

**PARTICIPATION OF WARDS IN OPERATION SUKUMA SAKHE ACTIVITIES  
WITHIN THE CITY OF UMHLATHUZE**

**By**

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## DECLARATION

I, Nontobeko Nontando Ndlovu, hereby declare that this dissertation submitted to the University of Zululand for the Degree of Master of Arts in Development Studies, in the Department of Anthropology and Development Studies, has never been previously submitted by me for a degree at this or any other university, and that this is my own work and the material contained therein has been duly acknowledged and cited using the Harvard style of referencing.

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Signature

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Date

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Nontobeko Nontando Ndlovu

Date: December 2016

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## **DEDICATION**

I dedicate this dissertation to my late father, Derrick Ndlovu-Dad, nawe awumncinyane. Your memory will live forever through your family legacy. Thank you for bringing such a wonderful family into my life, especially my mother. Dad your teachings will never be forgotten in my life and will always be reflected in my conduct.

## **ABSTRACT**

The study set out to obtain information on the nature and level of participation of community members in the implementation of Operation Sukuma Sakhe (OSS). A case study research design was adopted. A sample of 125 respondents was selected using the purposive sampling method for the key informants such as the traditional leadership, officials deployed by the government to the programme, fieldworkers and CSO. A convenience sampling method was also used for focus groups and to select participants from the community. An interview schedule which had both structured and unstructured questions, was used to gather the required data. For data analysis, the thematic analysis method was used.

It was discovered that there are various methods used to engage the community in the programme, namely: mass community meetings, door-to-door visits, household visits and participation of the community as walk-ins. The most commonly used method to engage community members was found to be the door-to-door visits where the CCGs were actively involved. The respondents participated only in the identification of issues affecting them and not in identifying possible solutions to the problems. The decisions were seemingly taken by external members, something which has negative implications on community development of projects.

The participation of community members in the form of ‘walk-ins’ raised concern, as this is taken as a sign of lack of commitment, which could result in people not viewing the programme as a learning process which could lead to growth and change. The method cannot be considered as a reliable or effective way of ensuring adequate participation in any service delivery or community development programme. It basically suggests low levels of participation and that the actual implementation does not encourage the development of what is referred to as the ‘we feeling’ or ownership of the programme in participation circles.

It is also concluded that gender-specific capacitation and empowerment programmes have to be instituted, because the programme predominantly comprises women. The group that was found to be actively involved is usually characterised by inadequate access to assets and productive resources, and a lack of knowledge or skills. Among the officials in the WR, limited knowledge on roles and responsibilities was noted in certain wards, and this has implications for service delivery and may be some how responsible for the lack of participation in WR activities.

## TABLE OF CONTENTS

<b>CONTENT</b>	<b>PAGE</b>
DECLARATION	i
ACKNOWLEDGEMENTS	ii
DEDICATION	iii
ABSTRACT	iv
ABBREVIATIONS AND ACRONYMS	xvii
<b>CHAPTER 1: ORIENTATION TO THE STUDY</b>	<b>1</b>
1.1 INTRODUCTION	1
1.2 BACKGROUND TO THE STUDY	1
1.3 RATIONALE FOR THE STUDY	3
1.4 THE STATEMENT OF THE STUDY PROBLEM	4
1.5 THE AIM AND OBJECTIVES OF THE STUDY	5
1.6 THE RESEARCH QUESTIONS	5
1.7 DEFINITION OF KEY TERMS	5
1.7.1 COMMUNITY CARE GIVER	6

1.7.2 COMMUNITY DEVELOPMENT WORKERS	6
1.7.3 SERVICE DELIVERY	6
1.7.4 STAKEHOLDERS	6
1.7.5 PARTICIPATION	6
1.7.6 WARD	7
1.7.7 WARD COMMITTEE	7
1.7.8 OPERATION SUKUMA SAKHE	7
1.7.8.1 OSS BRANDING	7
1.7.8.2. OSS CHAIRMAN	7
1.7.8.3 WAR ROOM	7
1.7.8.4 WARD TASK TEAM	8
1.8 SIGNIFICANCE	8
1.9 CHAPTER LAYOUT	9
<b>CHAPTER 2: LITERATURE REVIEW</b>	<b>10</b>
2.1. INTRODUCTION	10
2.2. BACKGROUND ON THE CONCEPT OF PARTICIPATION	10
2.3 THE CONCEPTUAL FRAMEWORKS	11

2.4 PARTICIPATION AS A DEVELOPMENT PRINCIPLE	14
2.4.1 PARTICIPATION AS EMPOWERMENT	16
2.4.2 PARTICIPATION AS A MEANS OR AS AN END?	18
2.4.3 PARTICIPATION AS REDISTRIBUTION OF POWER	18
2.4.4 PARTICIPATION AS A PROCESS	19
2.4.5 PARTICIPATION AS CONTRIBUTION	19
2.5 THE BENEFITS OF PUBLIC PARTICIPATION	20
2.6 CHALLENGES OF COMMUNITY PARTICIPATION	21
2.6.1 ADMINISTRATIVE OBSTACLES	21
2.6.2 TIME CONSTRAINTS	21
2.6.3 INADEQUATE PERIODIC MONITORING	21
2.6.4 INADEQUATE FINANCIAL CAPACITY	22
2.6.5 INADEQUATE ACCESS TO INFORMATION AND LACK OF COMMUNICATION	22
2.6.6 INADEQUATE COOPERATION OF LOCAL AUTHORITIES	23
2.6.7 INADEQUATE PROVISION OF INCENTIVES	23
2.6.8 POLITICAL FACTORS	23
2.6.9 SOCIAL BARRIERS	23



2.7 ENCOURAGING COMMUNITY PARTICIPATION	24
2.7.1 COMMUNITY EMPOWERMENT	24
2.7.1.1 COMMUNITY INFORMED AS PER-INDIVIDUAL RIGHT	24
2.7.1.2 EXCLUDED COMMUNITY SHOULD BE GIVEN A VOICE	24
2.7.1.3 WELDING OF COMMUNITY STAKEHOLDERS	25
2.8 PARTICIPATION WITHIN THE SOUTH AFRICAN CONTEXT	25
2.8.1 SOUTH AFRICAN SERVICE DELIVERY PROGRAMMES	26
2.8.1.1 OPERATION SUKUMA SAKHEIN KWAZULU-NATAL	28
A) FUNCTIONING OF OPERATION SUKUMA SAKHE IN KWAZULU-NATAL	29
B) THE STAKEHOLDERS IN OPERATION SUKUMA SAKHE	30
2.9 OTHER PARTICIPATORY PROGRAMMES SIMILAR TO OPERATION SUKUMA SAKHE	32
<b>CHAPTER 3: RESEARCH METHODOLOGY</b>	<b>34</b>
3.1 INTRODUCTION	34
3.2 RESEARCH DESIGN	34
3.3 THE RESEARCH PHILOSOPHY	34
3.4 THE RESEARCH APPROACH	35

3.5 RESEARCH METHODS	36
3.5.1 SAMPLING PROCEDURE	36
3.5.2 DATA TYPES AND SOURCES	38
3.5.3 DATA COLLECTION PROCEDURES AND TECHNIQUES	39
3.5.3.1 DOCUMENT REVIEW	39
3.5.3.2 UNSTRUCTURED INTERVIEWS	40
3.5.3.3 FOCUS GROUP DISCUSSIONS	42
3.5.3.4 STRUCTURED OBSERVATION	46
3.5.3 DATA ANALYSIS	46
3.5.3.1 DATA PROCESSING	47
3.5.4 DESCRIPTION OF THE AREA OF STUDY	48
3.6 RELIABILITY AND VALIDITY OF THE STUDY	49
3.7 ETHICAL CONSIDERATIONS	50
3.8. SUMMARY OF THE CHAPTER	51
<b>CHAPTER 4: DATA PRESENTATION, ANALYSIS AND DISCUSSION</b>	<b>52</b>
4.1 INTRODUCTION	52
4.2 DATA PRESENTATION (FOCUS GROUP DISCUSSIONS)	52

4.2.1 THE CHARACTERISTICS AND DEMOGRAPHIC FEATURES OF FOCUS GROUP PARTICIPANTS	53
4.2.2 VENUE AND WAR ROOM AVAILABILITY	54
4.2.3 MODE OF COMMUNICATION AND PARTICIPATION WITHIN PROGRAMME	55
MODE 1: COMMUNITY MEETINGS	55
MODE 2: DOOR-TO-DOOR	56
MODE 3: WALK-INS	56
MODE 4: WARD/PORTFOLIO COMMITTEE	56
4.2.4 THE COMPOSITION AND KNOWLEDGE BASE OF WARD TASK TEAM(WTT)	57
4.2.5 CHALLENGES ENCOUNTERED IN THE WAR ROOM (WR)	58
4.2.6 PARTICIPATION OF WAR ROOM STAKEHOLDERS AND THEIR BENEFITS WITHIN PROGRAMME	59
A) WOMEN	59
B) CHILDREN	60
C) UNEMPLOYED AND UNSKILLED YOUTH	61
D) UNEMPLOYED ADULTS	61
E) THE DISABLED AND CHRONICALLY ILL	61
4.3 DATA PRESENTATION (COMMUNITY INTERVIEWS)	61

4.3.1 THE DEMOGRAPHIC PROFILE OF THE RESPONDENTS	61
4.3.2 KNOWLEDGE OF WAR ROOM WARD TASK TEAMS	63
4.3.3 MODES OF COMMUNITY PARTICIPATION WITHIN PROGRAMME	64
MODE 1: COMMUNITY MEETINGS	64
MODE 2: DOOR-TO-DOOR	64
MODE 3: WALK-INS	64
4.3.4 CHALLENGES EXPERIENCED DURING PARTICIPATION IN THE PROGRAMME	65
4.3.4.1 THE POLITICAL ENVIRONMENT	65
4.3.4.2 CONFLICTS	66
4.3.4.3 ABSENCE OF LEADERSHIP	66
4.4 RESPONSES OF COMMUNITY LEADERSHIP WITHIN PROGRAMME	66
4.5 RESPONSES OF GOVERNMENT DEPARTMENT WITHIN PROGRAMME	67
4.5.1 CHALLENGES OF GOVERNMENT DEPARTMENT WITHIN PROGRAMME	69
4.6 RESPONSES OF FIELDWORKERS WITHIN PROGRAMME	70
4.7 RESPONSES OF CIVIL SOCIETY ORGANISATIONS WITHIN PROGRAMME	72
4.8 ANALYSIS AND DISCUSSION OF DATA	73

4.8.1 ASSESSMENT OF DEMOGRAPHIC CHARACTERISTICS	73
4.8.2 ASSESSMENT OF COMMUNITY PARTICIPATION IN THE IMPLEMENTATION OF OSS	73
4.8.3 THE LEVEL OF PARTICIPATION	75
4.8.4 NATURE OF PARTICIPATION	75
4.8.5 PARTICIPANTS IN THE PROGRAMME	77
4.8.6 CHALLENGES	78
4.9. SUMMARY OF THE CHAPTER	81
<b>CHAPTER 5: SUMMARY, CONCLUSION AND RECOMMENDATIONS</b>	<b>82</b>
5.1 INTRODUCTION	82
5.2 SUMMARY OF THE STUDY	82
5.2.1 ANALYSING STRATEGIES USED TO ENGAGE THE COMMUNITY IN PARTICIPATORY PROGRAMMES	82
5.2.2 ASSESSING LEVEL OF STAKEHOLDER PARTICIPATION IN OSS IMPLEMENTATION	83
5.2.3 EXAMINING NATURE OF COMMUNITY PARTICIPATION	84
5.3 CONCLUSION	84
5.4 RECOMMENDATIONS	85

5.5 AREAS FOR FURTHER STUDIES	86
5.6 LIMITATIONS	86
6. BIBLIOGRAPHY	87
7. APPENDIX	97

## **LIST OF APPENDIX**

<b><u>ANNEXURES</u></b>	<b><u>PAGE</u></b>
ANNEXURE A: INTERVIEW GUIDE	97
ANNEXURE A.1 COMMUNITY INTERVIEW GUIDE	97
ANNEXURE A.2 FOCUS GROUP INTERVIEW GUIDE	98
ANNEXURE A.3: LEADERSHIP INTERVIEW GUIDE	99
ANNEXURE B: OBSERVATION CHECKLIST	100
ANNEXURE C: ETHICAL CLEARANCE CERTIFICATE	104
ANNEXURE D: THE RESPONDENTS CONSENT FORM	105
ANNEXURE E. PICTURES	108

## LIST OF FIGURES

<b>FIGURE</b>	<b>PAGE</b>
FIGURE 2.1: PUBLIC PARTICIPATION APPROACHES	13
FIGURE 3.1MAP OF UMHLATHUZE MUNICIPALITY SELECTED WARDS FOR STUDY	49



## LIST OF TABLES

<b>TABLE</b>	<b>PAGE</b>
TABLE 3.1: THE PARTICIPANTS IN THE STUDY	38
TABLE 3.2: SELECTED WARD COMMUNITY PARTICIPANTS TO THE STUDY	41
TABLE 3.3: DETAILED WAR ROOM FOCUS GROUPS INFORMATION	45
TABLE 4.1: DISTRIBUTION OF FOCUS GROUPS MEMBERS WITHIN WAR ROOM	52
TABLE 4.2: DEMOGRAPHIC CHARACTERISTICS OF RESPONDENTS	53
TABLE 4.2: DEMOGRAPHIC CHARACTERISTICS OF RESPONDENTS	62

## **ABBREVIATIONS AND ACRONYMS**

AEO - Agricultural Extension Officers  
AIDS - Acquired Immune Deficiency Syndrome  
CBO - Community Based Organisation  
CCGs - Community Care Givers  
CDWP - Community Development Workers Programme  
CDWs - Community Developmental Workers  
COGTA - Cooperative and Traditional Governance  
CRDP - Comprehensive Rural Development Programme  
CSO - Civil Society Organisation  
CWP - Community Work Programme  
DoE - Department of Education  
DoH - The Department of Health  
DSD - Department of Social Development  
DTT - District Task Team  
EO - Extension Officers  
EPWP - Expanded Public Works Programme  
FBO - Faith-Based Organisations  
FG - Focus Group  
FGDs - Focus Group Discussions  
GEAR - Growth Employment and Redistribution  
HIV - Human Immunodeficiency Virus  
ID - Identity Document  
IDP - Integrated Development Plans  
KZN - KwaZulu-Natal  
LGA - Local Government Authority  
LTT - Local Task Team  
MDGs - Millennium Development Goals  
NARYSEC - National Rural Youth Services Corps  
NGO - NonGovernmental Organisation

NPO -Non Profit Organisation  
OHOG - One-Home-One-Garden  
OSS - Operation Sukuma Sakhe  
PLWHA - People Living with HIV/AIDS  
PTT - Provincial Task Team  
RDP - Reconstruction and Development Programme  
SAMC - Social Accountability Monitoring Committee  
SAPS - South African Police Service  
SAPT - Social Accountability Programme in Tanzania  
WR - War Room  
WSSD - World Summit on Sustainable Development  
WTT - Ward Task Team  
YA - Youth Ambassador  
SASSA - South African Social Security Agency

## **CHAPTER 1**

### **ORIENTATION TO THE STUDY**

#### **1.1 Introduction**

The term ‘participation’ has become a buzzword in community development in the developed and developing nations. There are also on-going debates on how the concept is supposed to be incorporated within government development programmes. Walker (2012) notes that new approaches are beginning to address the need to empower communities through participation in decision-making processes. The assumption is that “meaningful community participation must provide a conduct for learning amongst the participants” (Walker, 2012:14). Community participation is actually viewed as a process whereby the residents of a community are given the voice and choice to participate in issues affecting their lives. Nampila (2005) argues that the members of the community might participate, if the process is managed well, and take ownership of the projects that are implemented. However, the level of participation and the extent to which the members of the community fully participate in government supported participatory programmes are rarely measured.

Most developing countries are faced with numerous challenges, such as poverty, food insecurity, high levels of unemployment, unaffordable housing, poor infrastructure and the unavailability of health facilities in rural areas. Governments in these countries have made great efforts to address these challenges through the promotion of participatory approaches. Operation Sukuma Sakhe (OSS) is one of the strategies that have been adopted to address these challenges and the effectiveness of the programme is dependent on the active participation of community members.

#### **1.2 Background to the Study**

In developing countries, 75% of the poorest live in rural areas and agriculture provides most of the employment opportunities for this poorest sector (Ambrosio-Albala & Bastiaensen, 2010), whereas the urban poor in need of support are found in squatter/informal settlements on the outskirts of cities, or areas characterised by inadequate supply of access to basic services, such as

water and sanitation, education and health facilities. The challenges remain and in some cases have even worsened. South Africa, as one of the developing countries, is also faced with numerous challenges, such as growing unemployment, which overall remains at 24.1% and the unemployed youth account for an estimated 64.8% (Kumo, Rielander and Omilola, 2014). Poverty, another challenge facing the country, is estimated at 45.5%, when applying the upper-bound poverty line (Statistics South Africa, 2014) and it is further estimated that about 10,2 million people live below the food line.

The resulting challenges arising from this poverty include malnutrition and poor health, which are further exacerbated by social phenomena, such as crime, violence against women and children, and substance abuse. Poor service delivery is also mentioned as a problem which has sparked numerous protests in the country. Thornhill and Madumo (2011) define service delivery as the goods and services that the government is expected to provide to ensure the sustainable livelihoods of its citizens. The Empowerdex (2009) identifies a huge service delivery gap between the urban and rural municipalities, with a particular concern about low levels of service delivery to communities living in the former homelands in the Eastern Cape, North West and Limpopo Provinces as well as rural areas of KwaZulu-Natal.

Governments in the developing countries have tended to adopt a provider approach which excludes local people from participating in their own development, such as provision of completed houses to the people, various social grants, free water and electricity and other services. In cases where community members participate, their participation is usually confined to the level of project implementation and not decision making. Evidence has shown that the classic 'top-down' model of development, where governments decide on the needs of communities and the type of projects adopted in order to address the needs has, to a large extent, shown to be ineffective at driving community development (Sabela, 2014). It is further noted that where development projects are planned by 'experts' without engaging communities at grassroots level, such projects somehow fail to recognise the considerable potential for growth when community members are in the driving seat in their own development. Stiglitz (2002) argues that participatory processes form the basis for development transformation, particularly for sustainable socio-economic development and as a means for rapid economic growth.

According to Kariuki and Mbwise (2014) participation is a basic human right as enshrined in Article 27(1) of the Universal Declaration of Human Rights where it is stated that everyone has the right to freely participate in the cultural life of the community and share in whatever benefits accrue and enjoy scientific advancement and its benefits. However, the authors argue that the beneficiaries are rarely afforded the opportunity to fully participate in their development, even when an element of ‘participation’ is built into projects. It is all too often participation in terms of local investment of labour and not in real decision-making. It is further maintained that the beneficiary communities are only informed after plans have been made and they are consulted or informed through formal meetings where the officers justify their plans, but modification is not always an option or considered if there are differences of opinion.

Consequently, there has been a new focus on alternative participatory development models where the government is expected to assume the facilitator and enabler role rather than acting as a provider or manager. However, this requires making a huge investment in capacity building in communities to support networked action at a local level. Despite the recognition and assertion in the literature that participatory processes are important in development transformation, questions are left open on the precise level and nature of community participation in development projects.

### **1.3 Rationale for the Study**

It has been observed that most governments in developing countries have adopted a number of programmes that are supposed to ensure that the development of communities is realised. However, most of these programmes seem to be promoting what may be referred to as the “*give and take system*”. In South Africa, for example, people are provided with houses, food parcels, various types of social grants and other basic services, but there have been protest marches where the communities blame the government for poor service provision. Based on the experience gained as a volunteer in various government departments, the researcher developed an interest in obtaining in-depth information on how community members participate in the implementation of community development programmes, with a special focus on the programme known as OSS. This is a participatory service delivery model where the government focuses at grassroots level operations which are aimed at effective service delivery.

The intervention involves different stakeholders within the programmes, and it has the potential to impact on community development while providing comprehensive integrated community development activities that ensure a good and accountable public participation within the development context. The programme may also contribute towards addressing the needs of the poor in a participatory manner while improving the standard of living of the participants through access to basic services. However, there seems to be a lack of clarity on how the members of the community participate in the programme and whether the proposed benefits of a participatory approach, such as engaging in the process of learning, growth and change are achieved through the programme. To what extent have communities learnt or changed through the programme? This is one of the questions that prompted a study of this nature.

#### **1.4 The statement of the study problem**

The developing countries, including South Africa, are faced with numerous challenges such as poverty, food insecurity, lack of access to employment opportunities, insufficient affordable housing and lack of and /or poor maintenance of infrastructure and social facilities in both rural and urban areas. Great efforts are being made to address the challenges by encouraging the poor to participate in their own development, and by prioritising basic needs to improve the quality of life in the South African population. Participatory approaches, such as Operation Sukuma Sakhe (OSS), a flagship programme aimed at addressing the challenges facing particularly the poor have been adopted. However, the issue of whether or not community-based participatory programmes lead to sustainable and effective development need to be assessed, so as to answer questions such as whether or not comprehensive participation brings about development and change to communities, and whether it addresses the felt needs of the community through engaging them in their own process of learning and growth?

It is against this background that the researcher examined how the community members are engaged in the implementation of OSS as a participatory development programme. The focus was directed at assessing the nature and level of community participation in the implementation of the programme, specifically looking at how citizens fully engage in their own learning, growth and change in areas prioritised in the programme, which include rural development, creation of decent work, fighting crime, education and health. The factors promoting or inhibiting

participatory processes in the implementation of OSS activities were identified in order to make recommendations for an improved programme implementation. It should, however, be noted that it was not the intention of this study to evaluate the effectiveness of the programme, but to focus attention on the extent to which the beneficiaries participate in the programme.

### **1.5 The Aim and Objectives of the study**

The aim of the study was to examine how the citizens participate in the implementation of the community development programme. Hence the following specific objectives were formulated to ensure that the aim was achieved:

1.5.1 To analyse the strategies used to engage the community in participatory programmes.

1.5.2 To assess the level of participation of stakeholders in OSS implementation.

1.5.3 To examine the nature of community participation.

### **1.6 The Research Questions**

The questions the study sought to answer were divided into primary and secondary questions. The primary question focused at how community members are engaged in their own development through the OSS participatory and transformative development programme which looks at citizens' learning, growth and change. The secondary questions were as follows:

1.6.1 What types of strategies are used to engage the community in participatory programmes?

1.6.2 What is the level of participation of wards in OSS activities?

1.6.3 What is the nature of participatory programmes?

### **1.7 Definition of Key Terms**

The following section provides the operational definitions of terms that are frequently used in this study:



**1.7.1 Community Care Giver (CCG)** refers to participants or trusted partners who collect information about the needs and challenges that communities are faced with and play an active role in educating the community and supporting them in addressing some of these challenges.

**1.7.2 Community Development Workers (CDW)** are public servants who are trained and assigned to municipalities to ensure that all spheres of government deliver the services by utilising acquired multi-skills. Basically, the CDWs assist communities by integrating the functions of all government departments to accelerate a community's access to those services (Thornhill & Madumo 2011).

**1.7.3 Service Delivery** is defined as the end product of a chain of plans and actions involving municipal and provincial plans as per the national budget, by a range of stakeholders through local consultations. Thus, service delivery can be regarded as the goods and services that the government is expected to provide in ensuring the sustainable livelihood of its citizens (Thornhill *et al*, 2011).

**1.7.4 Stakeholders** are viewed as any individual, community, group or organisation with an interest in the outcome of a programme, either as a result of being affected by it positively or negatively, or by being able to influence the activity in a positive or negative way (Holdar & Zakharchenko, 2002 and Masanyiwa & Kinyashi, 2008). For the purposes of this study, the stakeholders are divided into three broad categories, the primary, secondary and key stakeholders. Primary stakeholders are individuals and groups who are ultimately affected by an activity, as beneficiaries. Secondary stakeholders include all other individuals or institutions with a stake, interest or intermediary role in the activity. Key stakeholders are those who can significantly influence or are important to the success of an activity.

**1.7.5 Participation** is a difficult concept to define, as noted in Bailur (2007). However, this study adopted the definition by Masanyiwa *et al* (2008) who adopted the definition of the World Bank's Learning Group on Participatory Development, which defined participation as "a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them". The broad aim of participation in development is to actively involve people and communities in identifying problems, formulating plans and implementing decisions over their own lives.

**1.7.6 Ward** is defined in the Oxford dictionary as a divided area of a local government, which is represented by a councillor.

**1.7.7 Ward Committee** is an area-based committee whose boundaries coincide with a ward's boundaries. These committees have no specifically assigned duties, legislative or executive powers but are established as committees that play an advisory role to the council, in accordance with Sections 73 and 74 of the Local Government: Municipal Structures Act, 1998(Thornhill *et al*, 2011).

**1.7.8 Operation Sukuma Sakhe(OSS)** is a government initiative aimed at building a better life for communities, through the community members' involvement. Through this initiative, government works with many partners, such as political and traditional leadership, civil society, community-based organisations and communities themselves, which come together in a 'War Room' based in the Wards (OSS Implementation Manual, 2012).

Other operational definitions of the OSS programme are presented below:

**1.7.8.1 OSS branding** is a War Room logo for the programme, and if the branding logo is available in OSS War Room structure, then it is easy for everyone to know that the institution represents the War Room.

**1.7.8.2. OSS Chairman** is a person deployed within the local municipality, to coordinate and carry out the activities of the programme, who is accountable for the progress of the programme within the local municipality.

**1.7.8.3 War Room** is any government institution, like Clinic, Community Halls, Schools, etc., that the different stakeholders can meet in, in order to carry out the objectives of the OSS programme activities.

**1.7.8.4 Ward Task Team** refers to appointed individuals within the war room to act as the ward War Room administrators in carrying out the activities of the programme. The structure comprises a Chairperson, Deputy Chairperson, Secretary and Local Task Team Representative.

## **1.8 Significance**

Most studies that have been conducted focus attention on participation in general and no studies have been conducted to examine the extent to which wards participate in the implementation of the OSS programme as a poverty alleviation and livelihood generation strategy. The assumption was that the results could provide information on how the needs of the local community are addressed through participation in OSS, including how the local communities can be helped to deal with their multi-faceted issues, but also to ensure such provision of services does not create, in anyway, a dependency syndrome within the participating local communities. Hopefully, the study would contribute to literature on the OSS programme, assist in policy formulation and guide implementation strategies developed for the OSS programme.

The study was also interested in how to ensure active participation. Additionally, it would help to improve the level of local rural community participation in uMhlathuze Municipality. Also the Policy makers would, hopefully be in a better position to understand the existing limitations of rural community participation in uMhlathuze Municipality and elsewhere and to identify the necessary amendments to be made to ensure that the programme is conducive for local rural communities' participation, while the results of the study will reveal which aspects require attention. Hopefully, Policy makers would reconsider to redesign a programme that will ensure active participation by local rural communities and what could be done by Municipalities in different areas of South Africa that are having similar challenges. The study will generate information of value concerning the active participation of local rural communities in uMhlathuze Municipality and also be of value to other scholars of Development studies.

## **1.9 Chapter layout**

### **Chapter 1: Orientation to the Study**

A general overview of the study is provided, which includes the background, rationale for the study, the research problem, research questions and the significance of the research.

### **Chapter 2: Literature review**

This chapter outlines the service delivery programmes and conceptual framework around the OSS programme and participatory processes. The study notes theoretical framework which informs the study and looks at participatory processes taking place in South Africa around the development of communities. The last part of the chapter describes the programme (OSS) to be studied.

### **Chapter 3: Research methodology**

The third chapter describes, in depth, the research process, including the research design adopted in the study, as well as the methodology followed in data collection and in the analysis of results.

### **Chapter 4: Research results**

This chapter presents the data and interprets the data presented. A detailed discussion is provided in the chapter and it involves cross referencing.

### **Chapter 5: Conclusion and recommendations**

The research findings and a detailed conclusion are provided in this chapter. The researcher summarises the results of the study and conclusions are drawn from the study. Limitations and recommendations for further research are also provided.

## **CHAPTER 2**

### **LITERATURE REVIEW**

#### **2.1. Introduction**

This chapter reviews literature on participatory development programmes in an effort to explore the current debates surrounding participation in development programmes that are aimed at addressing challenges affecting people, particularly the poor population. Various strategies have been adopted by governments in developing countries to address challenges such as poverty, widespread disease, unemployment and poor service delivery. However, these programmes have not succeeded in addressing these challenges, most probably because top-down strategies have been used, ignoring the multiple potential of participatory approaches where community development is concerned.

The chapter provides a theoretical framework informing the study, and various participation typologies. A glimpse of the South African situation, with regards to service delivery within participatory processes and procedures, is provided. The last part explains OSS as a participatory flagship programme in order to provide an overview of the programme in preparation for the analysis of how communities participate in their development within the programmes.

#### **2.2. Background on the Concept of Participation**

The concept ‘participation’ can be used in different forms, but they are all related. Hussein (2013: 11) states that often the term ‘participation’ is modified with adjectives, resulting in terms such as ‘community participation’, ‘citizen participation’, ‘people’s participation’, ‘public participation’, and ‘popular participation’ (Hussein, *ibid*). Various scholars have provided different participation frameworks. For instance, Fall (2002) and Nyalunga (2006) provide three pillars of what the process involves, these include the idea of shared decision-making which encompasses public review of draft documents, participatory project planning, workshops to identify priorities, and conflict resolution. Secondly, it is collaboration which involves formation of joint committees and working groups with key stakeholders and this includes sharing of

responsibilities in the implementation of projects. Thirdly, is the focus on empowerment and capacity-building of stakeholders. Sabella (2014) also identified various ways in which participation should be perceived and she suggests looking at the process as: policy (an end in itself); communication (transmission of information and knowledge); conflict resolution (the assumption that conflict can be reduced if more people, with varying ideas and information, work together, leading to constructive problem solving); therapy (meaning citizens take conducive and effective actions to solve problems and meet their needs); and strategy (way to achieve goals).

However, Sabella (2014) further notes that a participatory process has to be conceived at community level and the people should indicate their contributions in the development process. On the other hand, Storey (1999) and Burger (2014) claim that the current popularity of community participation is largely attributed to large-scale government-led development projects in the 1980s and that these have raised support for a bottom-up approach. It is further maintained that on the surface, at least, participatory approaches have appeared to encourage decentralised decision making and recognised the role of local people in the development process.

In the realm of governance, McEwan (2005) maintains that there is increasing interest in the nature and significance of citizenship and this might inform the widening of political space and enhancement of public involvement in decision-making. This has, to a certain extent, resulted in new patterns of democratic practice, and the positing of participatory alternatives to expert-driven processes (McEwan, *ibid*). Hardina (2006) and Kariuki and Mbwise (2014) justify the purpose of citizen participation as a mechanism for ensuring the effectiveness of service delivery and making these services more responsive to people in need, with people participating and contributing significantly to something they feel part of, identify with, and correlate with their efforts.

### **2.3 The Conceptual Frameworks**

The study is guided by participatory frameworks, which include: Arnstein's (1969) Ladder of Participation; Pretty's (1995) Participatory Typologies and Theron's (2009) Continuum of

Participation. The study focuses on these three frameworks because they serve as indicators used to explain the level and nature of participation in community development programmes. There are various levels of participation identified in Arnstein's (1969) Ladder of Participation with the highest level characterised by full citizen participation in development. Whereas the lowest level assumes that people are empty vessels who cannot contribute in their own development; to be precise, people are treated as in need of therapy. The level next to the lowest is characterised by a higher degree of tokenism, where the beneficiaries are informed or consulted about an already preconceived idea of the development programmes and are only invited to participate after the programme has been designed by government officials or development consultants who are not part of the community.







Pretty's (1995) Participatory Typologies have the numerous levels of participation-the highest level is characterised by self-reliance, since the people take initiatives independently from authorities. While the lowest level assumes participation as a cunning process since people are contributing their skills or resources to achieve project goals: to be precise, people are treated as socialising form in functional participation. The last lowest level is characterised by the propaganda, since people have no real influence, but they are identified as representatives on official boards, but they have no power.

Theron's (2009) Continuum of Participation has one highest level that comprises of genuine interests, since people are in action (active process) in authentic mode. Having incremental mode as the lowest level, it examines concerns in power relation access, since the people don't have control in resources as they are being excluded by those in authority. The last lowest level is characterised by a high degree of non-participation, since people are misused as they are manipulated than being involved in decision making, having it tween whereby people voluntarie contribute to the project/ programme: to be accurate, people are treated as subjects of anti-participatory mode.

This summary presents similarities in participatory framework, whereby there is correspondence in this participatory framework, the three categorical rungs levels of Arnstein's (1969) Ladder of

Participation,namely: non-participation, citizen tokenism and citizen power.However, the beneficiaries or community members are not treated as valuable stakeholders, but are consulted or informed about development. Arnstein, Theron and Pretty, all argue that the lowest level is characterised by anti-participation, manipulation, passive participation, consultation, information giving, material incentives, functional and placation participation. Cornwall (2008) maintains that typologies are a useful starting point for differentiating degrees and kinds of participation. They provide a series of ideas for participation along an axis from good to bad. The relationship between all three approaches is illustrated in figure 2.1.

**Figure 2.1: Public Participation Approaches**

Typologies	Ladder of Participation(With Degree Levels )				Continuum of Participation
7. Self-mobilisation		8.Citizen control	Degree of Citizen Power		4. Authentic
		7.Delegated power			
6.Interactive participation		6.Partnership			
5.Functional participation		5.Placation	Degree of Citizen Tokenism		3. Incremental
4.Participation for material incentives		4.Consultation			
3.Participation by consultation		3.Infoming			
2.Participation in information giving		2.Therapy	Non-Participation		2. Manipulation
1.Passive participation		1.Manipulation			1. Anti-participatory
Adapted from Pretty(1995)	Adapted fromArnstein's (1969)				Adapted from Theron (2009)

**Source: Survey Data (2014)**



The figure 2.1 shows the correspondence among these three participatory frameworks discussed: Arnstein's (1969) Ladder of Participation; Pretty's (1995) Participatory Ladder; and Theron's (2009) Continuum of Participation. Thus, public participation approaches are related to each other; however, this study will use Arnstein's Ladder to assess community participation. The most ideal level of public participation is Arnstein's degree citizen powers, where those without power are educated by those who have power (Maharaj, 2012). The participant's influence or control of decision making, actions and outcomes are often key to the descriptions of community participation. In support, Sabela (2014) and Williams (2006) view degree citizen participation as the direct involvement of community members in planning, governance and the overall project cycle, and this suggests achieving the highest level of participation.

In Cornwall's words, typologies are a useful starting point for differentiating degrees and kinds of participation. Power relations, i.e. who controls the programme, are easily explained using the levels presented. The lowest level is associated with the top-down approach. In essence, these forms can be grouped into two different types of community development methods. The first one is the top down method (analysis point levels 1, 2, 3, 4 and 5 in figure 2.1 above). In this method authorities are in control; they inform the public and the public does not have any form of influence in decision making. The second is the bottom-up method (analysis points levels 6 and 7). In this approach the public is in control of the programme. It is claimed in Rikhotso (2013) that Level 1 in the continuum indicates strategies which inform beneficiaries using such means as information flyers in monthly bills, briefings, central information contacts, expert panels, information offices, phone-in lines, newspaper inserts, press releases and printed information. Level 2 strategies, which consult beneficiaries, include community facilitation, survey and comment forms based on questionnaires, interviews, feedback registers and telephone surveys. Level 3 strategies, which empower beneficiaries, include direct dialogue techniques, focus groups, conferences, community meetings, workshops, panels, public hearings, symposia, field trips and participatory action research. Participation is also viewed as development principle which encompasses empowerment, participation as means, as end.

## **2.4 Participation as a Development Principle**

As a principle, participation concerns the engagement of individuals and communities in decisions about their development and all issues pertaining to the improvement of their lives

(Karuiki&Mbwise, 2014). It is further claimed that community participation in development implies open discussions among stakeholders, and working with, and not for people, which may lead to the sustainability of the project. When people are afforded the opportunity to participate, they tend to develop a 'we' feeling of ownership of the project and may contribute significantly to something they feel part of, and identify with.

Linked to the principle of participation is the question of meeting both basic and abstract needs of community members. It is much easier to identify the most pressing and basic needs of people if they are part of the programme. Swanepoel and De Beer (2011) argue that if people are encouraged to identify their needs themselves, and participate in addressing the identified needs, the abstract needs such as respect and human dignity are automatically addressed. Participation encourages people to identify themselves with the project, which leads to its sustainability. The authors further maintain that community participation in any project calls for full engagement throughout the project cycle and not the ad hoc type of participation.

Kelly and Van Vlaenderen (1995) notes how the term participation has come to mean different things in different contexts, and that there are different forms of community involvement which should be distinguished rather than be lumped together as if participation refers to a clearly discernible set of processes. The use of the concept 'participation' in development, sometimes obscures real power differentials between change agents and those on the receiving end of the development relationship, and sometimes serves as a pleasing disguise for manipulation. Kelly *et al* (ibid) also believe that this is especially true in transition situations where democratic procedures are all too often regarded as a sufficient safeguard of community interests.

It is noted by Sabela (2014), that the whole participatory approach can be described as a shift from the theory of modernisation, which was based on the universal prescription of identical development packages to one which acknowledges that regions are diverse in terms of resources and problems experienced and, therefore, a uniform approach to development is doomed to fail. Sabela (ibid) defines participation in terms of interaction between various stakeholders in the development process and, therefore, views participation as a process where professionals, community members, government officials, families and others combine their efforts and work

together in a formal or informal partnership to meet identified needs or work something out. Swanepoel & De Beer (2006) argue that the primary role players in decision making are people, not the government. In support of this view, Nampila (2005) maintains that when people are central to the development process their attempts to promote social and economic development are accelerated. Whereas Bailur (2007) claims that it is the insiders who learn what the outsiders want to hear, their needs become socially constructed and the dominant interests become community interests.

According to Sabela (2014), participatory development builds a sense of empowerment and makes people feel that they have power to change their lives. Sabela (ibid) lists the various kinds of local participation in development projects, namely: beneficiary involvement in the planning and implementation of externally initiated development projects; external help provided to strengthen or create local organisation for a particular project; and initiatives by local people on their own without any external help. As Nampila (2005) notes, participation is one of the ingredients necessary to promote sustainable development. This will ensure that local communities maintain their own projects. Khwaja (2004) maintains that empowerment community participation leads to successful development projects, due to meaningful community involvement.

#### **2.4.1 Participation as Empowerment**

Participatory development cannot be explained without looking at capacity building and empowerment. Research has shown that empowerment is fundamental to participation as it signifies that people hold complete power and are fully in control of a development programme (Richards *et al*, 2004 and Muhammad, 2007). Masanyiwa & Kinyashi (2008) argue that participation is where people are in partnership with each other and also with those who are able to assist them by identifying problems and the need to mobilise resources by assuming the responsibility to plan, manage and control. The people themselves decide on the development skills required and their abilities to manage better while having a say in, or negotiating with existing development systems.

Lord and Hutchison (1993) argue that empowerment can begin to be understood by examining the concepts of power and powerlessness. Masanyiwa *et al* (2008) analyse powerlessness as a central element of poverty, inequality, injustice and exclusion that involves the analysis of challenging the changing power relations. The empowerment approach helps to amplify unacknowledged voices by enabling the poor and vulnerable people to decide upon and take actions which they believe are essential to their development. The concept of empowerment is an attempt to break the vicious circle of social problems which are difficult to resolve (Sadan, 2004). Empowerment happens when individuals and organised groups are able to imagine their world differently (Pettit, 2012).

According to Muhammad (2007) participation, in essence, is an important goal in community development and empowerment and, therefore, embraces and increases individual esteem and enables people to organise collectively to break dependency by enriching the achievement of human potential of people to become subjects in their own world, rather than objects in other people's worlds. Meenai (2008) argues that participation, as a goal in itself, is expressed as a means of empowering people in terms of skills attainment, knowledge and experience to take greater responsibility for their development. Participation is the instrument of change that can help to break inequality and exclusion and provide poor people with the basis for their more direct involvement in development initiatives. This can be regarded as one of the primary roles of CDWs as they and their organisation are regarded as the reservoirs of information (Swanepoel & De Beer, 2011).

Linking participation and empowerment, Samah and Aref (2009) claim that empowerment is the ability of individuals to gain more control in determining their lives. Theron (2009) and Tsoabisi (2012) equate participation with empowerment which presents critical skills to the beneficiary community and capacitates them to have control over development, while increasing self-esteem, thus, serving as a catalyst for poverty reduction. It is imperative that this OSS programme hone this element within its operation and thus bring meaningful public participation.

### **2.4.2 Participation as a Means or as an End?**

One of the common distinctions made by Masanyiwa *et al* (2008) is that participation as a means, implies the use of participation to achieve some pre-determined goals. They further explain participation in this context as a way of harnessing people's physical, economic and social resources to achieve the aims and objectives of development programmes and projects more efficiently, effectively or cheaply. However, the authors contend that participation, as an end, is viewed as an active, dynamic and genuine process which unfolds over time and whose purpose is to develop and strengthen the capabilities of rural people to intervene more directly in development initiatives. As an end, participation is seen as the empowerment of individuals and communities in terms of acquiring skills, knowledge and experience, leading to greater self-reliance.

The proponents of this view often maintain that development for the benefit of the poor cannot occur unless the poor themselves control the process, the praxis of participation. It is argued by (Masanyiwa *et al*, 2008) that by “establishing a process of genuine participation, development will occur as a direct result”. These common distinctions make different provisions of public and private sectors in that when the programme is initiated by the government, it is seen as a “means”, while the private sector (NGOs) tends to be considered as an “end”. The explanation clearly suggests that participation, as a means, only focuses on service delivery and the input of the community is not really valued within the programme. Having participation as an end provides community centred development which involves capacitating the community while their opinions are also taken into consideration.

### **2.4.3 Participation as Redistribution of Power**

According to Kenny *et al* (2013) participation as power redistribution simply means that the previously excluded are deliberately included by the powerful in political and economic decision making processes. This is aimed at inducing social reform so that those who were previously excluded can share in the benefits of society. Duraiappah, Roddy and Parry (2005) maintain that participation recognises the importance of engaging all stakeholders irrespective of gender, educational level or the socio-economic status. Meenai (2008) sees it as making an educative value, in that, through participation people learn, and opportunities are created which enable all

members of a community to actively contribute to and influence the development process and to share equitably in the fruits of development. Khwaja (2004) points out that participation is incomplete if it misses the role of the key participants as a means of affecting the distribution of power and ownership.

#### **2.4.4 Participation as a Process**

Participation refers to a process and not a product. What counts, in other words, is not simply the share of benefits that participants receive, but the role they play in determining the evolution of delivery services (Nour, 2011). Borrowing from WHO (2002) and Tsoabisi (2012), a participatory process is one whereby people are enabled to become actively and genuinely involved in defining the issues of concern to them. The people take decisions about factors that affect their lives and become involved in formulating the implementation policies, in planning and delivering services while taking action to achieve change. In support, Sabela (2014) also describes the concept as an active process in which the intended beneficiaries influence the direction of the development project.

Additionally, Meenai (2008) notes the importance of local people co-operating or collaborating with externally introduced development programmes. In this way, participation becomes the means whereby such initiatives can be more effectively implemented. This approach appears to be widespread and essentially promotes participation as a means of ensuring the successful outcome of the activities undertaken. It is emphasised in Nampila (2005) and Theron (2009), that the beneficiary groups do this with a view to enhancing their well-being in terms of income, personal growth, self-reliance or other values they cherish. By including programme beneficiaries in decision making, they become the masters of their own development. Participation, as a process, is asserted as an action word which means that the communities are included from the initial phase of the programme cycle until the end (Swanepoel and De Beer, 2011).

#### **2.4.5 Participation as Contribution**

Participation as contribution during the implementation of programmes and projects or in the operation and maintenance of created facilities, may be entirely voluntary, induced to various

extents, or even enforced. It may be provided in the form of ideas, judgements, money, materials, or unpaid or lowly paid labour (Masanyiwa *et al*, 2008). In Dale's words, this notion may also be seen as 'participation as means' to get things done (Dale, 2004).

## **2.5 The Benefits of Public Participation**

Public participation has many benefits, since its main aim is to encourage the public to have meaningful input into the decision-making process. Allahdadi (2011) also alludes to the importance of local participation because it leads to success and prosperity in rural development activities. Storey (*ibid*) claims that participation centres on the idea that local people should be involved in the process of formulating development strategies for their own areas. Therefore, participation has, for a long time, been recognised as playing the most important role in governmental programmes and is seen as a means to ensure a sustainable livelihood for the public.

Participation provides the opportunity for improved and effective communication between agencies making decisions, and the public. This communication can be an early warning system for public concerns and a means through which accurate and timely information can be disseminated, thus contributing to sustainable decision-making. These benefits apply when public participation is a two-way process where both the agency and the public can learn and gain benefits (Wouter, Hadie-Boys & Wilson, 2011). Effective public participation allows the public's values to be identified and incorporated into decisions that ultimately affect them, as asserted by (Wouters *et al*, *ibid*).

Community participation ensures that a project is socially acceptable and can increase the likelihood of beneficiaries participating in the project, while helping to ensure a more equitable distribution of benefits and that politically or economically weak groups may have access to project services and benefits (Sabela, 2014). Resource mobilisation is much easier when beneficiaries are committed to a project and are actively involved in its design, and implementation. Community resources may be provided in the form of labour, materials, or money. Cost recovery rates are often much higher when the community is actively involved. Extensive evidence from irrigation and housing projects indicates that if users are not involved in

project design, they are very unlikely to agree to pay user charges. The willingness of a community to provide labour or other resources during project implementation is also closely associated with their feeling of involvement in the project (Sabela, *ibid*). However, there are challenges associated with community participation in development programmes and these are explained in the following section.

## **2.6 Challenges of Community Participation**

A number of factors can become obstacles to ensuring effective community participation. These are described in section 2.6.1 to 2.6.9:

### **2.6.1 Administrative obstacles**

Administrative obstacles relate to bureaucratic procedures, operating by a set of guidelines, and adopting a blue print approach which tends to provide limited space for people to make their own decisions or control the development process (Masanyiwa *et al*, 2008). McEwan (2005) maintains that a bureaucratic structural process results in poor community attendance due to lack of feedback.

### **2.6.2 Time constraints**

Richards *et al* (2004) view time as a constraint or obstacle because participatory approaches often require considerable time and energy and, most people are unable or unwilling to take part, particularly when they doubt whether they will have time to participate in the project. Sometimes the community may need to be capacitated or be provided with skills or knowledge to enable them to effectively participate in the project, which may also delay the project.

### **2.6.3 Inadequate periodic monitoring**

Projects are sometimes planned and executed without having any evaluation or monitoring procedures in place. This can be a constraint, particularly if corrective measures have to be adopted or if there are adjustments to be made in the development programme. Nwachukwu (2011) maintains that adequate periodic monitoring of the programme from the facilitators, government or non-governmental organisations, even other agencies with participating communities, has to be collectively conducted.



#### **2.6.4 Inadequate financial capacity**

The weak economic power or financial position of participants from rural, informal settlements, townships, or even urban poor communities, reduces their capacity to participate in developmental programmes. Economic growth without creating jobs and income inequality, could induce participation apathy on the part of the citizenry. As stated by Nwachukwu (2011), there is a need for redistributive economy, especially in rural and other disadvantaged areas.

#### **2.6.5 Inadequate access to information and lack of communication**

People often cannot participate effectively in community development activities, including local government affairs, if they are not provided with information. Mogaladi (2007) argues that potential participants may also fail to understand the professional jargon and find it difficult to participate in projects. People are sometimes deprived and not given access to information, even if they have the desire to know about the projects and to have access to information about government programmes and services. Rural people, in particular, are always deprived of access to information about programmes and services initiated by government or experience difficulty in obtaining general information about government programmes. Local knowledge is also critical to informed decision making and the local people who understand the local complexities can help to effect participation, hence their voices, ideals, fears, aspirations and concerns must be accommodated in community development projects (Nwachukwu, 2011).

Two-way communication has to be encouraged between the community and the development experts, the development agents, government officials, or a CBO/NPO and the community. This system works well when the elected representatives, the local authorities and the communities affected, can articulate their views and when channels of communication are well known to people. However, in most cases, there are no channels of communication for the transmission of information or the expression of views, and even when they exist, the people, particularly those staying in the rural areas, do not know about them or they are ineffectual, presented by community committees (Mogaladi, 2007).

### **2.6.6 Inadequate Cooperation of Local Authorities**

Rural community is governed by elected ward councillors and traditional leaders, thus this influences community participation and service provision programmes initiated by government. Nyalunga (2006) noted a complex linkage in their roles and function. Therefore, the government role is to incorporate traditional leaders into government, to be central role players in new development and service delivery.

### **2.6.7 Inadequate Provision of Incentives**

It is noted in Nwachukwu (2011), that the provision of incentives by government, or the facilitators, could trigger effective participation and that the pathetic socio-economic position of the people obstructs them from meaningful participation. As an incentive, there should be provision of stipends for participants, no matter how small, that could serve as encouragement and enablement for them to participate, particularly women and vulnerable groups. Nyalunga (2006) noted non-participation of ward committees that is due to lack of capacity and incentives to persuade them to work whole heartedly towards the betterment of their constituencies.

### **2.6.8 Political factors**

Political factors serve as obstacles, and Nwachukwu (2011) argues that participation in developmental programmes cannot survive in the absence of political tolerance. Participation in development programmes in the community may be influenced by attitudes and perceptions of the local people regarding their representatives and the facilitators who, most importantly, should not be identified with any particular political formation.

### **2.6.9 Social barriers**

Masanyiwa *et al* (2008) describe the social impediments as comprising a mentality of dependence, a culture of silence, domination by the local elite, gender inequality, low levels of education, and exposure to non-local information. Mogaladi (2007) points out that great social inequalities cause non-participation among the poorer marginalised communities because they have a feeling of powerlessness and they do not believe that their inputs can have any impact on the final plans. Moreover, Nwachukwu (2011) argues that leaders must make efforts to recruit and involve people, considering both racial and ethnic diversity, as well as their socio-economic

status as the interest and concern of all members of the community should not be ignored. Despite the challenges mentioned, there are several ways to encourage community participation.

## **2.7 Encouraging Community Participation**

It is clear that citizens do not fully engage themselves in the programmes and, this it is viewed as a joint effort and not just the responsibility of a certain group of stakeholders. All stakeholders within the programme should engage themselves in the following ways:

### **2.7.1 Community Empowerment**

The community should be empowered to take control over how things are done. People should feel that they can influence the outcome of the project in order for them to participate. They should be mobilised to take collective action aimed at sustainable development. Ignorance can be overcome by disseminating the appropriate information, and change agents should make sure that they are trusted by the community (Nampila, 2005).

#### **2.7.1.1 Community Informed as Per-Individual Right**

The community should be made aware of their individual rights and be informed about issues affecting them directly. For example, local authorities could invest in public education initiatives. When people are informed and educated, they are an asset in promoting democratic accountability and administrative responsibility. Community participation should become a philosophy and the responsibility of all municipal employees. This kind of participation should become part of the organisation's vision, mission, work ethic and culture. Conditions should be created under which collaborative dialogue can occur around issues that are critical to the community. All viewpoints should be heard and all citizens should have an equal chance to participate in the decision-making process (Nampila, 2005).

#### **2.7.1.2 Excluded Community should be Given a Voice**

Community participation should seek to give a voice to those normally excluded from the process. At the same time, community participation needs to be an ongoing commitment with preparedness to begin with where people are, rather than set aspirations too high, according to Brown's slow-fast incremental approach. Developing critical consciousness about sustainability

provides a platform for community participation. Stakeholder education for sustainability becomes a key component in facilitating community empowerment within the participatory development process. For this reason, community participation cannot be proclaimed; it has to be developed. Many work with a commitment to participation, but with only limited guidance on how to put such commitment into practice. When communities are aware of the issues at stake they will be more willing to participate (Nampila, 2005).

### **2.7.1.3 Welding of Community Stakeholders**

One way to strengthen community participation is through the welding of public/community/private partnerships built on existing organisational strengths. Community groups need to be remunerated for undertaking tasks of infrastructure management and maintenance in partnership or under contract to local government. Only if communities and beneficiary groups participate in project operation and maintenance will sustainability be assured. If communities are to enter into partnerships with local government for the implementation and management of local economic development and infrastructure projects, the capacity to sustain these partnerships will need to be created (Nampila, 2005).

## **2.8 Participation within the South African Context**

The South African government does support participatory processes for the development of communities, as noted by Kelly *et al* (1995). In contemporary South Africa, in almost all spheres of public service there is an acknowledgement of the need for transformation of existing services. Community participation is encouraged in three inter-government spheres in South Africa and the frameworks serve as guidelines for community participation in the South African context, such as the South African Constitution in public participatory practices, the White Paper on Local Government, 1998, Municipal Structures Act (Act 117 of 1998), Municipal Systems Act (Act 32 of 2000), Access to Information Act (Act of 2000), and other service delivery legislative frameworks. The concept of *uBuntu* has been added, as Khoza (1994), in Sigger, Polak and Pennink (2010:13) states that ‘*Ubuntu* is a concept that brings to the images of supportiveness, cooperation, and solidarity’. CSOs promote people-centred development; they operate not for commercial purpose, but in the interest of the marginalised poor (Davids, Theron & Maphunye,

2005). The legislative frameworks have implications for effective and appropriate delivery of services, particularly if participation guides the process.

### **2.8.1 South African Service Delivery Programmes**

Like many others, the South African government has attempted to create new spaces of participation within its broader vision for socio-economic development by devolving state power to localities through legislation. As discussed in 2.8, Democracy in South Africa began in 1994 under the leadership of the first elected democratic President, Mr Nelson Rolihlahla Mandela. The democratic government introduced the Reconstruction and Development Programme (RDP) 1994, which was regarded as an integrated, coherent socio-economic policy framework (Liebenberg & Theron, 1997 and Davids, 2009).

The RDP policy is aligned with the World Summit on Sustainable Development (WSSD) that was held in Johannesburg in 1992 on prioritising the basic needs. However, it was noted that the policy that was adopted binds the state to make provision of basic services and facilities to the poor, thus raising public expectations of government, despite the state economy not being in a position to do so. In support Chikulo (2003) assesses the RDP during the period 1994 to 1996 and the review confirmed the RDP as the cornerstone and a yardstick against which the success of the government development policy in South Africa is built. However, a number of shortcomings were noted, such as that it looked more like a wish list than a strategy document focusing on opportunities and constraints. It was also criticised for not making any attempt to set priorities or to assign responsibility for the implementation of each programme component and that it lacked mechanisms for inter-departmental coordination. It was further highlighted that local government, which had been assigned constitutional responsibility for promoting socio-economic development, did not have adequate planning and implementation capacity.

This resulted in policy changes which marked the introduction of the Growth Employment and Redistribution (GEAR) policy in 1996, which focused on stabilising economic growth through the provision of resources to ensure that public services are met. Chikulo (2003), again viewed the GEAR as a package policy designed to achieve high rates of economic growth based on the theory of expanding the private sector with the assumption that this will improve output (and

thus, increase employment), achieve fiscal reform and encourage trade and investment. Furthermore, GEAR sought to achieve redistribution and improvement in basic living conditions as a result of generally revitalised economic performance. GEAR was formulated based on the assumption that the expansion of the private sector would have a substantial impact on the economy, whilst the role of the state would largely be a facilitative one.

The service delivery provision within the state remains an important element, as demonstrated by the former State President, Mr Mbeki when he introduced the Community Development Workers programme (CDWP) as a concept, not as a legislative enactment, but rather as a policy decision, stating that “Government will create a public service echelon of multi-skilled Community Development Workers (CDWs) who will maintain direct contact with the people where these masses live. Swanepoel & De Beer (2011) verify that CDWs facilitate the learning process, especially in deprivation trapped communities. Indeed, Nyalunga (2006) maintains that CDWs offer foundation to facilitate community development. We are determined to ensure that government goes to the people so that we sharply improve the quality of the outcomes of public expenditures intended to raise the standards of living of our people” (Raga, Taylor & Gogi, 2012:236).

The CDWP aims to improve service delivery for the people, facilitate community development and work jointly towards sustainable economic and social upliftment. The principles of the CDWP reflect the White Paper (1997) on Transforming Public Service Delivery, which is popularly known as ‘Batho Pele’, and which is a response to ensure good service delivery, since it identifies “Putting People first”.

In its quest to deliver to the people, the Province of KwaZulu-Natal also incorporated the Millennium Development Goals (MDGs) into the different provincial departmental programmes, such as the Food Security programme, with the project of One-Home-One-Garden (OHOG) 2009, as it addresses the first millennium development goal. A Comprehensive Rural Development Programme (CRDP) was launched in 2009 under the administration of the current State President, Jacob Zuma, who stressed the importance of improving the lives of rural dwellers, stating that: “for as long as there are rural dwellers unable to make a decent living from

the land on which they live we shall not rest, and we dare not falter in our drive to eradicate poverty”(State of the Nation Address, 2009). Surprisingly, the Province introduced a flagship programme known as Operation Sukuma Sakhe (OSS), which is discussed below.

#### **2.8.1.1 Operation Sukuma Sakhe in KwaZulu-Natal**

Operation Sukuma Sakhe (OSS) is a programme in the province of KwaZulu-Natal (KZN). The province was found to be the most populous rural province and it has a large service delivery gap between urban and rural municipalities. OSS means ‘Let-Us-Stand-Up and Build’. The programme encompasses the five top priorities of the Provincial Government embedded in the service delivery model, namely: fighting poverty, behavioural change in addressing social ills and crime, addressing the needs of the most vulnerable and deprived communities, make rural development a realisable vision and creating opportunities for skill development and employment (OSS Implementation Manual, 2012).

OSS is a service delivery model which involves the implementation of a comprehensive, efficient, effective, quality service delivery system that contributes to a self-reliant society in a sustainable manner. The participatory approach forms the philosophical basis of the programme. Therefore, it acknowledges that for a society to be self-reliant, it is important that its members are not passive recipients of services, but that they participate actively in local interventions which will have an impact on their lives. The programme ensures that community members have to fully engage in their own process of learning, growth and change and that through community participation individuals are able to connect with each other, thus, rendering them better placed to make decisions in terms of their individual and collective efforts towards a better life for themselves. The Government of KZN has published a Citizens’ Charter that spells out what services will be provided and how they will be provided with an emphasis on service delivery improvements (OSS Implementation Manual, 2012).

The goal of OSS is to rebuild the fabric of society by: promoting human values; fighting poverty, crime, diseases, the deprivation of social ills; and ensuring moral regeneration, by working together through effective partnerships. Partnerships include civil society development partners, communities and government departments, with the aim being to provide a comprehensive

integrated service package to communities. The objectives of the programme are to create and maintain functional task teams at provincial, district, local and ward levels in order to provide integrated services to individuals, households and communities. To achieve the objectives, it is proposed in the programme that profiles of individuals, households and communities at ward level have to be created and a database constructed of the different services required by communities.

#### **a)Functioning of Operation Sukuma Sakhe in KwaZulu-Natal**

The programme operates through the establishment of War Rooms (WR) in each ward with the ward councillor serving as the Champion. There are various structures to be put in place for the programme to take-off, including the Provincial Task Team Structure (PTT) to provide the strategic direction of the programme at local level, mobilise resources and to provide mentorship to the District Task Team (DTT). The DTT is responsible for providing direction and developing local strategic and implementation plans and provides mentorship to the Local Task Team (LTT). The LTT is the local structure made up of the local mayor, government departments, community leadership, Civil Society Organisations (CSOs) such as Non-Profit Organisations (NPOs), Non-Governmental Organisations (NGOs) and Faith Based Organisations (FBOs). The structure responsible for the operation of OSS at ward level is the Ward Task Team (WTT). The WTT is championed by the ward councillor; it includes government departments, community leadership, civil society and fieldworkers, such as Community Development Workers (CDWs), Community Care Givers (CCGs), Youth Ambassadors (YAs), Agricultural Extension Officers (AEO), social crime prevention volunteers and community mobilisers. The WTT takes full responsibility for the WR and it has to ensure that weekly meetings are held and has to ensure that support is provided to government departments in the process of resolving issues.

The WTT takes responsibility for the allocation and facilitation of training and the management of fieldworkers. It provides guidance, support and mentoring to fieldworkers through training and debriefing sessions, supports fieldworkers to investigate and follow-up on households which have been profiled and provide appropriate feedback on their issues, and supports standardised data collection, data management and data analysis processes at ward level. It ensures that the household profiling tools and data are appropriately captured, recorded and stored in a manner



that is easily retrievable for reference purposes. It collates information and submits reports to the LTT in the required standardised format within the given timeframes. The WTT ensures that progress of the implementation of the programme is monitored through the Implementation Plan and follows up on any outstanding issues.

#### **b) The Stakeholders in Operation Sukuma Sakhe**

According to the Implementation Manual (2012), there are four main stakeholders in OSS expected to actively serve the community beneficiaries, namely: all government spheres (national, provincial and local); community leaders; CSO (NPOs, NGOs, FBOs, Business, Community Forums); and Community Fieldworkers. The members of the community who ultimately receive support through OSS are regarded as the beneficiaries, and include:

- **Women:** as they are more likely to take the lead in the OSS programme on the ground and are the most likely of all vulnerable group members to free their respective households from poverty;
- **Children under 6 years of age:** as early child development support and free access to basic health care will be provided in order to guarantee a decisive break from the cycle of the inter-generational poverty trap;
- **Children under 18 years of age:** because every child of school-going age will be encouraged to attend school because education is critical for their future;
- **Unemployed and unskilled youth:** as they will be encouraged to complete or return to their education and training in order to secure their future, as well as enhance their own capacities and capabilities to explore more opportunities of making a contribution to society;
- **Unemployed adults:** because they will receive skills development to enhance their capacities to explore employment and income generation opportunities;
- **The unskilled and illiterate:** because they will be encouraged to improve their skills and become literate in order to enlighten themselves and their families, and improve on their income-generation and employment opportunities; and
- The disabled, the chronically sick and the elderly: as the essence of human solidarity means that care needs to be provided to those that are not able to care for themselves.

There are different benefits for each stakeholder group participating in OSS. However, the process is reciprocal in that members from each stakeholder group are expected to participate in OSS Task Teams and assist the Provincial Government to reach its goals in the fight against poverty, behavioural change in addressing social ills and crime, addressing the needs of the most vulnerable and deprived communities and making rural development a realizable vision and creating opportunities for skill development and employment (OSS Implementation Manual, 2012).

The Government is the most important stakeholder in the OSS Programme as it is able to use the programme as a platform from which to deliver essential and long-term services to communities, and the programme enables the government to provide services in an integrated and coordinated manner, thereby avoiding duplication of services through joint and coordinated planning across government departments. It also provides the ability to share and pool information and resources to achieve maximum output in an efficient and cost-effective manner. The community leaders are individuals who play a leading role in community affairs and this group includes traditional leaders, amakhosi, ward councillors and other individuals who are respected within the community. The OSS provides them with the opportunity to partner with Government and other stakeholders to make a meaningful difference to service delivery at community level and to be part of a Forum to advocate for key community issues, thus bringing community needs to the forefront when developing community plans at district level.

CSOs, such as NPOs, NGOs, business or the private sector and community forums provide critical services directly to communities at ward level. They are either supported by Government, the private sector, churches or other donors and play an important role in assisting communities in the country's fight against poverty. They are afforded the opportunity to facilitate networking and partnerships with Government Departments and other stakeholders operating in the ward, and have the ability to streamline activities and to avoid the duplication of services. They acquire information and skills and are trained in various areas.

Other stakeholders include the fieldworkers who play an important role in effecting social and behavioural change at community level. These include CDWs, CCGs, YA, AEO, Sport Volunteers and Community Mobilisers. Each one provides essential services at different levels

within the community, such as the promotion of the “One Home One Garden” project, healthier lifestyles, household profiling, and crime prevention.

## **2.9 Other Participatory Programmes Similar to Operation Sukuma Sakhe**

The Operation Sukuma Sakhe Programme that is implemented in KZN is similar to a Programme that is implemented in Tanzania, called the Social Accountability Programme in Tanzania – SAPT. However, there are differences within the legislative frameworks, in that the SAPT is more of a rights-based programme, whereas the OSS is service delivery focused.

The main focus of the SAPT is on the marginalised, but working through existing CBO/CSOs, which is the same as the focus of the OSS Programme because, it focuses on vulnerable communities. This means that both programmes focus on poor communities. However, the OSS also includes all spheres of government. There is also a similarity in the targeted stakeholders involved in the two programmes, in that, both have vulnerable groups targeted as stakeholders, namely; Women’s groups, Councillors, People living with HIV/AIDS (PLWHA), People with disabilities, and Youth using the Youth Shadow Councils (Roell & Mwaipopo, 2013)

Therefore, OSS programmes have women as role players of the programme, the same as SAPT. However, SAPT seems to have had the biggest impact so far in terms of the increased awareness of community members and targeted groups of their rights, how to hold duty bearers accountable, who to go to for claiming rights, understanding the obligations of the supply side regarding service delivery, and their own responsibilities to participate and take action for their own development as citizens (Roell *et al*, 2013).

Forum Syd Social accountability programme for the purpose of internal learning and sharing with other partners on the approach, design, implementation and impact of the programme on addressing the problem of social accountability failure in Tanzania. In order to increase the awareness of the citizens and marginalised groups in particular, Forum Syd used the following strategies. They have adapted training packages, methods and materials to suit different target groups both in terms of content, set up and language, and also the training provided on social accountability to low level participants, both from the demand and the supply side. They use community radios to disseminate messages and promote dialogue with communities and

Community Resource Centres to provide easy access to information, space for dialogue, paralegal services, and the internet. They have also produced newsletters and posters to inform and educate the communities, as well as theatre groups, events and celebrations to campaign for specific rights topics (Roell *et al*, 2013).

Hence, this has increased participation in village and ward level meetings and the community members are able to participate during village assemblies and statutory meetings, as well as dialogue platforms at ward and district levels so that locally identified priorities constitute the agenda and are based on this local village agenda decision. Through the establishment of Social Accountability Monitoring Committees (SAMCs) at ward/village level, communities have been able to hold the LGAs accountable and in many cases they have been able to improve service delivery. Improved service delivery resulting from LGA accountability is indeed a result of joint efforts involving local government funding and community contribution. The change in attitude among the community and local leaders, together with an improvement in relations and communication between them, constitutes behaviour change, which is a high level requirement for social change. Due to the above elements, SAPT has earned its acceptance, relevance, efficiency and great potential for sustainability. It has started small with the possibility of scaling –up, given support, to regional and ultimate national coverage in a short period of time (Roell *et al*, 2013).

In closing, on the SAPT there are many successes and testimonies that have been registered by the community members participating in activities with Forum Syd and its partners. The most important achievements at community and district levels include increased awareness of social accountability, increased participation in village and ward level meetings, holding government accountable, enforcing the rights of citizens, improved capacity of supply side actors, and lastly, improved relations between government and civil society (Roell & Mwaipopo, 2013).

## **CHAPTER 3**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

The chapter presents the research design and methodology that were followed in the study. The data on participation of wards in the implementation of OSS were collected using various methods that are described in this chapter. The first part explains the research design adopted, the research philosophy informing the study, and the methodology adopted for data collection and analysis. The last part explains how validity of data and the reliability of the instrument for data collection were achieved, including ethical issues considered in the study.

#### **3.2 Research Design**

The study is descriptive in nature because it describes a particular case study (Operation Sukuma Sakhe) and provides a detailed analysis or picture of how wards participate in the implementation of a specific service delivery programme of the government. It Gray (2009) states that a descriptive study explains the situation as it naturally occurs, and in the study, participatory processes in the implementation of the OSS programme are described, with minimal explanation of the reasons why participation occurred the way it did. The study involved describing the level and nature of participation, and it was not aimed at evaluating the OSS programme and its effectiveness in service delivery.

#### **3.3 The Research Philosophy**

The study adopted an interpretive research philosophy to understand how communities engage in the implementation of the OSS programmes. The philosophy enabled the researcher to understand human phenomena in context, the experiences and views of people as participants in the programme. Blanche, Durrheim & Kelly (2006:321) claim that the purpose of interpretative analysis is to provide a detailed description of the characteristics, process and contexts that constitute the phenomenon being studied. Gray (2009) maintains that an interpretive study attempts to understand social reality in terms of experiences and views of the affected. Therefore,

the study proposed to obtain information on the participatory process in the programme as understood by people themselves. Hence, this study considers the views of the beneficiaries on the nature and level of their participation in the programme.

### **3.4 The Research Approach**

The descriptive nature of the study and the philosophical background required that the researcher adopts a qualitative research approach. Welman *et.al* (2005:188) define the qualitative approach as “the umbrella phrase covering an array of interpretive techniques which seek to describe, decode, translate and express the natural occurrence of phenomena in the social world”. It is noted that there are different views about the stage in the research process where this approach occurs, in that some researchers believe that it happens in two stages, during data collection and data analysis, whereas others believe that it happens in all stages of the research process.

The use of the qualitative approach enabled the researcher to fully understand how the community participates in the implementation of the programme and the challenges experienced, and to gain information on the views about the benefits accrued through the programme. One of the qualitative data collection methods used in the study was the focus group discussions which were used to generate the themes. Gubrium and Sankar(1994) outline qualitative research as starting from the assumption that one can obtain a profound understanding about persons and their environment from ordinary conversations and observations. Qualitative research focuses primarily on the depth or richness of the data and, therefore, qualitative researchers generally select samples purposefully rather than randomly (Struwig & Stead, 2001). Sikhosana (2006) maintains that the qualitative approach interprets the meaning that the subject gives to their everyday lives. It also focuses on the different ways in which people experience, conceptualise, perceive or understand the world (Sikhosana, *ibid.*).

Through the qualitative approach, the researcher was able to establish the methods used to ensure that the beneficiaries participate in the programme and to assess their views on how they have participated. It was believed that people have their own understanding of the programme and its implementation and have their own experiences and conceptualisation about the manner in which they have been involved in the implementation. Wilkinson and Birmingham (2003:76), and

Struwig and Stead (2001:13) agree that the term ‘qualitative’ in research implies that the data are expressed in the form of words as opposed to numbers. Creswell (2007:36) defines qualitative research as a situated activity that locates the observer in the world is consist of set of interpretive, material practise that make the world visible. It is further argued in Struwig and Stead (2001:11), and Marvast (2004:11) that qualitative research methodologies investigate the ‘why’ and ‘how’ of decision making, not just ‘what’, ‘where’, and ‘when’. Hence, smaller, but focused, samples are more often needed rather than large ones.

The qualitative approach yielded data on the demographic features of the participants and frequency of participation in the programme. The qualitative approach was specifically used in an attempt to understand the gender distribution of the participants in the programme as this has a bearing on access to resources and decision making which are regarded as important aspects in the implementation of the projects. Other demographic aspects considered in the study include the age structure and educational level, as these were found to have a bearing on the activeness and knowledge base of the respondents. The use of this approach allowed for complete reliability and validity of data. It enabled the researcher to overcome the shortcomings noted in each method.

### **3.5 Research Methods**

The qualitative method was used to collect and analyse the data in OSS activities and participation of wards in the programme. The method provides information on the sampling procedure that was followed in this study. The study was more community based, therefore, qualitative data collection methods were used, such as in-depth interviews and focus group discussions. Discussed below, is the sampling procedure and the methods used to collect and analyse the data for this study.

#### **3.5.1 Sampling Procedure**

The purposive and convenience sampling methods were used to select the respondents participating in the OSS programme. The former was used to select the key informants such as the traditional leadership, ward task team and OSS chairman whereas the latter was used to select the respondents from the community. The Municipality is made up of thirty wards, but only six

were selected, meaning that 20% of the participants in OSS programme comprised the sample for this study. The sample was obtained from six wards identified and selected for the study, and two wards in each area. Hence, two rural wards, namely Nseleni (ward 5) and Mandlankala (ward 12), two urban wards (wards 9 and 20), and two mixed-wards, Mandlazini (ward 4) and kwaNowa (ward 18) were selected in uMhlathuze Municipality. The database of the wards within the municipality was used to generate the sample. The criterion used to select the participants for this qualitative study was that they had to be permanent residents in the area of study.

The criteria used for selecting the focus groups was that the individuals were members of ward task teams and had to fall within the OSS service delivery structure. The Ward Councillors and Chairperson were informed in time about the researcher visit, and for the community focus groups it was also asserted that participants are supposed to be permanent residents who are attending the war room. Permission to conduct research was sought from the local leadership. There were others who were not present during focus group interviews for various reasons. The sample comprised 125 respondents, as indicated in Table 3.1, below. The diversity observed in the table below (Table 3.1) suggests differences in value positions, and different stakeholder understandings of the participatory process of the participants, which contribute to the richness of the information obtained. The stakeholders include government officials, local leadership, non-profit organisations, and the poor.



**Table 3.1: The participants in the study**

<b>Participants</b>	<b>Number participating</b>
Broad Ridge member	01
Champion	02
Chairperson	04
CDWs	02
CCGs	36
Government Departments Personnel	05
Inkosi/Induna Enkulu <sup>1</sup>	03
NGOs, NPOs,	02
Secretary	02
OSS Chairman	01
Ward Committees/Portfolios	07
<b>Total Number of Study Participants</b>	<b>125</b>

**Source: Research Data, 2014**

### **3.5.2 Data types and sources**

The study used primary and secondary data sources to obtain the information from the participants. The primary data sources used involved the data collected from key informants such as the traditional leadership, officials deployed by the government to the programme, fieldworkers and participants from the community. An interview schedule was used to gather primary using and structured and unstructured questions. The secondary data sources included the use of existing data from literature such as municipal documents available, books, peer reviewed journals and research reports.

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<sup>1</sup>Induna Enkulu is the person who is a headman in the area, and is normally nominated to execute all the duties and administration of the traditional leader for the community. He reports to the iNkosi of the area.

### **3.5.3 Data collection procedures and techniques**

Data were collected in a public environment, such as local schools, community halls, crèches, and churches, and areas that were used as WRs. The meetings were arranged with the relevant stakeholders. To arrange the meetings, the researcher made several calls to organise the first meeting with the leadership in order to seek permission to conduct the research. Thereafter, arrangements were made telephonically to arrange the dates for interviews. The purpose of the study was explained and permission was granted. However, it should be noted that some of the leaders were not interested in the study, whilst others requested proof that the study was meant for personal academic development only.

Various methods, such as document analysis, interviews and focus group discussions, were used to collect data on the participation of wards within the City of uMhlathuze in Operation Sukuma Sakhe. The methods are discussed below.

#### **3.5.3.1 Document Review**

The documents were analysed to identify issues related to the topic and for a better understanding of concepts related to the study, including the identification of the theoretical framework underpinning the study. Kaniki (2006) states that the analysis of documents is sometimes conducted to provide a clearer and unambiguous definition of key concepts. Taylor and Lindlof (2013) and Mouton (2001), argue that the analysis of documents in research adds to the richness of information, and the analysis enables the researcher to identify the most accepted definitions and discovers the most recent theories and widely accepted empirical findings in the field of study.

The researcher used books, journal articles and conference papers, as well as government policy documents to establish a clearer understanding of the activities and policies governing participatory approaches. Some of the reviews were conducted through an internet search, reviewing only articles that were peer reviewed. The reviews involved summarising other empirical findings, focusing on the different methodologies used to compare with the findings of the study in order to establish the differences and similarities, as well as knowledge gaps.

### **3.5.3.2 Interviews**

The study used the unstructured questions to gain insight into community participation within OSS programme. It is noted, by Schwartz and Jacobs (1979), that an interview is used to reconstruct the reality of a social group, and individual respondents are treated as a source of general information. Creswell (2007) and Green and Brown (2005), are of the opinion that interviewing is a series of steps in a procedure aimed at creating the flow of a natural conversation which requires additional skills in listening and asking appropriate questions. Interviewing is a technique that is primarily used to gain an in-depth understanding of the underlying reasons and motivations for people's attitudes, preferences or behaviours. Interviews can be undertaken on a personal one-to-one basis or in a group and can be conducted at work, at home, in the street or in a shopping centre, or some other agreed location. Struwig and Stead (2001) define interviewing as a technique that is primarily used to gain an understanding of the underlying reasons and motivations for people's attitudes, preferences or behaviours. Interviews can be undertaken on a personal one-to-one basis or in a group. They can be conducted at work, at home, in the street or in a shopping centre, or some other agreed location. Creswell (2007) and Green and Brown (2005), describe interviewing as a series of steps aimed at creating a flow of natural conversation which requires additional skills in asking appropriate questions.

This study used the technique to obtain information on experiences with regards to participation in the OSS programme, including perceptions of community members on the level of participation in the implementation of OSS activities. The interview guide (Annexure A) was used and the interviews were held with ten community members per ward. Hence, sixty respondents were interviewed using a one-to-one interview technique. Table 3.2, below, provides a breakdown of participants in the study.

**Table 3.2: Selected Ward Community Participants to the study**

Presenting Traditional Leadership of the ward			Presenting the Community members per-ward						Total number of participants
Number of ward	Inkosi	Induna Enkulu	Elderly Men	Elderly Women	Men	Women	Youth (Boys)	Youth (Girls)	
04	01	00	01	01	02	02	02	02	11
05	00	00	01	01	02	02	02	02	10
09	– <sup>2</sup>		01	01	02	02	02	02	10
12	00	01	01	01	02	02	02	02	11
18	01	00	01	01	02	02	02	02	11
19	–		01	01	02	02	02	02	10
Total	02	01	06	06	12	12	12	12	63

**Source: Research Data, 2014**

The interviewer also probed to solicit more information from the respondents, particularly where clarity on the issue was required. The interviews were held with the OSS Chairman, Traditional leaders and members of community members per ward. There were also interviews with one OSS Chairman, three traditional leaders (AmaKhosi and Izinduna) who, incidentally, were very difficult to find. Ten participants were also selected per ward within the community and these respondents had to be located in the study area. The researcher also ensured that gender representation was considered in the selection of community participants.

Interviews provide the opportunity for a good response rate and the completeness of the data and probing, where necessary. The researcher conducted face-to-face interviews to control and provide assistance when problems were experienced. However, certain challenges were noted, such as the difficulty of setting appointments, because of unavailability of the key informants,

<sup>2</sup>Dash (-) is representing the municipality urban wards that do not fall under Traditional Leadership community.

such as the traditional leadership at the time of the interview, meaning that new appointments had to be arranged. There were geographic limitations noted, due to the settlement patterns in some areas of the study and wards that are remotely located. The whole exercise proved to be expensive and time consuming.

### **3.5.3.3 Focus Group Discussions**

Focus Group Discussions (FGDs) were conducted with the six war rooms selected for the study within uMhlathuze Municipality (one war room per ward). The focus group is a qualitative research tool which involves collecting the data using an unstructured interview guide from a group of not more than twelve members who have relevant and detailed knowledge of the phenomenon being studied (Gray, 2009). It provides a forum for soliciting ideas and feedback and the researcher is able to obtain in-depth knowledge by listening to participants as they share and compare their experiences, feelings and opinions. Information is gathered in a relatively shorter time than could be collected in individual interviews (Gray, 2009).

The researcher used an interview guide (Annexure A2) for all focus groups and the interviews, and the WR meeting time slots and venues, for convenience. The focus groups comprised war room team members, made up of the Champion<sup>3</sup>, CDWs, CCGs, AEO, representatives of Government Department Personnel<sup>4</sup>, NGOs, CBOs, Portfolios committee<sup>5</sup> and those who represented the ward committee<sup>6</sup>. Recent studies suggest that focus groups can also be described as in depth interviews, made up of small groups to give everyone the opportunity to express an opinion, large enough to provide diversity of opinions; they are carefully planned discussions designed to obtain perceptions on a defined area of interest in a permissive, non-threatening environment (Flick, 2014) and Welman, Kruger & Mitchell (2005). On average, 6-12 people

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<sup>3</sup>Champion is the ward councillor that is active during the programme activities in the war room.

<sup>4</sup>Government Department Personnel is the public civil servant that is employed in any departmental government sector that is present in the war room.

<sup>5</sup> Portfolios committee is the community member that is selected in the war room for the OSS programme activities to represent a certain departmental category to serve to ensure that the issues of community members are reported directly to them then referred within the war room and also to that department.

<sup>6</sup> Ward committee is the ward member that is selected accordingly Structures Act (Act 117 of 1998) of section 73 (2). Therefore is active within programme war room activities in representing the community and their problems that they experience.

participate in each Focus Group (FG). Liamputtong (2011) maintains that focus groups encourage a range of responses which provide a greater understanding of the attitudes, behaviour, opinions or perceptions of participants on the research issues.

These discussions allow the intended individual and groups to be more involved in the research project. Lindlof and Taylor (2011) argue that the method takes advantage of the fact that in ordinary conversations and guided discussions people draw upon a shared fund of experiences. FG discussions were used to develop themes for the interview schedule and also used as part of triangulation strategy complementing individual interviews and participant observation. PSU (2007) identifies the disadvantage of focus groups as the potentially unbalanced results because of group dynamics. Flick (2014) asserts that focus group interviews are a highly efficient qualitative data collection technique, which provides some quality controls on data collection. The section which follows explains how the focus group discussions were held.

The first part of the visit to each FG was characterised by information sharing where the participants were informed about the purpose of the study and given an explanation of the ethical issues noted, such as respect for individual privacy and the choice to participate, and an explanation on the informed consent letter to be signed. Each FG had to have between 6 and 12 members. The WR visits were initially planned to take place from early May, 2014. The procedure that was followed with each FG is presented below.

#### ***Focus Group One: Ward 4 of Mqedeni Care Centre in Mandlankala Area***

The OSS chairperson of the WR coordinated the discussion, due to the unavailability of the champion, who has to be the ward councillor. There were nine CCGs deployed by the Department of Health (DoH) and the Department of Social Development (DSD). One FG was formed, consisting of 11 participants. Each participant had a specific role to carry out within the programme. There were nine CCGs, one war room OSS chairperson, and a secretary. All participants in the FG discussion were females. An unstructured interview schedule (Annexure A2) and an observation checklist (Annexure B) were the tools used for data collection.

***Focus Group Two: Ward 5 Kwa Bhejane Community Hall in eNseleni Area***

The WR visit was planned with the ward councillor who introduced the researcher to the WR members and left immediately, due to other commitments. One FG was made up of 7 participants and the researcher used the unstructured interview schedule (Annexure A2) and the observation checklist (Annexure B) as tools for data collection. The participant had almost fair gender distribution in that three males and four females participated in the discussion. There was a representative of the ward committee, a representative from the Department of Sports and Recreation, and five CCGs from Red Cross (an NGO).

***Focus Group Three: Ward 9 Wood and Raw Primary School at uMhlathuze Village***

The WR visit was planned with the ward councillor, however during the data collection day, the ward councillor was unavailable, due to other commitments. The members present included two members of the portfolio committee, a chairperson, and six CCGs deployed by DoH and DSD. One FG was made up of 9 participants. It was characterised by a skewed gender distribution, composed of one male and eight females. An unstructured interview schedule (Annexure A2) and an observation checklist (Annexure B) were the tools used for data collection.

***Focus Group Four: Ward 12 in a local church at Mandlankala***

The meeting was organised by the ward councillors for May 2014, and was held in the local church, which is used as a WR. One FG was made up of 12 participants and the researcher used unstructured interview schedule (Annexure A2) and an observation checklist (Annexure B) for data collection. The participants were distributed as follows: the champion, CDW, secretary and chairperson, four CCGs deployed by DoH and DSD, one Social Worker from the DSD, NGO and NPO representatives and the ward committee. With regards to the gender composition, there were nine females and three males.

***Focus Group Five: Ward 18 KwaNowa Centre in Port Dunford Area***

The WR visit was planned with the ward councillor, but he was unavailable on the scheduled discussion day, because of other commitments. An unstructured interview schedule (Annexure A2) and an observation checklist (Annexure B) were the tools used for data collection. The participants were as follows: a chairperson, CDW, Broad Ridge, one Sister Nurse and eight

CCGs deployed by DoH and DSD. One FG was made up of 12 participants, and it had one male and eleven females.

***Focus Group Six: Ward 19 Hlanganani Boardroom at Esikhaleni***

The WR visit was planned with the ward councillor who also attended the discussions. Participants in the FG discussion comprised: champion, three ward committee members, Social Worker, four CCGs deployed by DoH and DSD, and one field worker. One FG was made up 10 participants who had three male and seven female participants. An unstructured interview schedule (Annexure A2) and an observation checklist (Annexure B) were the tools used for data collection. Table 3.3, below, provides a detailed breakdown of the composition of the focus groups of the study.

**Table 3.3: Detailed War Room Focus Groups Information**

Number of ward	Office Bearers (OB) & The Ward Task Teams (WTT)- OSS War Room Members									Total of participants
	Champion	Chairperson	Secretary	CDWs	CCGs	Government departments	Broad Ridge	NGOs /NPOs	Ward /Portfolios committees	
04	00	01	01	00	09	00	00	00	00	11
05	00	00	00	00	05	01	00	00	01	07
09	00	01	00	00	06	00	00	00	02	09
12	01	01	01	01	04	01	00	02	01	12
18	00	01	00	01	08	01	01	00	00	12
19	01	00	00	00	04	02	00	00	03	10
<b>Total</b>	<b>02</b>	<b>04</b>	<b>02</b>	<b>02</b>	<b>36</b>	<b>05</b>	<b>01</b>	<b>02</b>	<b>07</b>	<b>61</b>

**Source: Research Data, 2014**

The FGs were conducted during their meeting slots, where the researcher used the interview guide to ask questions. The facilitator was the researcher, who is a speaker of the local



language, isiZulu. Also, she firmly followed the interview guide schedule and encouraged and allowed the participants to speak freely.

#### **3.5.3.4 Structured Observation**

The researcher prepared a detailed list (Annexure B) of what needs to be observed during OSS meetings and the actual implementation of the programme in the field. Mulhall (2003) asserts that positivistic research generally uses structured observation and interpretist or naturalistic paradigms use unstructured observation. Practitioners describe observations as illuminate issues connected with or arising from the actual use of a call package. The purpose is to form a realistic impression of what actually happens in the sessions where it is used. Observing in a setting is a special skill which requires addressing issues, such as the potential deception of the people being interviewed or impression management and the potential marginality of the researcher in a strange setting in a series of steps (Creswell, 2007, and Schwartz & Jacobs, 1979). The researcher used the observation checklist (in Annexure B), to assess the availability of the WR, venue, branding of OSS logo, champion, government department officials, community leadership representatives, field workers, ward/portfolio committees and community members. The establishment of WTT and OB was observed using the checklist (Annexure B) and then the means of information verification was noted using the WR attendance register.

Gibson & Brown (2009) argue that an observation schedule is an analytically focused resource that helps the researcher to find particular aspects of the practice being observed. Practitioners define the observation schedule as not intended to act as a checklist, but as guidelines or a reminder to be alert and on the lookout for certain things, but not all of these will be relevant to any one session. As Mulhall (2003) notes, observation schedules are predetermined using taxonomies developed from known theory. The disadvantages may get the researcher in to dangerous situations and illegal behaviours (Luzzo, 1993).

#### **3.5.3 Data analysis**

Data analysis methods enable the research to organise and bring the meaning to the large amount of data collected during fieldwork (Struwig & Stead, 2001). The tape recorder information was

transcribed by the researcher. The themes were coded from the observational checklist and transcriptions. The researcher coded the data and the content analysis method was used to analyse the narratives.

Verbal and non-verbal responses of the participants were analysed in order to assess the level of participation in OSS activities for each participant. This was done by following the following techniques of analysing data-content analysis and coding of data from interviews and observational notes. Since the interviews were conducted in isiZulu they were translated to English before their transcription. The translation was done by the researcher by listening line by line to the interview. To ensure accuracy in the translation, another researcher, a qualified psychologist, was asked to confirm the researcher's translation in order to eliminate bias and inaccuracy of translation.

#### **3.5.3.1 Data processing**

A recording device was used to provide a comfortable atmosphere for the participants and to ensure that all the data were captured. The recorded information was transcribed after each session and the information compared with the field notes for accuracy. The researcher listened to the tape recordings more than once before transcribing. The content analysis method was used to analyse the qualitative data. The researcher listened to the interview tapes prior to transcription, and also checked the interview transcripts, observational notes, and the field notes taken during the interview. Tentative ideas and themes were developed during transcription and the data were transcribed in the language used during collection and was then translated to English. The researcher listened and referred to the transcripts repeatedly to ensure accuracy in translation.

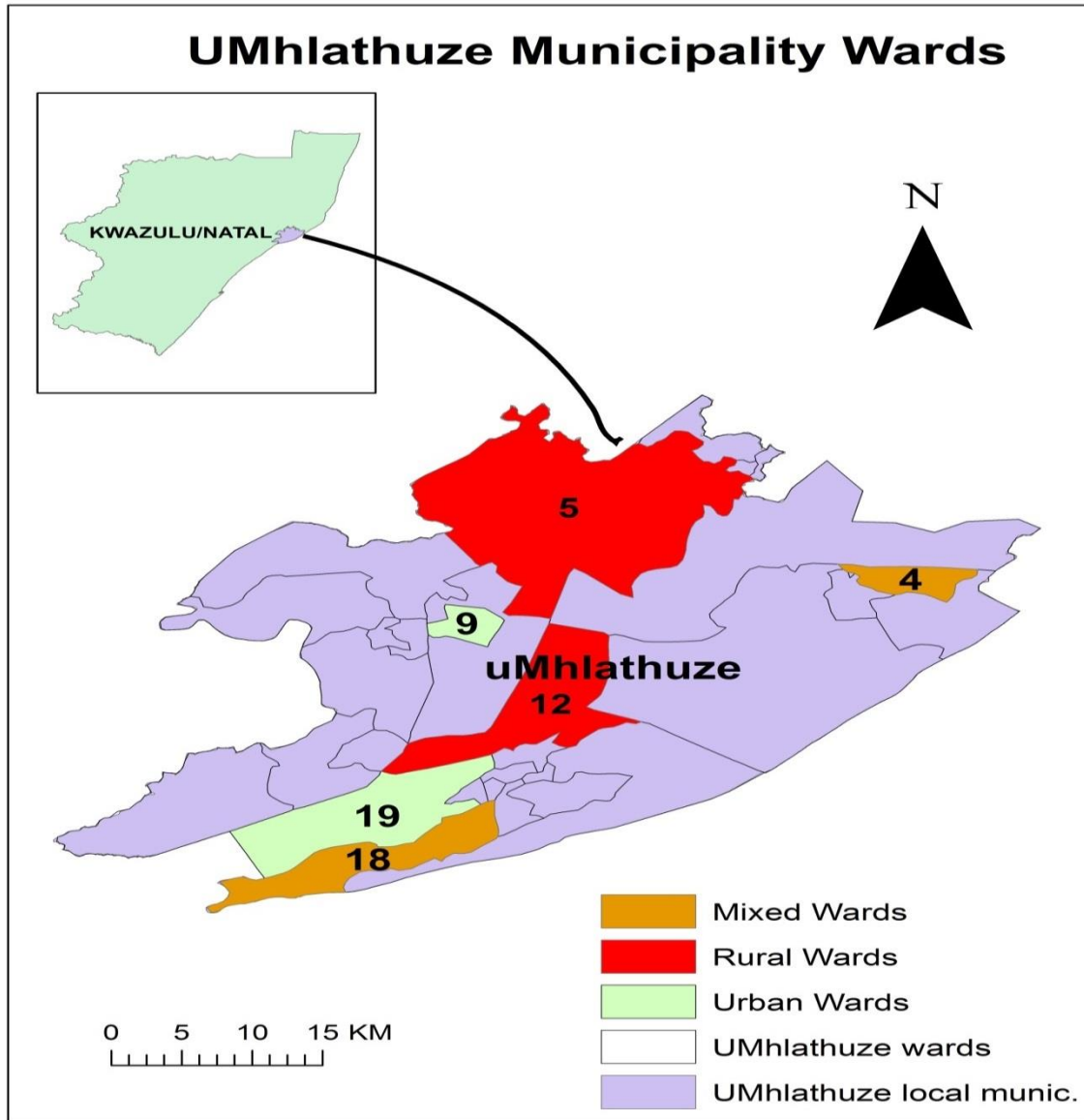
The data were coded accordingly and themes were also developed. According to Flick (2014) data coding is defined as the naming of the segments of data with a label that simultaneously categorises, summarises and accounts for each piece of data. This is supported by Blanche, Durrheim & Kelly (2006), where coding refers to the breaking down of a body of data (text domain) into labelled, meaningful pieces, with a view to clustering the bits of coded material together under the code heading, and further analysing them both as a cluster and in relation to

other clusters. The data analysed were obtained from interview transcripts, participant observation field notes, journals, documents and literature.

#### **3.5.4 Description of the area of study**

The City of uMhlathuze is situated on the north eastern coast of KwaZulu-Natal. It is one of six local municipalities within the uThungulu (now King Cetshwayo) District. The population is estimated at 349 576, distributed equally between rural and urban areas (uMhlathuze IDP 2012-2017). The map below indicates the study area of uMhlathuze Municipality selected wards.

**Figure 3.1**Map of uMhlathuze Municipality Selected Wards for Study



**Source: Research Data, 2014**

### **3.6 Reliability and Validity of the Study**

In terms of assessing qualitative research, the emphasis is on the reliability of the methods employed in data collection, and that is where one demonstrates to the reader that the methods used are reproducible and consistent. The tools were tested using the University of Zululand community to check on the clarity of questions and whether the tools would yield information

required for the study. Changes, where necessary, were made and the instruments for data collection were translated into the language that would be understood by the respondents.

Validity refers to the trustworthiness or credibility of the data. Validation is the degree to which we can rely on the concept, methods and inference of a study (Struwig & Stead, 2001). Validity is judged by the extent to which an account seems to fairly and accurately represent the data collected. The researcher used different data collection methods to ensure that the information collected was reliable and valid. The methods included interviews, focus group discussions and a structured observation schedule, to ensure that the data were valid. Other scholars refer to the use of these different methods as triangulation (Kelly, 2006) which entails collecting material in as many different ways and from as many diverse sources as possible.

### **3.7 Ethical Considerations**

The researcher assured all participants who participated in the research that there will be no harm, meaning that they will not be involved in any situation that might be harmful towards their lives. Any individual participating in the study has a reasonable expectation that information provided to the researcher will be treated in a confidential manner. Researchers should ensure that they provide an environment that is friendly, trustworthy and, at the same time, avoid creating expectations which will not be met through the research activities. Participants were assured of anonymity, confidentiality and that they were free to withdraw should they wish to do so. Their privacy was guaranteed.

Permission to conduct the study was obtained from the University of Zululand (UNIZULU) Research Committee and a clearance certificate (Annexure C) was issued by the Ethics Committee of the University of Zululand. Permission was sought from the traditional leaders or ward councillors to conduct research in the area of their jurisdiction through a written letter, and it was granted. For the OSS agents, the researcher requested permission from the office of the Premier “Community Outreach and Special Projects” and also the OSS Coordinator of the Local Municipality for WR visits and interviews with their OSS agents. The respondents were also requested to sign a consent form (Annexure D).

### **3.8. Summary of the chapter**

The chapter has provided a detailed explanation of the research design and methods used to conduct the study. The research procedure was also provided. As discussed, the study was conducted in six out of 30 wards located within uMhlathuze Local Municipality. Several limitations were noted, such as the unavailability of key informants (traditional leadership) during data collection, and fluctuations in the number of participants in the FGs. The following chapter presents and discusses the findings of the study.

## CHAPTER 4

### DATA PRESENTATION, ANALYSIS AND DISCUSSION

#### 4.1 Introduction

The chapter presents and analyses the data collected in the selected wards of the City of uMhlathuze on the participation of wards in the implementation of Operation Sukuma Sakhe (OSS). The first part starts with a presentation of the data collected through Focus Group (FG) discussions with an explanation on the venue for the meetings and programme implementation. This is followed by a presentation of information collected through face-to-face interviews with the community and all other stakeholders participating in the flagship programme. The last part of the chapter interprets and provides a detailed discussion of the data presented.

#### 4.2 Data Presentation (Focus Group Discussions)

Six Focus Group Discussions (FGDs) were held in the selected wards of uMhlathuze Local Municipality. The FGs were formed by members of the Ward Task Teams (WTTs) for each War Room (WR). Some groups had a maximum of 11-12 members, such as wards 4, 18 and 12. Table 4.1, below, depicts the ward distribution of informants during FG discussions. Ward 5, located in a rural area, had the least number of participants

**Table 4.1: Distribution of Focus Groups Members within War Room**

Ward Focus Group	Members Present
Ward 04	11
Ward 05	07
Ward 09	09
Ward 12	12
Ward 18	12
Ward 19	10

**Source: Research Data, 2014**

#### 4.2.1 The Characteristics and Demographic Features of Focus Group Participants

The FGs were made up of WR participants that are described as WTT, selected in six wards of the study area. To understand the demographic features of focus groups or WR participants responsible for the implementation of the OSS, three variables selected comprised the age, gender distribution and education level of the respondents. These were perceived to have a bearing on success or failure in the implementation of the OSS programme. Table 4.2, below, displays the demographic characteristics of the population of WR informants (FGs) discussions.

**Table 4.2: Demographic Characteristics of Respondents**

		Total	Percentage
Gender	Male	11	18
	Female	50	82
	Total	61	100%
Age	18-35	29	48
	35-59	30	49
	Above 60	02	03
	Total	61	100%
Educational Level	Grade 0-7	09	15
	Grade8-12	42	69
	Above Grade 12	10	16
	Total	61	100%

**Source: Research Data, 2014**

The gender distribution was found to be highly skew. The majority of participants in the programme were females, in that they accounted for 82%, meaning that males accounted for only



18%. Studies on community development initiatives have shown to have more female than male participants.

The study indicated that 3% of the respondents were elderly people appointed for coordinating senior citizen events, whereas 48% represented an age group of 18-35 and 49 % were between 35-59, as depicted in Table 4.2, above.

The educational level indicated that 15% of participants attained between grades 0-7 grade level, and it was noted that most of them were ward committees, while 69% had between 8-12 grade level and were mostly working as CCGs in the programme. 16% of the respondents had grade 12 and have subsequently gained tertiary educational qualifications.

#### **4.2.2 Venue and War Room Availability**

The venue and War Room (WR) availability had the influence in the OSS implementation and participation of community members in the programme. The study indicated five wards (5, 9, 12, 18 and 19) having permanent venues, while one ward (4) had a temporary venue. This suggests that WTT had their interaction space with community members, the availability of the venue ensures that programme implementation is possible and could be successfully achieved, and also ensures ease of coordination of activities of the programme. Permanent venue creates less confusion for officials deployed by the different OSS stakeholders. The programme adopted the “One Stop Approach”, where all government departments are expected to have representation to facilitate access to services. The availability of the venue promoted integration and collaborative work in the institutionalisation of the programme, through the approach.

Furthermore, the availability and display of the logo is perceived to have an influence as it creates awareness about the service available, as it indicates the location of OSS, thus encouraging active participation in the implementation. The study indicated three wards (12, 18 and 19) having a well-displayed OSS logo, whereas ward (4, 5, and 9) had no logo displayed. The War Room logo is essential for identification of the structure and its visibility in the three

wards positively influenced participation in the implementation of the programme, in particular in the three wards where the logo was displayed.

The implementation and participation of community members in the OSS WR is facilitated and promoted if it is visible to the community and to all other stakeholders. A number of community members are also sensitised about the services at their disposal and may, therefore, visit and identify their problems.

However, the study indicated various OSS WR challenges, such as the prevailing political environment, since community conflicts were rife in the area ward (4) and these were found to have culminated in having the hall, which was used as a permanent venue for one of the WRs destroyed, as indicated (see Annexure E: Photo 1).

The logo and purpose of the programme is well-displayed and visible, and the community members suggest the availability and knowledge of obtaining assistance offered through the war room. However, the services that were rendered in these structures are temporarily suspended. The imperative of understanding the political environment cannot be overemphasised in community development.

#### **4.2.3 Mode of communication and participation within Programme**

The study established that four modes of participation were used in the programme, as indicated below:

##### **Mode 1: Community meetings**

The mode was commonly used as a participatory mode in four wards (9, 12, 18 and 19), except for wards 4 and 5, where other modes of participation were used. The WR informants indicated community meetings as their instrument of informing community members about OSS programme. Through this mode, the community members are afforded the opportunity to collectively present issues and problems affecting them, which are subsequently addressed through the war room.

## **Mode 2: Door-to-Door**

All participating wards used this mode of participation. This involved community visits which were done by the CCGs whose role in the programme entails visiting individual households to monitor and provide support to the recipients of services provided through the programme. The services comprised the care for the elderly and disabled members of the community, and checking whether they collect their medication from the relevant clinic or hospital. Through the programme, the CCGs screen and refer those requiring services to relevant sections or departments, such as accessing social grants in the Department of Social Development (DSD) and Identity Documents (IDs) or birth certificates in the Department of Home Affairs.

The community members were encouraged to participate and were assisted to participate in other OSS related programmes, such as the One-Home-One Garden project which enhances access to food for individual households. The WTT and CCGs, during home visits, also identified orphans and vulnerable children for referral to relevant departments, and at times, in severe cases they would organise and distribute food parcels to identified ‘core poor’ households.

## **Mode 3: Walk-ins<sup>7</sup>**

The method was minimally used, but was to be practised in four wards (09, 12, 18, and 19), while wards (4 and 5) indicated no use of this participatory mode, may be due to unavailability of a permanent venue and political instability in ward 4. While ward 5 also had some difficulties with the use of the method, the general poor attendance of the war room contributed, and this is the only ward that had very few members attending the focus group discussion. The ward also has no permanent venue and no logo displayed to alert community members to the presence of the facility.

## **Mode 4: Ward/Portfolio Committee**

The mode was, to a certain extent, used as a participatory mode of communication and participation in the war room in four wards (5, 12, 18 and 19), whereas ward (4 and 18) indicated

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<sup>7</sup>Walk-ins refers to community members who are not active participants in war rooms but who visit to obtain information on services such as food parcels, access to RDP housing, social grants, ID documents, and birth certificates.

non-use of this participatory mode, due to inactiveness or unavailability of the WR Champion (councillor), a key figure in the operation of the war room who is expected to call war room meetings. A ward/portfolio committee is a critical stakeholder in the operation of the WR in that through this structure, the community issues are gathered and referred accordingly to relevant departments. The portfolio committee members visit the community members to verify issues or concerns identified by the CCGs. The issues are then reported directly to relevant government departments by the committee members.

#### **4.2.4 The Composition and Knowledge Base of Ward Task Team(WTT)**

Each war room has a WTT which is composed of representatives of various government departments, local leadership, civil society and fieldworkers. This suggests that within the war room there are individuals appointed to act as the WR administrators responsible for the implementation of the OSS Programme. Four WRs (4, 12, 18 and 19) indicated that the war room office bearers were available and active. It was also explained that the office bearers serve as the foundation of the war room that represents a fundamental drive at local level. The office bearers ensure that the administration duties are carried out, and that the war room office operates efficiently and effectively, the absence of which suggests implementation problems. Figure 4.2 indicates the activeness of WTT and their knowledge base concerning their duties and responsibilities.

The study revealed that where the office bearers were active, with the presence of an active administrator, the knowledge base on the roles and duties was higher than where the administrator and office bearers were unavailable. Focus Group Discussions indicated that wards 04, 12, 18 and 19 had active members and an in-depth knowledge about their roles and duties. The knowledge level of war room team members was assessed during the focus group discussions to establish whether the task teams were able to provide the necessary services, assistance and support, as expected. As indicated earlier, in wards where the attendance of task team members was higher, the roles and duties were known, whereas in wards that had very few task team members participating in the War Room, the roles and duties were clearly explained. Surprisingly, ward 4 had no permanent venue and no logo indicating the whereabouts of OSS,

but the participants were knowledgeable and had active members participating in the programme.

The results demonstrate that in the two rural wards the Ward Task Team members were not actively participating within the Operation Sukuma Sakhe activities. Ward 5 had the lowest number of participants and it was discovered that those who attended the FG discussions were unable to identify their roles and duties, while ward (12) had the highest number of participants who were able to identify their roles and duties. It also transpired that the ward (12) had an active office administrator participating in the programme, which probably explains their understating and knowledge of their roles in the programme.

The two peripheral wards, 4 and 18, shared significant similarities in that they both had eleven females driving the Programme, and had in-depth understanding of their roles. The two wards had a complete structure of office bearers and all were found to be active participants in the implementation of the Programme. Wards 9 and 19 displayed uneven participation in the OSS Programme. Ward 9 had fewer members who attended the focus group discussions and they were unable to identify their roles and duties. There was an absence of a full structure noted in Ward 9 and the administrator was unavailable. The results indicated that they were not actively involved in the programme. It is evident that the location seemed to have a significant influence in terms of active or inactive participation in the War Room and adequacy of knowledge about roles and duties. It was also noted that the rural wards were characterised by full participation as compared to the urban wards.

#### **4.2.5 Challenges encountered in the War Room (WR)**

The findings revealed that the WTT and the Ward/Portfolio Committees were somehow unable to work collaboratively. Inadequate or lack of coordination in community development activities to be carried out was indicated, as well as the failure of ward committee to attend planned war room meetings. These factors served as hindrances affecting full participation of the community in OSS which probably relates to attendance of members as walk-ins and not fully active participants in the programme. The ward committee is a structure that works closely with people and is, thus, expected to report issues affecting the community which means that poor

participation can lead to delays in addressing identified community issues. It was expressed that non-attendance hinders the finalisation of issues and the information that is supposed to be presented to the WR is delayed, thus, taking longer to be resolved or attended to.

The bureaucratic reporting line is too long and sometimes the government departments lack commitment and do not avail themselves within the programme in order to provide the needed services to the community at ward level.

The lack of cooperation and unavailability of some of the Champions and Traditional Leadership was also identified as a challenge. It was noted that their presence and availability leads to good administration and alerts community members about the programme, encouraging active and full participation of all in the programme.

#### **4.2.6 Participation of War Room Stakeholders and their Benefits within Programme**

In the study, the stakeholders in the programme included the community, which comprised children, youth, women, men and the elderly, the leadership (traditional leadership and councillors), the Community Development Workers (CDWs), Community Care Givers (CCGs) and the different government departments. The study revealed that there are different benefits for each stakeholder group participating in OSS. The focus group identified women, children, the unemployed and unskilled, youth, the disabled and men as beneficiaries of the programme. Presented below, is the description of different stakeholders:

##### **a) Women**

They were identified as active participants and were found to be taking the lead in the programme (see Annexure E: Photo2), probably due to the fact that they are the most vulnerable group within communities. They were the dominant participants and beneficiaries with limited resources to contribute to the programme.

Participation of women in the programme immensely contributed to their livelihoods in that they gained access to employment opportunities as CCGs, food security (food parcels and vegetable gardens) and the opportunity to be appointed during the selection process of the Department of

Health for training as health practitioners (nurses). Some of the respondents expressed that the CCGs are afforded first preference in the selection process for training as nurses and this significantly encourages more female participants in the programme.

However, it is noted with concern, that ward (5) had more males than females, but had the lowest attendance and a low knowledge base (as indicated earlier in 4.2.4, which discussed the composition and knowledge base).

## **b) Children**

The study revealed that children under 6 years of age are beneficiaries of the programme in the form of early child development support programme which provides free access to basic health care. Through Broad Ridge (an international NGO), operating as 'PhilaMntwana' community outreach project, is an OSS programme that addresses issues related to child mortality, growth monitoring and other issues related to child development. Explaining how the programme operates, a WR key informant in one of the wards stated:

*PhilaMntwana is actively operating in OSS War Room whereby women bring their children for growth monitoring based on breastfeeding.*

It was also indicated that the under-18s benefit through the programme, although they are not fully engaged in OSS and their participation may be described as minimal. However, they are encouraged to attend school in various ways. For example, those that are identified as needy are provided with school uniforms, food parcels and also referred to relevant departments for specific services or needs, such as application for ID documents, birth certificates and social grants or need for health. This was identified as common practice in all wards, however, ward (12) participants indicated that they have additional outreach programmes, such as bursary awareness campaigns for grade 12 learners, and men-to-men talks, where discussions are held with young people in need of support and guidance.

#### **c) Unemployed and Unskilled Youth**

Through the programme, this group is capacitated to enable them to obtain job opportunities. They are provided with technical skills, such as bricklaying, carpentry and plumbing. Others are appointed within the programme as office bearers, such as champions, secretariats and CCGs.

#### **d) Unemployed Adults**

Unemployed adults are working closely with the old age persons in OSS programme, several platforms formulated as assurance for elderly persons are not neglected, such as; Gogos Soccer Teams and garden projects. Other unemployed adults are provided with employment opportunities in construction work through the Expanded Public Works Programme (EPWP) within the local Municipality. Ward (12) indicated that the leadership or Inkosi kept a database of unemployed community members and, where possible, referred the list to the war room champion.

#### **e) The Disabled and Chronically ill**

WR informants indicated that the disabled and the chronically sick were assisted on philosophical foundation in essence of human solidarity 'Ubuntu'. The study indicated door to door visitation by CCGs.

### **4.3 Data Presentation (Community Interviews)**

The six wards used to collect data for the study were wards 4, 5, 9, 12, 18 and 19, the same wards that were used for the focus group discussions. Data on knowledge about the war room WTT participation in the activities of the programme and communication and participatory modes was collected from the respondents.

#### **4.3.1 The Demographic Profile of the Respondents**

To understand the demographic features of community participants in all six wards, and local residents that are participating or are supposed to be participating in implementation of OSS programme, three variables were considered, namely: the distribution by gender, age and educational level. These were perceived to have a bearing on success or failure on involving



community members in the implementation of the OSS programme. Table 4.3, overleaf, presents the demographic features of community informant's (one-on-one) discussions:

Equal representation on the basis of gender was noted (male and female) and this provided a balanced view about participation in the implementation of the OSS programme. Secondly, educational level indicated the majority had no tertiary qualifications, it was observed that they had the ability to acquire the necessary skills, given the opportunity, because 62% had attained high school education and only 20% of the respondents had achieved only primary school education. The respondents indicated that they had unsuccessfully attempted grade 12 and that for them, this served as a barrier to access to job opportunities.

**Table 4.3: Demographic Characteristics of Respondents**

		Total	Percentage
<b>Gender</b>	Males	30	<b>50</b>
	Female	30	<b>50</b>
	<b>Total</b>	<b>60</b>	<b>100%</b>
<b>Age</b>	18-35	24	<b>40</b>
	35-59	24	<b>40</b>
	Above 60	12	<b>20</b>
	<b>Total</b>	<b>60</b>	<b>100%</b>
<b>Educational Level</b>	Grade 0-7	12	<b>20</b>
	Grade 8-12	37	<b>62</b>
	Above Grade 12	11	<b>18</b>
	<b>Total</b>	<b>60</b>	<b>100%</b>

**Source: Research Data, 2014**

#### **4.3.2 Knowledge of War Room Ward Task Teams**

The question on the knowledge about WR WTT was asked to establish whether the respondents had information or any idea about the leadership structure in the war room, the functions or roles and responsibilities of the task team. The assumption was that knowledge of the war room task team would determine the level of engagement of community members in the programme. The study revealed that 35% of community informants in five wards had limited knowledge about OSS WR WTT (leadership structure, function and responsibilities). Some of the respondents were found to be clueless about what OSS is all about.

While 65% had knowledge about the programme and its location within the community, most of the respondents indicated having had contact or worked with the CCGs and CDWs. The respondents were able to identify the stakeholders in the programme, such as CCGs, Community Development Workers (CDWs) and WTT. The respondents in ward 12 demonstrated, surprisingly, that the community respondents in ward (12) were able to identify the different WTT representatives.

Firstly, CCGs were well-known by all community informants in all six wards, because they interact with communities through household interventions (door-to-door). This suggests that CCGs are well-known in WTT, since they do door-to-door.

Secondly, WTT were found to be average, as identified by community informants in four wards (9, 12, 18 and 19). Whereas ward (4 and 5) had no idea about this structure, average community members received assistance through the WTT. Ward (5) informants were clueless about the WTT; this presents limited knowledge about OSS War Room structures.

Thirdly, CDWs were found to be limited, as identified by community informants in two wards (12 and 18), while ward (4, 5, 9 and 19) had no visible CDWs. This suggests that limited community members participated and were informed using CDWs, this is despite the fact that the CDWs are directly deployed to ensure that the programme is up and running smoothly. The CDWs are expected to serve as the reservoirs of information on what is happening within the WR and assures programme activities carried out, such as, community issue referral system.

### **4.3.3 Modes of Community Participation within Programme**

The study indicated three modes of community participation in OSS programme, which are indicated below:

#### **Mode 1: Community meetings**

Community meetings were commonly used as a participatory mode in wards 9, 12, 18 and 19, whereas wards 4 and 5 used other participatory modes. This is characterised by an interaction between the local council and community and is the means through which the government informs the community about the OSS programme and the location of the WR. The respondents were invited to attend the meetings organised by the ward councillor where the issues and concerns affecting the community were raised and then referred to the war room. The method was found to be effective as the mode of communication and participation in the programme, however, the challenge was with the prioritisation of the issues as this was not done with the affected and the people who raised the issues.

#### **Mode 2: Door-to-door**

This was highly used as a participatory mode in all wards. The CCGs served as a link between the programme and the community through individual household visits and this served as a meaningful intervention and method of ensuring that the community members become active participants in the programme. Various services were provided through this method, such as the provision of food parcels, school uniforms, assistance to obtain social grants, birth certificates and identity documents.

#### **Mode 3: Walk-ins**

Limited use of this mode was noted in all wards, except ward 12. Wards 4, 5, 9, 18 and 19 indicated no use of this participatory mode. This suggests inadequate knowledge about the availability and operation of the WRs. The respondents were not familiar with the concept, due to limited information about methods that are used in the programme.

In summary, same reasoning information given by WR informants (see 4.2.3 FGs discussions) indicated that mass community meetings were not used in two wards, and most participants identified the household visits known as ‘door-to-door’ as the common means of communication. Only one ward (12) had ‘walk-ins’ as a mode of communication and their WTT structure had in-depth knowledge based on their roles and duties. Concern was, however, raised based on limited information indicated by community members that were not participating as active participants in the programme, but were attending as ‘walk-ins’ to indicate their issues.

#### **4.3.4 Challenges Experienced during Participation in the Programme**

The study indicated three challenges that caused lack of participation by community members in WR, there are discussed below:

##### **4.3.4.1 The Political Environment**

Politics were high on the list of challenges identified by community members and this served as a major deterrent which discouraged them from attending the WRs. Political interference was said to be high in wards 4, 5 and 9. Some of the respondents felt that services rendered were based on political affiliation of community members, meaning that one had to belong to a particular political party to receive the needed services. The general feeling, as expressed by community informants, is that:

*The activities within the programme are influenced only by the ruling party and their members are seen as the majority of beneficiaries when activities are provided.*

Other respondents stated:

*In the War Room we are requested to enlist for the school uniforms that are occasionally distributed to orphans and the beneficiaries are not afforded equal opportunities to receive the service. Children who are related to WTT community members enjoy this benefit more than those who are unrelated.*

Community members were discouraged by these practices from attending the WRs. They also pointed out that when opportunities for employment arose in WRs, there is lack of transparency in the manner in which people were appointed. It was expressed that employment opportunities were always given to particular individuals related to the OB and the majority were appointed as CCGs.

#### **4.3.4.2 Conflicts**

Conflicts in WRs were commonly indicated as a challenge in three wards (4, 5 and 9), while wards (12, 18 and 19) indicated inexistence of this challenge. The community informants clearly expressed that there were arguments and competition over participation in the WTT structure. There was also a belief, informed by observed practice, that the positions held within the WTT structure served as the means of obtaining employment opportunities that might be available within the WR.

#### **4.3.4.3 Absence of Leadership**

The absence of the champion in the WR indicated lack of coordination in WR OSS activities which resulted to conflict between WTT and community members, due to the delay in the issue of referral, basket of service and lack of clarity on the process followed or procedure applied when channelling the services of the programme.

### **4.4 Responses of Community Leadership within Programme**

The study indicated different community leadership that had the influence in community member's participation in the implementation of OSS programme, and these are discussed, as follows:

**Leadership 1:** Traditional leadership was found to be represented by the local headman or local security personnel in ward (4 and 12). The leaders were more knowledgeable as they were able to respond to questions on the basis of information provided by their local security personnel. The late Chair of uMkhandlu, Mr Mahlawula, stated that:

*‘All the Traditional Leaders within this District know about the OSS programme’.*

Whereas in ward (5 and 18) their leaders were unable to attend or send representatives, the result for ward 18 reveals mounting evidence of rural communities dominantly attending Traditional Council (TCs<sup>8</sup>) community meetings, whereby the identification of the vulnerable and deprived community was assisted in TCs administration supporting structures.

**Leadership 2:** The champions (ward councillors) were found to be actively involved in ward (12 and 19), despite the fact that all wards have ward councillors who are expected to facilitate and assist in the need identification as there were issue and concerns affecting the community and to ensure that are attended to accordingly. The presence of a champion was found to have a positive effect on participation implementation of the programme. Both wards (12 and 19) that had active champions had fewer problems experienced, both had permanent and visible venues for implementation of the programme and used various modes to communicate with the community. The beneficiaries of the programme were actively involved in the implementation, had knowledge of the programme and had the highest number of participants, as observed in attendance registers that were made available.

**Leadership 3:** OSS Chairman<sup>9</sup> was found to be actively involved in programme as the WR informants (FGs) revealed that these officials were actively attending all ward meetings and were knowledgeable about the operations in each ward. However, OSS Chairman identified a number of challenges that were encountered, such as problems with the institutionalisation of OSS and that some stakeholders had inadequate understanding of their roles, which resulted in the wards not actively participating in the programme.

#### **4.5 Responses of Government Department within Programme**

The study indicated the three fully involved departments that had influence in the OSS implementation and community member's participation in the programme. The Department of

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<sup>8</sup> TCs are traditional leadership structure established in modern democracy that links them into local government for community development.

<sup>9</sup> OSS Chairman is a personnel deployed within the local municipality, to coordinate and carry out the activities of programme, who is accountable for the progress for the programme within the local municipality.

Agriculture was found to be a highly committed department in all six wards through programme activities, such as food security projects, the 'One-Home-One-Garden Project', soil profiling, and the provision of inputs, such as seeds and fertilisers. It was revealed that the Department of Agriculture makes use of Agricultural Extension Officers (AEO) who deal directly with wards in the daily running of office duties so the programme operates on the basis of 'One Stop Approach', which presents the opportunity to target those community members who need farming assistance and agricultural cooperative projects.

Another department that was found to be highly committed is the Department of Cooperative Governance and Traditional Affairs (COGTA) in all six wards through the provision of office materials. The department deploys CDWs who are responsible for WR functionality and responsible for identifying the vulnerable and poor households in need of assistance, training of community members on how to work within the programme, and to coordinate the stakeholders. However, the department has limited staff employed as CDWs which results in staggered or uneven functionality of OSS WR. The DSD was also identified as a highly active department in all six wards as it allocates Social Workers to collect information on issues affecting community members and to look into the welfare of the communities, distribute food parcels and provide assistance on the registration of NPOs. The department also deployed CCGs to assist with household intervention.

Furthermore, there were various departments that were performing certain functions in OSS implementation which had an influence in community member's participation in programme, such as DoH participants in all six wards, as their task in the WR involved collecting information on issues within the WRs. The department deployed CCGs to assist the elderly and sick to take their medication, identify and refer persons who have defaulted, and help distribute treatments to the critically ill.

Furthermore, the study indicated another averagely used department, such as the Department of Education (DoE), which was found to be involved in behavioural change as it promoted specific campaigns to deal with specified challenges experienced, such as issues affecting school going children, Men-to-Men, and provision of school uniforms. Adding to that, was the South African

Police Services (SAPS), which was found to be averagely involved through specific campaigns to deal with crime prevention, such as ZANO-PF (crime community forums). The Department of Sports and Recreation was also indicated as averagely involved through specific campaigning to deal with fitness activities, such as youth coordination. It helped in mobilising the formation of soccer clubs and other activities that kept the youth occupied, and also assisted with access to bursaries.

Other departments were highly needed by the WR informants, such as the Departments of Home Affairs, Economic Development and the South African Social Security Agency (SASSA). The departments were described as inactive and could not attend WR or collect issues, and expressed that even when issues were referred to the department using the war room referral tool, the issues were not attended to. It was assumed that the departments had inadequate information about the operational process of the programme at the ward level. The CCGs were able to identify the orphans in need of the social security grant, but due to lack of other required documents, such as the paperwork of the deceased parent(s) of the children, the process of registration for the social grant failed within the SASSA office because the application would be referred back to Home Affairs requiring proof.

#### **4.5.1 Challenges of Government Department within Programme**

The study indicated various challenges that are experienced by government departments that influence OSS implementation and community members' participation, such as unavailability of state vehicle, limited tools or required equipment and lack of commitment. The most common challenge indicated in all wards was the unavailability of state vehicle, and the inaccessibility of state transport facilities for daily operations within the OSS programme. Some WR are remotely located, hindering the implementation of the programme as it is impossible for the deployed government officials to attend the WR activities and to visit community as planned or desired.

Another challenge was the limited tools or required and equipment indicated inadequate access to operational resources. Most officials do not have all the office materials in the WR to assist on community issues, and lengthy bureaucratic request processes delayed the processing of issues. Other challenges expressed indicate poor attendance of government department officials, limited availability of staff members in WR (CDW), lack of commitment and inadequate level of



accountability. The WR issues remained unresolved, which made it difficult to provide feedback or attend WR meetings to clarify issues.

In fact, WR structures for their multipurpose<sup>10</sup> functionality were indicated as a challenge, whereby (temporary structures/ permanent structures) belong to local government institution (e.g. local school). Therefore, during school holidays their gates are closed, while WR sitting is supposed to be operational as per-normal meeting slots. Defiantly, all WR stakeholders would be discouraged from attending the OSS WR, and as a result some government department officials indicated that they tend to lack enthusiasm in attending the OSS programme.

Other factors identified as contributing, relate to non-availability of or poor response of the state to issues. The respondents in both WR informants and community informants indicated that the location of the war rooms is sometimes problematic if remotely placed due to unavailability of or inadequate transport, staff shortages and the fact that the official deployed has other duties to attend to, therefore, and that they are not solely responsible for the OSS implementation.

#### **4.6 Responses of Fieldworkers within Programme**

The study indicates three fieldworkers that had influence in the OSS implementation and community member's participation in the programme, such as AEO, CDWs and CCGs; their detailed investigation is presented below:

**Fieldworkers 1:** AEO were found to be actively involved in all six wards for OSS programme implementation. They are deployed by the Department of Agriculture to assist the community members in various projects, such as the 'One Home One Garden' project and soil profiling.

**Fieldworkers 2:** CDWs were found to be actively involved in two wards (12 and 18). The CDWs are deployed by COGTA; they are regarded as the heart of the WR, responsible for coordinating and integrating service delivery at local level. However, two CDWs appeared to be available in OSS WRs functionality and this leads to negative effect in community participation, since CDWs

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<sup>10</sup> Multipurpose functionality means WR structure that is used for many things. For instance WR have it normal operation during day such as (community halls, schools, day care centres, clinics, and library), while WR sitting are supposed to be holding their meeting slots.

role is community mobilisation, community facilitation, and to give out information to the most disadvantaged and economically vulnerable so that they can rapidly access programmes. They have extensive training in managing and relating with the different stakeholders of the OSS programme, they have skills to handle the WR meetings, the writing of minutes and how to prepare monthly reports. They operate with inadequate tools or resources such as computers and departmental cellular phones.

**Fieldworkers 3:** CCGs were found to be actively involved in all six wards. They were found to be responsible for visiting individual households (door-to-door visits) and for household profiling in the local communities. The CCGs were deployed by various departments, including the DoH, DSD and the Red Cross (NGO) to operate on ward-based activities. The CCGs are being tasked to make a meaningful household intervention in poverty reduction by ensuring food security and identifying the most vulnerable and deprived households. Therefore, this adds to behavioural change in fighting diseases, such as Tuberculosis, HIV and AIDS.

Surprisingly, it was revealed that some of the CCGs were acting as coordinators within the WR while holding key positions as OB in the programme office structure; i.e. working as administrators (chairperson or secretarial positions) in the WR, their perceptions were that their employment opportunity depends on maintaining WR functionality as they are getting some remuneration (a stipend). However, CCGs are not fulltime employed, but they do receive what they regard to be a meagre stipend monthly, and an opportunity to be deployed as health practitioner (nurse) in future during the DoH selection process.

Various challenges were identified by the CCGs, such as the inadequate stipend received. They also complained that they are doing most of the work for next to nothing. Sometimes they work as chairpersons in addressing community issues using inadequate resources. They also expressed the opinion that sometimes they are required to perform functions that tend to hinder the implementation of the programme, such as writing a letter on behalf of the champion, which is normally ignored if it is without a letterhead and a stamp which identify the exact ward that is presenting the issues affecting the community. Their duties and responsibilities were quite the

same as CDWs, with limited training provided, particularly because they sometimes act as OB in order to maintain OSS implementation and community participation that require adequate and appropriate training.

#### **4.7 Responses of Civil Society Organisations within Programme**

There are various Civil Society Organisations (CSO) that were indicated to have influence in the OSS implementation and community members' participation in the programme, such as Inkanyezi (NPO), Red Cross (NGO) and Broad Ridge (an international NGO); their detailed investigation is presented below:

**Organisation 1:** Inkanyezi (NPO) was found to be actively involved in ward (12) OSS WR activities. The organisation performs activities, such as the distribution of food parcels and school uniforms and works closely with the CCGs that assist the vulnerable and sick, as indicated (Annexure E: Photo3).

**Organisation 2:** Red Cross (NGO) was also found to be actively involved in ward (5) by reaching out to community members that are infected and affected by HIV and Tuberculosis. They used their own CCGs to deal with 16 clients per area in order to assess condition, treatment defaults and escalate issue referral, i.e. ID documents and social grants.

**Organisation 3:** Broad Ridge (an international NGO) was found to be actively involved in the OSS implementation programme (as indicated earlier in 4.2.6, which discussed the participation of WR stakeholders and their benefits within programme). They mainly assist with ensuring OSS WR functionality by facilitating the programme and assessing the civil society organisations that are within an area to be involved in the programme.

## **4.8 ANALYSIS AND DISCUSSION OF DATA**

Presented below, is the analysis and discussion of data that were collected through focus group, and face to face interviews with key informants. The discussion of data is based on objectives and the research question the study sought to answer.

### **4.8.1 Assessment of Demographic Characteristics**

The results reveal that most participants in the programme were between 18-59, and this group is perceived to be able-bodied and a group that could engage in any work-related activities. Some of the participants in the age group were government officials working as WTT, others deployed as CDWs and CCGs. Most participants in the OSS programme implementation appointed as the CCG members, were deployed by the Department of Health (DoH) and the Department of Social Development (DSD) within the programme. In support, Swanepoel & De Beer (2011) verify that CDWs facilitate the learning process, especially in deprivation trapped communities. Indeed, Nyalunga (2006) maintains that CDWs offer foundation in facilitating community development.

The results indicated that 20% of the respondents were elderly people who had minimal information about the programme, but were highly knowledgeable about CCGs, due to the door-to-door mode of participation in the implementation of the programme. The majority (80%) of the respondents were between 18-59 years old, which translate into having the majority of people who are within the employable age group in the study areas. Therefore, their lack of participation in the programme requires motivation.

### **4.8.2 Assessment of community participation in the implementation of OSS**

Various strategies used in engaging the community in OSS were identified as participation through community meetings, in the form of 'walk-ins' and through individual household visits, known as door-to-door. It was discovered that the most commonly used strategy was the door-to-door visits by the care-givers, and this contributed meaningfully to household service delivery and the well-being of community members, particularly the elderly and the sick. It was also indicated that door-to-door immensely contributed to behavioural changes, particularly in

fighting diseases, such as Tuberculosis, HIV/AIDS and other lifestyle diseases. This mode promoted consultation and material incentive for community member's participation.

It emerged that people are participating on ad hoc bases in form of walk-ins. This could be described as the lowest level of participation, considering Arnstein's Participation Ladder (1969). Community participation in any project calls for full engagement throughout the project cycle and not the ad hoc type of participation, as this has implications for the project sustainability, ownership and self-reliance (Swanepoel and De Beer, 2011). The community members were passively involved in the project and participated only when the need arose. This mode promoted information giving about community members participation, whereby they are informed about a variety of service provision in OSS WRs. The communities gained feedback regarding the issues that were previously identified. Despite the assertion in Duraiappah, Roddy and Parry (2005), that participation recognises the importance of engaging all stakeholders irrespective of gender, educational level or the socio-economic status but the authors are concerned about the effectiveness of participation in bringing the voices of the poor and marginalised into development processes, but this seemed to be non-existent. Furthermore, the OSS programme is based on active participation of community members in the actual implementation of the programme, but the results demonstrate the contrary in that where the community members participated as walk-ins, they were not fully involved, but they attended the WR only when there was a pressing need or concern.

The results also indicated community meetings as a strategy for community engagement in the programme. However, it is noted in the same results that the most engagements through such meetings were not meant for OSS, but normal community leadership meetings since it is in the gendered community matters where OSS issues were identified and then referred to the WR, and by the way, there are not done as the main focus.

Furthermore, ward/portfolio committee strategy was only identified by WR informants (FGs discussion), and it was noted that the community informants had no use of this strategy. Obviously, this strategy was inactive about informing communities based on the implementation of the OSS programme. Despite the fact that proximity of some WRs within communities' the

programme service users have to pay transport cost. Thus, this strategy was considered as anti-participatory mode for community members in OSS programme implementation; to be accurate, Nyalunga (2006) noted anti-participation of ward committees that is due to lack of capacity and incentives to persuade them to work whole heartedly towards the betterment of their constituencies.

#### **4.8.3 The level of Participation**

Using Arnstein's Ladder of Participation as an indicator of the level of participation, the results clearly demonstrate that the programme was characterised by a higher degree of tokenism or non-participation of the community members. The programme conclusively enabled the power holders or those responsible for the delivery of services to 'cure' or educate people, as expressed in Arnstein (1969), and not to empower or capacitate people and to provide services in a manner which promotes self-reliance.

Again, the type of participation suggests a lower rung participation in Arnstein's Ladder of Participation, which is used as an indicator in this study. The implementation of the programme is characterised by a consultative process rather than a participatory approach which involves the identification and prioritisation of service delivery issues by people themselves. It is acknowledged that people are invited to attend community meetings to identify their issues, but it is also noted that community meetings are normally used by government as a tool to inform people about the programme and the dates for WR sittings with an assumption of representation by all government departments. This is notwithstanding the fact that community meetings have implications, since their main focus is not really on the OSS programme roll-out. Therefore, this adds to inadequate access to information about activities carried out in the OSS WRs programme.

#### **4.8.4 Nature of Participation**

The results clearly demonstrate that a top-down approach is used in the programme in that the government authorities and local leadership seemed to be in control. The public is informed and does not have any form of influence in decision making. The programme implementation adopts a provider approach which excludes local people from participating in their own development.

The services are provided to the people, including hand-outs in the form of food parcels, with minimal capacitation on food production and other livelihood skills. The ‘top-down’ model of development where governments decide on the needs of communities and the type of projects to be adopted in order to address the needs has, to a large extent, shown to be ineffective at driving community development or service provision (Sabela, 2014).

The use of a top-down approach makes people to be powerless; the study indicated that the programme promotes “*give and take system*” mainly for service provision. On contrary with participation as development principle, community participation implies afforded opportunity to develop “we” feeling of ownership of project. This is notwithstanding the fact that community members in the programme are not holding complete power and also not deciding on their skills development required. However, communities rely on service provision, which means they will never brake away from poverty cycle, as Masanyiwa and Kinyashi (2008) claim that powerlessness is a central element of poverty, inequality, injustice and exclusion that involves the analysis of challenging the changing power relation. Therefore, this approach systematically excludes the concept of empowerment, which helps to amplify unacknowledged voices by enabling the poor and vulnerable people to decide upon and take actions which they believe are essential to their development.

The notion of empowerment is the critical element for community development programmes, whereby community members obtain critical skills to the beneficiary community and capacitate them to have control over development, while increasing self-esteem, thus serving as a catalyst for poverty reduction (Theron 2009 & Tsoabisi 2012).

At the centre of the top down approach, the issue of WR functionality cannot be ignored, in that the availability of a champion directly impacts on attendance of various programme stakeholders. The notion of champion accountability is inextricably linked to modes of community participation in the programme. The study indicated that activeness of the champion causes extremely well WR functionality, whereby the champion informs community members about the OSS WR activities during announced community meetings and ensures identification of upcoming events and the outreach programmes that are carried out in the WR. However, the

WRs where the champion was perpetually absent were marked by poor attendance and poor coordination of WR activities.

It is also worth mentioning that the study indicated three modes of communication during community informant's discussion, and on the other hand WR informants indicated four modes. This shows inadequate access to information by community members since they are not well capacitated about WR strategies of communication, and this resulted in the concept of community participation being not centred development approach. Obviously, non-compliance of some ward councillors in OSS WR activities had an impact to communities, which added another factor on limited knowledge about modes of communication. Their non-compliance further contributed to ineffective operation of the OSS WR programme implementation. Ironically, the study indicated one mode (door-to-door) that was effectively operational in all wards, regardless of WTT composition and knowledge base and non-compliance of some champion in OSS WR.

Furthermore, this approach does not furnish vulnerable and deprived community members with self-reliant skills that lead to empowerment. Thus, OSS programme implementation considers community participation as service provision, such as food security (food parcels and vegetable gardens), social grants, school uniforms, ID documents and birth certificates. Masanyiwa & Kinyashi, (ibid) maintain that community participation in governmental programme is seen as “means” to achieve some pre-determined goals. The explanation clearly suggests that participation as means only focuses on service delivery whereby community members are beneficiaries and their input is not really valued within the government programme.

#### **4.8.5 Participants in the programme**

Women were found to be active participants within the programme, and Delius & Schirmer (2001) noted that females tend to predominate in programmes that focus on community development and rural livelihoods, but are usually faced with challenges, such as inadequate or lack of resources and education. The majority of women were deployed as CCGs in the programme, and this is explained by the type of work that is done by CCGs who are responsible for the door-to-door visits. Nampila (2005) maintains that women are overrepresented among the



poor and they usually do not participate unless specific steps are taken to ensure that they participate and benefit from development projects.

#### **4.8.6 Challenges**

There are the challenges that were identified in the programme, such as length of bureaucratic structural process, lack of institutional coordination by community leadership, unavailability of CDWs, political influence in OSS WRs and limited stipend received by CCGs.

The major concern was lack of institutional coordination by community leadership, whereby traditional leadership was not directly involved in attending the programme activities, whereas some ward councillors were not actively involved in the programme. On the complex linkage in community leadership roles and functions, the study indicated that the ward councillors are the main actors in OSS programme and traditional leaders are seen as subordinates for community development. Ward councillors operate according to local government in representing all local communities wards, including the rural wards. They also coordinate all community development programmes, thus they are considered as government soldiers in ensuring provision of efficient and equitable services to the local communities.

On the contrary, some of the traditional leaders are not enthusiastic about the OSS programme, since they lack powerholding positions in the OSS WR. Thus, this promoted per-sole working environment via TCs community meetings for community participation, whereby the majority of community members were assisted by TCs administration structure for service provision. In fact, traditional leaders are perceived as powerholders of the land and for rural communities that they govern. The rural community extremely respects leadership authority and they also uphold their cultural customs and values. Nevertheless, modern democracy requires traditional leaders working closely with local government via Traditional Councils (TCs) structures, where the coordination of Amakhosi and ward councillors is highly emphasised. However modernisation seemed to lessen their powers, as a result some traditional leaders utilise TCs structures to prove their activeness on community development activities for their rural communities. Nyalunga (ibid) stresses government role in incorporating traditional leaders into government, to be central role players in the new development and service delivery (Tihoaele, 2012).

The study indicated lack of integrated services provision as another challenge, whereby the departments operate as per-solo's where there is no government integration, as per-department focuses on assurance that communities get their needs and escalate issues of referrals. Therefore, a basket service is per-departmental provision. In reflection one government official in WR had this to say:

*As health practitioner (nurse) attending the War Room for issue referrals and cases, i.e. those who defaulted their medication for HIV and AIDs.*

The evidence indicated above indicate that government departments only attend the WR for the issues related to their department, and there is very limited means of government department coordination and active participation in attending the WR daily. Citing OECD, (2012: 4), integration of services provision includes cooperation<sup>11</sup> or communication among service providers, collaboration<sup>12</sup> among professionals across different sectors, and the physical or virtual collocation<sup>13</sup> of complementary services provision in communities.

It is also worth mentioning, that the roll-out of CSO in OSS WRs was fragmented due to lack of their availability in some wards, the study indicated a number of non-functional NPOs due to limited funding on sustaining the organisation. Hence this anchor to limited community service provision and participation in the implementation of OSS programme. Notwithstanding the fact that CSO (organisations) promote “Ubuntu”, which images the supportiveness, cooperation, and solidarity (Siggeret *al*, 2010). CSO promote people-centred development which they operate, not for commercial purpose, but in the interest of the marginalised poor (Davids, Theron & Maphunye, 2005).

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<sup>11</sup> Cooperation is the highest degree of integration, where professionals communicate and work together effectively to improve service user's outcome, where cost is lowered and services are not duplicated.

<sup>12</sup> Collaboration entails a higher level of integration than collocation. It refers to agencies working together through information sharing and training, and creating a network of agencies to improve service user experience. Collaboration is a necessary step for reducing the gaps in services for service users

<sup>13</sup> Collocation is clustering of all government departments, CSO, business in one place where all service providers and professionals are available.

Previously limited tools or required equipment have been indicated as challenges that length bureaucratic structural reporting line resulted to unsolved referrals, as noted by McEwan (2005), the community members were poorly attending, due to lack of feedback.

Furthermore, unavailability of CDWs was indicated as a challenge since there are reservoirs of information on capacitating communities about WR and assuring that programme activities are carried-out. Furthermore, political influence was a challenge, as community members expressed that services rendered were based on political affiliation, meaning that one had to belong to a particular political party to be attended to. This resulted in conflicts, as seen in Figure 4.2. As quoted earlier, Nwachukwu (2011) maintains that political influence is a factor in participatory developmental programmes, due to community attitudes and perceptions regarding their representatives and the facilitators who, importantly, should not be identified with any particular political formation.

The limited stipend received by CCGs was added as a challenge since there were complaints that they work very hard, but they are given peanuts. This is contrary to Nwachukwu (ibid), cited earlier that the provision of incentives by government or the facilitators could trigger effective participation and that the pathetic socio-economic position of the people obstructs them from meaningful participation.

#### **4.9. Summary of the Chapter**

This chapter has presented and analysed the data collected in six selected wards on community participation in the OSS programme, which focused on the participatory approach. The strategies through which the community is involved in their development are highlighted. However the most dominant method of participation was found to be household visits. It was noted that participants infrequently visit the war rooms as ‘walk-ins’. The community members do participate in the programme in various ways but they are not involved in the design of the projects. In summary, their involvement is confined to receipt of hand-outs by the government. There are various stakeholders participating in the programme and these have been identified and discussed. The challenges are also highlighted and these were found to be definite hindrances to the implementation of the programme. The next chapter summarises the various findings that were explained in this chapter.

## **CHAPTER 5**

### **SUMMARY, CONCLUSION AND RECOMMENDATIONS**

#### **5.1 Introduction**

The chapter presents a comprehensive summary of the findings, conclusion and recommendations of the study. The first part summarises the findings and draws concluding statements. The last part presents the recommendations and highlights the limitations and areas for further studies.

#### **5.2 Summary of the Study**

The study was conducted in six selected wards located within uMhlathuze Municipality, which has 30 wards. The study was aimed at obtaining in-depth information on the engagement of community members in the implementation of Operation Sukuma Sakhe (OSS). An overall sample of 125 respondents was selected using purposive sampling for the key informants such as the traditional leadership, officials deployed by the government to the programme, fieldworkers and CSO. The FGs and community members were sampled using the convenience method of sampling. The discussions were held in the WRs and the researcher conveniently conducted them during WR meetings to ensure that all members of the WR are available. To collect the data, FGs discussions were held with officials serving in the WR structure and interviews were conducted with community members who were selected as the respondents in the study. An interview schedule had both structured and unstructured questions. The study objectives were achieved by assessing community participation in the study, as discussed below.

##### **5.2.1 Analysing strategies used to engage the community in participatory programmes**

This objective was addressed as indicated earlier, during assessment of community participation in the implementation of OSS. This indicated a range of four strategies in communication and participation for community members in OSS programme, namely: community meetings, door-to-door, walk-ins and ward or portfolio committee.

**Strategy 1:** Community meetings are a commonly used method of participation that appears to be a potential public tool in decentralisation of information and as an indispensable community development strategy in capturing and institutionalising OSS WR functionality.

**Strategy 2:** Door-to-door is the highly used method of participation that was through individual household visits, an activity which was found to be diligently performed by the CCGs.

**Strategy 3:** Walk-ins is a limited method of participation that suggests participation on a temporary basis or when the need arises.

**Strategy 4:** Ward/portfolio committee is unevenly used by WR informants. Community informants indicated as anti-participatory method of participation in the implementation of OSS programme.

In summary, the latter seemed to be in certain wards, although it suggests a lack of commitment to the programme. This has direct implications for the effectiveness and sustainability of any development programme designed for the community.

### **5.2.2 Assessing level of stakeholder participation in OSS implementation**

This objective was addressed as indicated earlier, during level of participation; which indicated tokenism participation or non-participation of community members in OSS programme. The level was located using Arnstein's Ladder. It is clear that citizens do not fully engage themselves in the programme and, therefore, the process of learning, growth and change, as proposed in the OSS implementation manual, has not yet been realised. The programme is dominated by the provision of hand outs, such as food parcels, school uniforms, and other activities. Very little can be said about active participation in issues of poverty reduction, employment creation, rural development, social ills/ crime and addressing the needs of the most vulnerable and deprived-the top five priorities that are identified in the OSS implementation manual.

### **5.2.3 Examining nature of community participation**

This objective was addressed, as indicated earlier, during nature of participation; which indicated top-down approach of community members in OSS programme. The nature was located using Arnstein's lowest rung. It is clear that citizens lack effect in decision making, and as result, they are powerless in the programme since, WTT are concerned about service provision.

The study findings identified OSS programme community participation as a high level of political arena for service provision, and mounting evidence indicated benefits of the programme that were clearly articulated by the participants, which included access to social grants, monitoring the intake of medication, and short-term access to food (food parcels). There WRs also organised and brought relevant departments such as the Department of Home Affairs are brought to assist with applications for Identify Documents and birth certificates. The benefits identified do not portray the importance of participation in the implementation, but seem to focus more on provision, thus supporting the provider paradigm facilitated by the state or through the programme.

### **5.3 Conclusion**

The study set out to obtain information on the nature and level of participation of community members in the implementation of OSS. It is concluded that the aim and objectives of the study were achieved. This included analysing the nature and level of participation of community members in the implementation of OSS. It was discovered that there are various methods used to engage the community in the programme, namely: mass community meetings, door-to-door visits, household visits and participation of the community as walk-ins. The most commonly used method to engage community members was through door-to-door visits where the CCGs were actively involved. The respondents participated only in the identification of issues affecting them and not in identifying possible solutions to the problems. The decisions were seemingly taken by external members, something which has negative implications on community development of projects.

The participation of community members in the form of 'walk-ins' raised a cause for concern, in that, it is regarded as a sign of lack of commitment, and that people do not view the programme

as a learning process which could lead to growth and change. The method cannot be considered as a reliable or effective way of ensuring adequate participation in any service delivery or community development programme. Where community members participate as walk-ins, suggests low levels of participation and that the actual implementation does not encourage the development of what is referred to as the ‘we feeling’ or ownership of the programme in participation circles. Lower levels of participation were noted where members are consulted about the problem but remain passive participants in their development. People are treated as beneficiaries or the recipients of benefits, which may suggest a one-way type of communication and a top-down approach to service delivery.

It is also concluded that gender-specific capacitation and empowerment programmes have to be instituted, because the programme predominantly comprises women and people who can be described as economically active because they are neither too young nor too old to work in the programme. The group that was found to be actively involved is usually characterised by inadequate access to assets and productive resources, and a lack of knowledge or skills.

Among the officials in the WR, limited knowledge on roles and responsibilities was noted in certain wards, and this has implications for service delivery and may be somehow responsible for the lack of participation in WR activities.

#### **5.4 Recommendations**

The potential benefits of the programme, namely: learning, growth and change could be realised with the active participation of the intended beneficiaries. People should be active participants, both in the identification of issues affecting them, and in the identification of potential solutions to the problems.

The programme adopted should be adapted to suit local conditions. For example, the question of who should be the champion has to be taken into consideration in the OSS programme. Questions that could be used to guide the selection of the champion could include: ‘Should it be an active member of the community or a councillor who has other commitments in the community’?



The implementation of the programme currently involves collecting issues from the community and escalating the information for solutions without any consideration of the process of learning and change. The programme, though described as participatory in orientation, treats people as receivers of benefits or services and creates dependence on the state. The outsiders (government, private sector and NGOs) should act as facilitators, and not providers.

It is recommended that more studies be conducted on the programme, focussing attention on the extent to which the community members participate in the programme. Evaluation and monitoring tools have to be provided as it is not clear at the moment how monitoring of the programme is done, and by who.

### **5.5 Areas for Further Studies**

The following areas were identified for further studies:

- Participation in the implementation of programmes and the extent to which people are afforded the opportunity to participate.
- Evaluation and monitoring of the effectiveness of the programme.
- Research to identify tools that could be used in monitoring procedures.

### **5.6 Limitations**

The FG sample size was not evenly distributed in all WRs, as some had a small number of participants than others. This made it difficult to find significant relationships in the data. Another limitation was the inadequate availability of Traditional Leadership. Also, some wards were larger than others.

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## 7. APPENDIX

### ANNEXURE A: INTERVIEW GUIDE

#### ANNEXURE A.1 COMMUNITY INTERVIEW GUIDE

##### (A.1)The questions for Community (Youth, Women, Men and Elderly)

###### Q.1 Gender Distribution

###### Q1.1Gender

M	F
---	---

###### Q1.2Age

18-35	36-59	60 above
-------	-------	----------

###### Q1.3 Education

Grade 0-7	Grade 8-12	Above Grade 12
-----------	------------	----------------

###### Q.2.How are you participating in OSS activities?

###### Q.3. What factors do you think are in favour of your participation in the OSS activities?

###### Q.4. What factors do you think are against your participation in the OSS activities?

###### Q.5.How do officials participate in OSS?

###### Q.6.Please, explain the activities you are participating in.

###### Q.7.What do you think should be done to improve your level of participation in OSS?

###### Q.8.What strategies should be put in place to promote effective participation in OSS?

###### Q.9. What do you see as the benefits in participating in OSS?

## ANNEXURE A.2 FOCUS GROUP INTERVIEW GUIDE

**(A.2)The Questions for war room focus groups** (Champion, Chairperson, Deputy Chairperson, Secretary, Deputy Secretary, Ward Committee/Portfolios, CDWs, CCGs, EO, Government Departments, NGOs, CBOs, FBOs, NPOs)

### Q.1 Gender Distribution

M	F
---	---

### Q1.2Age

18-35	36-59	60 above
-------	-------	----------

### Q1.3 Education

Grade 0-7	Grade 8-12	Above Grade 12
-----------	------------	----------------

Q.2.How are you participating in OSS activities?

Q.3. What factors do you think are in favour of your participation in OSS activities?

Q.4. What factors do you think are against your participation in OSS activities?

Q.5.How does the community participate in OSS?

Q.6.What activities are you participating in?

Q.7.What do you think should be done to improve your level of participation in OSS?

Q.8.What strategies could/should be put in place to promote effective participation in OSS?

Q.9.May you, please, explain what you see as the benefits of participating in OSS?

## **ANNEXURE A.3: LEADERSHIP INTERVIEW GUIDE**

### **(A.3)The Questions for Leadership Interviews (Traditional Leaders and OSS Officer LM)**

Q.2.How are you participating in OSS activities?

Q.3. What factors do you think are in favour of your participation in OSS activities?

Q.4. What factors do you think are against your participation in OSS activities?

Q.5.How does the Community Participate in OSS?

Q.6.What activities are you participating in?

Q.7.What do you think should be done to improve your level of Participation in OSS?

Q.8.what strategies could/should be put in place to promote effective participation in OSS?

Q.9.What do you see as the benefits of participating in OSS?

## **ANNEXURE B: OBSERVATION CHECKLIST**

### **The War Rooms Observation checklist**

Observation allows the insight into contexts or relationships and behaviour. The researcher will be in different Wards for a month and will be observing those areas administered by the Municipality, Tribal Authorities and Counsellors. UMhlathuze Municipality has 30 wards; there are 12 urbanwards, 10 ruralwards and 8 peripheralwards. The researcher will focus on 6 wards the two rural wards that have a low level of participation in OSS , Nseleni-Ward 5, Mandlankala-Ward 12 and two urban-wards that are functional in terms of participation (Ward 9 and Ward 19), two peripheralwards that are participating fully in OSS, Mandlazini-Ward 4, kwaNowa-Ward18 (war room functionality, 2013:1).

#### **1. Is the war room available?**

<b>Wards</b>	<b>war room with OSS branding</b>	<b>war room but no OSS branding</b>	<b>no war room</b>	<b>war room is new</b>
<b>4</b>				
<b>5</b>				
<b>9</b>				
<b>12</b>				
<b>18</b>				
<b>19</b>				

#### **2. The availability of venue?**

<b>Wards</b>	<b>Permanent venue</b>	<b>Temporary venue</b>	<b>Rotating venue</b>	<b>No venue at all</b>
<b>4</b>				
<b>5</b>				
<b>9</b>				
<b>12</b>				
<b>18</b>				
<b>19</b>				

**3. Availability of Champion within the war room?**

<b>Wards</b>	<b>Available and active</b>	<b>Available but not Active in the WR</b>	<b>Not Available at all</b>
<b>4</b>			
<b>5</b>			
<b>9</b>			
<b>12</b>			
<b>18</b>			
<b>19</b>			

**4. Is the structure of Ward Task Teams established?**

<b>Wards</b>	<b>Formed and active</b>	<b>Formed but not active</b>	<b>No structure</b>
<b>4</b>			
<b>5</b>			
<b>9</b>			
<b>12</b>			
<b>18</b>			
<b>19</b>			

**5. Availability of Government Departments within the war room?**

<b>Wards</b>	<b>They attend</b>	<b>They collect issues only</b>	<b>They don't attend or collect issues</b>
<b>4</b>			
<b>5</b>			
<b>9</b>			
<b>12</b>			
<b>18</b>			
<b>19</b>			



**6. Availability of Community Leadership within war room?**

<b>Wards</b>	<b>Active</b>	<b>Not Active</b>	<b>Not Present for this Ward</b>
<b>4</b>			
<b>5</b>			
<b>9</b>			
<b>12</b>			
<b>18</b>			
<b>19</b>			

**7. Availability of Civil Society, like CBOs, FBOs, NGOs, Wards Committees, etc.**

<b>Wards</b>	<b>Active</b>	<b>They collect issues</b>	<b>They don't attend or collect issues</b>
<b>4</b>			
<b>5</b>			
<b>9</b>			
<b>12</b>			
<b>18</b>			
<b>19</b>			

**8. Availability of Fieldworkers, like CDWs, CCGs and YA available?**

<b>Wards</b>	<b>Active</b>	<b>CDW only</b>	<b>CCGs only</b>	<b>Available but not active</b>	<b>No YA,CCGs, CDWs</b>
<b>4</b>					
<b>5</b>					
<b>9</b>					
<b>12</b>					
<b>18</b>					
<b>19</b>					

**9. Community members attending the war room?**

<b>Wards</b>	<b>Attending</b>	<b>They don't attend but their issues are collected</b>	<b>They don't attend</b>
<b>4</b>			
<b>5</b>			
<b>9</b>			
<b>12</b>			
<b>18</b>			
<b>19</b>			

## ANNEXURE C: ETHICAL CLEARANCE CERTIFICATE

**UNIVERSITY RESEARCH ETHICS  
COMMITTEE**  
(Reg No: UZREC 171110-30)



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### ETHICAL CLEARANCE CERTIFICATE

Certificate Number	UZREC 171110-030 PGM 2013/62						
Project Title	Participation of Wards in Operation Sukuma Sakhe within the City of uMhlathuze						
Principal Researcher/ Investigator	NN Ndlovu						
Supervisor and Co- supervisor	Mrs. PT Sabela						
Department	Anthropology & Development Studies						
Nature of Project	Honours/4 <sup>th</sup> Year		Master's	x	Doctoral		Departmental

The University of Zululand's Research Ethics Committee (UZREC) hereby gives ethical approval in respect of the undertakings contained in the above-mentioned project proposal and the documents listed on page 2 of this Certificate. Special conditions, if any, are also listed on page 2.

The Researcher may therefore commence with the research as from the date of this Certificate, using the reference number indicated above, but may not conduct any data collection using research instruments that are yet to be approved.

Please note that the UZREC must be informed immediately of

- Any material change in the conditions or undertakings mentioned in the documents that were presented to the UZREC
- Any material breaches of ethical undertakings or events that impact upon the ethical conduct of the research

The Principal Researcher must report to the UZREC in the prescribe format, where applicable, annually and at the end of the project, in respect of ethical compliance.

## ANNEXURE D: THE RESPONDENTS CONSENT FORM

### PARTICIPANT INFORMED CONSENT DECLARATION INFORMED CONSENT DECLARATION

(Participant)

**Project Title**.....

..(***Name of researcher/person administering the research instrument***) from the Department of ....., University of Zululand has requested my permission to participate in the above-mentioned research project.

The nature and the purpose of the research project and of this informed consent declaration have been explained to me in a language that I understand.

I am aware that:

1. The purpose of the research project is to.....
2. The University of Zululand has given ethical clearance to this research project and I have seen/ may request to see the clearance certificate.
3. By participating in this research project I will be contributing towards  
..... (***State expected value or benefits to society or individuals that will arise from the research***)
4. I will participate in the project by..... (***State full details of what the participant will be doing***)
5. My participation is entirely voluntary and should I, at any stage, wish to withdraw from participating further, I may do so without any negative consequences.

6. I will not be compensated for participating in the research, but my out-of-pocket expenses will be reimbursed. (***Should there be compensation, provide details***)

7. There may be risks associated with my participation in the project. I am aware that

a. the following risks are associated with my participation: .....(***state full details of risks associated with the participation***)

b. the following steps have been taken to prevent the risks: .....

c. there is a .....% chance of the risk materialising

8. The researcher intends publishing the research results in the form of..... However, confidentiality and anonymity of records will be maintained and that my name and identity will not be revealed to anyone who has not been involved in the conduct of the research.

9. I will not receive feedback /will receive feedback in the form of .....regarding the results obtained during the study.

10. Any further questions that I might have concerning the research or my participation will be answered by..... (***Provide name and contact details***)

11. By signing this informed consent declaration, I am not waiving any legal claims, rights or remedies.

12. A copy of this informed consent declaration will be given to me, and the original will be kept on record.

I,.....have read the above information / confirm that the above information has been explained to me in a language that I understand and I am aware of this document's contents. I have asked all questions that

I wish to ask and these have been answered to my satisfaction. I fully understand what is expected of me during the research.

I have not been pressurised in any way and I voluntarily agree to participate in the above-mentioned project.

.....

**Participant's signature**

.....

**Date**

## **ANNEXURE E. PICTURES**

**Photo 1: Destroyed OSS War Rooms**



**Source: Research Data, 2014**

**Photo 2: Gender Distribution in Focus Groups**



**Source: Research Data, 2014**

**Photo 3: Ward (12) NPO in Action**



**Source: Research Data, 2014**