

**EVALUATING THE IMPORTANCE OF COMMUNITY PARTICIPATION IN  
INFRASTRUCTURE DELIVERY IN THE WESTERN CAPE**

**BY**

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**A THESIS PRESENTED TO THE HIGHER DEGREES COMMITTEE OF THE  
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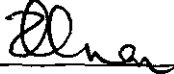
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## DECLARATION

With this statement I, Zainunisha Khan, affirm that the research work which this thesis is supported on, is my own ( except where acknowledgements indicate otherwise), and that neither the entire research nor any part thereof has been , is being or is to be submitted for another degree in this or any other academic institution.

Name: Zainunisha Khan (nee Mohamed)

Signature: \_\_\_\_\_

Date: December 2005

**This thesis is dedicated to my mother, father, second father, brother, sisters, brothers and my daughter Laylah.**

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My gratefulness firstly goes to Allah, the most gracious, most merciful, who granted me ability and made the way open for me to complete this research. Surely nothing happens without the Will of Allah.

The difficulties endured during this journey seem a distant memory now.

I wish to acknowledge those people who have made this thesis a reality. My supervisor Dr. Theodore Conrad Haupt who pushed me to limits only he knew I was capable of and who showed a belief in my capabilities which even I did not have in myself.

To Professor P D Rwelamila for your assistance and unwavering understanding. I have to acknowledge your input into this work.

I would like to thank all the participants who so graciously offered up time to participate in this study. Your willingness and co-operation was an invaluable contribution to this study.

My appreciation goes to Cape Peninsula University of Technology (CPUT) administration and management.

To all my colleagues and friends who gave me constant support and encouragement.

Special thanks go to my mother, my pillar and support during the entire course of this study and my life. To my family and friends who encouraged me without expectations. Lastly to my daughter Laylah who had to endure many days without a mother.

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By

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Faculty: Engineering  
Department: Built Environment

There is a realisation that new emphasis and added responsibilities are being placed on professional consultants to involve local communities in the development process. The traditional hierarchical 'top-down' approach which characterised the way projects were initiated and managed by construction professionals in the past has lost favour with the Department of Public Works (DPW). It is therefore necessary for professionals to change their thinking, react and adapt to change. This will require a major paradigm shift on the part of the construction professional consultants.

The World Bank advocates three measures to reform the provision of infrastructure services, namely wider application of commercial principles to service providers, broader use of competition, and increased involvement of users where commercial and competitive behaviour is constrained.

The need for people involved in development to be placed in the centre also suggests the implementation of specific and intruding shifts in emphasis. Policies and strategies directed mainly at the control of natural settings, technological considerations, economic structures and demographic conditions have to be replaced by policies that take full cognisance of concomitant values, customs, social structures and political participation.

The study examined the lack of community participation in current community development projects in South Africa which resulted in their diminished usefulness to beneficiary

communities. The study had five main objectives namely (a) To highlight the importance of community participation in development projects through a theoretical study; (b) With the use of surveys establish whether community development projects involve the participation of the *beneficiary community in all the stages of a project*; (c) To show the Current project delivery systems enhance community participation; (d) To highlight the effect that community dynamics has on the process of delivering development projects and (e) Show through a survey that beneficiary communities do not accept ownership of projects unless they participate in these projects.

Literature reviewed established the importance of community participation in development projects as well as the importance of government intervention programmes through delivery mechanisms in giving effect to community participation.

The survey used obtained opinions on the implementation of community participation in development projects from a range of stakeholders who formed part of the delivery system. Beneficiary communities were interviewed to establish their perception of project delivery especially their level of satisfaction with the process of delivery as well as the product being delivered.

Community participation was evidently an important factor in the success of development projects. Development projects or infrastructure provision was important to the growth of communities both economically and socially.

It would seem that the success of a participatory community technique depended on making clear the stakeholder involvement and responsibilities at the outset of projects. Cooperative stakeholders joining together in consultative processes created an environment of continuous review of problem identification, objectives, activities and anticipated cost and benefits.

## **CHAPTER 1**

### **BACKGROUND INFORMATION**

#### **1.1 Introduction**

In the run up to the 1994 South African elections, expectations were raised for improvements in access to basic facilities such as water, sanitation, and housing (HST, 1995). In 1994 the new South African government inherited a mixed but rapidly deteriorating infrastructure stock. Infrastructure has been defined as social overhead capital by development economists such as Rosenstein-Roden, Nurke and Hirschman (World Bank, 1995) and includes social services like housing, hospitals, factories and schools (Biehl, 1991). However a more comprehensive definition would also include services such as power, telecommunications, piped water supply, sanitation and sewerage, solid waste collection and disposal, piped gas, roads, irrigation and drainage, railways, transport, ports and airports (Biehl, 1991).

According to Thabo Mbeki (the Deputy State President at the time) economic infrastructure was reasonable, with transport and electricity fairly well developed. However, currently these networks were not appropriate for the needs of the population and the economy. City transport systems were increasingly strained as the majority of the population had been forced to live far from their places of work and basic services. Access to social and domestic infrastructure was restricted mainly to urban areas. Consequently, people in rural areas had few services. In 1994, 20% of rural dwellers had access to electricity, 35% to clean water and 5% to adequate sanitation. In urban areas, at least a fifth of households could not access these services. The government needed to provide infrastructure that would meet the country's economic demands, while simultaneously redressing apartheid imbalances (DBSA, 1998).

There is an emerging consensus that infrastructure is essential for growth and development in an economy (Khosa, 1999; DBSA, 1998). Lanjouw (1995) argues that infrastructure contributes directly to socio-economic welfare and has been identified as being the key to poverty reduction and alleviation in developing countries. According to Haupt (1996) a lack of infrastructure ensures that living standards are compromised, production capacity undermined and overall development and growth is hindered.

Government policy documents such as the Reconstruction and Development Programme (RDP) White Paper, Growth, Employment and Redistribution (GEAR), and Poverty and Inequality Report (PIR) recognise the positive impact of infrastructure on growth and development in South Africa (Khosa, 1999).

## **1.2 Development Projects (Infrastructure)**

Infrastructure alone may not be a sufficient condition for development and a better quality of life, but it is a necessary element thereof. It supports growth primarily by lowering the cost of production and transactions, thus enabling those who participate in the economy to produce, trade, invest, do business or simply reside where affordable infrastructure is available in the right mix (DBSA, 1998).

The World Bank (1995) contends that the past growth of infrastructure in developing countries has been spectacular in some respects. The percentage of households and businesses served has increased dramatically, especially in power and telecommunications. Infrastructure investments in developing countries have often tended to be misallocated – too much to new investment, not enough on maintenance; too much to low priority projects, not enough to essential services. Technical inefficiency and outright waste have hampered the delivery of services. Too few investments and delivery decisions have been attentive to meeting the varied demands of different user groups.

According to the South African Poverty and Inequality Background Report (Abrahams and Goldblatt, 1997) infrastructural services such as communications, power, transportation, provision of water and sanitation are central to both the activities of households and the economic production of a nation. In order to ensure that growth is consistent with poverty alleviation, infrastructural development needs to be extended to all sectors of the population. Access to at least minimum infrastructure services is one of the essential criteria for defining welfare. Links between poverty and infrastructural services in South Africa are not always easy to define because lack of access to one utility does not necessarily mean a lack of access to the others. Moreover, the different infrastructure sectors have different effects on improving quality of life and reducing poverty. For example, access to reliable energy, clean water and sanitation helps reduce mortality and morbidity and saves time for productive tasks; transport enhances access to goods, services and employment and communications allows access to services, and information on economic activities. Redress of current imbalances in infrastructural services requires



considerable investment in the short- and medium-term, despite fiscal constraints. Resolving this fiscal dilemma - generating sufficient public and private investment without incurring excessive public debt - is essential in order to secure the growth and poverty reduction linkages of infrastructure investments.

The World Bank (1995) advocates three measures to reform the provision of infrastructure services, namely wider application of commercial principles to service providers, broader use of competition, and increased involvement of users where commercial and competitive behaviour is constrained.

The latter proposal suggests the involvement of users and other stakeholders in consultation during project planning direct participation in operation or maintenance and monitoring. This is the primary focus of this thesis.

### **1.3 Stakeholder Participation**

There is an emerging trend in South Africa that recognises that development is much more than the expansion of income and wealth and that economic growth, though essential, is not enough. The focus is increasingly on human development, which ranges from enjoying a decent standard of living to enjoying a greater sense of participation in the various activities within their communities. Seen in this light, projects in developing areas increasingly include objectives that go beyond the mere provision of physical facilities. How a project is undertaken and by whom, are just as important as what is delivered (DBSA, 1993).

As outlined in Habitat (1990), the problem of providing, operating and maintaining infrastructure facilities in developing countries has, over the years, grown beyond the capacities of most governments. Institutional weaknesses that have emerged as serious constraints to the infrastructure delivery process are:

- Ineffective government agencies often with overlapping jurisdictions and competing interests;
- Ineffective government agencies with mandates that are too broad to make an effective impact;
- Inadequate frameworks for encouraging and supporting community participation; and
- Lack of motivation for efficient performance oriented infrastructure and service delivery.

One of the strategies identified to overcome these problems is the introduction of reforms by governments in organisational structures and mandates. It is hoped that these would transform bureaucratic institutions into ones that encourage community involvement and build up self-reliant and self-sustaining actions that promote community competence in planning, operating and maintaining infrastructure. However, such programmes must be accepted by the community at large and supported by direct public participation at all levels (Habitat, 1990). The notion of 'local participation' in public investment choices is generally understood to imply a need to engage in some way directly with citizens rather than to rely solely on the representative mandate of government (Friedman, 1998).

Some other problems of a more practical nature need also to be confronted. These include:

- Participation that is time and cost extravagant;
- Community consensus that is difficult to achieve;
- Identification of community representation with whom one can work;
- Sustaining development and milestones achieved;
- Cultural and educational differences that may lead to misunderstandings

According to Schübeler (1996), participation in infrastructure management is a process whereby people – as consumers and producers of infrastructure services, and as citizens – influence the flow and quality of infrastructure services available to them. Participation is not limited to development projects. It is important that participatory strategies build upon existing informal processes and community-based infrastructure development, promoting them and linking them to formal systems.

Community participation is the active process by which beneficiary / client groups influence the direction and execution of a project. This view is in contrast to these groups merely being consulted or receiving a share of project benefits (World Bank, 1995). The impact of participatory infrastructure development extends beyond service improvement to include enhancing the capacity of people to manage their own local affairs and interact more effectively with other authorities and partners. Participation is inseparable from empowerment. At the same time, participatory management requires inputs of time, organisational capacities, and other skills, which need to be understood and supported by policy makers and infrastructure managers. Participation involves risks and costs as well as benefits. In the right circumstances, however, the benefits of participation can far outweigh the costs (Schübeler, 1996).

Clients are arguably the most important participants in the construction industry as they initiate the construction process. Further, they require that their objectives will have been satisfied. Similarly, communities as clients also expect that their development projects should be executed to the desired quality standards, be completed on schedule and are within budget. They should also be completed without loss of life or limb. The use of an appropriate procurement system (APS) can result in a successful project for the client with respect to achieving their project time, cost and quality performance objectives. Imperatively, the procurement system should be efficient and allow the community, as the client, to participate fully. The greater the level of client (community) participation in the selection of procurement systems, the greater the level of client satisfaction with the completed project (Davenport and Smith, 1995).

Franks (1990) stated that the concerns of clients rest with the end product fulfilling their needs and requirements. Different clients have different needs. Consequently, it is necessary to ensure a satisfactory outcome to the implementation process, that these needs are identified and matched with the procurement system that will most likely satisfy those needs (Masterman, 1994).

The emerging participatory development paradigm suggests two perspectives. The first of these consists of substantively involving local people in the selection, design, planning and implementation of programmes and projects that will affect them. In this way local perception, attitudes, values and knowledge are assuredly taken into account as fully and as early as possible. The second perspective is to make more continuous and comprehensive feedback an integral part of all development activities (Mikkelsen, 1995).

#### **1.4 The delivery of community development projects (Procurement Arrangements)**

According to Turner (1990), a procurement system is the tendering and selection method used in satisfying the objectives of clients on a given project. Turner (1990) asserts that procurement systems are used to establish the roles and relationships of people involved in a project, establishes the overall structure of the project organisation and help shape the overall values and style of project. Procurement has been the term used to describe the total process of meeting the need of a client for a building, starting at the point where this need is first expressed (Ferry and Brandon, 1991).

Masterman (1994) stated that a procurement system is the organisational structure adopted by the client for the management of the design and construction of a building project. Franks (1990) defines the procurement system as “the amalgam of activities undertaken by a client to obtain a new building.” According to Rwelamila (1997), the procurement system may be defined as “Organisational structure, which is the collective action required to acquire the design, management, and installation inputs.”

The choice of an appropriate procurement system is crucial to the success of building projects (Bennett *et al.*, 1990). The choice of an appropriate procurement system should depend on the client’s objectives in terms of function, quality, value, time, cost and certainty (Bennett *et al.*, 1990). Ferry and Brandon (1991) assert that an appropriate procurement system should be chosen with the client’s needs in mind not just on the “usual basis”.

However, the literature suggests that the majority of clients in the industry are more influenced by company policy and regulations, and cautious advice from in-house and external consultants (Masterman, 1994). Masterman (1994) further suggests that the professional advisers have little knowledge of the characteristics, advantages and disadvantages of the procurement options available to the industry. Consequently, an inappropriate procurement path could be chosen for a particular project, resulting in the client’s objectives not being met with respect to time, cost and quality.

The traditional construction procurement system which according to Cattell *et al.*, (1996) and Hindle (1997) is the most prevalent procurement process in use in South Africa restricts client involvement in the construction process and builder involvement in the design process (Walker 1984). This system would, seemingly, not be suitable on community development projects, which require maximum community participation in the entire procurement process.

Taylor *et al.*, (1999) suggests that one of the significant changes that have occurred in construction procurement is the recognition that the needs of the customers and clients are important. This is more so in terms of the process rather than the final product.

The evolution of procurement in construction could almost be plotted on a date line, starting with traditional tendering at one end, through to “partnering” at the other. In between one may include two stage tendering, design-build, and management contracting and construction management.

Taylor *et al* (1999) citing Rougvie (1987) argued that each new form of procurement has essentially been developed in response to practical limitations that appeared in practice in previously popular methods. The emergence of a 'new' approach is often heralded, therefore, as a panacea for all previous problems. At first there may be a number of notable successes, as the latest systems are used under conditions for which it was originally intended. Then, as word of its success gains momentum, the new approach may be used less and less appropriately. It then becomes a matter of time before it becomes discredited and there are calls for yet another new approach. The development of procurement practices in this fashion may be described as 'barefoot empiricism'.

Essentially there has been no theoretical framework on which to derive an ideal or an optimum approach to procurement, only a reactive evolution of *modus operandi*. Any system will clearly have inherent strengths and weaknesses and attributes that will render it ideal for a given set of circumstances. The problem is that the client, in choosing amongst the conventional options, is always aiming for 'best fit' against its own specific criteria. This effectively means selecting an 'off the peg' suit in a world where the customers' requirements and specifications are immensely complex. Ideally, construction clients require contingent procurement strategies, which take on board all relevant factors, and lead to consistently predictable outcomes (Cox and Townsend, 1998).

At present it is evident that procurement systems currently in use require various forms of supporting information and procedures, which are unnecessarily complicated (Gounden 1996). Examples of these include:

- Tendering procedures which communities do not understand;
- Contract documentation which contain requirements which communities either do not understand or cannot meet ; and
- Specifications where the technical description of the standards of materials and workmanship to execute the work is not understood by the communities (DBSA, 1993).

In 1993 a framework of general objectives were provided by the Macro Economic Research Group (MERG, 1993) which included the following

- Democratic participative decision-making at project level;
- Human resource development to extend the skills base as well as enhance existing skills;
- Effective delivery of social infrastructure; and
- Empowerment of civil society.

Procurement in a development context should be concerned with the setting of fundamental development objectives for an emergent community (Taylor and Norval, 1994) such as is prevalent in South Africa. The evaluation of procurement systems should accordingly be on a basis, which is uniquely developmental in its orientation, while being particularly responsive to the specific needs and resource base of the location in which development occurs. Community empowerment and participation job creation and economically and environmentally sustainable procurement processes would ensure the successful delivery of the completed facility.

Rwelamila (1997) stated that many construction projects suffer from inappropriate usage of procurement systems. Traditional construction procurement systems (TCP) have been criticised for not meeting the client's needs, being out of date, inefficient, and expensive and have fostered poor communication between the client and the contractor. It would appear that the traditional system has lost its value to the client.

Rwelamila and Hall (1995) added that the balancing of the project parameters, which are time, cost and quality by the project team, has been inappropriate. Since the project team only concentrates on time and cost, quality is viewed as a critical factor that describes the success of a project.

Construction professionals have been prone to adopt over-simplistic and paternalistic views of their clients especially in a community development context (Haupt, 1996). The briefing process enables construction professionals to understand the requirement of their clients (Green, 1996). Where their clients are not sufficiently skilled in communicating their requirements effectively such as is the case in community development projects, it is expected of construction professionals to consult extensively with the community in order to draft a brief, which is unambiguous, complete, flexible and realistic (Sawczuk, 1996).

There is a realisation that new emphasis and added responsibilities are being placed on professional consultants to involve local communities in the development process (Taylor and Norval, 1994). The traditional hierarchical 'top-down' approach which characterised the way projects were initiated and managed by construction professionals in the past has lost favour with the Department of Public Works (DPW) which now advocates the implementation of project Management principles. It is therefore necessary for them to change their thinking, react and

adapt to change. This will require a major paradigm shift on the part of the construction professional consultants (Haupt, 1996).

During the briefing stage, most projects are rushed in order to get design approval as soon as possible. Consultants do not bear in mind that the briefing stage is the most important and yet least expensive stage (Sawczuk, 1996).). There is growing concern among researchers for the appropriateness of the Traditional Construction Procurement Systems (TCPS) to be highlighted (Taylor *et al.*, 1999). It is argued that capital expenditure on infrastructure and public buildings should benefit the country by their existence and economic activity generated in the delivery process.

Studies conducted in the Southern Africa Development Community (SADC) construction industries, have found strong evidence to suggest that choice of delivery mechanism/or procurement systems have led to problems which have contributed to their poor performance (Rwelamila 1995 and Rwelamila and Hall, 1997). In the findings of a study on infrastructure development in SADC, the revision of tendering and procurement procedures was found to be a key factor to improving infrastructure delivery and development (Haupt, 1996). More than 40% of the respondents regarded the tendering and procurement procedures as inadequate.

Rwelamila (1997) found that similar to the UK construction industry (Cox and Townsend, 1998), TCPS are dominant in the SADC construction industries. This is particularly worrying as both the public and private sector clients within SADC are dissatisfied with construction. The majority of projects are seen as unpredictable in terms of project parameters of time, cost, quality and utility levels. It would therefore appear that the SADC construction industries need appropriate project delivery approaches, which will be capable of balancing project parameters. Rwelamila (1997) further concludes that there is a dire need to apply appropriate and simple formal methods of selecting procurement approaches to the SADC construction industries if they are to address some of the problems leading to client dissatisfaction.

At the present time it is generally understood that there is no one system which can be offered as the solution in any number of procurement situations, rather, that any given project will have a unique set of requirements and conditions that can be matched to one of several procurement system options and where a "best fit" can be found, to the point that a "mix-and-match" situation

exists which allow a unique method to be developed for any given customer or project (Taylor *et al*, 1999).

In a study carried out in the United Kingdom on the satisfaction of clients and consultants with the procurement systems currently being used, 64% were satisfied, 30% were moderately satisfied and 6% were dissatisfied. These studies also revealed that most clients consistently used the systems with which they are most familiar or relied on professional advice for guidance. Unfortunately, those most likely to offer clients advice, namely architects, engineers and quantity surveyors, are the least inclined to suggest or seek change. This suggests that many clients are and remain ignorant of their procurement system options (Ambrose and Tucker, 1999).

For its part, South Africa could no longer rely solely on the paradigms of the developed world (Taylor and Norval, 1994). It must develop procurement systems, which consider more than speed, quality, price competition and certainty, and risk transfer. These procurement systems must encourage, *inter alia*, appropriate, and people intensive technology and processes, learning and skill development. Public sector procurement, through the agency of the DPW, is one such area where these principles are being integrated into policies towards the procurement and management of public sector infrastructure and facilities in South Africa.

Development concerns people – people experiencing the reality within which they find themselves day-by-day and moment-by-moment, feeling its implication and seeing its practical functioning around them. Development relates to the people involved in it in all possible respects. Development must begin by identifying human needs and, therefore, concern itself with raising the level of living standards and providing opportunities for the development of human potential.

The need for people involved in development to be placed in the centre also suggests the implementation of specific and intruding shifts in emphasis. Policies and strategies directed mainly at the control of natural settings, technological considerations, economic structures and demographic conditions have to be replaced by policies that take full cognisance of concomitant values, customs, social structures and political participation.

## **1.5 The problem statement**

There is a lack of community participation in current community development projects in South Africa, resulting in their diminished usefulness to beneficiary communities.



## 1.6 Hypotheses

The hypotheses that the research intends to test are:

1. Community participation is an important criteria for successful community development projects
2. Community development projects do not involve the participation of the beneficiary community in all the stages of a project.
3. Current project delivery systems enhance community participation.
4. Community dynamics which exist within communities affect the process of delivery of development projects.
5. The lack of participation in projects by beneficiary communities limits their willingness to own completed projects.

## 1.7 Objectives of the research

The objectives of the research are:

- a. To highlight the importance of community participation in development projects through a theoretical study
- b. To establish with the use of surveys whether community development projects involve the participation of the beneficiary community in all the stages of a project;
- c. To examine whether the current project delivery systems enhance community participation;
- d. To highlight the effect that community dynamics has on the process of delivering development projects; and
- e. To show through a survey that beneficiary communities do not accept ownership of projects unless they participate in these projects

## 1.8 Research methodology

In order to achieve the objectives of the research the following methodological approach will be followed:

Relevant literature will be reviewed to establish the importance of community participation in development projects as well as the importance of government intervention programmes through delivery mechanisms in giving effect to community participation.

Self-administered questionnaires will be used to obtain opinions on the implementation of community participation in development projects from a range of stakeholders who formed part of the delivery system.

Interviews will be conducted with beneficiary communities to establish their perception of project delivery especially to determine their level of satisfaction with the process of delivery as well as the product being delivered. The questionnaire survey will be complemented by a case study to highlight the effects of community participation on an actual project.

## **1.9 Limitations of Research**

The research will be conducted within the South African context but surveys will be limited to community development projects completed since 2002 within the Western Cape region. The study is based on the assumption that all participants will provide accurate and comprehensive information.

### **1.10. Assumptions**

It is assumed that all participants in this research will provide accurate feedback on their experience within this field of research.

### **1.11. Ethical Statement**

To comply with international accepted ethical standards, no names of individuals will be recorded on research instrument. In this way, no individual will be linked to a particular completed research instrument, thus assuring anonymity. No compensation will be paid to any of the respondents for participation in the study. As with other studies, quality assurance will be done with respect to the following aspects of the research:

1. General conduct and competence of interviewers;
2. Correctness and completeness of research instrument, especially where open ended questions are concerned;
3. Quality of data capturing done by encoders; and
4. Frequency distributions run to check that all variables contain only values in the accepted range and variable labels.

### **1.12 Terms used**

**Community Participation:** The active process by which beneficiary groups influence the direction and execution of a project (World Bank, 1995).

**Procurement:** A procurement system is the tendering and selection method used in satisfying the objectives of clients on a given project (Turner, 1990).

**Development:** The act of developing or disclosing that which is unknown; a gradual unfolding process by which anything is developed, as a plan or method, gradual advancement or growth through a series of progressive changes (Webster's Revised Unabridged Dictionary, 2002).

**Stakeholder:** Project stakeholders are individuals and organisations who are actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or successful project completion. (Project Management Institute (PMI) (1996).

### 1.13 Structure of Thesis

The introductory chapter gives a general synopsis of the research problem. It provides background to the problem as well as a statement of the problem to be researched together with hypotheses, objectives and the methodology to be employed.

In chapter two literature is reviewed to establish the importance of community participation in development projects. Chapter three further examines literature on the different Public Sector Programmes and Policies in place for development project delivery.

An overview of research methodologies which the researcher used for the survey and collecting data is detailed in chapter four. A Questionnaire survey was done on professional stakeholders involved in development projects. Findings from the survey are presented in chapter five. The case study is presented in chapter six.

In chapter seven analysis and synthesis of the survey was done to substantiate the variables requiring testing from the hypothesis. Finally conclusions are drawn in chapter 8 based on research findings, together with recommendations.

## CHAPTER 2

### COMMUNITY PARTICIPATION – THEORY AND PRACTICE

#### 2.1 Introduction

In every sphere of society – economic, social, moral, cultural, environmental – South Africa is confronted by serious problems. Segregation in education, health, welfare, transport and employment left deep scars of inequality and economic inefficiency. The gap between rich and poor in South Africa is among the largest in the world. Infrastructure and social service delivery has the potential to assure minimum standards and redistribution. This is the sentiment voiced in the foreword of Indicator South Africa (2000). Issues identified as key areas for concern were

- To what extent have reconstruction and development programme (RDP) goals been met in terms of delivery, resources, projects and targeting of delivery;
- Who is actually benefiting from delivery; and
- What are the major barriers to delivery and how can it be addressed.

This chapter explores the use of community participation as a tool to enhance the provision of services as well as ensuring the success of the public works programmes introduced to speed up the delivery process.

In the South African context, the expectations are that all people should have access to adequate municipal services and be able to contribute actively towards the principles of the national economy. The Municipal Services Partnership (MSP) Policy in South Africa has been derived from the principles of “*batho pele*” meaning people first. The policy actively promotes an ethos of participation by consumers and other stakeholders throughout the process of determining and implementing service delivery options. The MSP Policy endorses universal access to basic services, the progressive improvement in service standards, and openness and transparency in the processes used for selecting service providers. Underlying the endorsement is the core principle that services should be affordable and delivered efficiently (Department of Public Works (c), 2000).

According to Schübeler (1996), participation refers to a process and not a product. This process involves various actors or participants or stakeholders who determine how and what infrastructure services are delivered. Participatory relationships are voluntary and their effectiveness depends on stakeholders being convinced that the process serves their interest.

As detailed by the Project Management Institute (PMI) (1996), project stakeholders are individuals and organisations who are actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or successful project completion. Stakeholder identification is often extremely difficult. Key stakeholders on every project include the:

- Project Manager – the individual responsible for managing the project;
- Customer – the individual, organisation or multiple layers of individuals and organisations who will use the project product;
- Performing organisation – the enterprise whose employees are most directly involved in doing the work of the project; and
- Sponsor – the individual or group within the performing organisation that provides the financial resources, in cash or in kind.

Naming or grouping of stakeholders serves primarily to identify which individuals and organisations view themselves as stakeholders. Stakeholder roles and responsibilities may probably overlap. Managing stakeholder expectations may be difficult because different stakeholders may have very different and conflicting objectives. In general, differences between or among stakeholders should be resolved in favour of the customer as customer satisfaction is one of the major criteria for project success. This does not, however, mean that the needs and expectations of other stakeholders can or should be disregarded (PMI, 1996).

Schübeler (1996) argues that experience with participatory infrastructure development has shown that Community Based Organisations (CBO) and infrastructure users can make important contributions to the provision, operation and maintenance of infrastructure systems. Benefits are derived not only from cost reductions and resource mobilisation, but also from better targeting of project measures to the real needs of people through their involvement in the planning phase. Participation enhances ownership of the facilities by the user community, ensuring more extensive and efficient use of the facilities, better maintenance and more reliable operations. According to Abbott (1996), the origin of “community participation” could be traced from the eighteenth century in the United Kingdom (UK) and the United States of America (US). It evolved into a branch of social work with a clearly defined role. It provided limited social support, through the medium of individual community development workers, to improve the personal well being of people in impoverished working class communities. This continued to be

its function when it was exported to the colonies and it was able to perform this task with reasonable success within the paternalistic structure of the colonial administration. Abbott (1996) added that difficulties came when bodies such as the United Nations (UN), viewing those same countries as emergent independent nations, began to redefine the role of community development and express this in terms of wider social and political goals, rather than specific community needs. In this capacity it was envisaged that 'community developments is a process designed to create conditions of economic and social progress for the whole community with its active participation'.

In broadening the scope of community development in this way, the UN was the first to view community development as synonymous with community participation. This metamorphosis was to be the root cause of the misunderstandings surrounding community participation over the next three decades. According to Pretty and Scoones (1995), there was a long history of "participation" in development. A wide range of national and international development agencies had attempted to involve people on some aspect of planning and implementation. The terms "people's participation" and "popular participation" were now part of the normal language of many development agencies. This role as a vehicle for social and economic change for people in developing countries was later justified by researchers on the basis that the term "*participation*" is frequently used with connotations of a long socio-historical tradition, and understands to be civil involvement in political life.

This interpretation, which took community development out of context, was an ambitious objective. With hindsight, it is clear that such high expectations would be difficult, if not impossible, to meet. This proved to be so. The result was the application of a form of participation, which was inappropriate to the needs of communities at that time.

According to Gilbert *et al.* (1996), an essential element of governance – when used to describe the ways that local authorities relate to their communities – is inclusiveness, which means the active participation of affected sectors of the community in decision-making processes. Inclusiveness is especially important for the achievement of environmental sustainability. Inclusion is more likely than exclusion to result in changes in the ways of living needed to reduce the adverse impacts of human behaviour. Generally speaking, governments that are authoritarian, exclusive, and short sighted are unlikely to be effective in helping to move their communities towards environmental, social, and economic sustainability.

As many writers have pointed out (Gilbert *et al.* (1996), Pretty and Scoones (1995)), there is a delicate relationship between the state and the community organisation. On one hand, the state is anxious to reduce its costs by promoting the self –help schemes, which often involve increased costs. On the other hand, the governments are generally unwilling to allow this “advocacy” to reach the point where it can challenge their decision making power. Thus participation is often defined in the government terms rather than community terms. The definition of participation services therefore would differ from one country to another (Ramos and Ramon, 1986)

There are good reasons for the close association of participation with a community development approach (Lane, 1995). First, meeting basic needs requires the participation of all its beneficiaries. Second, participation in implementation improves efficiency through the mobilisation of local resources. Third, the development of the capacity of a community to plan and implement change will require greater intensity and scope of participation as the project proceeds.

## **2.2 Community participation defined**

In Britain in the 1960s and 1970s ‘popular participation’ or political participation – or the lack thereof – was of great academic and political concern. It had become evident that local government was not fulfilling its role as a democratic means of organising local affairs. According to Chambers (1995), the new popularity of participation has several origins:

- Recognition that many development failures originate in attempts to impose standard top down programmes and projects on diverse local realities where they do not fit or meet needs;
- Concern for cost-effectiveness, recognising that the more local people do, the less capital costs are likely to be;
- Preoccupation with sustainability, and the insight that if local people themselves design and construct they are more likely to meet running costs and undertake maintenance; and ideologically for some development professionals; and
- The belief that it is poor people that should be empowered and should have more command over their lives.

Nelson and Wright (1995) stressed that agencies and individuals used the term “participatory development” in a variety of ways. One of the most common distinctions made by many authors was that of participation as a means to accomplish the aims of a project more efficiently, effectively or economically, as opposed to control of, its own development. Both types of participation imply the possibility of very different power relationships between members of a

community as well as between them and the state and other agency institutions. Simply put, the extent of empowerment and involvement of the local population is more limited in the first approach than it is in the second.

“Participation” has been defined as being a term, which implies different things to different people in the context of different, projects (Awotana *et al.*, 1995).

These include:

- Significant control by people over decisions and decision-, making processes;
- Some share of the economic benefits of projects;
- Useful instrument to increase project efficiency;
- Means to achieve goals that are largely managerial; and
- Participation as an end in itself.

To add to this already contradictory list, the following additional definitions are included from a publication on “Third World” experiences with participation, which have been given by various organisations:

- A process to create conditions of economic and social progress for a community;
- A process to increase control over resources and institutions by people previously excluded from such control ;
- A self generating activity to expand the capacity for role playing in other spheres or social life;
- A means to develop self-reliance and co-operation within communities; and
- A learning process to enable people to identify and deal with problems themselves

In broad terms, the range of possible objectives of participation includes:

- Greater empowerment of the affected community members individually and as a unit;
- Increased capacity building of the members within the affected community;
- Improved cost effectiveness of community development projects;
- Increased efficiency of project delivery and sustainability; and
- Improved cost sharing between donors/funders and beneficiaries.



This list illustrates that the basic concepts of participation produce or generate aims that are potentially contradictory. Empowerment and capacity building, and effectiveness and cost sharing form natural groupings, which reflect, two basic approaches to participation. These can perhaps be described as beneficiary-oriented participation in the first case – where empowerment and capacity building are the major objectives – and management-oriented participation in the second case – where efficiency, cost control and cost sharing are the more important.

### **2.3 Strategies of participation**

Community participation implies the readiness of both the government and the community to accept responsibilities and activities. It also means that the value of the contribution of each group is seen and used. Mere tokenism or propaganda will not make participation meaningful. The honest inclusion of community representative as “partners” in decision-making makes for successful community participation (Yueng & McGee, 1986).

According to Abbott (1996), the theory of community participation should incorporate a practical implementation strategy. All work on community participation has had to address this aspect of participation. The result has been a series of specific approaches, namely community development, then political empowerment and more recently community management. None of these approaches is complete in itself, because they have not related back to the wider surround. Consequently the fundamental contradiction, which exists between theory and practice, cannot be dealt with.

Chambers (1995) suggests that there are three main ways in which “participation” is used. First, it is used as a cosmetic label; to make whatever is proposed appear good. Donor agencies and governments require participatory approaches. Consultants and managers say that they will be used, and that they have been used. The reality has often been top-down in a traditional style. Second, it describes a co-opting practice, to mobilise local labour and reduce costs. Communities contribute their time and effort to self-help projects with some outside assistance. Often this means that they (local people) participate in our project. Third, it is used to describe an empowering process, which enables local people to do their own analysis, to take command, to gain in confidence, and to make their own decisions. In theory, this means that ‘we’ participate in ‘their project, not ‘they’ in ‘ours’. It is with this third meaning and use that we are mainly concerned here.

Lane (1995) argues that participation is a very broad concept. When the term is used in the context of development the first question to ask is exactly what type of participation is being referred to. Participation in the construction and implementation stages of a project is now very common, involving the beneficiaries in contributing resources. In these instances participation is equated with co-operation and incorporation into predetermined activities. However this is only one stage in the development process. Participation needs to be considered in decision – making, implementation and maintenance, benefits, and evaluating of successes and failures.

Lane (1995) further states that the second dimension of participation is who should participate? In a truly participatory approach it is expected that all those affected play a role at all stages of the development process. This approach suggests that certain groups had been bypassed by previous development and should now be included or even 'put first'. Once the scope of participation has been decided and who is to participate, consideration must be given to how participation is to be achieved in practice.

Pretty and Scoones (1995) argue that adaptive planning implies that local people participate in both agenda setting and resource allocating and controlling processes. For this to be achieved the acquisition of knowledge must occur through the use of an improved compendium of alternative planning approaches and systems of inquiry. The gathering, recording, analysis and use of information must be cyclical, with regular analysis, reflection and timely action. For effective planning, there must be active collaboration between disciplines and sectors in data collection and analysis. Information gathering systems and decision-making processes must therefore be local people-centred, site specific and must change according to external circumstances, requiring that the interests and activities of different formal and informal institutions are well co-ordinated.

## **2.4 Implementing community participation**

Schübeler (1996) identifies four participatory approaches as a general framework for considering and comparing options for participatory infrastructure management.

### Community-based support strategies

The residential community forms the basic unit for organising developmental activities. The main objective of participatory activities is to enhance the capacity of communities to manage the development and operations of local infrastructure services and to render these efforts more

effective through enabling and supporting measures. Government agencies provide certain inputs and in a sense participate in community directed development activities.

#### Area-based strategies

Activities of this strategy are normally government-managed and structured with regard to a particular area to be provided with services or upgraded. The strategy is therefore area-based rather than community-based. The main objectives are to improve the effectiveness and efficiency of development activities through appropriate inputs into the development process by the people concerned. The community is mobilised to make specific inputs into a government-managed activity.

#### Functionally-based collaboration strategies

Activities are organised based on clearly designated areas of responsibility for each stakeholder. Within their responsibility, stakeholders may exercise their own capacities and pursue their own interest with regard infrastructure service provision in an essentially self-managed way. However, channels of interaction between the different stakeholders are clearly defined. The areas of responsibility are structured to enable co-ordinated, complimentary, and mutually advantageous activities. This is normally achieved through a functionally based organisation of tasks and responsibilities.

#### Process-based decentralisation strategies

In the fourth strategy, activities are also government-sponsored. In this case, however, it is not merely a specific area, but the entire process of infrastructure service management that forms the basis of activity organisation. People, both as users of infrastructure services and as citizens, participate by way of specific inputs to government-directed management activities. To enable this opening towards participation, the focus of decision-making and management processes shift toward increasingly local bodies. The general objective is to bring infrastructure management closer to the users and to increase the responsiveness and accountability of these processes to them.

### **2.5. International case studies**

In the case of Cajamarca, Peru a process of democratisation and consensus building assisted the process of building co-operation between the various service providers and decision-makers. Traditionally, the regional-level government directed development in Peru, while private institutions delivered services and built development infrastructure. Institutions typically operated without co-ordination, resulting in duplicated services. The Council of Cajamarca, which governs

the entire province, realised that achieving effective and sustainable development required the democratisation and decentralisation of the planning process. The government introduced lower levels of government better able to respond to local issues. The Council proposed that the communities participate in the decision-making of their governments. The Council created: "Neighbourhoods" below the district level. Mayors were elected to these neighbourhoods. Whatever successes Cajamarca has achieved can be linked to its policy of shifting responsibility for development towards appropriate levels of local government and their focus on inclusiveness in dealing with local issues (Gilbert *et al.*, 1996).

Another case looked at a participatory solid waste management programme implemented in Dakar, Senegal (Gilbert *et al.*, 1996). Over the past decades, several waste management systems were administered in the municipality that encompasses the Urban Community of Dakar (UCD). Until 1971 the municipalities provided this service. This proved to be inefficient. In 1971 the UCD engaged a private-sector company to manage the waste systems. By 1984 rising costs and inadequate service compelled the UCD to change to a public sector agency for the service. Management problems however continued. The UCD introduced a new management system. They divided themselves into nine main collection zones. They subdivided these zones into smaller areas. Private sector companies were invited to respond via competitive tendering on a three-year, renewable-term basis to collect and transport waste from a maximum of three zones each. The companies were obliged to subcontract to small community based enterprises called Economic Interest Groups (EIG's), staffed by local men, women and youths. These EIG's were responsible for street cleaning, cleaning around garbage bins, collecting garbage from inaccessible areas, disseminating procedural information about the waste management system and educating their designated communities about the benefits of sanitation.

The success of this programme was ascribed to the elimination of monopolies, creation of employment opportunities for low-income residents, and the inclusion of a public education component. This new scheme favoured the emergence of an economically, socially and environmentally sustainable waste management service. In addition, roles and responsibility have been clearly established in the new system. With the local authority providing direction rather than engaging in actual service delivery.

## 2.6. Problems with implementation

Awotana *et al.* (1995) citing Rondinelli in Atkinson (1992) describes many of the problems affecting the poor communities as “wicked”. These are problems which cannot be easily solved because of their complexity and pervasiveness; because different interests, objectives, values and perspectives often see the nature of the problem and the appropriateness of different solutions differently; because the problems usually do not respond in anticipated ways to direct action; and because they are, at least in part, paradoxical.

Awotana *et al.* (1995) further add that South African townships provide definite case examples of “wicked problems”. The environments have been seriously degraded over decades by structural inequality, neglect and civil unrest. There are massive, multi-sectoral needs ranging from social infrastructure to education and employment generation. There are extreme limitations both on the resources available to meet these needs and on local capacity to pay for services. There is often a multiplicity of interest groupings, even at local level. There are very strong national and local pressures for the rapid delivery of service goods.

In such situations participation can be expected to be anything other than smooth. There are signs that a number of the typical problems identified in international literature are emerging in South Africa, as participation becomes more common. The most significant of these are the negative effects of structural limitations to the scope of participation, inefficiency and the difficulty of identifying community leaders. Participation programs require effort and investment on the part of participants.

Schübeler (1996) argues that implementation involves people as users and producers of infrastructure services. As users, people influence implementation processes through their decisions to avail themselves of a service – for example by purchasing a water or sewer connection that would require the construction of an appropriate distribution network.

As producers, people are involved in the implementation of infrastructure systems in a variety of ways that relate to public as well as private facilities. These may be considered “formal” and “informal”. Formal participation in the implementation of private facilities comprises the provision of a whole range of individual facilities and equipment to use public infrastructure facilities. Some examples include providing domestic plumbing for water supply, latrines for use

of a sewer system and a vehicle for use with roads. Co-ordination between the public and private components of formal infrastructure is consequently very important.

Participation in the implementation of informal systems involves user-provided facilities that function more or less independently of public facilities; on-site water supply and sanitation or locally organised waste disposal systems. Eventually, however the informal systems affect the formal public infrastructure systems. This interface is particularly important when an upgrading of informal systems is anticipated. An appropriate strategy must be devised to improve the linkages between existing informal systems and expanded public systems.

According to Awotana *et al.*, (1995) participation exercises in many contexts have failed because structural impediments drastically constrain the possible results of participation. This is worst when the limitations to the outcome of participation processes are not well understood by, or made clear to participants at the outset. In such circumstances, where the inevitable result of participation is the creation of expectations, which cannot be met, dissatisfaction is often transferred to the object. Participation, therefore, brings expectations with it almost by definition; but the extent to which these expectations can be met, or even addressed, is often limited by variables that stand outside the participation process.

Eyben and Ladbury (1995) further add that a lack of community participation in projects can therefore be the result of professionals assuming the role of knowledgeable specialists who do not take users' views into account because users do not "know enough" to make decisions. However sometimes users themselves hand over their participatory rights to professionals. Consequently they save themselves time, energy and, in some instances even conflict.

Awotana *et al.*, (1995) argue that distinctions in these and other factors can often result in different agendas and needs, which can remain submerged unless participation strategies are specifically designed to bring them to the fore. Conversely, a participation exercise not designed in this way can have the unintended effect of consolidating the power and status of particular interest groups within a community, having opposite effects to those intended. Assessing support levels of different, sometimes self-styled leaders can be very difficult.

According to Pretty and Scoones (1995), it is also common for practitioners to assume that everyone in a community is participating, and that development will serve the needs of everyone.

The appearance of external solidarity though may mask internal differentiation. Understanding these internal differences is crucial. Different livelihood strategies imply different isolated local knowledge systems, and those who assume that communities are homogenous easily miss these. Methodologies are required that are sufficiently responsive to such complexity, that can accommodate an understanding of agriculturist – pastoralists' views of different constituencies and which can in turn reflect these in the responses made by development agents.

There is a tendency for those who use the term participation to adopt moral high ground, implying that any form of participation is good (Pretty and Scoones, 1995). Recently developed typologies of participation suggest that great care must be taken over both using and interpreting the term. It should always be qualified by reference to the type of participation, as most types will threaten rather than support the goals of sustainable development.

A study of some 230 government and Non Governmental Organisations (NGO's) in Africa found that although participation in planning was relatively common, monitoring and evaluation is still largely conducted by outside organisations (Pretty and Scoones, 1995). Some organisations felt that participation simply implied local people doing what planners wanted

Abbott (1996) further states that self-interest alone cannot explain the degree of divergence of the different interpretations. The reality is that the whole basis of community participation lacks a cohesive, academically rigorous, conceptual structure within which implementation can be placed. Instead, the process of learning about community participation has been organic, based on extensive experience. This in turn has created an empirical base for the practice of participation. There is nothing inherently wrong with empirically derived systems, provided that they operate within a cohesive framework, which can provide collation of data, the systematic collection of evidence and the production and dissemination of widely agreed practices. This has been the case with community participation. It is essential for an activity which is practised by such a wide and diverse variety of professionals (from anthropologists and political scientist through sociologists and social workers to architects, planner and engineers) in different cultures and political systems, and which extends through a multitude of different sectors and can operate at a variety of different points in the development cycle.

Abbott (1996) further argues that these are not the only complications. There are other reasons why community participation cannot operate in a conceptual vacuum. Two levels of participation

– the conceptual theory and the practical implementation – are interdependent. Without a conceptual structure within which the case study material can be placed in context, there is no means of relating projects to each other, of understanding fully why projects succeed or fail or knowing what practices should be followed to ensure success firstly in general terms and then specifically from the perspective of urban management. The objective is to place existing practice in context but, more importantly, to create a structure for the logical development of community participation programmes, which will be applicable to urban environment.

Another difficulty has been identified with the term participation (Pretty and Scoones, 1995). It may be used to accommodate a failed political process, where politicians may accept participation and its associated rhetoric, but not democracy, pluralism and accountability in planning. Effective participation implies involvement not only in information collection, but also in analysis, decision making and implementation – implying devolution of the power to decide. The political context of attempts at institutionalising participatory planning is thus critical. Empowering people to take control at local level inevitably leads to conflict if external institutions are unwilling to give up some of their existing power. It should therefore be asked: how genuinely democratic and accountable are governments or non-governmental organisations promoting “participatory approaches”?

According to Lane (1995) participation of a functional nature is expected when operating externally devised projects. To meet long term goals of self-reliance and sustainability, control and decision-making power may gradually be released to the local organisation. However, in practice problems often occur: African counterparts may be inadequately trained, and the organisation may remain dependent on outside support.

Eyben and Ladbury (1995) contend that participation by (disadvantaged) beneficiaries may be discouraged not only by the more powerful sections in a local community but also by the principal implementing, a line ministry for example. This resistance is often due to a concern that existing hierarchical management structures will be challenged. A common occurrence is that, under donor pressure the implementing agency establishes user groups that are village level committees of project beneficiaries. No feedback is provided for senior management because local level, community based workers are actively discouraged from being themselves involved in project decisions.



It is further argued that the approach of donor and lending agencies to participation is somewhat paradoxical. For example, the World Bank's Learning Group on Participation stresses the importance of empowerment which entails sharing power and raising the level of political awareness and strength for disadvantaged people'. However, many aid agencies, not least the World Bank, have difficulties with this as an explicit project objective. It is part of the paradox of aid agencies. They exert influence while desiring to build up local self-capacity and participation. In the final analysis they are understandably reluctant to use the final leverage of financial assistance to exert political influence. Because of the pressure to speed up implementation, donor agencies may find it difficult to encourage greater consultation with project field staff, let alone to further collective action by beneficiaries.

An additional reason given by Eyben and Ladbury (1995) why beneficiaries might have little influence over project decisions is that professionals assume the role of identifying the needs of beneficiaries and finding the solutions. The greater the assumed knowledge gap between professionals and beneficiaries, the more likely it is that this will happen. Individuals are content to rely on professional judgements in any country, as long as the service is relatively equitably distributed in ways, which make sense to them. Most people in the UK would not expect to be consulted about the width or depth of sewerage pipe put down in the road outside their home; the same goes for similar technical decisions in developing countries. The problem, however, is that the line between what people want and need to know and what they don't tends to be drawn by the professional consultants, not by the general public.

In a case described by Abbott (1996) of Stafford Farm in Kwazulu Natal, a model is used to provide services to a project. An application for funding was made to the Independent Development Trust (IDT) that was accepted initially the basis of acceptance was a demonstrable strong commitment to community participation from a government structure with a poor historical record of such participation.

On the surface it seemed as if this was a successful project. Local labour was utilised. Attendance was good at mass public meetings where information was shared by the professional team. The community was informed of all processes as they were taking place but did not participate directly in any of the decision-making. The conditions of the project required a form of consensus, which was not really achieved. Community organisations recognised this failure that led to eventual confrontations.

According to Awotana *et al.* (1995), one major problem arises when there are resources available for some purpose in advance of participation, the use of those resources may be predetermined by the rules governing the authority providing the funds (they must be used, say, for roads rather than schools or job creation programmes). Consequently, the crucial issue of priorities in communities with many needs may be difficult to address.

For this reason, the lack of an integrated approach to planning can be listed as one of the primary impediments to successful participation in South Africa. Only with an integrated approach can the different agendas, which are inevitable within communities, be reconciled and accommodated. If projects are too specific and limited, it is inevitable that questions about priorities will arise that cannot be addressed.

All of these general issues are manifestly applicable to participation in South African townships. Vigorous efforts are required to identify all the interest groups in a community who may for example have a stake in an environmental project, to establish the representatives of community leaders and to set up procedures, which make it possible for all groups to become involved when decisions are taken. This may be easier said than done.

## **2.7. Costs vs. benefits of participation**

Schübeler (1996) contests that the potential benefits of participation have been discussed in relation to the specific interest of each stakeholder. However, it is important to recognise that participation, as any process of socio-economic development, involves costs and risks as well as benefits. It is a process of give-and-take in which each side must surrender certain current positions and assume additional costs in the interest of a greater overall benefit.

Carew-Reid *et al.*, (1996) states that the benefits of participation tend to differ with the different tasks, and iterations, of the strategy cycle. They may be summarised by strategy task, as follows:

### Participation in formation and analysis brings:

- A broad knowledge base and spread of opinion, offering the best informed judgement on issues, trade-offs and options in the time available;
- Increased debate, mutual education, understanding of major issues both within and between different groups; and

- The tackling of issues that cannot be identified properly defined or dealt with by other means (changing values, local conditions, rights and claims and lifestyles, and particularly issues like poverty which otherwise may be submerged).

Participation in policy formulation and planning creates:

- Practical and realistic objectives, targets and standard, which are negotiated so that they are locally acceptable, meaningful and practicable;
- 'Ownership' of, and commitment to, the strategy, built up by groups actually working on it (essential if the strategy is to result in social mobilisation);
- Greater political credibility of the strategy than were it just a product of technicians and bureaucrats; and
- Accountability and transparency – people can see what 'government' does.

Participation in implementation and monitoring achieves:

- Increased capacity (learning by exposure and debate; learning by doing);
- More extensive networks for tasks (for example, monitoring);
- Increased momentum and coverage in action programmes through expansion of networks and others buying into the process; and
- Efficient mobilisation and management of resources and skills.

Awotana *et al.* (1995), state that the benefits of participation in terms of efficiency, effectiveness and cost sharing are generally agreed. It has been demonstrated, for instance, that participation can speed up projects by helping to resolve or eliminate potential points of conflict; and that participation can be used to elicit community labour in self-help programmes and thereby reduce the financial responsibilities of funding agencies. However, the major goals of management-oriented participation may be political as well as instrumental. In addition to the limited goals of increased economy and project efficiency, participation processes can be intended to spread the political risks of possible project failure, or to co-opt participants.

According to Eyben and Ladbury (1995) they have identified four main reasons why beneficiary or user populations participate relatively little in development decisions, which affect them namely, economics, politics, professionalism, and the nature of the project.

The economic argument for non-participation is that sustained collective action will only be achieved when beneficiaries perceive that the opportunity cost of their participation is more than offset by the returns brought by the project. The benefits, in other words, must be greater than the costs of participating

The political explanation for non-participation is that participation is going to be limited and / or the participators will be unrepresentative if the beneficiaries' lack the power to organise and get themselves fairly represented. An alternative way of phrasing this would be that participation of all or some of the beneficiaries might not be in the political interest of other actors in the project

Awotana *et al.* (1995), contend that "participation" conceived in the purely instrumental terms of cost or managerial benefits is unacceptable in the context of projects in South African townships, where empowerment and capacity building must be the real goals, not merely the achievement of project management efficiency – although efficiency and cost control may be desirable by-products. The reasons for this are as much practical as political – capacity building is a fundamental prerequisite for project success and sustainability.

Paul (1987) points out that the focus is on participation of beneficiaries rather than the staff of the implementing agency, that 'collaborative involvement in groups is a hallmark of Community Participation, not merely the involvement of people as individuals (for instance through surveys). Their participation should be a process, which enriches people in complex ways, not a product that merely ensures the sharing of economic benefits resulting from projects. If participation is to function in this way, there are important implications for the types of decisions that participation processes in projects should be able to affect, for the intensity of participation, for the methods used to implement it and for the level of technical support that is required.

Carew-Reid *et al.*, (1994) highlight the more immediate risks of a participatory approach, as opposed to a top-down approach. The strategic vision/direction may be less clear, at least for the first year or so. Given the multiple perspectives incorporated, it may be more difficult to focus on priorities. Momentum may be lost, as the time taken for participatory strategies is longer. This is possible at both 'higher' levels including donors, and 'lower' levels; but can be minimised by regular feedback of information (and, most important, by implementing policies on which consensus has already been reached at the earliest stage possible).

The integrated approach to social, an environmental and economic problem that comes with broad participation is more complex than a single system of analysis and response. Control over certain critical aspects (for example, pollution regulation) may be lost if responsibilities become spread too thin among participants. If improperly managed, the participatory processes can result in expectations being raised too high among certain groups; more issues being identified than can be dealt with; or impasses and conflicts where consensus or compromise cannot be reached.

Carew-Reid *et al* (1994), go further by saying that there are political risks of stimulating or aggravating conflicts between groups within communities; or having the process co-opted by community leaders. These risks can be minimised through good planning for participation, good management of the participation process and through maintaining independence from party politics. Adequate time, and a determination not to rush into producing a decrement or into taking precipitous actions, is required.

Awotana *et al* (1995), added that while participation can make implementation more efficient by eliminating delay-causing differences in communities, it could also itself cause delays. This is particularly likely to occur when different interest groups attempt to assert themselves, or when community members lack the time or skills to keep pace with the dynamic of a project. For this reason, some writers argue that the immense and pressing nature of Third World development and planning problems make participation inappropriate because of the time and financing required for its implementation. Others argue that the extra benefits participation brings more than justify the extended process and extra expense.

Awotana *et al* (1995), go further by stating that another type of inefficiency can arise when communities do not know the full range of alternatives, which are open to them and participation then means that creative and innovative solutions to problems are never considered. This is less a criticism of participation *per se*, however, than of a particular style of participation in which professionals abrogate all responsibility and, in effect, approach participation as merely the need to ask people what they want.

Both of these problems are becoming evident in South Africa. There is evidence in government and elsewhere of increasing impatience with drawn out processes of talking in the absence of

delivery. Finding efficient methods of participation are therefore a pressing need if the present developing culture of participation is to be sustained.

Carew-Reid *et al.*, (1994) argue that the use of participatory approaches should not be a one-off event, but be part of a process in which incremental learning is one step in a longer-term commitment to adaptive planning and sustainable development. Success will come only with the adoption of new principles and practices for joint learning and action. Most important, effective participatory work requires shifts in attitudes and behaviour in professionals, and shifts in institutional settings. Participatory methodologies alone are not enough to ensure significant institution change. The strategy process should not only adopt the best of existing participation approaches, but itself is a vehicle for introducing the new values and approaches required for sustainable development.

Carew-Reid *et al.*, (1994) question why then participation is so difficult to be institutionalised if it has so many intrinsic merits.

The following seem to be the key constraints:

1. In the initial phases of a strategy, participation requires considerable time and extra effort in development of human resources. Generally no extra incentives are provided to the staff members for the extra effort required. To introduce participation requires more financial resources and is more costly compared to conventional programmes in the initial phase. Most institutions and programmes feel constrained in making such investments since they are evaluated primarily by the criteria of achievement of physical and financial targets.
2. Participation requires major reversals in the role of external professionals, from 'management' to facilitation. This requires changes in behaviour and attitudes, and can only be gradual. It requires significant retraining but, usually, inadequate resources are devoted to training.
3. Participation also threatens conventional careers; professionals feel a loss of power in dealing with local communities as equals and including them in decision-making. This discourages professionals from taking risks and developing collaborative relationships with communities.
4. Participation and institutional developments are difficult to measure and require using quantitative and qualitative performance indicators together. Existing monitoring and evaluation systems cannot measure this well; thus, physical and financial indicators, which are easier to measure, dominate the performance evaluation and impact analysis process.

While many programmes initiated by external agencies tend to use participatory methods for planning, they do not make corresponding changes in resource allocation mechanisms to local institutions, and they tend to retain financial decision-making powers for themselves. This scenario hampers the growth of local institutions and leads to poor sustainability of the programmes

## **2.8. Achieving community participation**

Although there are many different approaches to research in general, a major theme of studies being conducted in developing countries centers on the conflict of the country between the government and the diversity of the community. Many of the studies focus upon the manner in which communities mobilize themselves to resist the imposition of government policy from above. This is particular true when government decisions involve the physical restructuring of a community for example as in the case of a free ways or urban renewals. It can also occur when the government policy is going to affect the quality of the service of delivery. As a result, much of the conceptual trust over the past two decades has been devoted to developing models that involve greatest community in and protection against the process of government and private development in the cities (Yeung and McGee, 1986).

One of the objectives of the National Public Works programme as stated in the Guidelines for Enhancing Employment Opportunities (DPW,1999) are to empower communities through building their capacity to manage their own affairs. This would contribute to building and strengthening local government and other local institutions. It is further state din this document that funders should be sensitive to the social issue arising from the implementation of development projects in communities.

Through the Community -Based Public Works Programme (CBPWP), and in the execution of its line function activities, the Department of Public Works has committed itself to promoting the principles, ethos and methodology of a people-centred delivery process throughout the public sector. In so doing, the Department believes that it will also impact on the practice of the private sector. The Department of Public Works contend that community participation must be facilitated and in this sense facilitation becomes a central delivery component transforming the nature of project management. Facilitators must achieve practical understanding of the project and of the respective roles of project participants. They must forge solidarity and enable the participants to perform their respective functions effectively during the often-difficult process of

implementation. Therefore it becomes essential for built environment professionals and public-sector project managers to augment their project management skills with an understanding of facilitation.

Participation is a long drawn-out process that needs to be iterative in the initial period of two to five years before being scaled up and replicated. Most development programmes tend to blueprint the process of participation and institution building in the early phases without enough experimentation and iteration. As a result, the institutional forms, which evolve, are often ineffective (Carew-Reid *et al.*, 1994).

Awotana *et al* (1995) argue that forms of social organisation and decision-making methodologies are inter-related and the extent of public involvement is affected by such issues as the scope and scale of the project, the time constraints attaching to it, the purpose – overt or covert – of the participatory programme and the capacity of the community to enter effectively into the planning process. Capacity is a function of many factors not least that of the history of the community since the capabilities of a people are, in reflection of past circumstances. In South Africa, the subjugation of the Black population under the National Party's separatist ideology over a period of some four decades, precluded those citizens any realistic form of involvement in the decision-taking for a of the country. It is therefore participation of the previously mute Black communities in the emergent post-apartheid procedures that is of particular interest and import

Awotana *et al.* (1995) conclude that in the context of the human and physical prerequisites for development in this country at this time – the cardinal consideration in all community participatory undertakings must be the advancement of the cause of the least privileged sector of South African society. Advantages accruing to the other participants (from politicians to professionals) must be accepted as peripheral to the major goal, with which will be associated the objectives of decreasing dependency. Of increasing social, economic and dismantling discriminatory, oppressive and paternalistic structures and replacing these with developmental, democratic, liberating systems

## 2.9 Chapter Summary

This chapter identified various definitions and aspects related to community participation. It looked at the various views, which exist of what community participation entails. Where some use the term to mean active participation in decision-making, the activist view is for people to



have significant control on the decisions concerning the product delivery process as well. It also looked at problems encountered when community participation was applied in an inappropriate manner. This was highlighted through the use of case studies. The chapter highlighted the importance of using community participation to increase project efficiency. By increasing beneficiary inputs timely, costs can be reduced considerably by eliminating delays caused by theft vandalism and communities ' non-ownership' of projects. Instead it is possible to achieve a smooth flow of the project as well as a general spirit of co-operation and interaction. This will lead to acceptance and improved levels of supervision and community "ownership" of the project, which will improve productivity dramatically. The chapter tried to demonstrate that community participation is essential in infrastructure projects and no project will succeed if there is not full consultation with the public from the earliest stage. Where bureaucrats commission consultants for infrastructural design without consultation with the resident community to determine their real needs, the outcome will be inefficient planning through over-design (from which the consultant will benefit) with no or little improvements in the circumstances of the community.

## CHAPTER 3

### COMMUNITY PARTICIPATION: POLICY AND PROJECT DELIVERY

#### 3.1 Introduction

The previous chapter attempted to define Community Participation and discussed various views on the need for community participation. The discussion concluded that community participation was a necessity for the success of community development projects. In this chapter the aspect of community participation will be further explored by establishing its role in the procurement process. The chapter will explore policies and initiatives of the South African government and its role in community development will be identified.

In the White Paper on the Transformation of the Public Service (DPW,1995), the Government outlined a broad policy framework for transforming the South African public service in line with the following vision:

*“The Government of National Unity is committed to continually improving the lives of the people of South Africa by a transformed public service which is representative, coherent, transparent, efficient, effective, accountable and responsive to the needs of all.”*

In pursuit of this vision, the Government developed the following mission statement:

*“The creation of a people centred and people driven public service which is characterised by equity, quality, timeousness and a strong code of ethics.”*

These statements were premised on a fundamental re-definition of the role of the state and its relationship to civil society, based on a partnership between them rather than the antagonistic relations that had prevailed in the past. They were also consistent with the relevant provisions of the South African Interim Constitution (Section 212 (2) (b) and Principle XXX of Schedule 4).

The New Constitution further stipulates that the public administration should adhere to a number of principles including:

- A high standard of professional ethics be promoted and maintained;

- Services should be provided impartially, fairly, equitably and without bias;
- Resources should be utilized efficiently, economically and effectively;
- People's needs should be responded to;
- The public should be encouraged to participate in policy-making; and
- Public administration should be accountable, transparent and development-oriented.

Since 1994, the political landscape has been altered, with the introduction of the new central, provincial and local spheres of governments. New national and provincial departments have been established through the amalgamation and restructuring of former apartheid administrations. With a few exceptions, most of these have now gone through some form of participatory strategic planning exercise and have formulated their own visions, missions, policy objectives and strategic plans, albeit of varying depth and quality. These have in many cases been made public through the publication of Green or White Papers, provincial Growth and Development Strategies or other policy documents. Greater difficulty has been experienced, however, in securing the necessary buy-in from staff and other stakeholders to ensure effective implementation of such visions and plans (Abrahams and Goldblatt, 1997).

### **3.2 Policy institutions**

According to Abrahams and Goldblatt (1997) the Constitution of South Africa provides for one of the objects of local government to be ensuring the provision of services to communities in a sustainable manner. In addition, the developmental duties of local government include structuring and managing their administration and budgeting and planning processes to give priority to the basic needs of the community. Lastly, the Constitution stipulates that national legislation must take into account the need to provide municipal services in an equitable and sustainable manner.

The provision of municipal infrastructure is seen as a local government function. This does not, however, mean that local government has to deliver or install the services itself. It may enter into different arrangements for the delivery of a service. Ultimate responsibility for the function, however, remains with local government. In metropolitan local government structures the powers and duties for service provision are divided between metropolitan councils and metropolitan local councils. The concept being that bulk services are provided by the metropolitan council (for example water and sewage treatment, reservoirs and bulk water, sewer mains, arterial roads) while water, sewerage and electricity reticulation is provided by the local councils.

Policy associated with basic infrastructure investment – water and sanitation, electricity, roads, stormwater drainage, and other services provided at municipal level – has been one of the most troubling aspects of the first five years of the African National Congress (ANC) rule (Bond *et al.*, 2000). Bond *et al* (2000), argue that South African government policy makers should return to their roots, drawing on insights gained through decades of social struggle by mass democratic organisations in townships.

A complex set of institutions is responsible for urban service delivery - these include national government (primarily the Department of Constitutional Development (DCD) and the Department of Housing), provincial and local government, and parastatals (primarily ESKOM and the Water Boards). The operations and financing of these institutions is being broadly co-ordinated by the DCD which sees its role mainly as ensuring that there are sufficient financial resources from the national level to enable the provision of at least a basic level of services to all urban residents within approximately ten years. The actual delivery of services will take place mainly through local governments as well as through ESKOM in the case of electricity (Abrahams and Goldblatt, 1997).

The Community Based Public Works Programme (CBPWP) is a government initiative aimed at alleviating poverty through the development of community infrastructure. According to the DPW its objectives are:

- Timeous delivery of community infrastructure;
- Creating job opportunities;
- Empowering communities; and
- Developing human resources.

As outlined in the Report on Poverty and Inequality (Abrahams and Goldblatt, 1997). the commitment of government to infrastructure provision is illustrated in a number of programmes that are currently funded by the government. Some provide infrastructure directly by offering grants, others, such as the housing subsidy, result in infrastructure being provided as part of the product. These programmes are summarised in Table 3.1.

**Table 3.1. Government infrastructure programmes and the responsible authorities**

<b>Department</b>	<b>Programme</b>
Department of Constitutional Development and Provincial Affairs	Municipal Infrastructure Programme (MIP) Extension of Municipal Services (EMIP) Municipal Infrastructure Investment Framework
Department of Housing	Housing Subsidy Programmes Bulk and Connector Infrastructure Grants Special Integrated Presidential Projects
Department of Land Affairs and Agriculture	Land Acquisition and Settlement Grant (mostly but not exclusively rural)
ESKOM and the NER	Electrification Grant

(Abrahams and Goldblatt, 1997)

The Municipal Infrastructure Investment Framework (MIIF) is a national policy framework for removing services backlogs and promoting economic development through infrastructure investment. It brings together within its analysis those sources of finance that are available from national government to assist in the delivery of both urban and rural infrastructure (excluding major, external bulk infrastructure), and to assist in the meeting of the recurrent costs of these services. The MIIF is not a delivery programme - but is rather an outline of how infrastructure delivery should occur and proposals as to how it should be financed - primarily focusing on the role of national government in supporting service delivery at a local level..

Funding for infrastructure projects in terms of the MIIF will therefore be through other delivery programmes of national or provincial government, or through direct disbursements to local government. The functioning of these delivery programmes of government will thus ultimately determine the success of infrastructure delivery. The role of the MIIF is to ensure that sufficient national funds are available to meet the needs of the diverse range of projects that are being managed by different departments and tiers of government.

Abrahams and Goldblatt (1997) contend that because infrastructure is provided through many different government departments, it is to be expected that the policies affecting and determining provision, are to be found in a number of government White and Green Papers, Cabinet Memoranda and new legislation. Because of this situation, and because funding is sourced from many different government departments, government commissioned the preparation of the Municipal Infrastructure Investment Framework (MIIF).

The MIIF provides a national policy framework for investment in infrastructure. It examines service backlogs, predominantly in water, sanitation, roads and stormwater, energy and solid waste, and estimates the investment required to provide all with at least a basic level of service. Electricity is somewhat of a special case within the MIIF, as the electricity sector - largely driven by ESKOM, operates as a fairly distinct sector in terms of delivery and financing methods. The MIIF brings together the various programmes and financing approaches of government aimed at addressing infrastructure backlogs.

The past five years have witnessed massive changes in which policies are formulated. Contrary to the period before 1994, when apartheid technocrats crafted policies without consideration to the needs of the majority, infrastructure policies are now drafted more transparently, more openly and more democratically. The challenge of mediating diverse and contradictory interest in the process of policy formulation is one of the most evident features of the governance in the post-1994 period. At the heart of policy making is an attempt to mediate diverse and contradictory interests. Unfortunately the most organised and the most powerful voices often tend to shape infrastructure policies, which often disempower the poor and the marginalised. Governments have generally turned to Neo-liberal principles, particularly lower standards, higher cost-recovery, and creeping privatisation (Khosa, 2000 (c)).

### **3.3 Problems with policy implementation**

With the far-reaching transformation at local government level, problems with service delivery have been experienced. The reasons most frequently cited include staff demotivation; the fact that most politicians are new and still “finding their feet” with respect to policy and operations; and high staff turnover where many experienced officials have left, creating capacity problems which are compounded by having many new, less-experienced officials.

The loss of senior experienced staff from local government was raised as a problem in all the delivery sectors, including electrification. A study by Coopers and Lybrand (1997) cited in Abrahams and Goldblatt (1997), looked at constraints to delivery in Gauteng and identified this as one of the major problems limiting local government capacity to deliver infrastructure services. In addition, some local governments have set up new, separate departments to handle RDP-type developments, including projects in terms of the above-mentioned infrastructure grants. The long lead-time in getting these departments staffed and operationalised has led to delays in implementation (Abrahams and Goldblatt, 1997).

According to Khosa (2000 (c)) experience has shown that the more a community makes inputs into and participates in projects, the more sustainable the development. Participation could range from community decision making to hands on construction involvement. This extends the life span of both the projects and the benefits received by the community. Apart from the fact that projects should be integrated into national socio-economic development programmes which are fully supported by borrowers and local authorities, they should involve also beneficiaries in project development and execution so that they take ownership and this ensure sustainability. The lack of effective community participation affects the sustainability of projects negatively.

There has been an imbalance between centralisation and effective involvement of local administration and popular bodies in crucial programme decisions, planning and implementation. Few programmes provide adequate administrative safeguards and appropriate institutional means for genuine participation by the target group. There is a need for strengthening planning at the local level so that the design and execution of relevant programmes can not only gain from local initiatives but also take into account factors of a local character (Abedian *et al.*, 1985).

Civic engagement has been one of the hallmarks of the early period of policy development and implementation between 1994 and 1998. Most national policies allow for significant levels of public participation in both the planning and implementation phases. Many departments have designed processes that include civic engagement as a key component. There is little question that the intention and political will to facilitate civic engagement is present at most levels of the public sector and, perhaps to a slightly lesser extent, of the private sector. It is usually in the implantation that various tensions and limitations become evident. On the one hand municipalities demand contain minimum standards of infrastructure and on the other residents attempt to maximise personal assets. The point is made that infrastructure remains the property of the municipality while the house become the property of the individual. Therefore, in a participation process it is difficult for communities to always act in the public interest. Much needs to be done to resolve conflicts I this area, while at the same time supporting the real option of a people driven process in appropriate situations. The roles of NGO's are particularly pertinent in the facilitation of participation. A particular strength of South African policy as it relates to human settlements is the level of civic engagement that is required. The benefits of participation are many, and essentials to sustainable development. Problems arising from the practice of participation should not overshadow its imperative part in any development process. The building of capacity by the public and private sector to run efficient, but effective participation processes, is taking place as more top down approaches are progressively replaced. The momentum built up

need not be interrupted by refinements in policy that remove some of the inherent conflicts (CSIR, 2000).

Few of the smaller NGO's have the capacity to meet the demand for rapid service delivery. Large-scale development agencies are expressing a commitment to combining product delivery with community development and capacity building. The question that arises is whether they can move from a top down to a bottom-up way of operating. There may be truth in the charges that traditional NGO's are disorganised and unable to deliver product. But large parastatals and quasi NGO development agencies are inclined to plan projects in advance and then use token "community participation" to carry them out. Genuine community development work undertaken by fieldworkers closely linked to the ebb and flow of community life must balance delivery. Can they overcome the contradiction between the need to spend large budgets rapidly to ensure continued funding and the inherently slow process of community participation and capacity building? Rather than employ fieldworkers at community level, the large-scale developers try to quickly set up community structures to control the disbursement of funds for particular packages. Highly paid consultants convene and facilitate committees servicing them with packaged courses as the answer to capacity building. Under these circumstances, not much capacity building takes place at all (Community Development Resource Association (CDRA), 1995).

### **3.4 Initiation of projects**

Community co-operation is an important facet of community participation (Khosa, 2000). If the project provides services, for example, and the community takes responsibility for carrying out some of the services, they would probably be prepared to pay for those services. Employment of NGO's as intermediaries has proven to be a good way for governments and parastatals to reach local communities and ensure their co-operation. Research on projects funded by the Inter-American Development Bank indicates that health, education and sanitation projects often refer to community participation but fail to outline a concrete plan to actually get people to consider their needs and work on the programme to fulfil their needs.

The main focus is the provision of economically sustainable assets that enhance local economic activity. This should be coupled with a community-based approach, aimed at empowering local communities and enhancing sustainability, maintenance. Programmes should also aims to build and develop local leadership through full participation in the programme, training and other capacity building measures. Capacity building targets local leaders in communities and in local government (Khosa, 2000 (c)).



The National Department of Public Works (NDPW) flagship is the CBPWP. As its name implies, the CPBPWP seeks to be a participatory programme. For local empowerment to be meaningful, decision-making has been located at community level through community committees that employ local people, pay them, liaise with technical consultants and social facilitators and approve payments. Social facilitation is provided to ease relations between government, contractors, technical consultants and implementing agencies on the one hand, and community structures and individuals on the other. Through the employment of professional consultants, the high level of technical standards has not been compromised (Khosa, 2000 (c)).

An evaluation of the performance of national government requires an evaluation of the different government departments. From an institutional perspective, three issues are relevant in assessing the actions of government departments, namely the initiation of projects and programmes, the design and planning of these, and the process of resource allocation and co-ordination (Abrahams and Goldblatt, 1997). Theoretically, the identification of projects is the responsibility of communities and local authorities. This process occurs within parameters set by national or provincial policy. It is the prerogative of communities to make representations to their local authority for applications for services, which are then responded to by the appropriate government department. However, in many instances services are provided through a number of different channels. For example, water delivery is carried out both by the Community Water Services and Sanitation (CWSS), and by Non Governmental Organisation (NGO's) such as the Mvula Trust. Increasingly, Water Boards are assuming responsibility for delivery of water to the end user as well. Communities are represented on Area Forums who, through this representation, compile lists of all areas in need of water, which are then submitted to the Provincial Planning Forums, who then prioritise the requests. The prioritised lists are then directed to Mvula Trust or a relevant NGO, largely in rural areas, or to CWSS or provincial departments. In many cases, the communities are not aware of who is involved in the water process and requests get made to several different actors. A far more effective means of service delivery would be to provide a single channel through which communities could direct their demands, despite the fact that so many different service providers exist.

The successful design and planning of service delivery is essential to the sustainability and effective provision of these services. Planning and design is currently the responsibility of a number of different agents within both the public and private sector, and at a number of different

levels of authority. The involvement of different actors in this process contributes to the duplication of responsibilities and undermines sustainable delivery (Khosa, 1998).

Planning is not integrated between the different sectors, and service delivery is co-ordinated as separate projects by a number of different utilities. For example, provincial governments, CWSS, Mvulo Trust, the Water Boards, and other NGO's and engineering companies design water services. Energy delivery is the responsibility solely of Eskom, in terms of both generation and delivery. However, there are plans to introduce the private sector into the distribution component, and this is going to require close regulation with regards to planning and sustainability. While the National Electricity Regulator (NER) monitors targets and minimum standards of delivery, the planning and design of electricity is unmonitored. Where the utility maintains a monopoly on the market such as Telkom, the entire process from initiation to delivery is the responsibility of that utility. While, like electricity, the meeting of targets may be monitored and regulated, the process leading up to delivery is left to the discretion of the agents involved (Khosa, 1998).

The process of resource allocation within the sectors is diverse. Authorities at national level and provincial level as well as the different utilities involved, are responsible for the control of finances and resources. However, the capacity to manage such allocation is not available at certain levels. As has already been indicated, the Consolidated Municipal Infrastructure Programme (CMIP) governs the basic resource policy for many services, which encompasses rural and urban areas. This lays down the framework for investment in water, sanitation, stormwater, energy and solid waste removal. Local government structures assume responsibility for resource allocation within and between different departments. Various capability criteria need to be met before local government departments can access funds made available through these programmes (Khosa, 1998).

### **3.5 Public sector procurement reform**

According to a Green Paper on Procurement Reform (1997) the strategy of procurement should be to achieve continuing improvement in value for money, based on whole life cost and quality. Public sector procurement should be structured in a manner that promotes economic reconciliation and competitiveness. The procurement system should accommodate well-defined socio-economic criteria, as well as facilitating the development of small, medium and micro enterprises (SMME's) and increasing the volume of work to the poor without compromising the quality of work.

The Ministries of Finance and Public Works embarked upon an initiative to reform public sector procurement in South Africa. A Procurement Forum was established to oversee this initiative. A task team was appointed, comprising officials from the office of the State Tender Board and consultants from the private sector, to research and draft policy proposals for consideration by a policy unit comprising the Minister of Public Works, the Deputy Minister of Finance and senior officials from the departments of State Expenditure, Public Works, Trade and Industry and Arts, Science, Culture and Technologies. The task team was funded by means of a grant obtained from the World Bank by the minister of Public Works prior to the 1994 elections. The process of reform commenced with interaction within Government in January 1995. A Government Forum comprising representatives from various State and Provincial user departments was established in order to arrive at a consensus position as to what restructuring was necessary and what was possible in the short, medium and long term.

At the outset to the process, it was recognised that legislation following a white paper on procurement would be required in order to operationalise all reform policy proposals. As a result, the task team was required to develop interim policy proposals, which could be implemented within the ambit of existing legislation, and as such serve as the interim policy until such time as the reform process had run its course.

### **3.6. The impact of public sector procurement**

The use of public sector procurement as an instrument of government policy to achieve certain socio-economic objectives can have significant outcomes in a variety of areas ranging from the protection and development of national industry, to social policy goals such as the promotion of equal opportunity (Strategic Procurement Systems 2000). Likewise, the use of procurement as a regulatory tool to enforce existing legal obligations, or to encourage standards of behaviour beyond those required by the law, has the potential to make a substantial impact.

A recent study undertaken for the European Community cites five principal domestic (as distinguished from foreign policy) socio-economic or political functions which public sector procurement may be used to achieve, in addition to obtaining the required goods and services. These are:

- To stimulate economic activity;
- To protect national industry against foreign competition;

- To improve the competitiveness of certain industrial sectors;
- To remedy regional disparities; and
- To achieve certain more directly social policy functions such as to foster the creation of jobs, to promote fair labour conditions, to promote the use of local labour, to prohibit discrimination against minority groups, to improve environmental quality, to encourage equality of opportunity between men and women, or to promote the increased utilisation of the disabled in employment (Watermeyer, 2000).

Evidently public sector procurement has been used in developed countries to achieve certain social policy objectives, such as the creation of jobs, the promotion of fair labour conditions, the use of local labour, the prevention of discrimination against minority groups, the improvement of environmental quality, the encouragement of equality of opportunity between men and women and the increased utilisation of the disabled (Watermeyer, 2000).

The use of procurement as an instrument of policy is not without controversy and questions have been raised regarding its legitimacy and effectiveness. Certainly, many attempts to promote an industry or sector within an industry have failed, particularly where policies have been championed in an uncompetitive environment, isolated, from national and international competition. Inefficiencies are also frequently encountered where policies are not protectionist but seek to establish viable "infant" industries (Watermeyer, 2000).

All too often, the beneficial effects of policies, which are promoted through procurement, are doubtful or minimal. For example, the European Commission estimated that regional preference schemes in the United Kingdom applied to only 0, 02% of government procurement and that there was no evidence that it had made a significant contribution in attaining the objectives. Even where benefits can be achieved, these must be weighed against the cost of doing so through procurement, either in terms of a price premium, or a compromise on other matters such as time or quality. Enforcement costs must also be considered.

There has been limited research on and a lack of data regarding most programmes to demonstrate the effectiveness of the use of procurement as an instrument of policy. Frequently, deliverables are ill defined or vague and requirements are not quantifiable or measurable. As a result, the auditing and verification of the effectiveness of the use of procurement as a means to an end is simply not possible.

What has been needed is a cost effective procurement system which provides, encourages and promotes a government's socio-economic objectives in a definable, quantifiable, measurable, verifiable and auditable manner, within a fair, equitable, competitive, cost effective and transparent environment, without:

- Over-taxing the administrative capacity of government;
- Creating unfair competition within sectors of the economy;
- Abusing or lowering labour standards;
- Exposing government to unacceptable risks;
- Compromising value for money; or
- Compromising the efficiency and effectiveness of the private sector in their ability to deliver (Watermeyer, 2000).

### **3.7 Legislation related to procurement**

The procurement of supplies and services for the government was controlled, regulated and channelled via the State Tender Board. These Tender Board policies and procedures tended to favour the larger and better-established entrepreneurs. Therefore they did not create an environment that allowed easy access for small, medium and micro enterprises into the mainstream procurement activities funded by the public sector. This problem paved the way for a review of the procurement procedures with the aim of developing a new procurement policy and system that would respond the needs of the South African Society (DPW, 1995).

An overview of the Public Sector procurement regime (DPW, 2000 (c)) has shown that apart from the constitutional legislation regarding Procurement there is also a Public Finance Management Act, which gives effect to the constitutional requirements. This Act (Act 29 of 1999) requires accounting officers and accounting authorities, inter alia, to have:

- An appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and effective;
- Effective, efficient and transparent systems of financial and risk management and internal control; and
- A system for properly evaluating all major capital projects prior to final decision on the project.

In April 2000 the Municipal Systems Bill was introduced into Parliament to provide the core principles, mechanisms and processes that are necessary to enable municipalities to move progressively towards the social and economic upliftment of communities. This Bill further requires that Municipalities select service providers through selection and pre-qualification processes which:

- Were competitive, fair, transparent, equitable and cost-effective;
- Allowed all prospective service providers to have equal and simultaneous access to information relevant to the bidding process;
- Minimised the possibility of fraud and corruption; and
- Made the municipality accountable to communities, residents and ratepayers about progress with selecting a service provider and the reason for any decision in this regard.

The Preferential Procurement Policy Framework Act was intended to provide a framework within which procurement policies could be implemented by creating categories of preference in the allocation of contracts; and providing for the protection and advancement of persons, or categories of persons, disadvantaged by unfair discrimination. The framework did however require that any specific goals for which points could be awarded needed to be clearly specified in the invitation to submit a tender and must be measurable and quantifiable as well as monitored for compliance. In essence it would mean employment creation and greater participation in the economy for previously marginalised groupings (DPW, 2000).

The White Paper (1999) on Creating an Enabling Environment for Reconstruction and Development in the Construction Industry highlights the following points as prevalent to procurement and development:

- The establishment of a Construction Industry and Development Board;
- Socio-economic preferencing policies;
- Procurement documentation, procedures and practices;
- Alternative dispute resolution procedures;
- Procurement incentives;
- The register of contractors;
- Integration of the design and construction process;
- Best practice performance standards, partnering and participative management;
- The roll out of Affirmative Procurement Policy; and

- The establishment of an Emerging Contractor Development Programme.

Recently a system of procurement, which meets the aforementioned requirements, has been developed in South Africa. This system, which is known as Targeted Procurement, enables procurement to be readily used as an instrument of social policy, by public bodies both on a large scale and in a focussed manner. Aspects of Targeted Procurement can also be used to measure, quantify, verify and audit any socio-economic targets that are to be met. This is important where governments grant concessions, linked to socio-economic objectives, to the private sector.

### **3.8 Targeted procurement**

According to Watermeyer (2000), Targeted Procurement is an innovative form of procurement, which has recently been developed in South Africa to provide employment and business opportunities for marginalised individuals and communities. This would then enable social objectives to be linked to procurement in a fair, transparent, equitable, competitive and cost effective manner. Targeted Procurement also permits these social objectives to be quantified, measured, verified and audited.

Targeted Procurement, through a variety of techniques, provides opportunities for participation by targeted enterprises, even to those who may not have all the necessary resources, capacity or expertise to perform contracts in their own right. This is done in a manner, which does not guarantee contracts to such enterprises. On small contracts having a value below a predetermined financial threshold, direct preferences are accorded to targeted enterprises to tip the scales in their favour. On contracts above a financial threshold, tenderers are required to compete on the basis of both the product and the process. Technical specifications are used to define the product and to set out the acceptance criteria relating thereto. Standardised resource specifications are used to define social objectives and the acceptance criteria relating thereto. These specifications accordingly define the social deliverables, which are to be realised through the process of delivery, and set out the manner in which they can be achieved, measured and monitored. Contracts are usually awarded to the most advantageous offer, based on a balance between the tendered price and the tendered deliverables in respect of targeted groups. Targeted enterprises, depending upon the contracting strategy, which is adopted, may participate in contracts as prime contractors, joint venture partners, subcontractors, service providers or suppliers (Watermeyer, 2000).

Traditionally, various governments have utilised their public sector procurement capability to promote a wide range of socio-economic objectives not necessarily directly linked to the object or service being procured. One of the key strategies in reconstructing the South African economy is the significant focus on investment in physical and social infrastructure. This approach has resulted in the construction industry in South Africa being confronted with tremendous challenges in terms of increasing its capacity to delivery, attaining higher order efficiencies and addressing the skewed ownership pattern within the sector. As part of the overall strategy to transform the construction industry in South Africa, public sector construction procurement, was identified as one of the key instruments that could contribute to the realisation of specific socio-economic objectives and higher order efficiencies within the sector. Targeted Procurement in a practical, pragmatic and measurable manner enables government to achieve certain socio-economic objectives, as set out in the Reconstruction and Development Programme, through engineering and construction works contracts. It enables organs of State to operationalise policies in a targeted, transparent, visible and measurable manner when engaging in economic activity with the private sector, without compromising principles such as fairness, transparency, competition, cost efficiency and equitability (DPW, 2000 (c)).

Watermeyer (2000) discusses the comparisons between the conventional procurement system and the target procurement system. Previously the adjudication of bids was usually based on price, as well as the contractor's capacity to execute the contract. The adjudication of bids in the Targeted Procurement system is performed using the Development Objective / Price Mechanism. The adjudicator awards points to all responsive bids in terms of their price offer, as well as their development objective offer in accordance with provisions stipulated. This is being done to ensure that price alone is not the deciding factor.

The targeting of communities in construction projects is invariably linked to employment – intensive works and the purposeful flow of income to the poorest sectors of a community. Targeted procurement enables communities to participate in construction projects in a number of ways without having to necessarily create projects or special programmes. The resources of targeted communities can be targeted in any contract for the provision of infrastructure without having to restructure projects to accommodate community contracting or having to channel funds through communities in order to do so (Watermeyer, 2000).



To ensure the effective transfer of skills to those responsible for the implementation and those who must ultimately provide the goods, the South African Qualifications Authority (SAQA) has registered a course, which consists of a programme with the following outcomes:

- Communicate the socio-economic goals and nature of the targeted procurement procedure;
- Set selection criteria for targeting strategies;
- Identify and complete control forms for standard targeting strategies in procurement documents when resource specifications are used;
- Adjudicate tenders using the Development Objective / Price Mechanism of the Targeted Procurement Procedure; and
- Monitor for contract compliance in accordance with resource specifications.

Targeted Procurement has the necessary strategies to ensure effective participation of the previously marginalised in a structured manner. However it needs to be effectively monitored and regular feedback is necessary. Targeted Procurement is an innovative form of procurement developed in South Africa by the Procurement Task Team (Watermeyer, 2000).

### **3.9. Chapter Summary**

This chapter discussed the complex set of programmes and institutions responsible for dealing with Infrastructure. It identified the National Policy Framework, the MIIF, which was developed to bring together these sets of programmes to address the backlog of Infrastructure. The lack of capacity of many government institutions was identified as one of the many reasons contributing to problems with implementation of community development projects. Further a lack of Community Participation was linked to the slow progress. The importance was examined of community involvement during the Planning stages of projects and the role of NGO's and CBO's as Programme Implementing Agencies (PIA). However the need for the inclusion of previously marginalized sectors of the community in the entire Procurement process was established. Previous legislation around procurement issues and the proposed Interim strategies were examined. Evidently strategic programmes were needed.

## **CHAPTER 4**

### **RESEARCH METHODOLOGY**

#### **4.1 Introduction**

This chapter examines the various methods employed for obtaining the data for the execution of this project. After a thorough investigation of these methods, appropriate research methods were selected to test the hypotheses of this particular research project. These are described in detail in the following sections.

#### **4.2. Surveys and Sampling**

Research is the process of arriving at dependable solutions to problems through the planned and systematic collection, analysis, and interpretation of data. It is an important tool for advancing knowledge, for promoting progress, and for enabling man to relate more effectively to his environment, to accomplish his purpose, and to resolve his conflicts (Cohen and Manion, 1980).

Research depends on the pattern and techniques of searching and may be defined as the process of acquiring knowledge and understanding. The collection of data is one of the most important components of any research project and if the data is defective it could affect the validity of the researcher's conclusions (Leedy, 1993).

The survey is the most widely used data collection technique (Neuman, 1997). Personal interviews, mail questionnaires, the panel technique, telephone surveys and controlled observation are all survey methods. Surveys are useful for obtaining factual or attitudinal information about large populations, especially in the absence of alternative information (Pratt and Loizos, 1992).

Factors of expense, time and accessibility make it difficult to obtain measures from an entire population. Therefore the researcher tries to collect information from a smaller group of the population, namely a sample in such a way that the information gained represents the whole population being studied (Cohen and Manion, 1980). This representativeness is necessary if the sample is to produce a result of theoretical and practical value. The results obtained from such a sample approximate as closely as possible those, which would be obtained if it were possible to survey the entire population (Fellows and Liu, 1997).

Surveys therefore operate on the basis of statistical sampling to secure a representative sample. The objective of sampling is to provide a practical means of enabling the data collection and processing components of research. The most common way that samples are surveyed is through questionnaires and interviews and may vary from highly structured questionnaires to unstructured interviews (Fellows and Lui, 1997).

An important consideration in sampling is the elimination of bias and in particular selection bias. It is essential that as far as possible each member of the surveyed population have as much chance as the next to be included in the sample. Randomness is employed to avoid this type of bias. The required number of subjects is randomly selected from a list of the population. It is essential that these subjects have characteristics similar to the population under consideration

Systematic sampling is a modified form of simple random sampling. Subjects are selected from a population list in a systematic fashion. If a sample  $n$  is required from population  $N$ , then every  $N/n$ th subject is selected, provided the starting point for selection is randomly selected. If from a population of say, 2,000 a sample of 100 is required, then every twentieth person can be selected provided the starting point for this selection is chosen randomly.

#### **4.3. Questionnaire**

A questionnaire is a commonplace instrument for observing data beyond the physical reach of the observer (Leedy, 1993). It is a document distributed by the researcher to be filled out by the respondent (Behr, 1988). The aim of this approach is to gather factual information; study relationships between facts, and how these facts and relationships compare with theories and findings of previously executed research (Fellows and Lui, 1997).

An effective questionnaire requires planning beforehand to ensure that the data can be objectively analysed afterwards (Mellville and Goddard, 1996). As communication is a deceptive skill, the language must be unmistakably clear when using questionnaires, as what may be crystal clear to one respondent might be meaningless to another (Leedy, 1993). A good questionnaire is complete and short, only asking relevant questions and giving clear instructions. Each question should be as unambiguous as possible, concerning one issue only. Questionnaires can be used to reach a very large number of people in a relatively inexpensive manner. It is a practical instrument when dealing with a large number of people (Mellville and Goddard, 1996).

Given the increasing number of research projects, collecting data is becoming progressively more difficult. The people who are targeted as respondents often receive many requests for data and consequently, as their time is precious, become unwilling or unable to provide data. A good principle is to present the request for data neatly and politely, ensuring that the data can be provided easily, that they are not too sensitive and that the study is of interest to the respondents.

Having identified the sample, often by organisation, the next step is to identify the most appropriate respondent in each organisation. An initial telephone call is useful to determine the appropriate person, to explain the brief and to get agreement from them to provide the data required. Commonly anonymity will be necessary, although confidentiality may be advisable, in order to obtain fuller and more readily given responses.

#### **4.3.1 Types of questions**

The use of open-ended questions supplies a frame of reference for the answers of respondents placing a minimum of restraint on the answers and the expression of these answers. The respondent is able to respond in full to the questions posed and may also reply in whatever form, with whatever content and to whatever extent they prefer. While the questions are fairly easy to ask, they may be difficult to answer. Responses can suggest possibilities of relations and hypothesis. Respondents will sometimes give unexpected answers that may indicate the existence of relations not originally anticipated.

This method is very flexible and also has possibilities of depth. It enables the interviewer to clear up misunderstandings and to ascertain a respondent's lack of knowledge. One can detect ambiguity easily and one can make better estimates of respondent's true intentions and beliefs. Responses can suggest possibilities of relations and hypothesis and respondents will sometimes give unexpected answers that may indicate the existence of relations not originally anticipated.

A minimum of restraint is put on the answers and their expression. Their content is dictated by a research problem.

Fixed-alternative questions, as the name indicates, offer the respondent a choice among two or more alternatives. These questions are also called closed or poll questions. The most common kind is dichotomous where it asks for Yes-No, Agree-Disagree, and other two-alternative

answers. Often a third alternative, Don't Know or Undecided, is added. Greater uniformity of measurement and thus greater reliability can be achieved. These questions force the respondent to answer in a way that fits the response categories previously set up. They are easily coded. This method is superficial and without probes does not ordinarily get beneath the response surface. These questions may irritate a respondent who finds none of the alternatives suitable. The rigidity of the responses constrains the responses artificially thereby restricting the respondent from expressing an opinion (Moore, 1993).

One can achieve greater uniformity of measurement and thus greater reliability. This method also forces the respondent to answer in a way that fits the response categories previously set up. It is very easily coded.

This method is superficial and without probes they do not ordinarily get beneath the response surface. They may also irritate a respondent who finds none of the alternatives suitable, thus forcing responses. A respondent may choose an alternative to conceal ignorance and also respondents may choose alternatives that do not accurately represent true facts or opinions.

A great deal of the information needed in social scientific research can be abstracted from respondents by direct questions. Questions must be tested for unknown biases. If properly handled, even personal or controversial material can be successfully obtained with questionnaires (Kerlinger, 1981).

Often, types of data are identified in terms of the nature of the scales of measurement used. The essential issue concerning scales is that of uniformity of measurement and consistency of measurements. The most common scale for obtaining respondents' opinion is the Likert scale. These scales are concerned with determining respondents' degree of agreement or disagreement with a statement on, usually, a 5-point or 7-point scale. As a Likert scale is an ordinal scale, it can be used to produce hierarchies of preference, which then can be compared across groups of respondents as per the sampling frame. Using such an approach, it is possible to determine various groups of views of respondents of an issue by asking respondents from each group to respond to a common set of statements against the Likert scale (Fellows and Lui, 1997).

The Likert scale was deemed to be appropriate for this study, as it would offer respondents enough choice to make a suitable decision based on their experience as well as enable measurement of hierarchies of preference.

For the analysis of the questionnaire a statistical package will be utilised. Not all research projects yield data, which are suitable for statistical analysis, and even those, which do, may require only simple manipulation of small sets of data. It is important to remember that to be useful, tests must be valid and understood. For the purposes of this study the *Statistical Package for the Social Sciences* (SPSS) will be used.

#### 4.4 Case Studies

The case study researcher observes the characteristics of an individual unit. The purpose of this observation is to probe deeply and to analyse intensively. It investigates the various activities and characteristics that constitute the life cycle of the unit with the intention to establish generalisations about the wider population to which that unit belongs (Cohen and Manion, 1980). Irrespective of what the problem or approach may be, at the heart of every case study lies a method of observation.

Case studies employ a variety of data collection techniques. In a case study the case is the particular occurrence of the topic of research and produces deep but narrow results (Moore, 1983). A number of case studies are selected to study a particular problem or issue in depth. The selected case studies will be broadly representative of the large group from which they are drawn. The use of case studies enables the researcher to cover a large amount of ground at a relatively inexpensive rate. The possibility to compare various approaches to a problem in sufficient detail and the ability to draw out lessons, which are generally applicable, is of great importance.

#### 4.5 Interviews

There is some similarity between questionnaire surveys and interviews. An interview is a questionnaire administered in person (Moore, 1983). It is a face-to-face interpersonal role situation where one person, the interviewer, asks a person being interviewed, the respondent, questions being designed to obtain answers relating to the research problem (Kerlinger, 1981).

An interview can be an exploratory device to help identify variables and relations, to suggest hypotheses, and to guide other phases of the research. It can be the main instrument of the

research where questions designed to measure the variables of the research are included in the interview questionnaire. These questions are then to be considered as items in a measurement instrument, rather than just data gathering devices. The interview can supplement other methods, follow up unexpected results, validate other methods, and go deeper into the motivations of respondents and their reasons for responding as they do (Kerlinger, 1981).

The interview is an unusual method in that it involves the gathering of data through direct verbal interaction between people. In this sense it differs from the questionnaire where respondents are required to record in some way their responses to set questions (Cohen and Manion, 1980).

The major discrepancies are in the constraints placed on the respondent and the interviewer. In a structured interview, the interviewer issues a questionnaire by asking questions and recording responses. In unstructured interviews, the interviewer introduces the topic briefly and then records the replies of the respondent. This method can almost be a monologue with some prompts to ensure completion of statements. Respondents can say what and as much as they desire. Semi-structured interviews fill the gap between the previous two methods. They can vary quite widely, from a questionnaire with some probing, to a list of topic areas on which the respondent's views are recorded (Fellows and Lui, 1997). This form of interview has become increasingly prevalent, as there is an additional opportunity to obtain qualified answers.

It is of a more personal nature and provides the researcher with a higher response rate than questionnaires. There is also the opportunity for the interviewer to clarify any ambiguities, thus avoiding possible misunderstandings. A major disadvantage is that conducting interviews and analysing the information obtained is time consuming. Another problem area could be the presentation of the interview, as a high level of consistency has to be maintained (Moore, 1983).

#### **4.6 Data Collection procedures**

Given that there is a finite amount of resources available for carrying out the fieldwork, especially where these resources are very restricted, a choice of research method is necessary. The choice is affected by consideration of the scope and depth required.

To assist the process of formulating the methodology, a review was done of the problem, hypothesis and objectives of this research. This review formed the criteria for question

formulation. The review of the literature in previous chapters formed the background to the methodology.

For the purpose of this research project the main source of data to be collected will be through the use of a questionnaire. However due to the anticipated level of non-responses envisaged which could seriously affect the findings, other methods of data gathering, namely case studies supported by interviews will be used to supplement the questionnaire.

This method of data collection is termed triangulation.

#### **4.6.1 Triangulation**

According to Cohen and Manion (1980), triangulation is defined as the use of two or more methods of data collection in the study of some aspect of human behaviour, whereas Fellows and Lui (1997) describe triangulation as the use of two or more research methods to investigate the same thing. It is important that methods are implemented as rigorously as possible to try to avoid bias and to obtain appropriate amounts of accurate data (Fellows and Lui, 1997).

#### **4.7 Questionnaire Design**

The questionnaire developed for this research is subdivided into five sections consisting of (i) Demographics, (ii) Community Dynamics, (iii) Development project delivery, (iv) Community participation and (v) Affirmative Procurement Policy. For the most part the questions were fixed and the respondents needed to select a response from those given. There was however a few open-ended questions which were necessary to provide insight, and explanations which would assist in understanding findings. The questionnaire was designed as follows:

- i. The section on demographics included question to gather information about the areas of operation of the respondents and the extent of their experience in these areas. This section consisted of six questions of which two were open-ended and four were closed.
- ii. The section on community dynamics included questions related to the process of determining community leaders. This section had four questions of which all were closed.



- iii. The section on Community Development Projects included questions related to the need for community development and the process of how it was delivered to communities. This section consisted of three closed questions.
- iv. In the section on Community Participation questions were included about issues related to community participation in the traditional procurement process. This section consisted of nine closed questions.
- v. In the section on Affirmative Procurement Policy (APP) questions were included on the implementation of APP. This section consisted of ten questions of which two were open-ended and eight were closed.

Table 4.6 provides an overview of the design of the questionnaire.

**Table 4.6      Design of the questionnaire**

Question Areas	Number of questions
Demographics information	8
Community Development Projects	6
Community Dynamics	8
Community Participation	10
Affirmative Procurement Policy (APP)	12
Additional Comments (General)	1

#### **4.8      Questionnaire administration**

The sampling of the respondents was drawn from a Development Handbook and directory PRODDER, which contains information about various institutions, involved in Community Development. A list was compiled of all organisations in South Africa. This list was then subdivided into different categories for example Consultants, NGO's, Funders and Government. The complete list constituted the respondents.

Another group of respondents were the contractors who were not listed in this directory. A list was compiled from The Profession Projects Register 2000 selecting all contractors stated as being involved in community developments. It was important that all respondents selected had a contact

address as well as telephone and the name of a contact person. A choice was made of the 4<sup>th</sup> name to be selected to eliminate biases. The full list consisted of 20 names. The complete list of respondents consisted of 30 names. As there were no government departments listed the researcher had to identify the governmental departments. From the government web site [www.gov.za](http://www.gov.za), ten government departments were selected. There might be a measure of bias as the researcher made a selection on those departments, which would be accessible. Government was identified as a pivotal stakeholder in the process of delivering development projects to communities.

The complete list of respondents for the questionnaire survey consisted of 40 names. A shortcoming identified later was that there was no pre-selection done to categorise the list into different categories such as consultants, NGO's and contractors. The questionnaire addressed this by asking a question related to the role of the respondents in the development process.

The questionnaires for the purpose of this study were self-administered. This in effect meant that it was hand delivered and collected. This method was selected to increase the response rate as well as the speed of the process.

Initially 40 questionnaires were delivered by hand to respondents. Subsequent to numerous telephone calls and collecting the completed questionnaires, only 12 were received back duly completed (30% response rate). The balance was classified as non-responses. Upon reading the questions they either disqualified themselves through a non-interest or non-applicability.

As this response rate was not satisfactory for the purpose of this research another set of questionnaires were sent out. A further sample of 40 was selected on the same basis as described before, but this time the survey was administered by post. A better response rate was experienced as 28 were received back duly completed (70% response rate), which placed the total received at 40 out of 80 sent out representing an overall response rate of 50%. The research proceeded with the responses received.

#### **4.9 The case study**

Various case studies were reviewed and carefully examined for the best relevance to the research project. The selection of the case study is biased in that it is done at the discretion of the

researcher who determines the relevance according to the research objectives and problem statement and hypothesis.

One case has been selected from those collected. The selection of the case was done considering the constraints of time, finance and accessibility to the researcher. The case has been confined to the Western Cape area.

#### **4.10 Interviews**

The community was selected as interviewees for the purpose of this research. The target communities for the research come from the area where development projects occurred mostly in the form of provision of housing. Language was seen to be a barrier between the researcher and the interviewees as well as the huge degree of illiteracy, which exists. The interview process allowed the researcher to explain questions to the respondents to clarify anything they might not understand. Interpretation was problematic but the researcher as far as was possible tried to provide an accurate account of the responses.

#### **4.11 Chapter Summary**

In this chapter issues in collecting data via questionnaires, interviews and case studies were examined. Difficulties, which could be encountered in the data collection, were highlighted. For any study, which extends beyond a review of literature and theory, a major issue is the collection of data. The various types of data were discussed as well as the tests to which they would be subjected. Approaches to elicit data from respondents were outlined along with the necessity to preserve confidentiality in some instances.

## **CHAPTER 5**

### **DATA ANALYSIS**

#### **5.1. Introduction**

The previous chapters dealt with the theoretical background to the research hypotheses, problem statement, research instruments and survey, and sampling methods employed during the allocation of data collection.

This chapter presents the results obtained from the questionnaire survey of stakeholders in community development projects as well as findings from the interviews done with beneficiary community members.

#### **5.2. Questionnaire responses**

The sampling profile consisted of various stakeholders within the development framework evidenced in Table 5.1. Each category of stakeholder is discussed separately in the following sections.

**Table 5.1 Profile of stakeholders within the development framework**

Category	Stakeholder	N	Percentage
1	Contractor	6	15%
2	Government	3	8%
3	Funders	7	17%
4	Facilitators	15	37%
5	Consultants	9	23%
	Total	40	100%

#### **5.3 Contractors**

##### **5.3.1 Demographics**

The respondents hold decision-making positions within their companies with the majority (66%) being in these positions less than 10 years. Their area of operation within the South African region was as follows:

Western Cape Province:

- 33,3% worked exclusively (100%) in this region;
- 33,3% focussed 80% of their activities in this region; and
- 33,3% focussed 35% of their activities in this region.

Their role within the development area was strictly in their capacity as contractors. Their years of experience ranged between 2 and 15 years with 50 % having less than 5 years experience and the rest between 5 years and 15 years.

### 5.3.2 Development

The respondents reported that they were not representative of the beneficiary communities since they merely performed the functions of contractors. However, they reported that they regarded the delivery of infrastructure as community development projects. Reasons given for their response related to improvement of physical and social conditions of communities, physical assets being used for development and infrastructure as a need within communities.

All respondents reported that effective infrastructure delivery to communities was a need and that infrastructure was essential to the growth and development of communities. Reasons given for the effective delivery included:

- *There is a large backlog of infrastructure which exists; and*
- *Good infrastructure potentially improves economic activity.*

Relative to the role of infrastructure in growth 33.3% of respondents reported that these essential services would lead to a healthier living environment and the rest stated that good infrastructure would result in growth and development.

### 5.3.3 Community Dynamics

In terms of community leadership problems were reported to exist with the representativeness of these leaders. Reasons cited indicated the lack of effective feedback given to communities by leadership (50%) and the self-interest serving attitudes of the leaders (50%). Another aspect identified was the lack of transparency during the election of these community leaders. Political affiliation was according to 66.7% of respondents a major cause of the lack of transparency.

The majority of the respondents (66.7%) indicated that the interest groups within any singular community were evidently very diverse and that different groupings within any one community had different needs (66.7%). Further there existed power struggles within different political groupings (33.3%). This diversity was very problematic to the delivery process according to 66.7% of the respondents, and normally retarded the delivery rate with smaller groups within a community possible derailing the process.

#### 5.3.4 Procurement

This section of the questionnaire was designed to deal with the merits of the procurement process as a delivery mechanism in South Africa to improve community participation. Most of the respondents (66.7%) reported that they understood procurement and procurement processes, while the rest reported having an average understanding. Given that procurement is a critical process in construction, a good understanding of procurement by contractors is essential.

Further, with respect to whether communities understood procurement, 66.7% opined that communities had an average understanding and 33.3% that they had no understanding at all. Advice from consultants to communities about selecting appropriate procurement systems was regarded as necessary, and very important according to 66.7% of the respondents. All respondents reported that such advice could prevent problems at later stages.

From Table 5.2 it is evident that communities did not always obtain advice from consultants to empower them to distinguish between different arrangements or systems available during the procurement of development projects.

**Table 5.2 Community involvement in procurement**

Community involvement	Seldom (%)	Sometimes (%)	Often (%)
How often is advice given to communities	66.7	33.3	
To what extent are disadvantages and advantages of alternative procurement systems discussed with communities	33.3	66.7	
Extent of community involvement in selection of procurement system	33.3	33.3	33.3

### 5.3.5 Affirmative procurement Policy

With respect to the Affirmative Procurement Policy of the Government, the majority of respondents (66.7%) understood the policy. Respondents reported that they needed to apply this policy affectively in their capacity as contractors and therefore had to understand its implications.

All contractors reported that the implementation of the AP policy had not been effective in addressing the lack of community participation in development projects. The findings however suggests that there is consensus on the importance of Community Participation within the development framework

### 5.3.6 Community participation

The results in Table 5.3 indicate from their experience the frequency with which communities were involved in different stages of the project. The mean ranking indicates that the communities were involved mostly at the project brief and handing over stage thus suggesting they are ,mostly involved at the beginning and at the end of a project and not during the project.

**Table 5.3 Community involvement at different stages of projects (Ranked according to mean)**

Stage	Never (%)	Sometimes (%)	Often (%)	Always (%)	Mean	Std Dev
Project brief	-	-	66.7	33.3	4.3	0.516
Handing over	-	-	66.7	33.3	4.3	0.516
Contract	-	33.3	66.7	-	3.7	0.516
Tender documentation	33.3	66.7	-	-	2.3	1.032
Contract documentation	33.3	66.7	-	-	2.3	1.032

The findings in Table 5.4 indicate the importance according to contractors of different criteria on the success of a project. These finding will be discussed further in Chapter 7.

From the results in Table 5.4 evidently all criteria except capacity building were regarded as equally important to project success.

**Table 5.4 Importance of criteria on success of projects**

Criteria	Average (%)	Very (%)	Extremely (%)	Mean	Std Dev
Community Participation	-	33.3	66.7	4.7	0.516
Completion on time	-	33.3	66.7	4.7	0.516
Completion to budget	-	33.3	66.7	4.7	0.516
Completion to quality	-	33.3	66.7	4.7	0.516
Usefulness to end user	-	33.3	66.7	4.7	0.516
Capacity building	33.3	33.3	33.3	4.0	0.894

With respect to justification of the findings in Table 5.4 selective comments include:

- Community participation: *Sustainability relies on customer satisfaction*
- Completion on time: *Time delays affect the cost*
- Completion in budget: *Project is efficient*
- Completion to quality: *Important for success*
- Capacity building: *Maintenance of the facility is needed*
- Usefulness to end user: *Project will fail if it is not useful*

With respect to how necessary community participation was in development projects, the majority (66.7%) responded that it was extremely necessary. Respondents comments included:

- *If there is no buy-in from communities there would be no project.*
- *Investment in community participation could have good returns in the future.*

Relative to whether Community Participation had increased the project cost most responded that the increase was average. Comments on how Community Participation benefited projects included:

- *There is a measure of skills transfer to the communities during the project;*
- *Delivery of the project was faster; and*
- *Ownership by communities.*



According to 66.7% of respondents the benefits of community participation sometimes outweighed the cost implications

General comments included: It is very important to inform the local communities of development in their area. Ensure that the process of delivery is transparent.

## **5.4 Government**

### **5.4.1 Demographics**

The majority of respondents held administrative positions (66, 7%) while the balance were in management. Most of the respondents were in these positions for about 3 years (mean). They showed a clear indication that they were involved totally within the Western Cape Province. Although they work for the public sector (government), they classified themselves as facilitators in the development process. Their years of experience ranged between 5 and 30 years with a mean of 14.667.

### **5.4.2 Development**

The respondents clearly showed that they were not representative of the communities but rather formed partnerships with communities in the development process. The response on delivery of infrastructure indicated that 100% agreed that it was indeed part of development. Reasons given for their response were:

- *The provision of physical assets for communities is used for development; and*
- *Usually community leaders raised the need for developments within communities.*

There was complete agreement that the need for effective delivery of infrastructure to communities was extremely important and comments made were that when local contractors were used in these projects it created development as well as giving the communities a sense of ownership from the planning stages. All respondents were in agreement that effective infrastructure delivery to communities was a need as well as infrastructure was essential to the growth and development of communities. Reasons related to the fact that infrastructure was essential for a healthier living environment as well as forming the backbone of communities.

### 5.4.3 Community Dynamics

The majority of government respondents had an opinion that community leaders were very representative. Of the respondents 33.3% opined that community leaders served their own self-interests. In contrast, the rest stated that without community leaders many projects would fail. The response on transparency of community leaders showed that respondents felt they had an average level of transparency. They added that it would not be problematic if democratic principles were applied but conceded that political affiliation is a major cause to the lack of transparency (66.7%).

The majority of the respondents opined that the interest groups within one community were not very diverse and motivated this with the statement: The needs of people were very focussed. Those who stated that there was some diversity (33.3%) argued that communities did not see the project as holistic. On average the respondents felt that this diversity was very problematic to the delivery process (66.7%). Their explanation for their response was that many had self interest which was not necessary the needs of the majority of the community (33.3%). The rest of the respondents felt that the project should be phased in and have smaller components which could prevent large scale sabotage by diverse groups.

### 5.4.4 Procurement

The respondents felt they had an average level of understanding of the term procurement (66.7%), the balance admitted to having a very good understanding. The majority of respondents felt that this policy or system is lacking in developments for informal settlements.

Of all respondents, 66.7% stated that the communities did not understand the term procurement at all. Comments included:

- *Communities were not interested in the process of development but rather the outcomes; and*
- *The majority feel that their needed to be some capacity building for communities within this system.*

The majority of respondents rated it very important for communities to be advised by professional consultants. Statements made were:

- *Professionals needed to be sensitive to beneficiary communities*

- *Government relied heavily on consultants to inform communities on the processes of development.*

From Table 5.6 it is evident that government did not always obtain advice from consultants to empower them to distinguish between different arrangements or systems available during the procurement of development projects. The result also shows that communities are seldom involved in the selection of procurement systems.

**Table 5.6 Communities on procurement systems**

Communities and procurement	Seldom (%)	Sometimes (%)
How often is advice given to communities	33.3	66.7
To what extent are disadvantages and advantages of alternative procurement systems discussed with communities	33.3	66.7
Extent of community involvement in selection of procurement system	100	

#### **5.4.5 Community participation**

The results in Table 5.7 indicate the frequency with which communities were involved at different stages of the project. It is evident that that in their experience communities were mostly involved during the project brief stage.

**Table 5.7 Community involvement at different stages of projects**

Stage	Seldom (%)	Sometimes (%)	Often (%)	Always (%)	Mean	Std dev
Project brief			33.3	66.7	4.7	0.577
Contract	33.3	66.7			2.7	0.577
Handing over	33.3	66.7			2.7	0.577
Tender documentation	33.3	66.7			2.7	0.577
Contract documentation	33.3	66.7			2.7	0.577

#### **5.4.6 Affirmative Procurement Policy**

With respect to the Affirmative Procurement Policy the majority of respondents (66, 7%) did not understand the Affirmative Procurement Policy. This is concerning as this is a government

policy. They stated that this policy was not used when they prioritise projects only once the project was started.

In Table 5.8 the results reflect the rating, which the Government respondent gave on the importance of different criteria to the success of a project. Clearly government felt community participation to be extremely important to the success of the project.

**Table 5.8 Importance of criteria on success of projects**

Criteria	Average (%)	Very (%)	Extremely (%)	Mean	Std Dev
Community participation			100	5.0	0
Completion in budget		33.3	66.7	4.7	0.577
Completion to quality		33.3	66.7	4.7	0.577
Capacity building		33.3	66.7	4.7	0.577
Usefulness to end user		33.3	66.7	4.7	0.577
Completion on time	66.7	33.3		3.3	0.577

The motivation for their responses in Table 5.8 is listed below:

- Community participation: *There has to be buy-in from communities  
There will be no success if there is no CP*
- Completion on time: *Cost effectiveness keeps communities in control  
Rather over estimate at beginning*
- Completion in budget: *No financial allowances should be made*
- Completion to quality: *The project belongs to the community.  
If it is good quality it will last longer*
- Capacity building: *Creates more informed and empowered community*
- Usefulness to end user: *The end user take ownership and this guarantees use*

The majority of Government respondents felt on average that the implementation of APP was effective but 33.3% felt it was not very effective. Their responses were that procurement and participation had different objectives. Further, the majority felt that there was no mechanism to evaluate the implementation of this policy.

The necessity for community participation in development projects was rated by the majority of respondents as extremely important (66.7%). Their comment was that if there was no buy –in from communities there would be no project.

The majority of respondents (66.7%) felt that community participation has not increased the project cost. Their opinion was that the beneficiary communities were experiencing better living conditions and there was also less vandalism of facilities.

The majority of respondents confirmed that the benefits often outweigh the cost of community participation. This response was validated by statements that there was no existence of any link between CP and APP. Some stated that the benefits were only noticeable in the long term.

General comments made included:

- *Sustainability of the project was imperative and that there was a lack of funds for maintenance and operation of infrastructure facilities.*

## **5.5 Funders**

### **5.5.1 Demographics**

The respondents hold decision-making positions within their companies (72%) and on average they have been in their positions for 9 years. Their area of operation within the South African region seems to be spread throughout the country; however the majority of their operations were within the Western Cape (57% of respondents have 100% of their activities located in the Western Cape).

Within the development framework they define themselves as funders. The experience of the organisations within this area of operation ranged between 2 and 10 years with only 15% having more than 10 years experience.

### **5.5.2 Development**

The respondents reported that they were very representative of the beneficiary communities since they performed the functions of funders and facilitators. They responded overwhelmingly that

they regarded the delivery of infrastructure as community development projects. Reasons for their response given were:

- *It improves the physical and social conditions of communities; and*
- *Physical assets being used for development.*

All respondents reported that effective infrastructure delivery to communities was needed and that infrastructure was essential to the growth and development of communities. Reasons given for this need were:

- *There is a large backlog of infrastructure which exists;*
- *Good infrastructure potentially improves the physical and social conditions of communities; and*
- *Good infrastructure improved economic activity of communities.*

Relative to the role of infrastructures in growth respondent's comments included:

- *If essential services are fulfilled, communities will develop and train;*
- *Infrastructure is the backbone of economic activity; and*
- *Good infrastructure brings growth and development.*

### **5.5.3 Community Dynamics**

In terms of community leadership it is evident that funders believe them to be fairly representative of the communities. Explanations given for their response were that after elections they tend to become less representative as well as serving their own interests, the rest of the respondents (43%) regarded them as crucial and stated that without community leaders projects would fail.

The lack of transparency during the election of these community leaders received a varied response but 40% responded that it was not transparent at all and 40% that there was an average level of transparency. The following reasons were cited for their responses:

- *It can work if democratic principles were applied;*
- *Political affiliation does cause problems;*
- *There is no transparency; and*

- *Result can vary from one community to another.*

The majority of the responses (71.4%) indicated that the interest groups within any singular community were very diverse. Comments included that different grouping within one community had different needs as well as the existence of power struggles within different political groupings. This diversity was rated to be very problematic to the delivery process according to 42.9% of the respondents. The following comments were given as explanation to their responses:

- *Smaller groupings can derail the project;*
- *Some groups have self serving interests and do not see the project holistically;*
- *This diversity retards the delivery process; and*
- *Smaller groups can however identify a need and rally this cause.*

#### **5.5.4 Procurement**

The majority of the respondents (60%) reported that they had an average understanding of procurement and procurement processes.

Further, with respect to whether communities understood procurement 60% opined that communities had an average understanding and 40% that they had no understanding at all. Comments in explanation to their responses were:

- *People were not interested in process only outcomes;*
- *Capacity building is needed for communities; and*
- *Communities did not understand.*

Advice from consultants to communities on selecting appropriate procurement systems was regarded as necessary and extremely important according to 80% of respondents. The majority of respondents reported that such advice could prevent problems at later stages.

From Table 5.9 it is evident that communities did not always obtain advice from consultants to empower them to distinguish between different arrangements or systems available during the procurement of development projects.

**Table 5.9 Communities on procurement systems**

Community involvement	Seldom (%)	Sometimes (%)	Always (%)
How often is advice given to communities	20.0	40.0	40.0
To what extent are disadvantages and advantages of alternative procurement systems discussed with communities	33.3	66.7	
Extent of community involvement in selection of procurement system	33.3	66.7	

### 5.5.5 Community participation

The results in Table 5.10 indicate the frequency with which communities were involved at different stages of the project. It is evident that the project brief stage was where communities were most involved.

**Table 5.10 Community involvement at different stages of projects (ranked according to mean)**

Stage	Never (%)	Seldom	Sometimes (%)	Often (%)	Always (%)	Mean	Std Dev
Project brief	-	-	-	33.3	66.7	4.7	0.577
Handing over	-		-	100.0	-	4.0	0.000
Contract	-	100.0	-	-	-	2.0	0.000
Tender documentation	66.7	-	33.3	-	-	1.7	1.154
Contract documentation	66.7	-	33.3	-	-	1.3	0.577

### 5.5.6 Affirmative Procurement Policy

With respect to the Affirmative Procurement Policy responses ranged from understanding the policy extremely well (40%) to not very well (40%). The respondents reported that they had to understand the policy in their capacity as funders.

The findings in Table 5.11 reflect on the importance of different criteria on the success of a project. It is evident that community participation ranked the highest in order of importance.



**Table 5.11 Importance of criteria on success of projects**

Criteria	Not at all	Not very	Average (%)	Very (%)	Extremely (%)	Mean	Std Dev
Community Participation	-	-	-	-	100.0	5.0	0.000
Capacity building	-	-	-	60.0	40.0	4.4	0.548
Usefulness to end user	-	-	-	60.0	40.0	4.4	0.548
Completion on time	-	-	60.0	40.0	-	3.4	0.548
Completion to quality	-	40.0	20.0	40.0	-	3.0	1.000
Completion to budget	40.0	-	20.0	40.0	-	2.0	1.516

With respect to justification of the findings in Table 5.11 selective comments include:

- Community participation: *Delivery process needs to be communicated  
No buy in will result in no project*
- Completion on time: *Time delays affect cost  
No community participation results in vandalism which cause time delays*
- Completion in budget: *No financial allowances should be made  
If there are no time delays can result in meeting budget*
- Completion to quality: *If good quality project will last  
Important for project success  
Local authority should do quality check*
- Capacity building: *A good legacy to leave behind after project completed  
Creates a more informed and empowered community*
- Usefulness to end user: *If the end user takes ownership it can guarantee use  
If the product is useful people will attach value to it*

The respondents felt that the implementation of APP had an average effect on the community development projects, with the rest (40%) stating that it was very effective. They responded with the following comments:

- *There can be no development without community participation*
- *Poor structures are in place*
- *Communities are unaware of this policy*

When asked about the necessity for community participation in development projects, the majority responded that it was extremely important (60%). All the respondents felt that buy in from communities was necessary for the project to be successful.

The response on whether Community Participation had increased the project cost indicated that 80% of respondents felt there was an average increase in costs. Responses on how Community Participation had benefited projects included:

- *Informed communities leads to transparency, understanding and co operation;*
- *There will be a sense of ownership and capacity building to meet the needs of communities better; and*
- *There will be less vandalism, better use of facilities.*

In contrast 80% of the respondents answered that sometimes the benefits outweighed the cost of community participation. This response was motivated with comments like *the value of the investment can only be seen in the long term.*

General comments made were that *it was very important to inform the local communities of development in their area as well as ensuring that the process of delivery was transparent.*

## **5.6 Facilitators**

### **5.6.1 Demographics**

The respondents hold decision-making positions within their companies. Of the respondents 60% have been in their positions for less than 6 years. The rest ranged between 6 years and 17 years. Their area of operation within the South African region was as follows:

Western Cape:

- 60% worked exclusively (100%) in this region
- 27% focussed between 90 and 70 % of their activities in this region; and
- 13% did not operate in this region.

Their role within the development area was strictly in their capacity as Facilitators. Their years of experience within the field of community development ranged between 1 and 20 years with approximately 80 % having less than 7 years experience and the rest between 7 years and 20 years.

### 5.6.2 Development

The respondents reported that they were fairly representative of the beneficiary communities as they performed the function of facilitator and this had been their historical role. The overwhelming majority (86.7%) reported that they regarded the delivery of infrastructure as community development projects. Reasons for their response given were: *The improvement of physical and social conditions of communities. Physical infrastructure could be used for development. Infrastructure was a catalyst for development.*

All respondents reported that effective infrastructure delivery to communities was a need and that infrastructure was essential to the growth and development of communities. Reasons given for the effective delivery were:

- *Improves physical and social conditions*
- *Ownership by communities from planning stage*
- *Greater need for infrastructure*
- *If the facility was goods there would be less maintenance cost*
- *Good infrastructure potentially improved economic activity*
- *There is a lack of delivery of infrastructure in disadvantaged communities*

### 5.6.3 Community Dynamics

Of the respondents 86.7% responded that there was average representation by community leaders. Reasons cited for their response were:

- *If democratic principles are applied there should be more representation;*
- *Political affiliation is popularised;*
- *There is no transparency;*
- *Results vary from one community to another; and*

- *Leaders are selected and not elected.*

The majority of the responses (60%) indicated that the interest groups within any singular community were evidently very diverse. Responses indicated that different grouping within one community had different needs. Further it is felt that there existed power struggles within different political groupings. This diversity it was felt did not present a problem to the delivery process. Various comments to substantiate their response were:

- *The process is not as problematic as who is seen to be delivering;*
- *Smaller groups can derail the project;*
- *If project is phased in it can prevent sabotage by smaller groups;*
- *There is some in-fighting between groups;*
- *Small groups can identify a need and rally their cause;*

#### **5.6.4 Procurement**

40% of respondents indicated that they did not have a very good understanding of the term procurement, with the rest varying between having an average to extremely good understanding. The responses were justified with the following comments:

- *The definition is problematic*
- *The term becomes more pronounced in the public policy*
- *The emphasis is always on keeping costs down*

Further, with respect to whether communities understood procurement opinions were equally divided between communities not having a good understanding and having an understanding. Their explanations were that:

- *People were not interested in processes only outcomes*
- *Capacity building is needed for communities*
- *Communities had a different idea of projects than consultants*
- *Communities demand to be involved*

Advice from consultants to communities about selecting appropriate procurement systems was regarded as necessary, and very important. Respondents reported that such advice could prevent problems at later stages. They further added that consultants needed to be more sensitive to the needs of communities and that advice should not be given after input is required. Also some respondents felt that professionals were not the experts in community projects.

From Table 5.12 it is evident that communities did not always obtain advice from consultants to empower them to distinguish between different arrangements or systems available during the procurement of development projects.

**Table 5.12 Communities on procurement systems**

Community involvement	Seldom (%)	Sometimes (%)	Often (%)	Always
How often is advice given to communities	33.3	53.3	-	13.3
To what extent are disadvantages and advantages of alternative procurement systems discussed with communities	33.3	40.0	13.3	13.3
Extent of community involvement in selection of procurement system	46.7	13.3		40.0

### 5.6.5 Community participation

The results in Table 5.13 indicate the frequency with which communities were involved at different stages of the project. Clearly the facilitators felt that in their experience the communities were mostly involved during the project brief stage.

**Table 5.13 Community involvement at different stages of projects (ranked according to mean)**

Stage	Never (%)	Seldom	Sometimes (%)	Often (%)	Always (%)	Mean	Std Dev
Project brief	-	-	-	-	100.0	5.0	0.000
Handing over	-	-	-	40.0	60.0	4.6	0.507
Contract	-	-	26.7	20.0	53.3	4.3	0.884
Tender documentation	-	-	26.7	33.3	40.0	4.1	.0834
Contract documentation	-	13.3	26.7	20.0	40.0	3.9	1.125

### 5.6.6 Affirmative Procurement Policy

The response with regard to the affirmative procurement policy showed 13.3% not having a good understanding to 40% having a very good understanding. Their comments were as follows:

- *They were involved in the compilation of reports*
- *They work with it often*
- *They do not understand it and are not familiar with it*
- *The policy must be applied effectively*

The findings in Table 5.14 reflect on the importance of different criteria on the success of a project. The results show conclusively that community participation and usefulness to end user were rated as the most important criteria to project success.

**Table 5.14 Importance of criteria on success of projects**

Criteria	Not very	Average (%)	Very (%)	Extremely (%)	Mean	Std Dev
Community Participation	-	-	13.3	86.7	4.9	0.352
Usefulness to end user		-	13.3	86.7	4.9	0.352
Completion to quality	-	-	53.3	46.7	4.5	0.516
Capacity building	-	-	46.7	53.3	4.5	0.516
Completion to budget	-	13.3	53.3	33.3	4.2	0.676
Completion on time	13.3	26.7	33.3	26.7	3.7	1.033

With respect to justification of the findings in Table 5.14 selective comments include:

- **Community participation:** *Sustainability relies on customer satisfaction  
Delivery process needs to be communicated  
No buy in from communities will result in no project*
- **Completion on time:** *Deadlines must be adhered to  
Delays can be cause by client and communities  
Time delays will affect cost  
Community participation can be neglected  
The process is as important as the product*
- **Completion in budget:** *Transparency in financial control important  
No financial allowances should be made  
If there are no time delays project should be within budget*

- Completion to quality: *Project belongs to community  
If good quality product will last  
Important for project success  
Community participation can be neglected  
With community participation quality may suffer*
- Capacity building: *Good legacy of any development  
Creates more informed and empowered community*
- Usefulness to end user: *Should be part of any community development project  
End-user take ownership – can guarantee use and care  
If a product is useful the community will attach value to it  
If it is not useful the project has failed*

The majority of respondents (61.5%) felt that the implementation of APP had not been effective in addressing the lack of community participation in development projects. The respondents felt that there was no mechanism to evaluate the application of this policy and that the communities were unaware of such policy. It can be seen from the findings however that the opinions were similar on the importance of Community Participation within the development framework. Comments included that it was essential for communities to be part of the different stages of projects and they needed to assess their own needs.

On average 76% of respondents felt that community participation did not increase the cost of projects. Responses on how Community Participation had benefited projects included:

- *An informed community will lead to better understanding and co operation*
- *There will be a sense of ownership and capacity building with skills transfer*
- *Communities will be able to prioritise needs*

In contrast the response to the questions as to whether the benefits outweighed the cost of community participation resulted in 38.5% answering that it never did and the rest reporting between seldom to always.

Additional general comments made were that:

- *There should be a budget for community participation*
- *There is no link between affirmative procurement and community participation*
- *The value is only noticeable long term*

- *Affirmative procurement should not affect performance requirements*

## 5.7 Consultants

### 5.7.1 Demographics

The majority of respondents hold decision-making positions within their companies and of them 50% had been in their positions less than 4 years and the rest between 4 and 24 years. Their area of operation within the South African region was as follows:

Western Cape:

- 56% worked exclusively (100%) in this region
- 22,2% focussed 60% of their activities in this region; and
- 40.0% focussed 40% of their activities in this region.

Their role within the development area was strictly in their capacity as consultants. Their years of experience ranged between 5 and 30 years with 44.4 % having less than 5 years experience and the rest between 5 years and 30 years.

### 5.7.2 Development

The response in terms of their representativeness of communities was equally divided between not very representative and having an average level of representativeness. Their representativeness stems from a historical role as well as the fact that they were consultants. All respondents indicated that the delivery of infrastructure was community development projects. Reasons for their response given related to improvement of physical and social conditions of communities, and those physical assets were used for development.

All respondents reported that effective infrastructure delivery to communities was a need and that infrastructure was essential to the growth and development of communities. Reasons given for the effective delivery were:

- *There is a large backlog of infrastructure which exists;*
- *Good infrastructure potentially improved economic activity;*
- *There is a large backlog of delivery of infrastructure.*



Relative to the role of infrastructure in growth all respondents reported that these essential services is very important to the growth and development of economies. Their motivation for their agreement was:

- *Essential services leads to healthier living environment*
- *If essential services are fulfilled people will develop*
- *Infrastructure is the backbone of economic activity*
- *Good infrastructure brings growth and development*

### 5.7.3 Community Dynamics

Respondents felt that community leaders displayed an average representativeness of their respective communities. Reasons cited were:

- *After elections the leaders become less representative*
- *Leaders do not give effective feedback*
- *Interest groups serve their own self-interests.*
- *Leaders have biases to political groups*
- *Leaders lack expertise of leadership*

The majority of respondents (77.8%) felt that the process of electing community leaders was not very democratic or transparent. Reasons given were:

- *The results were not accurate*
- *Results are from mass meetings*
- *Political affiliations*
- *No transparency*
- *People with resources get elected*

It seems that consultants felt there was not much diversity within communities (56% stating there was an average level of diversity). They reflected that communities had very focussed needs. In contrast the consultants clearly indicated that this diversity within communities was extremely problematic to the delivery process. Political differences, in fighting between groups and self-

interest being served before the needs of communities were the motivating reasons for the response given.

#### 5.7.4 Procurement

The responses were equally divided between an average, very good and extremely good understanding of the term procurement and procurement processes. A reason for the average understanding related to the changing nature of procurement.

Further, with respect to whether communities understood procurement all respondents felt that they did not have a very good understanding. Responses were:

- *The process was prescriptive and inflexible*
- *Only project experience can improve understanding*
- *Capacity building is needed for communities*
- *Communities have different views of projects than consultants*

33.3% of respondents felt that professional advice to communities was not very essential when selecting appropriate procurement while the rest agreed that it was essential. Some respondents felt that communities' influence cost and delivery of projects, they should advise communities after they have given their opinions.

From Table 5.15 it is evident that many of respondents felt that communities did not always obtain advice from consultants to empower them to distinguish between different arrangements or systems available during the procurement of development projects. The results in the table however reflects a large number of respondents with the opinion that communities were always involved in the selection of procurement systems and that advice was given to communities. This result would be a testimony to themselves as consultants fulfilling their role in terms of involving communities. From the previous results from other stakeholders the results obtained differed greatly.

**Table 5.15 Communities on procurement systems**

Community involvement	Seldom (%)	Sometimes (%)	Often (%)	Always
How often is advice given to communities	22.2	22.2	22.2	33.3
To what extent are disadvantages and advantages of alternative procurement systems discussed with communities	22.2	22.2	22.2	33.3
Extent of community involvement in selection of procurement system	14.3	28.6	14.3	42.9

### 5.7.5 Community participation

The results in Table 5.16 indicate the frequency with which communities were involved at different stages of the project. From their experience consultants felt that communities were mostly involved during the project brief stage and handing over stage. This result seems to be held by most respondents.

**Table 5.16 Community involvement at different stages of projects (ranked according to mean)**

Stage	Never (%)	Seldom	Sometimes (%)	Often (%)	Always (%)	Mean	Std Dev
Project brief	-	-	-	33.3	66.7	4.7	0.500
Handing over	-	-	-	33.3	66.7	4.7	0.500
Contract	-	11.1	11.1	22.2	55.6	4.2	1.093
Tender documentation	-	33.3	11.1	22.2	33.3	3.6	1.333
Contract documentation	-	44.4	22.2	-	33.3	3.2	1.394

### 5.7.6 Affirmative Procurement Policy

With respect to the Affirmative Procurement Policy, 44.4% of respondents understood the affirmative procurement policy extremely well, with 33.3% not understanding it at all. The respondents reported that they needed to apply this policy affectively in their capacity as consultants and therefore had to understand the policy.

The findings in Table 5.17 reflect on the importance of different criteria on the success of a project. The consultants showed that usefulness of facility to the end user ranked the highest in

order of importance. Community participation and capacity building were ranked next in importance.

**Table 5.17 Importance of criteria on success of projects**

Criteria	No very	Average (%)	Very (%)	Extremely (%)	Mean	Std Dev
Usefulness to end user	-	-	22.2	77.8	4.8	0.488
Community Participation	-	-	33.3	66.7	4.7	0.500
Capacity building	-	-	28.6	71.4	4.7	0.488
Completion on time	-	11.1	44.4	44.4	4.3	0.707
Completion to budget	-	11.1	44.4	44.4	4.3	0.707
Completion to quality	22.2	22.2	11.1	44.4	3.8	1.302

With respect to justification of the findings in Table 5.17 selective comments include:

- Community participation: *Economic growth is encouraged  
No buy in from community will result in no project  
The delivery process needs to be communicated*
- Completion on time: *Deadlines agreed upon must be adhered to  
Delays caused by clients and communities  
Time delays will affect cost  
Lack of community participation leads to vandalism, which causes time delay*
- Completion in budget: *Financial transparency and control important  
If there are no time delays projects will be efficient  
Delays caused by client and communities*
- Completion to quality: *Important for success  
Projects belongs to communities  
If good quality product will last*
- Capacity building: *Good legacy of any development  
Should be a by product of development  
Creates more informed and empowered community*
- Usefulness to end user: *It is necessary and should be part of any community development project  
If the end user takes ownership it can guarantee use and care  
If the product is useful they will attach value to it*

Once again response was varied on whether the implementation of AP policy has been effective in addressing the lack of community participation in development projects. Response ranged from not very (22.2%) to average (44.4%) to very (33.3%). Comments included:

- *Community participation is sacrificed due to time constraints*
- *APP not linked to community facilitation*
- *There can be no development without community participation*
- *Community is unaware of this policy*
- *Previously disadvantaged communities benefit*

When asked about the necessity for community participation in development projects, the majority responded that it was extremely important (66.7%). Their motivation for this importance was: *If there was no buy-in from communities there would be no project and it was essential that communities were involved in all stages and assesses their own needs.*

Ways in which community participation benefited communities and projects received the following responses:

- *Informed communities leads to understanding and cooperation*
- *There should be a sense of ownership and capacity building*
- *Less vandalism and better use of facilities*
- *Skills transfer can occur*

The majority of respondents agreed that the benefits of community participation far outweighed the cost of community participation. They felt it could provide a sense of ownership to the communities as well as a high level of skills transferral.

Additional general comments made were:

- *It was very important to inform local residents of developments*
- *Culture of communities very important*
- *Sustainability of projects are improved*
- *Process must be seen to be transparent*

## **5.8 Interviews**

Interviews were conducted with communities of Khayelitsha and Gugulethu. The respondents were all recipients of low cost houses.

A list of questions in Appendix C was developed in a simplistic and understandable manner to ensure that respondents found it easy to understand. The researcher made a random selection of community members who lived in a geographical area of 5km. The researcher tried to select every second home but this proved to be problematic as some residents were not at home. There was a general lack of randomness in the selection as interviews were done with residents who were home and agreed to be interviewed. The interviewer felt at certain times explanations were needed to clarify to respondents any questions as language proved to be a hindrance to their understanding.

### **5.8.1. Responses from interviews**

The respondents identified that community participation to them was about communities uniting and getting involved in projects to fulfil their goals. These projects would make a difference in the community and improve their lives.

The community felt that they should participate in housing construction in order to contribute to self-improvement and to meet their own needs. Some of them however felt that the Department of Housing (DoH) was not delivering housing as they promised the people and therefore they felt that communities should not participate.

Respondents explained that the community should come together and engage in dialogue with other communities who had developed a clear consensus of what the needs and demands are. They felt they should be engaged in training programmes to empower themselves to make informed decisions about their own development. A minority felt that the community should contribute financially and physically to building houses in order to work hand in hand with the government to address poverty issues.

Respondents indicated that the community often became involved only in the early stages of the projects, and seldom became involved in the construction stage. This result is clearly reflected in the questionnaire survey which showed that communities were only involved at the briefing and

handing over stages of a project. Some of the respondents indicated that the community did not become involved at all.

The respondents felt that the community should be able to address their views, priorities and opinions and be part of the process in order to meet the needs of their communities. During the planning stage, various skill resources relevant to the project, such as bricklayers, plumbers and managers, should be identified from amongst the community. Placing people at the centre of planning and decision-making is a strategy to convince people that the project was designed for the community. A minority of the respondents felt that the community should only accept the government's offer and not be involved in the decision-making.

Interviewees felt that community participation could assist in job creation; however some felt that communities did not have the skills needed to participate in the construction process.

Of respondents, 70% indicated that community participation had an impact on the quality of the houses. They felt that the lack of contribution from the community with regard to critical activities such as site layout, design and materials and even the physical involvement could affect the quality negatively. They felt if they were involved the quality would improve. If this did not happen the communities were forced to accept the poor quality of houses being provided.

The majority felt that the use of community organisations was an essential way of ensuring more effective participation. Only 25% of respondents felt that the relationship between communities and government should be improved and be much closer than what it is at present.

Respondents emphasised that the community leaders are driving all projects and that projects would not start without them. Of the respondents, 40% indicated that the community leaders were not representative at all because they serve their own interest and the interest of their families. They felt that most times projects were not started or completed if the community leaders did not play an active role in the process.

## **5.9 Chapter Summary**

This chapter has presented the findings from the questionnaire and interview survey used. These findings will be analysed in chapter 7. From the interviews with community members, it can be seen that even though they had a high illiteracy rate, they understood the process of participation. However the majority clearly showed that participation meant involvement with the physical construction. Communities also highlighted that non-delivery is a bigger problem than non-participation. Whether these two aspects can be separated should be looked at.



## **CHAPTER 6**

### **CASE STUDY ANALYSED**

#### **6.1 Introduction**

As case study type data collection is in-depth, they are more likely to encounter commercially sensitive issues. Hence, extra care was necessary to ensure confidentiality.

Various case studies were reviewed and carefully examined for the best fit to the research project. The case studies have been gathered from literature reviewed and interviews done with stakeholders. The selection of the case study was biased in that it was selected at the discretion of the researcher who determined the relevance according to the research objectives and problem statement and hypotheses, considering the constraints of time, finance and accessibility to the researcher.

#### **6.2 Case study: Improvement on the Joe Slovo Settlement**

##### **6.2.1 Background**

The Joe Slovo Informal Settlement in Langa is centrally situated within the boundaries of the City of Cape Town, close to major road and rail transport routes. The settlement is located approximately 10km from the City's central business district, making it a very attractive place to stay for thousands of people. It is one of Cape Town's largest informal settlements with very high-density dwellings.

Langa is one of the oldest townships in Cape Town. It grew slowly until the early 1990s; by which time its population of around 60 000 could no longer be accommodated within the properly developed township. Hostels located along the eastern area of Langa became overcrowded. Informal dwellings initially started growing within road reserves and in backyards, but with the relaxation of national migration controls, widespread migration resulted in population explosion, which led to the occupation of vacant land located along the eastern side of the township between Vanguard Drive and Langa. This was followed by the occupation of additional vacant land to the south of the township. The overall growth of the settlement is shown in Table 6.1, which reflects the informal dwelling count and densities at different stages.

**Table 6.1: Growth of the Settlement**

	Jan 1993	May 1996	May 1998	Sep 2000	Apr 2002
Dwelling count	0	1195	2153	4187	4571
Average density (in dwellings/ha) – (internal tracks included)	N/A	105	93	143	155

The spread out of informal settlement within the open areas to the east and south of Langa kept clear of the electrical servitudes which protected overhead high-voltage power lines, but soon spread into these servitudes and the road reserve along Vanguard Drive to the east. A few unsuccessful attempts were made in the mid-1990s to clear the servitudes of informal settlements.

The use of open flames for cooking, heating and lighting, together with strong winds and very high settlement densities has been and still is the cause of regular runaway fires often destroying large numbers of informal dwellings. This risk was exacerbated in Langa by the very real potential of flashdowns induced by fires under the high-voltage overhead power lines. Any such flashdowns, besides the obvious risk to life and property could, and did, result in large-scale power outage with huge financial implications, especially to industry as well as possible damage to the overhead electrical services. Poor access to the area and the lack of nearby fire hydrants further worsened the situation.

Due to a lack of access to the settlement, only very basic services, in the form of 15 standpipes, 300 container-type toilets and a basic cleansing service were operational in the area prior to implementation of the project to be reviewed. The lack of provision of basic services had resulted in poor health conditions.

An open, unlined storm water channel, draining the southern area of the formally developed portion of Langa, traversed the settlement. The channel was heavily polluted which added the unacceptable health conditioned in the settlement. Council authorized the draining of this channel during July 2000. Basic electrification of the settlement was also about to start, but relocation of dwellings to allow access by electrical contractors was proving highly problematic.

With the award of the storm water contract and the imminent electrification of the settlement, this project was initiated to co-ordinate these activities through one project office which was duly established.

### **6.2.2 Procurement Policy**

The Department of Public Works, was committed to the implementation of public works programmes to provide relief and temporary livelihood support to threatened communities during times of disaster. This was done through maintaining the local economy by bringing funds into the area, preventing the involuntary sale of household and productive assets, and rebuilding infrastructure and building work that reduces exposure to disaster.

### **6.2.3 Scope of the Project**

The project included total reconfiguration of the settlement; clearing of informal dwellings illegally located beneath high-voltage overhead electrical power lines; installation of tracks which double as firebreaks; provision of an improved water supply with fire hydrants; electrification of the settlement; establishment of a residents' database; improvements to a basic sanitation and cleansing service and the greening of electricity servitude areas.

The overall scope of the project could be summarized as follows:

- Managing the relocation of informal settlements that had to be moved to accommodate storm water and electrical works;
- The reconfiguration of the settlement to include access tracks which are to double as firebreaks;
- The clearing, as far as possible, of the electricity servitudes and finding a sustainable solution to the reoccupation of these areas;
- The improvement of the rudimentary water supply, sanitation and cleansing services;
- Dealing with the effects of the major fire of November 2000;
- The setting up of a resident's database; and
- Improvement of health conditions.

#### **6.2.4 Community Participation**

It was realized from the outset that a multi-disciplinary approach with proper and extensive consultation and involvement of the many role players would be necessary to ensure the success of the project. Role players were identified as follows:

- The elected ward councillor responsible in the project areas.
- Various Council service branches including Disaster Management, Fire and Emergency Services, Planning and Development, Roads and Stormwater, Water and Waste, Electricity Services, Community Services and Housing;
- Community organizations including SANCO, the Langa Development Forum and Tsoga Environmental Resource Centre; and
- Electricity Supply Commission (ESKOM).

Ongoing consultation with all role players was a principal factor of the project. This was achieved through:

- Formal reports to Council's Executive Committee;
- Monthly technical level management meetings primarily with Council officials; and
- Monthly meetings with community leaders and the ward councillor.

This stakeholder process was further strengthened through the holding of public meetings at least once a month or prior to any new stage in the process. The meetings were held in the local community hall. Once general agreement had been reached with the beneficiary communities regarding the implementation detail, jointly prepared leaflets containing these details were prepared and distributed on a house-to-house basis both within Joe Slovo and to the nearby communities in Langa.

The consultation process was generally very successful. The greatest problem experienced was the lack of involvement and supports from the adjacent more upmarket, established area of Langa, referred to as Settlers Way. Many of these residents did not support the existence of the adjacent informal settlement because of the perceived related unhealthy conditions, potential increase in crime and the depreciation of the values of their properties.

A resident database was established to record the exact positions of dwellings by making use of Global Positioning System (GPS) technology and aerial photography. This information was used for the management of the settlement and included:

- Monitoring of the settlement to control unplanned growth;
- Maintenance and emergency operations;
- Identification of beneficiaries for any future housing development projects;
- Identification of bona fide victims in fire, flooding or other emergency situations; and
- Facilitation of the provision of a postal service

### **6.2.5 The Project and its Outcomes**

The project concept predicted the setting up of blocks of approximately 60 informal dwellings which would be bounded by hardened 5,0m wide access tracks within an 8,0m reserve, all of which would in turn double as firebreaks. Services would then be laid within the firebreak reserves. A very flat landscape and the fact that the settlement is located on unshaped ground with many wrinkles resulted in several storm water drainage problems. The most important of these are summarized below:

- Due to the temporary status of the settlement, it was decided to only provide surface drainage within the settlement;
- In certain areas, the design of the tracks could only achieve longitudinal grades of 0, 5% which, coupled with underlying clay ground conditions, led to poor drainage and the forming of potholes;
- A large percentage of informal dwellings had been constructed with floor levels below ground level, resulting in ground water penetrating dwellings. In some of the very flat areas, imported sand was provided next to the tracks at the request of the residents so that they could raise the floor levels of their dwellings. Unfortunately, many residents of dwellings located close to the tracks laid claim to the sand and raised the level of the ground outside their dwellings, thereby cutting off the free drainage of the area with resultant flooding of the internally located dwellings. Stolen roadwork material was also used for this purpose, which worsened the situation.
- The track design in some cases allowed for a conventional chamber while in other instances a centrally dished design was opted for. In both instances residents digging drainage across the tracks accomplished the free flow of water in a number of places.

### **6.2.6 Achievements and lessons learnt**

The goals of the project had been met and the following lessons learnt:

- Extensive community consultation is vital to the success of projects of this nature.
- Prior to permitting the re-occupation of vacated land, bulk earthworks must be undertaken to ensure free drainage of sites.
- With flat, longitudinal track gradients, the inverted camber design option should not be used.

- Adequate provision needs to be made on operating budgets to cover maintenance implications.
- A reliable residents' database was only possible with community co-ownership and should be based on a real need for both parties.
- Overhead electrical house connections proved to be most effective in regard to operational considerations.

The works undertaken had greatly reduced the fire risk to the settlement, improved the levels of service delivery and access to the settlement. Community participation seemed to have been crucial to this project success.

### **6.3 Chapter Summary**

The case studies investigated and documented how community participation improved the effectiveness of the project. This project involved a structure, which allowed communities full access to the process. The stakeholders ensured that processes were in place during the project to allow for community involvement in some level. However one should not make the mistake of thinking the project was without problems. This community had a huge problem with vandalism and professional consultants advised government that this problem needed to be addressed through education and training. Facilities, which were provided to communities needed to be maintained and the incidences of vandalism contributed to the increases in maintenance costs and subsequent lack thereof from government.

## **CHAPTER 7**

### **ANALYSIS AND SYNTHESIS OF FINDINGS**

#### **7.1 Introduction**

Chapter 5 and 6 detailed the findings from questionnaire surveys and interviews done and the case study reviewed. The stakeholders who contributed to the questionnaire survey had in most cases clearly defined roles relative to community development projects. The interviews were with community members from beneficiary communities who were the end users of the facilities produced by these projects.

This chapter discusses the findings of the previous chapters and relates it to the literature reviewed. The chapter is subdivided into the following sections:

- Importance of Community Development Projects
- Community Dynamics
- Project delivery / procurement
- Community Participation

#### **7.2 Importance of community development projects**

Infrastructure was earlier defined as necessary for the development of communities and identified as essential for growth and economic development contributing directly to the socio-economic welfare of beneficiary communities. Infrastructure was further identified as being the key to poverty reduction and alleviation in developing countries. Accordingly infrastructural services such as communications, power, transportation, provision of water and sanitation are central to both the activities of households and the economic production of a nation (Khosa, 1999; DBSA, 1998; Lanjouw, 1995; Abrahams and Goldblatt, 1997; The World Bank, 1995).

The case study reviewed highlighted the importance of infrastructure to the safety of communities. The layout and density of the settlement had been the root cause of several devastating fires in the settlement. However, it was noted that the project only reactively received priority status after the effect of the fires was evident.

The results in Table 7.1 indicate that all project stakeholders regard the effective delivery of infrastructure as important and necessary. This is evidenced by the average mean of 4.94, where a mean of 5 would rank as most important.

**Table 7.1 The need for effective delivery of infrastructure**

Stakeholders	Mean	Standard Deviation
Funders	5.0	0.000
Government	5.0	0.000
Consultant	5.0	0.000
Facilitators	4.9	0.352
Contractor	4.8	0.441
<b>Overall mean</b>	<b>4.94</b>	

Similarly all stakeholders regarded infrastructure as essential to growth and development of communities as evidenced in Table 7.2. This result is reflected in an average mean of 4.88 where a mean of 5 reflects the most essential.

**Table 7.2 How essential is infrastructure for growth and development**

Stakeholders	Mean	Standard Deviation
Funders	5.0	0.000
Government	5.0	0.000
Consultant	5.0	0.000
Contractor	4.8	0.441
Facilitators	4.6	0.508
<b>Overall Mean</b>	<b>4.88</b>	

### 7.3 Community Dynamics

From the case study it is evident that community leadership played an important role in the project. The beneficiary community was generally satisfied with their community leaders level of representation during the course of the project as there was continuous feedback and clear evidence to them that the project would achieve the desired outputs.

The literature suggests however that it is common for practitioners to assume that everyone in a community is participating, and that development will serve the needs of everyone. The appearance of external solidarity though may mask internal differentiation. Understanding these internal differences is crucial. Different livelihood strategies imply different isolated local knowledge systems, and those who assume that communities are homogenous easily miss these. In some cases non-participation is explained through the



views that participation of all or some of the beneficiaries might not be in the political interest of other actors in the project (Pretty and Scoones, 1995). Comments by facilitators in the questionnaire survey identified political diversity as a major barrier to effective community representation.

A major theme of studies being conducted in developing countries centers on the conflict between the government and the diversity of the community. The focus has been upon how communities mobilize themselves to resist the imposition of government policy from above. This is particular true when government decisions involve the physical restructuring of a community for example as in the case of free ways or urban renewals. It can also occur when the government policy is going to affect the quality of the service of delivery. As a result, much of the conceptual trust over the past two decades has been devoted to developing models that involve greatest community in and protection against the process of government and private development in the cities (Yeung and McGee, 1986).

The main focus is the provision of economically sustainable assets that enhance local economic activity. This should be coupled with a community-based approach, aimed at empowering local communities and enhancing sustainability and maintenance. Programmes should also aim to build and develop local leadership through full participation in the programme, training and other capacity building measures. Capacity building targets local leaders in communities and in local government (Khosa, 2000(c)).

From Table 7.3 it is evident that funders regarded themselves as being very representative of beneficiary communities. On the other hand government had the least representativity. Considering that government is elected by the people to represent them it is concerning that their representativity is ranked so low (1.3). Facilitators were also stakeholders who worked closely with communities and one would have expected them to have a higher ranking of representativity.

**Table 7.3 Representativeness by Stakeholders of beneficiary communities**

Stakeholders	Mean	Standard Deviation
Funders	4.3	1.112
Facilitators	3.8	0.832
Consultants	3.6	1.330
Contractors	2.0	0.000
Government	1.3	0.577

Community leaders according to all stakeholders as per Table 7.4 were not rated as being strongly representative of their communities. Means ranged between 3.4 in the case of funders and 2.9 in the case of facilitators and contractors. This finding is of concern given that they should represent the interest of beneficiary communities who elected them as community leaders.

Despite the low level of representativity of community leaders in this study they had been clearly identified in the literature as a necessary component to the success of community projects.

**Table 7.4 Community Dynamics**

Issues	Funders (Mean)	Cons (Mean)	Gov (Mean)	Fac (Mean)	Cont (Mean)
How representative are community leaders of their communities	3.4(1)	3.3(2)	3.3(2)	2.9(4)	2.9(4)
Transparent are the elections of these community leaders	2.4(4)	2.7(3)	3.0(1)	2.9(2)	2.3(5)
Diversity of communities	3.7(1)	3.7(1)	2.7(4)	3.5(3)	2.6(5)
Problematic is this diversity	3.1(4)	4.1(1)	3.3(3)	2.7(5)	3.7(2)

**Note: rankings according to stakeholders for each issue are indicated in parentheses**

The lack of representativity might be due to problems directly linked to the manner in which these leaders are elected suggested by the means of the responses of the stakeholders, namely 2.3 in the case of contractors and 3.0 in the case of government. According to one stakeholder "leaders are selected not elected."

South African townships have over decades been seriously degraded by structural inequality, neglect and civil unrest. There are massive, multi-sectoral needs ranging from

social infrastructure to education and employment generation. There are extreme limitations both on the resources available to meet these needs and on local capacity to pay for services. There is often a multiplicity of interest groupings, even at local level. There are very strong national and local pressures for the rapid delivery of service goods. In such situations participation can be expected to be anything other than smooth. There are signs that a number of the typical problems identified in international literature are emerging in South Africa, as participation becomes more common. The most significant of these are the negative effects of structural limitations to the scope of participation, inefficiency and the difficulty of identifying community leaders (Awotana *et al.* 1995; Carew-Reid *et al.* 1994).

Participation programs require effort and investment on the part of participants. All of these general issues are manifestly applicable to participation in South African townships. There are political risks of stimulating or aggravating conflicts between groups within communities; or having the process co-opted by community leaders. These risks can be minimised through good planning for participation, good management of the participation process and through maintaining independence from party politics. Adequate time, and a determination not to rush into producing a decrement or into taking precipitous actions, is required (Awotana *et al.* 1995; Carew-Reid *et al.* 1996).

Evidently communities have different groupings with different needs. Bringing these diverse groups together can be problematic to the participation process. A specific need common to all residents within a settlement has the potential to impact the smooth implementation of the project. The means of responses of stakeholders range between 2.6 in the case of contractors to 3.7 in the case of funders and consultants as indicated in Table 7.4.

This diversity appears to be problematic to the stakeholders considering the means of their responses evidenced in Table 7.4. The means ranged from 2.7 in the case of facilitators to 4.1 in the case of consultants. The consultants regarded this diversity as the

most problematic. From parties interviewed different groupings had the resources to motivate for a project to proceed even if it only served the interests of a few.

Vigorous efforts are required to identify all the interest groups in a community who may, for example, have a stake in a project, to establish the representatives of community leaders and to set up procedures, which make it possible for all groups to become involved when decisions are taken.

#### **7.4 Project Delivery / procurement**

The concerns of clients rest with the end product fulfilling their needs and requirements. Different clients have different needs. Consequently, it is necessary to ensure a satisfactory outcome to the implementation process, that these needs are identified and matched with the procurement system that will most likely satisfy those needs (Masterman, 1994; Franks, 1990).

Procurement in a development context should be concerned with the setting of fundamental development objectives for an emergent community such as is prevalent in South Africa. The evaluation of procurement systems should accordingly be on a basis, which is uniquely developmental in its orientation, while being particularly responsive to the specific needs and resource base of the location in which development occurs. Community empowerment and participation, job creation and economically and environmentally sustainable procurement processes are required to ensure the successful delivery of the completed facility (Taylor and Norval, 1994).

The policy used to give effect to the project needs to be clear to all participants. However, it would appear that in most cases communities rank the achievement of the end product much higher than the processes involved to achieve this product. This was evidenced from the case study as well as interviews with beneficiary community members.

Table 7.5 indicates that all stakeholders had a relatively good understanding of the term and processes of procurement within the construction industry with means all above 3.0. All stakeholders evidenced however that communities did not understand the term at all

with means ranging between 1.3 in the case of government and 2.8 in the case of contractors.

Traditionally various governments have utilised their public sector procurement capability to promote a wide range of socio-economic objectives not necessarily directly linked to the object or service being procured. One of the key strategies in reconstructing the South African economy was the significant focus on investment in physical and social infrastructure. This approach has resulted in the construction industry in South Africa being confronted with tremendous challenges in terms of increasing its capacity to deliver, attaining higher order efficiencies and addressing the skewed ownership pattern within the sector. As part of the overall strategy to transform the construction industry in South Africa, public sector construction procurement, was identified as one of the key instruments that could contribute to the realisation of specific socio-economic objectives and higher order efficiencies within the sector (DPW, 2000 (c)).

**Table 7.5 Procurement issues**

Issue	Funders (Mean)	Cons (Mean)	Gov (Mean)	Fac (Mean)	Cont (Mean)
Understanding the term procurement	3.4(3)	4.0(1)	3.3(4)	3.1(5)	4.0(1)
Communities understanding of procurement	2.2(3)	2.7(2)	1.3(5)	2.2(3)	2.8(1)
Understand Affirmative procurement policy	3.4(2)	3.2(3)	2.7(5)	3.0(4)	3.7(1)
Effective has APP been in achieving community participation	3.4(1)	3.1(2)	2.7(3)	2.5(4)	2.0(5)
Essential is professional advice on selection of procurement systems	4.0(1)	3.6(5)	4.0(1)	3.7(3)	3.7(3)
How often is advice given	3.6(2)	2.3(5)	2.7(4)	2.9(3)	3.7(1)
Extent that advantages and disadvantages of different procurement systems are discussed with communities	2.7(4)	3.7(1)	2.7(4)	3.1(2)	3.0(3)
Extent of community involvement in selection of procurement system	2.7(4)	3.9(1)	2.0(5)	3.3(2)	3.0(3)

**Note:** rankings according to stakeholders for each issue are indicated in parentheses

Targeted Procurement in a practical, pragmatic and measurable manner enabled government to achieve certain socio-economic objectives, as set out in the Reconstruction and Development Programme, through engineering and construction works contracts. It also enabled organs of State to operationalise policies in a targeted, transparent, visible and measurable manner when engaging in economic activity with the private sector, without compromising principles such as fairness, transparency, competition, cost efficiency and equitability (DPW, 2000 (b)). Targeted procurement enabled communities to participate in construction projects in a number of ways without having to necessarily create projects or special programmes as it has inherent strategies to ensure effective participation of the previously marginalised communities. The Affirmative procurement Policy is a product of the restructuring of the procurement system in South Africa and encompasses the principles of targeted procurement (Watermeyer, 2000).

The results in Table 7.5 indicate that most stakeholders have a good understanding of the Affirmative Procurement Policy (APP). Government responses (mean 2.7) indicated the lowest level of understanding which is concerning as this is a government policy. Reasons cited for their response were that their involvements were mostly in prioritisation of projects and not project implementation. This is contradictory to most of the literature, which advocates total commitment from all stakeholders as a requirement in the implementation of this policy. Table 7.5 however also evidenced that this policy has not been very affective to achieve community participation.

Studies conducted in the Southern Africa Development Community (SADC) construction industries, have found strong evidence to suggest that choice of delivery mechanism/or procurement systems have led to problems which have contributed to their poor performance. In the findings of a study on infrastructure development in SADC, the revision of tendering and procurement procedures was found to be a key factor to improving infrastructure delivery and development (Haupt, 1996 and Rwelamila, 1997).

Table 7.5 indicates that government and funders had the strongest opinion with a mean of 4.0 that professional advice on procurement system selection was essential to the communities. They supported this with comments that government relied on consultants to advice communities. Consultants had the lowest mean (3.6), for the necessity of professional advice to communities. This could prove to be indicative of the general attitude which consultants have towards communities and thus be a cause of the problems communities had with understanding the process of project delivery.

Construction professionals have been prone to adopting over-simplistic and paternalistic views of their clients especially in a community development context. The briefing process enabled construction professionals to understand the requirement of their clients. Where their clients were not sufficiently skilled in communicating their requirements effectively such as in the case of communities, it was expected of construction professionals to consult extensively with the community in order to draft a brief, which was unambiguous, complete, flexible and realistic (Green, 1996).

The frequency of this advice from consultants received a highest mean of 3.7 in the case of contractors and 2.3 in the case of consultants. In contrast to this the consultants had the highest ranking on how often advantages and disadvantages are explained to communities on the different procurement systems available. In the case of funders and government they had the lowest ranking with a mean of 2.7. Another result indicated in Table 7.5 highlighted that consultants had the highest ranking (mean = 3.9) in terms of communities being involved during the selection of procurement systems.

The literature advises that a lack of community participation in projects can be the result of professionals assuming the role of knowledgeable specialists who do not take users' views into account because users do not "know enough" to make decisions. However sometimes users themselves hand over their participatory rights to professionals. Consequently they save themselves time, energy and, in some instances even conflict. Communities did not know the full range of alternatives, which are open to them and participation, then means that creative and innovative solutions to problems are never considered. This is less a criticism of participation *per se*, however, than of a particular

style of participation in which professionals abrogate all responsibility and, in effect, approach participation as merely the need to ask people what they want (Eyben and Ladbury, 1995; Awotana *et al*, 1995)

## 7.5 Community Participation

Table 7.6 evidences the involvement of communities at various stages of a project. Participation in the construction and implementation stages of a project is now very common, involving the beneficiaries in contributing resources. In these instances participation is equated with co-operation and incorporation into predetermined activities. However this is only one stage in the development process. Community participation needs to be considered in decision – making, implementation and maintenance, and evaluating of successes and failures (Lane, 1995).

**Table 7.6 Community involvement at different stages of projects**

Stage	Contractors (Mean)	Government (Mean)	Funders (Mean)	Facilitators (Mean)	Consultants (Mean)
Project brief	4.3 (5)	4.7 (2)	4.7 (2)	5.0 (1)	4.7 (2)
Tender documentation	2.3 (4)	2.9 (3)	1.7 (5)	4.1 (1)	3.0 (2)
Contract documentation	2.3 (4)	2.7 (3)	1.3 (5)	3.9 (1)	3.2 (2)
Contract	3.7 (4)	4.0 (3)	2.0 (5)	4.3 (1)	4.2 (2)
Handing over	4.3 (3)	4.0 (4)	4.0 (5)	4.6 (2)	4.7 (1)

**Note: rankings according to stakeholders for each issue are indicated in parentheses**

There is a realisation that new emphasis and added responsibilities are being placed on professional consultants to involve local communities in the development process. The literature further suggests that during the briefing stage, most projects are rushed in order to get design approval as soon as possible. Consultants do not bear in mind that the briefing stage was the most important and yet least expensive stage (Taylor and Norval, 1994; Sawczuk, 1996).

The more a community makes inputs into and participates in projects, the more sustainable the development. Participation could range from community decision making



to hands on construction involvement. This could extend the life span of both the projects and the benefits received by the community. Apart from the fact that projects should be integrated into national socio-economic development programmes that are fully supported by borrowers and local authorities, they should involve also beneficiaries in project development and execution so that they take ownership and this ensures sustainability. The lack of effective community participation affects the sustainability of projects negatively (Khosa, 2000 (b)).

Table 7.7 evidences the opinions of respondents to the questionnaire on criteria for a successful project. The results highlight that community participation was ranked highest by all stakeholders except the consultants who ranked it as second to the criteria usefulness of product to end-user.

**Table 7.7 Importance of criteria on success of projects**

Criteria	Contractors (Mean)	Government (Mean)	Funders (Mean)	Facilitators (Mean)	Consultants (Mean)
Community Participation	4.7 (4) [1]	5.0 (1) [1]	5.0 (1) [1]	4.9 (3) [1]	4.7 (5) [2]
Completion on time	4.7 (1) [1]	3.3 (5) [6]	3.4 (4) [4]	3.7 (3) [6]	4.3 (2) [4]
Completion to budget	4.7 (1) [1]	4.7 (1) [2]	2.0 (5) [6]	4.2 (4) [5]	4.3 (3) [4]
Completion to quality	4.7 (1) [1]	4.7 (1) [2]	3.0 (5) [5]	4.5 (3) [3]	3.8 (4) [6]
Capacity building	4.0 (5) [6]	4.7 (1) [2]	4.4 (4) [2]	4.5 (3) [3]	4.7 (1) [2]
Usefulness to end user	4.7 (3) [1]	4.7 (3) [2]	4.4 (5) [2]	4.9 (1) [1]	4.8 (2) [1]

**Note: rankings of criteria according to stakeholders for each issue are indicated in parentheses. Ranking across criteria for each stakeholder is indicated with []**

Table 7.7 also shows evidence that contractors ranked completion on time, to budget and to quality as high. These are typical for contractors considering client pressure to have their projects completed on time, within the budget and to desired quality standards. Similarly the government rankings are typical considering their role in policy application. Without community participation, completion within time becomes secondary. Community participation and end user usefulness are the most important criteria for facilitators considering their role in the delivery process. The consultants surprisingly ranked the criteria of time cost and quality the lowest. This is not typical of consultants,

as they would be pressurising the contractors to meet these criteria first. However since the questionnaire related to community development projects this response would be beneficial to effective community participation.

The literature supports that that development projects has to substantively involve local people in the selection, design, planning and implementation of programmes and projects that will affect them. In this way local perception, attitudes, values and knowledge are assuredly taken into account as fully and as early as possible. Continuous and comprehensive feedback to beneficiary communities was an integral part of all development activities (Mikkelsen, 1995).

From the evidences in the literature reviewed as well as the supporting evidence from questionnaire respondents, interview respondents and the case reviewed the necessity of community participation within the development framework is clear. This importance is further highlighted in Table 7.8 that shows the importance of community participation in development projects as reported in the questionnaire survey.

**Table 7.8 Importance of Community Participation**

Issue	Funders (Mean)	Cons (Mean)	Gov (Mean)	Fac (Mean)	Cont (Mean)
How necessary is CP in development projects	4.6 (5)	4.7 (1)	4.7 (1)	4.7 (1)	4.7 (1)
How much has CP increased cost of projects	3.2 (1)	2.7 (2)	1.3 (5)	2.0 (4)	2.6 (3)
Do the benefits outweigh the cost of CP	3.2 (3)	3.8 (1)	2.7 (4)	2.5 (5)	3.3 (2)

**Note:** rankings according to stakeholders for each issue are indicated in parentheses

The results in Table 7.8 evidences that all stakeholders regard community participation as important in development projects. The ranking for the cost increases of community participation was average and does not indicate that it was a concern to stakeholders. Most respondents felt that the benefits of community participation far outweighed the costs.

The impact of participatory infrastructure development extends beyond service improvement to include enhancing the capacity of people to manage their own local affairs and interact more effectively with other authorities and partners. Further, participation was inseparable from empowerment. At the same time, participatory management required inputs of time, organisational capacities, and other skills, which needed to be understood and supported by policy makers and infrastructure managers. Additionally, participation involves risks and costs as well as benefits. In the right circumstances, however, the benefits of participation could far outweigh the costs. Participation was a process that involved various stakeholders who determined how and what infrastructure services were required. Participatory relationships were voluntary and their effectiveness depended on stakeholders being convinced that the process served their interest (Schübeler, 1996).

## **7.6 Chapter Summary**

This chapter discussed the findings of the three survey instruments employed and in which way they supported the problem as well as tested the hypotheses, which the research has attempted to test.

It was clear that even though there was a good understanding about community participation by all professionals as well as governmental organizations, problems exist within the application of community participation. The benefits as discussed in previous chapters do outweigh the costs. However it seems that as long as the process is driven by parameters for success that are dictated to by professional stakeholders and as long as representatives of communities and even communities themselves are not fully included in the entire procurement process of development projects, there can be little satisfaction from the end users of the project.

## CHAPTER 8

### SUMMARY, CONCLUSION AND RECOMMENDATIONS

#### 8.1 Summary

This study attempted to establish the importance of Community Participation within the delivery of development projects. The research problem as stated in chapter 1 of this work was that:

*There was a lack of community participation in current community development projects in South Africa, resulting in their diminished usefulness to beneficiary communities.*

The hypotheses that the research intended to test were:

- Community Participation is an important criteria for successful community development projects
- Community development projects do not involve the participation of the beneficiary community in all the stages of a project.
- Current project delivery systems enhance community participation.
- The lack of participation in projects by beneficiary communities limits their willingness to own completed projects.

The objectives of the research were:

- To highlight the importance of community participation in development projects through a theoretical study
- With the use of surveys establish whether community development projects involve the participation of the beneficiary community in all the stages of a project.
- To show that current project delivery systems enhance community participation
- To highlight the effect that community dynamics has on the process of delivering development projects.
- Show through a survey that beneficiary communities do not accept ownership of projects unless they participate in these projects

In this chapter the hypotheses are tested and the findings summarised relative to the objectives of the research.

## **8.2 The importance of community participation in development projects through a theoretical study**

The study confirmed that community participation was a reality of community development as well as an important aspect within all governmental policies. This was in an attempt to correct the imbalances created during the years when South Africans lived in a non democratic environment and the majority of the people were unrepresented and disadvantaged at all levels.

## **8.3 Community development projects involve the participation of the beneficiary community in all the stages of a project.**

According to Gilbert *et al.* (1996), an essential element of governance – when used to describe the ways that local authorities relate to their communities – was inclusiveness, which meant the active participation of affected sectors of the community in decision-making processes. Inclusiveness was especially important for the achievement of environmental sustainability. Generally speaking, governments that were authoritarian, exclusive, and short sighted were unlikely to be effective in helping to move their communities towards environmental, social, and economic sustainability.

An additional reason given by Eyben and Ladbury (1995) why beneficiaries might have little influence over project decisions was that professionals assumed the role of identifying the needs of beneficiaries and finding the solutions. The greater the assumed knowledge gap between professionals and beneficiaries, the more likely it was that this would happen. Individuals were contented to rely on professional judgements in any country, as long as the service was relatively equitably distributed in ways, which made sense to them.

Professional consultants and contractors who operate within the development framework responded that they appreciated the importance of participation but that their opinion on the parameters for success of projects included community participation but that it was not necessary the only important one. Also they expected the communities to follow the structures they put in place.

Community based organisations and facilitators on the other hand made clear that their loyalties lay with communities in terms of projects improving the conditions which poor communities

found themselves in. They indicated that the priority should be the satisfaction of the end user and their involvement in the process of achieving improved living conditions

With the aid of interviews the research established that community members wanted to be involved but their understanding of participation was limited to involvement during the construction stage only. They indicated a desire to be part of the construction process where they could assist in the building of their own homes. This was the extent of their perception of participation. The fact that in the questionnaires professional consultants testified that communities could retard the progress of projects if they were involved supported the view that communities were not assisted in this process by the professional consultants. The community needed support from all stakeholders in the development process to aid them in understanding why their involvement was crucial to the success of projects. The results showed clear evidence that non-participation of communities within the projects could result in project failure.

#### **8.4 Current project delivery systems enhancing community participation**

Clients were arguably the most important participants in the construction industry as they initiated the construction process. Clients required that their objectives would be met. Similarly, communities as clients also expected their development projects should be executed to the desired quality standards, be completed on schedule and within budget. The use of an appropriate procurement system (APS) could result in a successful project for the client with respect to achieving their project time, cost and quality performance objectives. Imperatively, the procurement system should be efficient and allow the community, as the client, to participate fully. The greater the level of client (community) participation in the selection of procurement systems, the greater the level of client satisfaction with the completed project (Davenport and Smith, 1995).

The Chartered Institute of Building (1996) stated that procurement was a process whereby various participants in the design and construction phases contributed towards the success of the project. Certain types of procurement methods were better suited to certain defining or circumstantial characteristics of projects.

The case study evidenced one project where a government intervention was utilised and where community participation was ensured throughout the process. It would appear from the evidence presented that this was done successfully. The questionnaire responses on the policy of

Affirmative Procurement, which was a vehicle through which development could take place, showed evidence that this intervention allowed for community participation. The evidence suggested that the effectiveness of the application was not as it should be to effect improved community participation and thus increase ownership by the community.

A study of the policies within the South African context indicated that the guidelines were given, but problems existed with interpretation and implementation from all stakeholders. The problems have also been identified of self-interest from different stakeholders that could negate the aims of the policies. They would tend to use their opinions on what communities needed and how these needs could be met at highest efficiency in terms of time, quality and cost.

#### **8.4 To highlight the effect that community dynamics has on the process of delivering development projects.**

It was clear that there were problems associated with differences in communities and how these affected project delivery. The surveys have shown clear evidence that there were problems with the processes of community leader elections as well as the level of diversity existing within communities. Comments made by all stakeholders in the survey process evidenced that if there were no community leaders included in the process, the project would fail.

Construction professionals were been prone to adopting over-simplistic and paternalistic views of their clients especially in a community development context (Haupt, 1996). There were massive, multi-sectoral needs ranging from social infrastructure to education and employment generation. There were extreme limitations both on the resources available to meet these needs and on local capacity to pay for services. There was often a multiplicity of interest groupings, even at local level (Awotana *et al.* 1995). The most significant of these were the negative effects of structural limitations to the scope of participation, inefficiency and the difficulty of identifying community leaders.

According to Pretty and Scoones (1995), it was also common for practitioners to assume that everyone in a community participated, and that development would serve the needs of everyone. The appearance of external solidarity masked internal differentiation. Understanding these internal differences was crucial. Different livelihood strategies imply different isolated local knowledge systems, and those who assumed that communities were homogenous easily miss these.

Carew-Reid *et al.* (1994) stated that there were political risks of stimulating or aggravating conflicts between groups within communities; or having the process co-opted by community leaders. These risks could be minimised through good planning for participation, good management of the participation process and through maintaining independence from party politics.

Awotana *et al.* (1995) added that while participation could make implementation more efficient by eliminating delay-causing differences in communities, it could also itself cause delays. This was particularly likely to occur when different interest groups attempt to assert themselves, or when community members lacked the time or skills to keep pace with the dynamic of a project. For this reason, some argue that the immense and pressing nature of Third World development and planning problems made participation inappropriate because of the time and financing required for its implementation. Others argued that the extra benefits participation brought more than justified the extended process and extra expense.

#### **8.5 Beneficiary communities do not accept ownership of projects unless they participate in these projects**

Franks (1990) stated that the concerns of clients rested with the end product fulfilling their needs and requirements. Different clients had different needs. Consequently it was necessary that to ensure a satisfactory outcome to the implementation process, these needs were identified and matched with the procurement system that would most likely satisfy those needs (Masterman, 1994).

Communities themselves have indicated that the end product was more important to them than the process followed which clearly showed their lack of understanding about the effects of their participation within the process. Their dissatisfaction with the products they were receiving should be an indication that there were problems with the process. The extent of their involvement within this process was invited major differences from various stakeholders.

From the survey comments made in open-ended questions stakeholders had the opinion that communities would have no ownership towards projects if they were not included in the process.



What seemed to be problematic was that communities did not understand the processes of project delivery and thus showed interest in only the end product and not the process through which delivery took place.

If community leaders and their community members were excluded from certain key phases of projects such as project formulation, design, implementation and maintenance, it was unlikely that the project will be sustainable.

## **8.7 Hypotheses Testing**

### **8.7.1 Community Participation was an important criteria for successful community development projects.**

Both the findings from the reviewed literature and the surveys confirmed that community development projects were important to the growth of the beneficiary communities and that community participation should be an inherent part of any successful community development project.

The hypothesis that community participation was an important criteria for success in development projects cannot therefore be rejected.

### **8.7.2 Community development projects do not involve the participation of the beneficiary community in all the stages of a project.**

All stakeholders in community development projects did not see involvement by participants in all stages of a project as important. The stage, which was emphasised as important, was the briefing stage, which was basically at the planning phase of a project. During the implementation stages it would seem that their involvement was minimal.

The hypothesis that Community development projects do not involve the participation of the beneficiary community in all the stages of a project cannot therefore be rejected.

### **8.7.3 Current project delivery systems enhance community participation.**

The study revealed that not all stakeholders within the development framework adequately understood the process of delivery nor did they understand the implications of strategic changes, which delivery systems have undergone in the South African construction industry. Procurement systems, which are currently being used in the development framework in South Africa, have

clear guidelines, which encouraged and demanded the participation of beneficiary communities. The level and method of participation however is not clearly defined. Therefore, in practice procurement systems do not foster the enhanced involvement of communities.

The hypothesis that current project delivery systems enhance community participation can therefore be rejected.

#### **8.7.4 Community dynamics, which exist within communities, affect the process of delivery of development projects.**

The study revealed that there were some problems within the structure of communities that affected the process of development project delivery. There was a lack of transparency in the election of community leaders. Further the diversity, which existed within communities, could be problematic to the process of delivery.

The hypothesis that community dynamics, which exist within communities, affect the process of delivery of development projects can therefore not be rejected.

#### **8.7.5 The lack of participation in projects by beneficiary communities limits their willingness to own completed projects.**

All stakeholders had similar views on the willingness of communities to own projects. It was evident that stakeholders felt communities would not care for facilities or use facilities if they were excluded from the project. However communities felt that the product was more important than the process demonstrating their lack of understanding of the effect their input could have on project success.

The hypothesis that the lack of participation in projects by beneficiary communities limits their willingness to own completed projects cannot be rejected.

### **8.8 Conclusions**

Community participation was evidently an important factor in the success of development projects. Development projects or infrastructure provision was important to the growth of communities both economically and socially.

There was an emerging trend in South Africa that recognised that development was much more than expansion of income and wealth and that economic growth, though essential, was not enough. The focus was increasingly on human development, which ranged from enjoying a decent standard of living to enjoying a greater sense of participation in the various activities within their communities. Seen in this light, projects in developing areas increasingly include objectives that go beyond the mere provision of physical facilities. How a project is undertaken and by whom, were just as important as what was delivered (DBSA, 1993).

It would seem that the success of a participatory community technique depended on making clear the stakeholder involvement and responsibilities at the outset of projects. Cooperative stakeholders joining together in consultative processes created an environment of continuous review of problem identification, objectives, activities and anticipated cost and benefits.

We cannot assume that people would always participate, even when they had the choice. In some situations communities were limited to the extent that they wanted to be involved or have the capacity to be involved. Many people struggled on a daily basis to meet their most basic needs. This being water, food and electricity. Expecting people under these circumstances to sit on committees and attend meetings to discuss improvements to their situations would be insensitive. People in affluent areas who received these services certainly don't spend their time sitting on committees and attending meetings. These basic services were seen to be their right. How do we therefore explain this scenario to the poorer communities where even obtaining water was a privilege? It is important that stakeholders understood these differences when they deal with community developments and appreciate the frustrations of poorer communities at waiting for services, which should be their right.

## **8.9 Recommendations**

Participation by the people in the institutions and systems, which govern their lives, was a basic human right and also essential for realignment of political power in favour of disadvantaged groups and for social and economic development.

The question of participation by the poor has been closely linked to other development issues. The value of participation by the poor for development stems not only from such idealistic considerations as basic human rights or 'the rejection of authoritarian and paternalistic alternatives, but also from the inherent strength of participation as a means of articulating genuine needs and satisfying them through self-reliance and mass mobilization.

Participation was an essential part of human growth, which could lead to the development of self-confidence, pride, initiative, creativity, responsibility and cooperation. Without such a development within the people themselves all efforts to alleviate their poverty would be immensely more difficult, if not impossible. This process, whereby people learn to take charge of their own lives and solve their own problems, was the essence of development.

Participation in project design and decision-making was all too often limited to a few town meetings where the project was explained and the people were asked to give their comments, and where the few comments made are by some would be in a language unintelligible to the majority.

Participation, if it were to really release the people's own creative energies for development, must be much more than the mere mobilization of labour forces or the coming together to hear about pre-determined plans. Participation must be more than a policy statement – there must be a genuine commitment to encourage participation in all aspects and at all levels of development work.

#### **8.10 Areas for further studies**

The poor needed to be approached as a specific group and their economic situation must be improved if participation is to be successful. There is a complex relationship between self-reliance and the need for external assistance. Participation requires self-reliance, and is surrendered by dependence. However, the promotion of participation in initially non-participatory, dependant situations often requires some initial external assistance. This dilemma must be approached with extreme sensitivity if the process is not to result in new dependencies. Participation requires organization. Yet organizations easily become centres of formal power controlled by the few. Maintaining 'people's power' requires that the poor retain genuine control over their own organizations. Participatory processes seldom begin spontaneously. A leadership whose vision is external to the perceptions and aspirations of the people concerned generally initiates such processes. Resolving this contradiction implies going beyond mere mobilization for the support of and externally' defined causes.

The resolution of these issues is essential for the achievement of self-reliant participatory development.

## APPENDIX A: INTRODUCTORY LETTER USED IN SURVEY

12 August 2002

Dear Sir / Madam

### *Community Participation in Infrastructure Delivery*

I am registered for a Masters degree and am presently conducting research into the importance of community participation in development projects.

I invite you to participate in the study by completing the attached questionnaire. The success of this study will be greatly enhanced through your participation.

Recognising that time is important to you, the questionnaire has been designed to take about 60 minutes to complete. The enclosed packet contains the questionnaire, a supporting letter from my institution and a self addressed envelope.

Place the duly completed questionnaire into the self-addressed envelope provided for this purpose and return by post. Should you decide against participating, please return the incomplete questionnaire.

Be assured that your participation will be dealt with in the strictest confidentiality to ensure your anonymity.

I look forward to your participation. I am willing to provide you with a summary of my research findings if you supply me with full contact details.

Please consider that I am under tremendous time constraints and will need your response as fast as possible.

Yours sincerely

Z Khan

Contact Details: (021) 959 6631  
082 2020742  
[khanz@cput.ac.za](mailto:khanz@cput.ac.za)

## APPENDIX B: QUESTIONNAIRE TO STAKEHOLDERS

## QUESTIONNAIRE

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As far as possible mark your response to questions with an X unless more details are requested.

## SECTION 1 Demographic and General

1. How would you describe the role that your organization plays with respect to Community Development Projects? (Indicate only the primary or most frequent role)

Community Representative	
Facilitator	
Donor	
Funding Agency	
Government	
Contractor	
Consultant	
Other	

2. What position do you hold in your organization?

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3. How long have you held this position?

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4. What percentage of your organization's activities takes place in each of the following regions?

Eastern Cape	
Free State	
Gauteng	
Kwazulu Natal	
Mpumalanga	
North West	
Northern Cape	
Northern Province	
Western Cape	
Total	100%

5. How long has your organization been involved with community development projects?

---

6. What is the primary or most frequent role played by your organisation in community development projects? (Mark only ONE)

Funding	
Training	
Facilitating	
Contracting	
Consulting	
Other	

7. How representative are you of the interest group in question 6?

Not at all	Not very	Average	Very	Extremely

8. Explain your response in question 7.

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### SECTION 2 Community Development Projects

Before answering any questions in this section, please study the following relevant definitions of concepts.

**Infrastructure** Services including housing, hospitals, schools, power telecommunication, water, sanitation, waste roads, railways, etc.

**Community Development Projects** Any project undertaken to improve the conditions or environment of communities i.e. physical or social conditions

9. Would you classify the delivery of basic infrastructure to communities as an example of a community development project?

Yes	No

10. Give reasons for your response in question 9

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11. How important would you rate the need for effective delivery of infrastructure to the community?

Not at all	Not very	Average	Very	Extremely

12. Explain your answer

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13. How essential is infrastructure for growth and development in our economy?

Not at all	Not very	Average	Very	Extremely

14. Explain your answer.

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### SECTION 3: Community Dynamics

15. Based on your experience how representative are community leaders?

Not at all	Not very	Average	Very	Extremely

16. Explain your answer.

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17. In your opinion how transparent or democratic is the process of electing community leaders

Not at all	Not very	Average	Very	Extremely

18. Explain your answer.

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19. In your experience, how diverse are the interests of groupings within one community

Not at all	Not very	Average	Very	Extremely

20. Explain your answer.

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21. How much of a problem do these differences cause the delivery process?

Not at all	Not very	Average	Very	Extremely

22. Explain your answer.

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#### SECTION 4 Community Participation

Before answering any questions in this section, please study the following relevant definitions of concepts.

**Procurement** Procurement has been the term used to describe the total process of meeting the client's need for a project, starting at the point where this need is first expressed

**Community Participation** It is the active process by which beneficiaries influence the direction and execution of projects.

23. How well do you think you understand the term Procurement as it relates to the construction industry?

Not at all	Not very	Average	Very	Extremely

24. Explain your answer

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25. How well do you think the communities you work with understand the process of Procurement?

Not at all	Not very	Average	Very	Extremely

26. Explain your answer

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27. How essential is professional advice or guidance on the selection of the most appropriate procurement system to be used?

Not at all	Not very	Average	Very	Extremely

28. Explain your answer.

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29. As far as you are aware, how often is this type of advice given to the community?

Never	Seldom	Sometimes	Often	Always

30. To what extent are the advantages and disadvantages of alternative procurement systems discussed with communities?

Never	Seldom	Sometimes	Often	Always

31. To what extent is the community involved in the selection of the procurement or delivery system that you use on community development projects?

Never	Seldom	Sometimes	Often	Always

32. How important is consultation with communities during the following project stages?

Stages	Never	Seldom	Sometimes	Often	Always
Project Briefing					
Tender documentation					
Contract Documentation					
Contract					
Handing Over					

## SECTION 5 Affirmative Procurement Policy and Community Participation

Before answering any questions in this section, please study the following relevant definitions of concepts.

**Affirmative  
Procurement Policy**

**Affirmative Procurement Policy is a procurement policy, which uses procurement as an instrument of social policy in South Africa to affirm the changed environment, government's socio- economic objectives and the principles of the Reconstruction and Development Programme**

33. How well do you know and understand the provisions of the Affirmative Procurement Policy Document?

Not at all	Not very	Average	Very	Extremely

34. Explain your answer.

35. How important do you regard the following criteria with respect to the success of community development projects?

	Not at all	Not very	Average	Very	Extremely
Community participation					
Completion of project on time					
Completion of project within budget					
Completion to required quality					
Capacity building					
Usefulness of project to end-users					

36. Explain your response to each.

Community participation
Completion of project on time
Completion of project within budget
Completion to required quality
Capacity building
Usefulness of project to end-users

37. How effective has this policy implementation been in addressing the lack of community participation in development projects.

Not at all	Not very	Average	Very	Extremely

38. Explain your answer.

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39. How necessary is community participation in community development projects?

Not at all	Not very	Average	Very	Extremely

40. Explain your answer

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41. How much has this participation of the community increased the costs of community development projects?

Not at all	Not very	Average	Very	Extremely

42. Describe ways in which community participation has benefited both the communities themselves and the associated projects?

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43. Do these benefits outweigh the costs involved in implementing the affirmative procurement policy?

Never	Seldom	Sometimes	Often	Always

44. Explain your answer.

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45. Use the space below for any additional comments on community participation and involvement in community development projects, which you deem important to this study.

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**THANK YOU FOR THE OPPORTUNITY TO CONSULT YOU AND FOR YOUR  
CONTRIBUTION TO THE IMPROVEMENT OF COMMUNITY DEVELOPMENT  
PROJECTS AND ESPECIALLY INFRASTRUCTURE DELIVERY**

APPENDIX C: INTERVIEW QUESTIONS

INTERVIEWS WITH COMMUNITY MEMBERS FROM COMMUNITIES IN  
KHAYELITSHA AND GUGULETHU (WESTERN CAPE PROVINCE)

**Question 1**

What do you understand about community participation in housing development?

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**Question 2**

Do you think the community should participate in their own housing construction?

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**Question 3**

In what format should their participation be?

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**Question 4**

To what extent do you think the community is involved in housing construction?

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**Question 5**

Do you think the community should be involved in decision-making from the beginning of a project

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**Question 6**

Do you think community participation can create employment?

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**Question 7**

Do you think that a lack of community participation has an impact on the quality of the houses?

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**Question 8**

In your opinion what do you think should be done to increase community participation in?  
housing construction?

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**Question 9**

How representative are the community leaders of the communities they serve in the process of  
participation?

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## APPENDIX D: FACILITATORS RESPONSE TO QUESTIONNAIRE

## FREQUENCIES

## STATISTICS

	Describe the role your org plays wrt CDP	What position you hold in org	Length of time you held pos	EC	FS
N Valid	15	15	15	15	15
Missing	0	0	0	0	0
Mean	2.0000	6.6667	5.1333	.8000	.1333
Median	2.0000	7.0000	4.0000	.0000	.0000
Mode	2.00	1.00	1.00	.00	.00
Std. Deviation	.00000	4.18614	4.94060	1.74028	.35187

	Gauteng	Kwaz Nat	Mpum	North W	North C
N Valid	15	15	15	15	15
Missing	0	0	0	0	0
Mean	13.6000	.8000	1.46667	1.333	1.6000
Median	.0000	.0000	.0000	.0000	.0000
Mode	.00	.00	.00	.00	.00
Std. Deviation	35.08520	1.74028	3.48193	.35187	3.48056

	North prov	West Cape	Length time your org inv in CP	Primary role your org plays in dev proj	Representativeness of community
N Valid	15	15	15	15	13
missing	0	0	0	0	2
Mean	.1333	81.3333	7.0000	3.2667	3.7692
Median	.0000	100.0000	4.0000	3.0000	4.0000
Mode	.00	100.00	3.00	3.00	3.00
Std. Deviation	.35187	34.61351	6.25643	.70373	.83205

	Explain resp	Do you classify infrastruc as CDP	Reason for resp	Need for effective deliv infrastruc	Explain answer
N Valid	13	15	15	15	15
Missing	2	0	0	0	0
Mean	6.0769	1.1333	3.3333	4.8667	6.0000
Median	5.0000	1.0000	3.0000	5.0000	7.0000
Mode	5.00	1.00	2.00	5.00	7.00
Std. Deviation	1.25576	.35187	1.71825	.35187	2.39046

	Essential infrastruc to growth and develop	Explain answer	Representative are comm leader	Explain answer	Transparent is election of Comm leaders
N valid	15	13	15	15	15
Missing	0	2	0	0	0
Mean	4.6000	3.1538	2.8667	3.5333	2.9333
Median	5.0000	4.0000	3.0000	3.0000	3.0000
Mode	5.00	4.00	3.00	1.00	3.00
Std. Deviation	.50709	1.21423	.35187	2.29492	.70373

	Explain answer	Diverse are groups in comm	Explain answer	How much of problem is diversity to delivery of CDP	Explain answer
N Valid	15	15	15	15	15
Missing	0	0	0	0	0
Mean	5.1333	3.4667	3.6667	2.6667	6.0000
Median	5.0000	4.0000	4.0000	3.0000	6.0000
Mode	5.00	4.00	5.00	3.00	6.00
Std. Deviation	1.64172	.74322	1.71825	.61721	3.07060

	Understand term procurement in Const Ind	Explain answer	Communities understand procurement	Explain answer	Essential is proff advice on selecting procurement system
N Valid	15	15	15	15	15
Missing	0	0	0	0	0
Mean	3.133	4.600	2.6667	4.8000	3.7333
Median	3.0000	5.0000	3.0000	5.0000	4.0000
Mode	2.00	1.00	2.00	3.00	4.00
Std. Deviation	1.12546	3.20268	1.04654	1.42428	.70373

	Explain answer	How often is such advice given	Extent that adv and disadv of altern proc systems discussed w communities	Extent communities involved in select proc system	Important is consultation w comm. At stages – project brief
N Valid	15	15	15	15	15
Missing	0	0	0	0	0
Mean	4.6000	2.9333	3.0667	3.3333	5.0000
Median	5.0000	3.0000	3.0000	3.0000	5.0000
Mode	3.00	3.00	3.00	2.00	5.00
Std. Deviation	1.50238	.96115	1.03280	1.44749	.00000

	- tender doc	-contract doc	-contract	-handing over	Understand affirmative proc
N Valid	15	15	15	15	15
Missing	0	0	0	0	0
Mean	4.1333	3.8667	4.2667	4.6000	3.0000
Median	4.0000	4.0000	5.0000	5.0000	3.0000
Mode	5.00	5.00	5.00	5.00	4.00
Std. Deviation	.83381	1.12546	.88372	.50709	1.06904

	Explain answer	Criteria for success of project rate importance-community participation	- completion on time	-completion to budget	-completion to quality
N Valid	13	15	15	15	15
Missing	2	0	0	0	0
Mean	4.3846	4.8667	3.7333	4.2000	4.4667
Median	5.0000	5.0000	4.0000	4.0000	4.0000
Mode	5.00	5.00	4.00	4.00	4.00
Std. Deviation	2.02231	.35187	1.03280	.67612	.51640

	- capacity building	- usefulness of facility to end user	Explain responses in each – community participation	- completion on time	completion to budget
N Valid	15	15	13	13	13
Missing	0	0	2	2	2
Mean	4.5333	4.8667	2.6154	3.6923	4.384
Median	5.0000	5.0000	2.0000	2.0000	5.0000
Mode	5.00	5.00	2.00	1.00	5.00
Std. Deviation	.51640	.35187	1.70970	2.71982	1.60927

	-completion to quality	- capacity building	- usefulness of facility to end user	Effective has APP been in address lack of CP in dev projects	Explain answer
N Valid	13	13	13	13	11
Missing	2	2	2	2	4
Mean	1.9231	2.1538	3.5385	2.5385	5.7273
Median	1.0000	1.0000	3.0000	2.0000	6.0000
Mode	1.00	1.00	2.00	2.00	4.00
Std. Deviation	1.44115	1.51911	1.56074	.77625	1.1808

	How necessary is CP in developm projects	Explain answer	How much has CP increased project costs	Describe ways in which CP has benefited communities and projects	Do benefits outweigh costs of implementing CP through APP
N Valid	15	15	13	15	13
Missing	0	0	2	0	2
Mean	4.6667	2.5333	2.0000	4.1333	2.5385
Median	5.0000	3.0000	2.0000	5.0000	2.0000
Mode	5.00	3.00	2.00	6.00	1.00
Std. Deviation	.48795	.51640	.91287	2.13363	1.56074

	Explain answer	Additional comments
N Valid	9	8
Missing	6	7
Mean	3.0000	2.2500
Median	3.0000	2.0000
Mode	3.00	2.00
Std. Deviation	1.87083	.70711

## APPENDIX E: FUNDERS RESPONSE TO QUESTIONNAIRE SURVEY

## FREQUENCIES

## STATISTICS

	Describe the role your org plays wrt CDP	What position you hold in org	Length of time you held pos	EC	FS
N Valid	7	7	7	7	7
Missing	0	0	0	0	0
Mean	4.0000	5.2857	9.2857	7.2857	1.4286
Median	4.0000	3.0000	8.0000	.0000	.0000
Mode	4.00	3.00	8.00	.00	.00
Std. Deviation	.00000	5.34522	7.80415	9.14174	3.77964

	Gauteng	Kwaz Nat	Mpum	North W	North C
N Valid	7	7	7	7	7
Missing	0	0	0	0	0
Mean	1.7143	7.7143	5.1429	5.7143	5.5714
Median	.0000	.0000	.0000	.0000	.0000
Mode	.00	.00	.00	.00	.00
Std. Deviation	3.68394	9.82708	6.49175	7.31925	7.23089

	North prov	West Cape	Length time your org inv in CP	Primary role your org plays in dev proj	Representativeness of community
N Valid	7	7	7	7	7
Missing	0	0	0	0	0
Mean	6.5714	58.8571	7.5814	1.0000	4.2857
Median	.0000	100.0000	5.0000	1.0000	5.0000
Mode	.00	100.00	2.00	1.00	5.00
Std. Deviation	8.61892	51.4982	6.24118	.00000	1.11270

	Explain resp	Do you classify infrastruc as CDP	Reason for resp	Need for effective deliv infrastruc	Explain answer
N Valid	7	7	7	7	7
Missing	0	0	0	0	0
Mean	6.1429	1.0000	2.2857	5.0000	3.2857
Median	5.0000	1.0000	2.0000	5.0000	2.0000
Mode	5.00	1.00	2.00	5.00	2.00
Std. Deviation	2.73426	.00000	.48795	.0000	2.56348

	Essential infrastruc to growth and develop	Explain answer	Representative are comm leader	Explain answer	Transparent is election of Comm leaders
N Valid	7	7	7	7	5
Missing	0	0	0	0	2
Mean	5.0000	3.0000	3.4286	2.8571	2.4000
Median	5.0000	3.0000	3.0000	3.0000	3.0000
Mode	5.00	3.00	3.00	4.00	1.00
Std. Deviation	.0000	.81650	.53452	1.34519	1.34164

	Explain answer	Diverse are groups in comm	Explain answer	How much of problem is diversity to delivery of CDP	Explain answer
N Valid	7	7	7	7	7
Missing	0	0	0	0	0
Mean	5.0000	3.7143	4.7143	3.1429	4.7143
Median	5.0000	4.0000	5.0000	3.0000	5.0000
Mode	4.00	4.00	5.00	4.00	2.00
Std. Deviation	1.52753	.48795	.48795	.89974	2.56348

	Understand term procurement in Const Ind	Explain answer	Communities understand procurement	Explain answer	Essential is proff advice on selecting procurement system
N Valid	5	5	5	5	5
Missing	2	2	2	2	2
Mean	3.4000	1.8000	2.2000	4.0000	4.8000
Median	3.000	1.000	3.000	4.000	5.000
Mode	3.00	1.00	3.00	3.00	5.00
Std. Deviation	.54772	1.09545	1.09545	1.00000	.44721

	Explain answer	How often is such advice given	Extent that adv and disadv of altern proc systems discussed w communities	Extent communities involved in select proc system	Important is consultation w comm. At stages – project brief
N Valid	4	5	3	3	3
Missing	3	2	4	4	4
Mean	8.0000	3.000	2.6667	2.6667	4.6667
Median	8.0000	3.0000	3.0000	3.0000	5.0000
Mode	7.00	3.00	3.00	3.00	5.00
Std. Deviation	1.15470	1.34164	.57735	.57735	.57735

	- tender doc	-contract doc	-contract	-handing over	Understand affirmative proc
N Valid	3	3	3	3	5
Missing	4	4	4	4	2
Mean	1.6667	1.3333	2.0000	4.0000	3.4000
Median	1.0000	1.0000	2.0000	4.0000	3.0000
Mode	1.00	1.00	2.00	4.00	2.00
Std. Deviation	1.15470	.57735	.0000	.0000	1.51658



	Explain answer	Criteria for success of project rate importance-community participation	- completion on time	-completion to budget	-completion to quality
N Valid	1	5	5	5	5
Missing	6	2	2	2	2
Mean	3.0000	5.0000	3.4000	2.6000	3.0000
Median	3.0000	5.0000	3.0000	3.0000	3.0000
Mode	3.00	5.00	3.00	1.00	2.00
Std. Deviation		.0000	.54772	1.51658	1.00000

	- capacity building	- usefulness of facility to end user	Explain responses in each – community participation	- completion on time	completion to budget
N Valid	5	5	5	5	5
Missing	2	2	2	2	2
Mean	4.4000	4.4000	1.4000	5.8000	4.6000
Median	4.0000	4.0000	1.0000	5.0000	5.0000
Mode	4.00	4.00	1.00	5.00	5.00
Std. Deviation	.54772	.54772	.54772	1.09545	.54772

	-completion to quality	- capacity building	- usefulness of facility to end user	Effective has APP been in address lack of CP in dev projects	Explain answer
N Valid	5	5	5	5	5
Missing	2	2	2	2	2
Mean	3.2000	2.8000	4.4000	3.4000	5.8000
Median	2.0000	4.0000	4.0000	3.0000	6.0000
Mode	1.00	4.00	4.00	3.00	5.00
Std. Deviation	2.58844	1.64317	.54772	.54772	.83666

	How necessary is CP in developm projects	Explain answer	How much has CP increased project costs	Describe ways in which CP has benefited communities and projects	Do benefits outweigh costs of implementing CP through APP
N Valid	5	5	5	5	5
Missing	2	2	2	2	2
Mean	4.6000	2.0000	3.2000	2.0000	3.2000
Median	5.0000	2.0000	3.0000	2.0000	3.0000
Mode	5.00	2.00	3.00	1.00	3.00
Std. Deviation	.54772	.0000	.44721	1.00000	.44721

	Explain answer	Additional comments
N Valid	3	5
Missing	4	2
Mean	3.6667	4.2000
Median	4.0000	5.0000
Mode	4.00	5.00
Std. Deviation	.57735	1.78885

## APPENDIX F: GOVERNMENT RESPONSE TO QUESTIONNAIRE SURVEY

## FREQUENCIES

## STATISTICS

	Describe the role your org plays wrt CDP	What position you hold in org	Length of time you held pos	EC	FS
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	5.0000	3.6667	3.3333	.0000	.0000
Median	5.0000	4.0000	4.0000	.0000	.0000
Mode	5.00	4.00	4.00	.00	.00
Std. Deviation	.00000	.57735	1.15470	.00000	.00000

	Gauteng	Kwaz Nat	Mpum	North W	North C
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	.0000	.0000	.0000	.0000	.0000
Median	.0000	.0000	.0000	.0000	.0000
Mode	.00	.00	.00	.00	.00
Std. Deviation	.00000	.00000	.00000	.00000	.00000

	North prov	West Cape	Length time your org inv in CP	Primary role your org plays in dev proj	Representativeness of community
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	.0000	100.0000	14.6667	3.0000	1.3333
Median	.0000	100.0000	9.0000	3.0000	1.0000
Mode	.00	100.00	5.00	3.00	1.00
Std. Deviation	.00000	.00000	14.42882	.0000	.57735

	Explain resp	Do you classify infrastruc as CDP	Reason for resp	Need for effective deliv infrastruc	Explain answer
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	3.6667	1.0000	3.6667	5.0000	4.3333
Median	4.0000	1.0000	4.0000	5.0000	5.0000
Mode	4.00	1.00	4.00	5.00	5.00
Std. Deviation	.57735	.00000	.57735	.00000	1.15470

	Essential infrastruc to growth and develop	Explain answer	Representative are comm leader	Explain answer	Transparent is election of Comm leaders
N Valid	3	3	3	3	2
Missing	0	0	0	0	1
Mean	5.0000	1.6667	3.3333	3.6667	3.0000
Median	5.0000	1.0000	4.0000	4.0000	3.0000
Mode	5.00	1.00	4.00	4.00	3.00
Std. Deviation	.00000	1.15470	1.15470	.57735	.00000

	Explain answer	Diverse are groups in comm	Explain answer	How much of problem is diversity to delivery of CDP	Explain answer
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	3.6667	2.6667	1.6667	3.3333	3.6667
Median	4.0000	2.0000	1.0000	3.0000	4.0000
Mode	4.00	2.00	1.00	3.00	4.00
Std. Deviation	.57735	1.15470	1.15470	.57735	.57735

	Understand term procurement in Const Ind	Explain answer	Communities understand procurement	Explain answer	Essential is proff advice on selecting procurement system
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	3.3333	3.6667	1.3333	3.6667	4.0000
Median	3.0000	4.0000	1.0000	4.0000	4.0000
Mode	3.00	4.00	1.00	4.00	4.00
Std. Deviation	.57735	.57735	.57735	.57735	.00000

	Explain answer	How often is such advice given	Extent that adv and disadv of altern proc systems discussed w communities	Extent communities involved in select proc system	Important is consultation w comm. At stages – project brief
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	3.6667	2.6667	2.6667	2.0000	4.6667
Median	4.0000	3.0000	3.0000	2.0000	5.0000
Mode	4.00	3.00	3.00	2.00	5.00
Std. Deviation	.57735	.57735	.57735	.00000	.57735

	- tender doc	-contract doc	-contract	-handing over	Understand affirmative proc
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	2.6667	2.6667	4.0000	4.0000	2.6667
Median	3.0000	3.0000	5.0000	5.0000	2.0000
Mode	3.00	3.00	5.00	5.00	2.00
Std. Deviation	.57735	.57735	1.73205	1.73205	1.15470

	Explain answer	Criteria for success of project rate importance-community participation	- completion on time	-completion to budget	-completion to quality
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	3.6667	5.0000	3.3333	4.6667	4.6667
Median	4.0000	5.0000	3.0000	5.0000	5.0000
Mode	4.00	5.00	3.00	5.00	5.00
Std. Deviation	.57735	.0000	.57735	.57735	.57735

	- capacity building	- usefulness of facility to end user	Explain responses in each – community participation	- completion on time	completion to budget
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	4.6667	4.667	2.6667	3.6667	3.6667
Median	5.0000	5.0000	3.0000	4.0000	4.0000
Mode	5.00	5.00	3.00	4.00	4.00
Std. Deviation	.57735	.57735	.57735	.57735	.57735

	-completion to quality	- capacity building	- usefulness of facility to end user	Effective has APP been in address lack of CP in dev projects	Explain answer
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	1.6667	3.6667	3.6667	2.6667	3.6667
Median	1.0000	4.0000	4.0000	3.0000	4.0000
Mode	1.00	4.00	4.00	3.00	4.00
Std. Deviation	1.15470	.57735	.57735	.57735	.57735

	How necessary is CP in developm projects	Explain answer	How much has CP increased project costs	Describe ways in which CP has benefited communities and projects	Do benefits outweigh costs of implementing CP through APP
N Valid	3	3	3	3	3
Missing	0	0	0	0	0
Mean	4.6667	2.0000	1.3333	3.6667	3.6667
Median	5.0000	2.0000	1.0000	4.0000	4.0000
Mode	5.00	2.00	1.00	4.00	4.00
Std. Deviation	.57735	.0000	.57735	.57735	.57735

	Explain answer	Additional comments
N Valid	3	2
Missing	0	1
Mean	2.6667	2.0000
Median	3.0000	2.0000
Mode	3.00	2.00
Std. Deviation	.57735	.00000

## APPENDIX G: CONSULTANTS RESPONSE TO QUESTIONNAIRE SURVEY

## FREQUENCIES

## STATISTICS

	Describe the role your org plays wrt CDP	What position you hold in org	Length of time you held pos	EC	FS
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	7	7	8	11.6667	.5556
Median	7	6	4	.0000	.0000
Mode	7.00	6.00	2.00	.00	.00
Std. Deviation	.0000	3.77492	7.5000	18.02776	1.66667

	Gauteng	Kwaz Nat	Mpum	North W	North C
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	9.4444	1.6667	.0000	3.3333	.0000
Median	.0000	.0000	.0000	.0000	.0000
Mode	.00	.00	.00	.00	.00
Std. Deviation	23.24388	5.0000	.0000	.0000	.0000

	North prov	West Cape	Length time your org inv in CP	Primary role your org plays in dev proj	Representativeness of community
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	.0000	73.3333	14.2222	5.0000	3.5556
Median	.0000	100.0000	9.0000	5.0000	4.0000
Mode	.00	100.00	5.00	5.00	2.00
Std. Deviation	.00000	36.05551	10.96332	.00000	1.33333



	Explain resp	Do you classify infrastruct as CDP	Reason for resp	Need for effective deliv infrastruc	Explain answer
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	4.4444	1.0000	2.1111	4.7778	3.3333
Median	6.0000	1.0000	2.0000	5.0000	2.0000
Mode	6.00	1.00	2.00	5.00	1.00
Std. Deviation	2.40370	.00000	.60093	.44096	2.78388

	Essential infrastruc to growth and develop	Explain answer	Representative are comm leader	Explain answer	Transparent is election of Comm leaders
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	4.7778	2.7778	2.8889	4.5556	2.3333
Median	5.0000	3.0000	3.0000	6.0000	2.0000
Mode	5.00	2.00	3.00	6.00	2.00
Std. Deviation	.44096	1.09291	.60093	2.29734	.70711

	Explain answer	Diverse are groups in comm	Explain answer	How much of problem is diversity to delivery of CDP	Explain answer
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	4.3333	2.5556	2.8889	4.1111	4.6667
Median	5.0000	3.0000	2.0000	4.0000	6.0000
Mode	6.00	3.00	1.00	4.00	7.00
Std. Deviation	1.80278	.52705	2.02759	.92796	2.397792

	Understand term procurement in Const Ind	Explain answer	Communities understand procurement	Explain answer	Essential is proff advice on selecting procurement system
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	4.0000	2.7778	2.0000	4.5556	3.5556
Median	4.0000	1.0000	2.0000	6.0000	4.0000
Mode	3.00	1.00	2.00	6.00	4.00
Std. Deviation	.86603	2.43812	.00000	1.94365	1.23603

	Explain answer	How often is such advice given	Extent that adv and disadv of altern proc systems discussed w communities	Extent communities involved in select proc system	Important is consultation w comm. At stages – project brief
N Valid	8	9	9	7	9
Missing	1	0	0	2	0
Mean	5.3750	3.6667	3.6667	3.8571	4.6667
Median	5.0000	4.0000	4.0000	4.0000	5.0000
Mode	5.00	5.00	5.00	5.00	5.00
Std. Deviation	1.92261	1.22474	1.22474	1.21499	.50000

	- tender doc	-contract doc	-contract	-handing over	Understand affirmative proc
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	3.5556	3.2222	4.2222	4.6667	3.2222
Median	4.0000	3.0000	5.0000	5.0000	3.0000
Mode	2.00	2.00	5.00	5.00	5.00
Std. Deviation	1.33333	1.39443	1.09291	1.09291	1.85592

	Explain answer	Criteria for success of project rate importance-community participation	- completion on time	-completion to budget	-completion to quality
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	3.7778	4.6667	4.3333	4.3333	3.7778
Median	5.0000	5.0000	4.0000	4.0000	4.0000
Mode	2.00	5.00	4.00	4.00	5.00
Std. Deviation	1.98606	.50000	.70711	.70711	1.30171

	- capacity building	- usefulness of facility to end user	Explain responses in each – community participation	- completion on time	completion to budget
N Valid	7	9	9	9	9
Missing	2	0	0	0	0
Mean	4.7143	4.7778	2.3333	4.6667	4.2222
Median	5.0000	5.0000	2.0000	5.0000	5.0000
Mode	5.00	5.00	1.00	5.00	5.00
Std. Deviation	.48795	.44096	1.32288	2.00000	1.56347

	-completion to quality	- capacity building	- usefulness of facility to end user	Effective has APP been in address lack of CP in dev projects	Explain answer
N Valid	9	9	9	9	9
Missing	0	0	0	0	0
Mean	2.5556	3.4444	3.3333	3.1111	5.5556
Median	2.0000	4.0000	4.0000	3.0000	5.0000
Mode	2.00	4.00	2.00	3.00	5.00
Std. Deviation	1.42400	1.13039	1.58114	.78174	2.78887

	How necessary is CP in devlopm projects	Explain answer	How much has CP increased project costs	Describe ways in which CP has benefited communities and projects	Do benefits outweigh costs of implementing CP through APP
N Valid	9	9	7	9	8
Missing	0	0	2	0	1
Mean	4.6667	2.4444	2.5714	3.1111	3.7500
Median	5.0000	3.0000	3.0000	3.0000	4.0000
Mode	5.00	3.00	3.00	2.00	4.00
Std. Deviation	.50000	.72648	.53452	1.53659	.46291

	Explain answer	Additional comments
N Valid	9	9
Missing	0	0
Mean	3.6667	3.1250
Median	4.0000	3.0000
Mode	4.00	2.00
Std. Deviation	1.32288	1.55265

## APPENDIX H: CONTRACTORS RESPONSE TO QUESTIONNAIRE SURVEY

## FREQUENCIES

## STATISTICS

	Describe the role your org plays wrt CDP	What position you hold in org	Length of time you held pos	EC	FS
N Valid	6	6	6	6	6
Missing	0	0	0	0	0
Mean	6.0000	4.3333	2.1667	21.6667	3.3333
Median	6.0000	3.0000	2.0000	20.0000	.0000
Mode	6.00	1.00	1.00	.00	.00
Std. Deviation	.00000	3.72380	1.16905	20.16598	5.16398

	Gauteng	Kwaz Nat	Mpum	North W	North C
N Valid	6	6	6	6	6
Missing	0	0	0	0	0
Mean	.0000	.0000	.0000	.0000	3.3333
Median	.0000	.0000	.0000	.0000	.0000
Mode	.00	.00	.00	.00	.00
Std. Deviation	.0000	.0000	.0000	.0000	5.1398

	North prov	West Cape	Length time your org inv in CP	Primary role your org plays in dev proj	Representativeness of community
N Valid	6	6	6	6	2
Missing	0	0	0	0	4
Mean	.0000	71.6667	7.1667	4.0000	2.0000
Median	.0000	80.0000	4.0000	4.0000	2.0000
Mode	.00	35.00	3.00	4.00	2.00
Std. Deviation	.0000	29.77695	6.14546	.0000	.0000

	Explain resp	Do you classify infrastruc as CDP	Reason for resp	Need for effective deliv infrastruc	Explain answer
N Valid	4	6	6	6	6
Missing	2	0	0	0	0
Mean	7.0000	1.0000	4.0000	5.0000	3.0000
Median	7.0000	1.0000	3.0000	5.0000	1.0000
Mode	5.00	1.00	2.00	5.00	1.00
Std. Deviation	2.30940	.00000	2.36643	.0000	3.09839

	Essential infrastruc to growth and develop	Explain answer	Representative are comm leader	Explain answer	Transparent is election of Comm leaders
N Valid	6	6	6	4	6
Missing	0	0	0	2	0
Mean	5.0000	3.0000	3.3333	2.5000	2.6667
Median	5.0000	4.0000	3.0000	2.5000	3.0000
Mode	5.00	4.00	3.00	2.00	3.00
Std. Deviation	.00000	1.54919	.51640	.57735	.51640

	Explain answer	Diverse are groups in comm	Explain answer	How much of problem is diversity to delivery of CDP	Explain answer
N Valid	6	6	6	6	4
Missing	0	0	0	0	2
Mean	4.3333	3.6667	4.6667	3.6667	3.5000
Median	4.0000	4.0000	5.0000	4.0000	3.5000
Mode	4.00	4.00	5.00	4.00	2.00
Std. Deviation	.51640	.51640	.51640	.51640	1.73205

	Understand term procurement in Const Ind	Explain answer	Communities understand procurement	Explain answer	Essential is proff advice on selecting procurement system
N Valid	6	4	6	2	6
Missing	0	2	0	4	0
Mean	4.0000	1.0000	2.6667	6.0000	3.6667
Median	4.0000	1.0000	3.0000	6.0000	4.0000
Mode	3.00	1.00	3.00	6.00	4.00
Std. Deviation	.89443	.00000	.51640	.0000	.51640

	Explain answer	How often is such advice given	Extent that adv and disadv of altern proc systems discussed w communities	Extent communities involved in select proc system	Important is consultation w comm. At stages – project brief
N Valid	2	6	6	6	6
Missing	4	0	0	0	0
Mean	7.0000	2.3333	2.6667	3.0000	4.3333
Median	7.0000	2.0000	3.0000	3.0000	4.0000
Mode	7.00	2.00	3.00	2.00	4.00
Std. Deviation	.0000	.51640	.51640	.89443	.51640

	- tender doc	-contract doc	-contract	-handing over	Understand affirmative proc
N Valid	6	6	6	6	6
Missing	0	0	0	0	0
Mean	2.3333	2.3333	3.6667	4.3333	3.6667
Median	3.0000	3.0000	4.0000	4.0000	4.0000
Mode	3.00	3.00	4.00	4.00	4.00
Std. Deviation	1.03280	1.03280	.51640	.51640	.51640

	Explain answer	Criteria for success of project rate importance-community participation	- completion on time	-completion to budget	-completion to quality
N Valid	2	6	6	6	6
Missing	4	0	0	0	0
Mean	7.0000	4.6667	4.6667	4.6667	4.6667
Median	7.0000	5.0000	5.0000	5.0000	5.0000
Mode	7.00	5.00	5.00	5.00	5.00
Std. Deviation	.00000	.51640	.51640	.51640	.51640

	- capacity building	- usefulness of facility to end user	Explain responses in each – community participation	- completion on time	completion to budget
N Valid	6	6	2	2	2
Missing	0	0	4	4	4
Mean	4.0000	4.6667	5.0000	5.0000	5.0000
Median	4.0000	5.0000	5.0000	5.0000	5.0000
Mode	3.00	5.00	5.00	5.00	5.00
Std. Deviation	.89443	.51640	.00000	.00000	.00000

	-completion to quality	- capacity building	- usefulness of facility to end user	Effective has APP been in address lack of CP in dev projects	Explain answer
N Valid	2	2	2	4	0
Missing	4	4	4	2	6
Mean	2.0000	5.0000	6.0000	2.0000	
Median	2.0000	5.0000	6.0000	2.0000	
Mode	2.00	5.00	6.00	2.00	
Std. Deviation	.0000	.0000	.0000	.0000	



	How necessary is CP in developm projects	Explain answer	How much has CP increased project costs	Describe ways in which CP has benefited communities and projects	Do benefits outweigh costs of implementing CP through APP
N Valid	6	4	6	4	6
Missing	0	2	0	2	0
Mean	4.6667	3.0000	2.6667	6.0000	3.3333
Median	5.0000	3.0000	3.0000	6.0000	3.0000
Mode	5.00	2.00	3.00	5.00	3.00
Std. Deviation	.51640	1.15470	.51640	1.15470	.51640

	Explain answer	Additional comments
N Valid	2	2
Missing	4	4
Mean	5.0000	3.0000
Median	5.0000	3.0000
Mode	5.00	1.00
Std. Deviation	.0000	2.82843

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