtually impossible. A development strategy for the city at large, within which the issue of job creation for poor people plays an important role, will be a prerequisite".

In addition paying people to do what would otherwise be voluntary would not promote community action, but rather increase the dependency. Therefore these amounts must be seen as helping ensure that community action could start, and their plan be taken forward. Examples of such spending were:

- paying for a housing group to visit a successful project elsewhere;
- paying for meals during a clean-up campaign;
- paying for small infrastructure such as a gate in a sports facility.

What emerged was the intense interest and activity generated by these small amount of funds which were directly under ward control. This suggests that small amounts of money made available in this form can have major impacts in term of community action and this should be a significant part of the allocation of IDP resources.

Overall a system of allocating a small amount of process funds per ward should be undertaken by all municipalities implementing CBP, even if the actual figure is considerably less than the R50 000 that Mangaung allocated. A minimum would perhaps be around R10 000, but ideally at least R25 000.

7.7.2   *Appraisal*

The appraisal of the ward plans and particularly the process fund component should be based on a negative list, ie it is approved <u>unless</u> there is something which contradicts government policy (eg is racist). Otherwise it is important to leave the decision-making in the hand of the ward, including allowing them to make mistakes but then to learn from them..

7.7.3   *Allocation of mainstream IDP resources*

In the first year of the IDP there has been some impact on the budget related to the IDP, for example in the increasing emphasis on LED. However as budgets were substantially already prepared by the time CBP was finished, and there is a vestige of longer term capital funding notably for electricity and water, the impact on the IDP has been limited in the first year. Mangaung incorporated more projects in successive years.

7.7   **Stakeholder involvement**

Stakeholders were involved in CBP in a range of ways:

- As facilitators;
- Being consulted as service providers.

The involvement in facilitation is discussed in 7.6, and this was very positive. It is also suggested that local staff eg from clinics, schools, could be involved in facilitation at ward level.

In terms of service providers, there was some consultation in all wards, notably for SAPS (police), clinics, schools, CBOs and NGOs, local businesses. These were also involved to varying degrees in the planning that happened once priorities were identified. For example, HIV CBOs were involved in planning HIV programmes, and in some cases the provincial dept of Housing in planning housing projects. However there is a problem in the planning methodology, as it is not known which programmes will be developed until the Tuesday evening, and so it is late to make appointments with service providers. The evaluation also points to problems if service providers at provincial and local levels are expected to attend all planning sessions, as it may have serious human resource implications for these institutions and departments. There are different ways this could be addressed:

- Splitting the planning so that the last 2 days planning happens the next week;
- Guessing what service providers will be needed and asking them in advance if they would be available;
- Using local staff of service providers so they can be part of the whole process;
- Undertaking the service provider interviews as part of the preplanning process.

The problem with the first is it makes the planning much more complex when using external facilitators, and it also dilutes the energy created in the intensive process. It also means there is unlikely to be a week off, when the plan from the previous week can be completed, and the next week's session planned with the ward committee. The third would be very beneficial and should be encouraged. This will require much greater efforts to bring provincial Departments on board prior to CBP starting. The fourth is also a possibility.

In wards where traditional structures exist, these were also consulted.

7.8   Following up the plan - community management

Some of the issues here are:

- Encouraging and supporting community action;
- Feedback mechanisms; and linked to this,
- Monitoring and evaluation.

7.8.1   Community action

The evaluation in Mangaung revealed extensive community action resulting from CBP. The methodology and facilitation was generally perceived as very good. However, the implementation and constant follow-up (monitoring of implementation and mentoring with implementation) were lacking. There was limited support available to this process, and there needs to be more thought on how this can be encouraged and supported. The conceptualisation of this support process will be included in the development of CBP this year.

7.8.2   Feedback mechanisms

The evaluation also suggests that empowerment implies a constant feedback about to what extent their views and inputs have been integrated in the plans of the municipality. There was a concern amongst many WC members about the lack of ongoing feedback regarding community-planning inputs.

7.8.3   Monitoring and evaluation

A monitoring mechanism has been designed based around the ward committee action plan. However there was not regular reporting based on this and the monitoring of implementation could be strengthened, including:

- Monitoring by ward committees of their own implementation;
- Monitoring by the municipality of ward committees and progress with implementation;
- Monitoring by citizens of the actions of the ward committee and overall implementation, eg by regular public meetings, flip charts showing approved projects[25].

The design has been improved in the piloting in 2003-4 and this needs to be pursued as the current pilots move to implementation.

There should also be mechanisms developed to respond to problems.

7.9   Implications for policy

At present municipalities are free to establish participatory mechanisms as they see fit, based on the use of ward committees. Different municipalities have adopted different approaches to this. However one area which has proved problematic in CBP is the need for some sub-ward structuring of representation to ensure representivity in the planning process. Wards are large (5-18000 people) compared to lower level structures in Uganda such as the parish (3-5000 people) or village (500 people). In Uganda's case it proved easy to have representation in CBP (which was conducted at parish level) based on villages. In Mangaung this proved problematic, and some structure similar to the civic structures would be helpful. However there is no restriction on municipalities adopting such a system.

One of the aspects that has been found to need attention, is the manner in which ward committees are constituted. They can be constituted by direct election, or by representatives of interest groups. The democratic election of ward committees is questionable as often the percentage of voters who participated in the elections was extremely low. It would be interesting to compare models of representation by interest groups, and it may be that such a ward committee would have been far more representative of the needs of the poor.

7.10   Other issues

Some other issues suggested by the evaluation are:

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[25] In Uganda the approved projects, amounts of money, are put on flip charts and exhibited in the subcounty offices.

- aligning the areas of service providers with ward boundaries. For example, in one of the wards the councillor had to deal with two different police stations during the CBP process;
- Aligning CBP with the concept of area-based management;

8   WAY FORWARD

8.1   In the municipalities directly involved

The 9 municipalities piloting CBP this year need to complete the planning and move to implementation. At that point it will be important to hold the learning events and evaluations, to see the impacts, how the costs and benefits are perceived, and this will help to guide the way forward.

8.2   Nationally

The national upscaling process continues and looks likely to complete in mid-2005. Figure 8.2.1 has a GANTT chart for this process, with the dark shading what has completed, the grey what is planned, and the yellow whnat is now anticipated. The project has taken longer than anticipated due to the delay in municipalities finalising their process funds and so moving to implementation, and the delay in getting a Memorandum of Understanding signed by dplg which includes 5 projects, of which one is the CBP/IDP project. This now seems likely to unblock and so is likely to move ahead more quickly.

8.3   Support system

First thinking has been done on what elements of a possible national support system could be. This is moving beyond a pilot process, to a system using national, provincial and district systems to support municipalities interested in undertaking CBP. Table 8.3.1 summarises what these systems could be. We are in the process of working on this at the moment, in order to get it into the government budget for 2005/6.

Table 8.3.1   Proposed support system

Stage	Support component
Exciting interest	General communication document on benefits and costs
	Introductory event with Mayors/municipal managers
	Roadshow discussing implications of benefits and costs where can interact on costs/benefits
Committing and deciding on what form of CBP/IDP	Consideration of applications by central administration unit
	Guide for considering CBP/IDP and which model is appropriate
	Detailed consultations with specific municipalities
	Screening process for national support
	Workshop which looks at implications and possible alternatives for CBP/IDP, eg at provincial level
	Drawing up process plans with each municipality
Training	Training of provincial support people (eg from province, PIMMs, NGOs) – annual basis
	Training of municipal lead trainers (by provincial support team)
	Training materials for both trainings
	Printing of Guides
	Printed flip charts etc

Stage	Support component
	Influencing curricula of training institutions to include CBP/participation
	Accreditation of training
Planning	Support for planning costs (R100k provided from national)
	Quality control by province
	Technical Help desk
	Trouble shooting backup - provincial
	Trouble shooting backup - national
Implementation	Monitoring of implementation
	Advocacy and proposal of revised procurement systems which favour community implementation
	Assistance with procurement and fin management mechanisms
	Auditing of ward expenditure
	Technical Help desk
	Trouble shooting backup - provincial
	Trouble shooting backup - national
General communication and learning	Communication – getting examples, cases
	National newsletter
	Section on SALGA Website
	Learning support
	Regular learning events – provincial, eg 2 provinces together – say 10 munic together
	Regular learning events – national – eg annual
	Peer-learning events and cross-visits
Management	Admin centre – eg in SALGA
	Technical Help desk
	Trouble shooting backup - provincial
	Trouble shooting backup - national

Figure 11.2 GANTT chart for CBP/IDP Project

Task	Progress
1 Development of refined concept	**Progress**
1.1 Develop a conceptual outline for linkages	Done
1.2 4 country CBP workshop discusses methodology and systems	Done
1.3 Practitioner workshop refines outline methodology paper.	30/31 July 2003
1.4 Submit outcome of workshop to DDP Task Team and CBP Steering Committee for	Done
1.5 Draft manuals	Done
1.6 Submit to DDP Task Team and CBP SC for final comments	Done
1.7 Finalise draft methodology for piloting	Done
	Revising
2 Resource book developed	
2.1 Develop concept	Contents dev
2.2 Draft content	
2.3 Circulate for comment	
2.4 Finalise draft	
2.5 Pilot in the 8 pilots	
2.6 Finalise after testing in the pilots	
3 Piloting (individual munic costed separately)	
3.1 Preparations for pilots	Done exct
3.2 Detailed process plan agreed	Done
3.3 CBP facilitators trained	
- TOT	From 10 Nov
- further 8 training sessions	5 done
3.4 Methodologies developed for incorp of ward plans in IDP	
3.5 Ward plans produced by communities	In progress — Mang/Mal
3.6 Systems for monitoring ward plans	Not done
3.7 Ward plans incorp into IDP and budget	Done in some munic — Into 2005/6 budget
4 Learnings assessed and proposals for way forward	
4.1 Develop methodology for assessing	Outline done — Learning ws
4.2 Review progress in each municipality	Started — ws
4.3 Technical workshop to validate emerging results	Pilots — Pilots
4.4 Overall report on: learnings and	Interim — Draft Final
4.5 Revised manuals	Interim — Draft Final
5 Advocacy and dissemination	
5.1 Extend advocacy and dissemination	
5.2 CBP newsletter	Newsletter 3 — 1 2 3 4
5.3 National workshop on CBPI	Laun
6 400 facilitators trained (only ToT costed here)	
6.1 training of trainers	Done
6.2 Training of IDP Managers	Done
6.3 training of 25 facilitators in each municipality (Rt 1)	6 Done
6.4 Municipal training of 25 facilitators in each munic (Rt 2)	Some doing 2
6.5 accreditation of facilitators where	Most want
6.6 Learning workshop at end of CBP process in each municipality	
7 Links with 4 country CBP project	
7.1 4 SA representatives (exc Khanya) attend 2 4 country partner meetings	Reps at SA training — Ghana / Reps / Zim
8 Impact of CBP evaluated and learnings documented	
8.1 updated SA Country report produced	
8.2 evaluation of CBP and IDP linkages in 4	
9 Project managed effectively	
9.1 Secretariat for Steering Committee	Ongoing
9.2 Meetings with SCM	SCM5 — 1
9.3 Management of DBSA component	Confirmation?
9.4 Donor liaison	Ongoing

Month columns: My/Ju, Jul, Aug, Sep, Oct, Nov, Dec, Jan, Feb, Mar, Apr, May, Jun, July, Aug, Sep, Oct, Nov, Dec, Jan, Feb, Mar, Apr, May

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ANNEX 2 REFERENCES TO PARTICIPATION IN KEY POLICIES/ ACTS

Section	Covers
	Constitution
1	Values of human dignity, non-racialism and non-sexism…and a multi-party system to ensure accountability, responsiveness and openness
Chapter 2	Bill of rights including equality, human dignity, freedoms, environment, as well as rights to housing, health care, food, water, social security, education, access to information
40	National, provincial and local spheres of government
152	Objects of local government – to encourage the involvement of communities and community organisations in the matters of local government.
195 (e)	Basic values and principles governing public administration – people's needs must be responded to, and the public must be encouraged to participate in policy-making.
	White Paper on Developmental Local Government
1.3	In the past local government has tended to make its presence felt in communities by controlling or regulating citizens' actions. While regulation remains an important local government function, it must be supplemented by leadership, encouragement, practical support and resources for community action. Municipalities can do a lot to support individual and community initiative and to direct community energies into projects and programmes which benefit the area as a whole. Municipalities need to be aware of the divisions within local communities, and seek to promote the participation of marginalised and excluded groups in community processes…
3.3	Municipalities require active participation by citizens at 4 levels: • As voters, to ensure maximum democratic accountability of the elected political leadership for the policies they are empowered to promote • As citizens who express, via different stakeholder associations, their views before, during and after the policy development procvess to ensure that policies reflect community preferences as far as possible • As consumers and end-users, who expect value for money, affordable services and courteous and responsive service • As organised partners involved in the mobilisation of resources for development via for-profit businesses, NGOs and CBOs. As participants in the policy process: Municipalities should develop mechanisms to ensure citizen participation in policy initiation and formulation, and the M&E of decision-making and implementation. The following approaches can assist to achieve this; • Forums ..to allow organised formations to initiate policies and/or influence policy formulation, as well as participate in M&E • Structured stakeholder involvement in certain Council committees, in particular if these are issue-oriented committees with a limited lifespan rather than permanent structures

Section	Covers
	• Participatory budgeting initiatives aimed at linking community priorities to capital investment programmes • Focus group participatory action research conducted in partnership with NGOs and CBOs can generate detailed information about a wide range of specific needs and values • Support for the organisational development of (community) associations
Municipal Structures Act 117 of 1998 as amended	
8	Allows for a Category A municipality with a subcouncil or ward participatory system
9	Allows for a Category B municipality with a ward participatory system
44 (3) (h)	Executive committees must … annually report on the involvement of communities and community organisations in the affairs of the municipality.
56 (3) (g)	Executive Mayors must…. annually report on the involvement of communities and community organisations in the affairs of the municipality.
72	Ward committees – the object of a ward committee is to enhance participatory democracy in local government.
74	Functions and powers of ward committees – a ward committee may make recommendations on any matters affecting its ward, to the ward councillors, through the ward councillor to the metro or local council… and has such duties and powers as the metro or local council may delegate to it.
Municipal Systems Act 32 of 2000	
Summary	To provide for the core principles, mechanisms and processes that are necessary to enable municipalities to move progressively towards the social and economic upliftment of local communities…to define the legal nature of a municipality as including the local community within the municipal area, working in partnerships with the municipality's political and administrative structures..to provide for community participation
2 (b)	Legal nature – a municipality..consists of the political and administrative structures of the municipality <u>and</u> the community of the municipality
4 (c) (e)	The council…has the duty to.. (c)encourage the involvement of the local community (e) consult the community about the level quality, range and impact of municipal services provided by the municipality, either directly or through another service provider
5 (a)	Members of the community have the right… (a) to contribute to the decision-making processes of the municipality and submit written or oral recommendations, representations and complaints to the municipal council… (c) To be informed of decisions of the municipal council.. (d) To regular disclosure of the affairs of the municipality, including its finances
Chapter 4	Community participation
16 (1)	A municipality must develop a culture of municipal, governance that complements formal representative government with a system of participatory governance and must for this purpose: (a) Encourage and create conditions for the community to participate in the

Section	Covers
	affairs of the municipality, including in …the IDP…performance management system..monitoring and review of performance…preparation of the budget..strategic decisions re municipal services (b) Contribute to building the capacity of the local community participate in the affairs of the municipality and councillors and staff to foster community participation…
29 (b)	Process to be followed in developing an IDP – must through appropriate mechanisms, processes and procedures..allow for: (i) The local community to be consulted on its development needs and priorities (ii) The local community to participate in the drafting of the IDP…
41 (e)	Monitoring and review of performance management system – a municipality must in terms of its performance management system….establish a process of regular reporting to…the public and appropriate organs of state
42	A municipality, through appropriate mechanisms, processes and procedures …must involve the local community in the development, implementation and review of the municipality's performance management system, and in particular, allow the community to participate in the setting of appropriate key performance indicators and performance`targets of the municipality
51 (a)	A municipality must within its administrative and financial capacity establish and organise its administration…to be responsive to the needs of the local community