

Module

# 2

# COMMUNITY-BASED WORKBOOK & GUIDE PLANNING PROGRAMME

SKILLS PROGRAMME



## For Ward Committees

This Skills Programme is aligned with the National Qualification on **NQF 2**

Draft Unit Standard

## Acknowledgements

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Africa Institute for Community-Driven Development  
(AICDD and Development Works):

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EISA:

*Lentswe La Batho: Enabling Active Citizen Participation at Local Government Level*, EISA, 2005, funded by Swedish International Development Agency and the Charles Mott Foundation. Second edition funded by GTZ

Facilitating Meetings: A capacity building programme – Developed by EISA and funded by Inwent Capacity Building International, Germany

Planact:

*Communities count: Empowering Ward Committees and local leadership in democratic governance*, Johannesburg 2006. Funded by the Charles Stewart Mott Foundation, Cordaid and KZE, with programmes supported by USAID

SALGA:

*Handbook for Municipal Councillors*, SALGA/GTZ, 2006. Funded by GTZ and developed by EISA and Planact

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This module has been compiled by EISA

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Design and layout by [www.intothelimeilight.co.za](http://www.intothelimeilight.co.za)

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This Skills Programme is a building block for the National  
Qualification in Ward Committee Governance NQF 2

Draft Unit Standard

# WORKBOOK & FACILITATOR'S GUIDE

for the Skills Programme

Community-Based Participation

# ACRONYMS AND ABBREVIATIONS

AICDD	Africa Institute for Community-Driven Development
CBO	Community-based organisation
CBP	Community-based planning
CMIP	Consolidated Municipal Infrastructure Programme
Discretionary ward funds	Funds provided by the municipality to support taking forward of the ward plan (process) funds (not for specific projects), typically R10 - 50 000 per ward
DLGH	Department of Local Government and Housing
<b>dplg</b>	Department of Provincial and Local Government
Event	Specific session during the CBP process, during which one or more tools may be used
Exco	Executive Committee
GTZ	German Agency for Technical Cooperation
HAC	Housing advice centre
IDP	Integrated Development Plan (of the municipality)
LED	Local Economic Development
M&E	Monitoring and Evaluation (both of the plan and implementation of the plan)
Mayco	Mayoral Committee
MEC	Members of the Executive Council
MF	Municipal Facilitator
MLM	Mangaung Local Municipality, the site of the first CBP pilot in South Africa
MoH	Ministry of Health
NCOP	National Council of Provinces
NGO	Non-governmental organisation
NQF	National Qualifications Framework
NR	Natural resource
PHP	People's Housing Process (a self-build housing programme)
PR	Proportional Representation
PRA	Participatory Rural Appraisal
SALGA	South African Local Government Association
SAPS	South African Police Services
SWOT	Strengths, Weaknesses, Opportunities, Threats – a tool for analysing the internal and external environment
VCT	Voluntary Counselling and Testing
Venn diagram	A tool for looking at the services provided by organisations using 2 dimensions, e.g. importance and accessibility
WC	Ward Committee
WF	Ward Facilitator

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# A

# Introduction

**CONTACT DETAILS**

**1. PARTICIPANT'S PERSONAL INFORMATION**

Full names	
Surname	
Home language	
Postal address	
Physical address	
Telephone number	
Cell phone number	
E-mail	

**2. EMPLOYER DETAILS**

Name of employer	
Contact person	
Telephone number	
Fax number	
E-mail	
Postal address	
Physical address	

**FACILITATORS' CONTACT DETAILS**

**FACILITATOR 1**

Name	
Contact Cell Phone No.	
E-mail	

**FACILITATOR 2**

Name	
Contact Cell Phone No.	
E-mail	



# INTRODUCTION

This Skills Programme is based on the National Certificate in  
**Ward Committee Governance NQF 2**  
 and in particular on the unit standards:

- **Draft unit standard:** Apply knowledge of community issues in relation to development projects (10)

## Target group and purpose of the Skills Programme

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### Draft unit standard

A person assessed as competent against this unit standard will be able to recognise that development projects and communities could impact on each other in both positive and negative ways. The qualifying learner will understand the dynamics involved in development projects and will be able to recognise that negotiation and trade-offs need to be made.

Competency in the unit standard will equip the qualifying learner with the skills required to undertake an important role in community development and will enhance the employability of the qualifying learner in both community development-related initiatives.

### The qualifying learner is capable of:

- Applying an understanding of the dynamics and structures prevalent in communities
- Advising communities of the effect that development projects have on communities in a local context
- Advising community structures of the effect that regeneration of the local economy will have
- Advising community structures on the different types of agreements that communities and development agencies may enter into, at a local level.



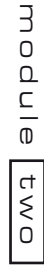
# OVERVIEW OF WARD COMMITTEE SKILLS PROGRAMMES

The table provides an overview for all the Skills Programmes available for the NQF 2 qualification for Ward Committee governance.

module **two**

NUMBER	TITLE SKILLS PROGRAMME	TOPICS	UNIT STDS (CREDITS)	EXPECTED OUTCOMES	CONTACT DAYS (THEORY)
SPWCz/001	Ward Committee Induction	<ol style="list-style-type: none"> <li>1. What is local government?</li> <li>2. Legal and policy framework for developmental local government</li> <li>3. Ward Committees</li> <li>4. Ward Committees and key municipal processes</li> <li>5. Skills for Ward Committee members</li> </ol>	<p><b>242892:</b> Display an understanding of the Constitution, structure of Ward Committees and the roles and responsibilities of committee members (6)</p> <p><b>242896:</b> Demonstrate an understanding and apply the broad principles of Ward Committee functioning to participate in municipal processes (10)</p>	<ul style="list-style-type: none"> <li>• Describe and explain legislative provisions and guidelines relating to the establishment and functioning of Ward Committees.</li> <li>• Describe Ward Committee membership, composition and roles.</li> <li>• Describe and explain the process to nominate and elect the members of a Ward Committee.</li> <li>• Demonstrate an understanding of the policy and legal framework guiding Ward Committee systems and its functioning.</li> <li>• Outline the structure of Ward Committees and identifying the roles and responsibilities of members.</li> <li>• Administrate Ward Committee processes.</li> <li>• Integrate basic communications, conflict management, facilitation and diversity management skills to enhance Ward Committee relations with key stakeholders.</li> </ul>	4 days
SPWCz/002	Community-Based Planning Programme for Ward Committees	<ol style="list-style-type: none"> <li>1. Why community-based planning?</li> <li>2. Community-based planning and the municipal integrated plan</li> <li>3. The methodology of community-based planning</li> <li>4. The role of Ward Committees and other stakeholders in the community-based planning process</li> </ol>	<p><b>Draft Unit Standard:</b> Display an understanding of community-based planning (CBP) at the ward level and its role to facilitate citizen participation in local governance (10)</p>	<ul style="list-style-type: none"> <li>• Describe and explain the objectives of CBP at the ward level.</li> <li>• Describe and explain the methodology of CBP.</li> <li>• Explain the link between CBP and the municipal Integrated Development Plan (IDP).</li> <li>• Describe and explain the role of Ward Committee members and other members of the community in CBP.</li> </ul>	3 days

NUMBER	TITLE SKILLS PROGRAMME	TOPICS	UNIT STDS [CREDITS]	EXPECTED OUTCOMES	CONTACT DAYS [THEORY]
SPWCz/003	Public Participation in Local Governance	<ol style="list-style-type: none"> <li>Democracy and participation</li> <li>Community involvement in democratic processes and structures</li> <li>Applying <i>Batho Pele</i> to public participation</li> <li>Participatory governance at local level</li> </ol>	<p><b>113955:</b> Apply the <i>Batho Pele</i> principles to own work role and context (4)</p> <p><b>123436:</b> Facilitate community participation in democratic processes and structures (7)</p> <p><b>242893:</b> Display an understanding of the policy and legal framework guiding the Ward Committee system and its functioning (6)</p>	<ul style="list-style-type: none"> <li>Explain how the <i>Batho Pele</i> principles apply to own work roles.</li> <li>Explain how the application of <i>Batho Pele</i> principles determines the way in which work is done.</li> <li>Identify and describe successful examples of application of <i>Batho Pele</i> principles.</li> <li>Explain why the <i>Batho Pele</i> principles are so important to government.</li> <li>Establish the extent of participation in democratic processes and structures.</li> <li>Promote awareness of democratic processes and structures.</li> <li>Facilitate community participation in democratic processes and structures.</li> <li>Evaluate the process of awareness raising and facilitation</li> <li>Describe and explain notion of participatory governance at a local level.</li> <li>Display an understanding of the constitutional provisions relating to local government and public participation in South Africa.</li> <li>Display an understanding of the policy and legal framework that underpins local government in South Africa.</li> <li>Display an understanding of the policy and legislative framework guiding Ward Committee systems.</li> </ul>	4 days



NUMBER	TITLE SKILLS PROGRAMME	TOPICS	UNIT STDS (CREDITS)	EXPECTED OUTCOMES	module	CONTACT DAYS (THEORY)
SPAWCz/004	Core Municipal Processes and Ward Committee's Role (IDP, Budgeting, PMS, LED, Service Delivery)	<ol style="list-style-type: none"> <li>1. Opportunities for Ward Committee and community participation in integrated development planning</li> <li>2. Opportunities for Ward Committee participation in community-based planning</li> <li>3. Municipal budgeting process and Ward Committee participation</li> <li>4. Municipal service delivery and performance management systems</li> <li>5. Service delivery: Implementation, challenges and evaluation</li> </ol>	<p><b>242895:</b> Support the facilitation of development project service delivery in a Ward Committee context (10)</p> <p><b>242890:</b> Display an understanding of core municipal processes and Ward Committee participation in these processes (8)</p>	<ul style="list-style-type: none"> <li>• Demonstrate knowledge of IDP and opportunities for Ward Committee and community participation.</li> <li>• Demonstrate knowledge and application of community-based planning and the opportunities for Ward Committee participation.</li> <li>• Demonstrate knowledge of the municipal budgeting process and Ward Committee participation.</li> <li>• Demonstrate knowledge of the municipal service delivery process and performance management and Ward Committee participation therein.</li> <li>• Demonstrate an understanding and describe the management of municipal performance and the role of Ward Committees in the process.</li> <li>• Define service excellence within a local government context.</li> <li>• Utilise appropriate service tools in order to integrate local government service delivery for development project objectives into Ward Committee processes.</li> <li>• Implement a basic service delivery plan in line with overall service delivery objectives.</li> <li>• Evaluate service delivery effectiveness.</li> </ul>		5 days
SPAWCz/005	Project Management	<ol style="list-style-type: none"> <li>1. An overview of project management</li> <li>2. Stage 1: Output or results planning</li> <li>3. Stage 2: Planning for implementation</li> <li>4. Stage 3: Implementation &amp; evaluation</li> </ol>	<p><b>123462:</b> Demonstrate knowledge and understanding of the project support services environment (4)</p> <p><b>123464:</b> Gather information and provide assistance for project planning and scheduling functions (10)</p>	<ul style="list-style-type: none"> <li>• Identify and explain the core activities of a project.</li> <li>• Identify and explain the support functions within a selected project team.</li> <li>• Explain the role of a selected support team or section in a project team and its contribution to the effectiveness of the project team.</li> <li>• Investigate the different types of work done in the project team.</li> <li>• Explain the basic procedures for project planning and scheduling.</li> <li>• Gather and collate planning and scheduling activity data.</li> <li>• Gather and collate activity resource requirements.</li> <li>• Gather and collate progress information for updating schedule.</li> <li>• Contribute to the development and maintenance of an historical planning and scheduling databank.</li> </ul>		3 days

NUMBER	TITLE/SKILLS PROGRAMME	TOPICS	UNIT STDS (CREDITS)	EXPECTED OUTCOMES	CONTACT DAYS (THEORY)
SPWC2/006	Communication, Facilitation, Dealing with Conflict	<ol style="list-style-type: none"> <li>1. Communication and the delegated function of Ward Committees</li> <li>2. Effective communication</li> <li>3. Ward Committees and performance management systems</li> <li>4. Managing decision-making and accountability</li> <li>5. Managing conflict</li> <li>6. Managing relations and stakeholders</li> </ol>	<p><b>242891:</b> Apply communication, interpersonal and conflict management principles in Ward Committee functions, processes (10)</p>	<ul style="list-style-type: none"> <li>• Demonstrate an understanding and explain the communication and delegated function of Ward Committees.</li> <li>• Describe and apply communication techniques in the functioning of Ward Committees.</li> <li>• Demonstrate an understanding and describe the management of municipal performance and the role of Ward Committees in the process.</li> <li>• Demonstrate an understanding and explain the role of Ward Committees in council decision-making and accountability.</li> <li>• Utilise basic conflict management techniques to ensure effective resolutions in conflict situations that may arise in Ward Committee functioning.</li> <li>• Apply the principles of facilitation in order to manage effective relations within the Ward Committee context.</li> </ul>	3 days
SPWC2/007	Community Diversity	<ol style="list-style-type: none"> <li>1. Diversity in the Ward Committee context</li> <li>2. Gender and equity</li> <li>3. Gender and equity in relation to development projects</li> <li>4. Mainstreaming gender and equity skills in development</li> <li>5. Encouraging responses to gender, equity and diversity</li> </ol>	<p><b>242894:</b> Demonstrate knowledge of gender, equity and diversity issues in development projects (6)</p>	<ul style="list-style-type: none"> <li>• Identify diversity in own Ward Committee context.</li> <li>• Explain the concepts of gender and equity and gender and equity approaches.</li> <li>• Explain the advantages of gender and equity to development projects.</li> <li>• Demonstrate gender and equity and equity mainstreaming skills in all the stages of a development project using gender and equity participatory tools.</li> <li>• Explain the resistance to change in relating to gender.</li> </ul>	1 day
SPWC2/008	Meeting Procedures and Reporting	<ol style="list-style-type: none"> <li>1. Purpose of meetings</li> <li>2. The agenda</li> <li>3. Minutes</li> </ol>	<p><b>13934:</b> Plan and prepare meeting communications (4)</p>	<ul style="list-style-type: none"> <li>• Demonstrate an understanding of the agenda of meetings.</li> <li>• Explain the purpose and objective of minutes of meetings.</li> <li>• Take minutes of meetings.</li> </ul>	1 day

The participants are encouraged to plan and prepare before coming for the contact programme. If needed and in co-ordination with the participating municipalities/participants the programme can be further broken up to give participants time to harmonise with the requirements of their workplaces.

The time after the contact learning sessions should be used by the participants to:

- read learning material
- further research on the subject matter
- reflect and think of the subject matter
- highlight questions and fresh insights for discussions with colleagues
- reflect and summarise knowledge acquired.

## ABOUT THE LEARNING MATERIAL AND TRAINING METHODS

The learning material has been designed to help the participants during the contact sessions for the programme and to assist them in fulfilling their role as members of a Ward Committee.

This Workbook and Guide has been written in English and facilitators may need to translate some of the content into the language of choice of the participants. The material needs to be facilitated in an interactive and participative way. Facilitators need to be familiar with the material and will have to spend considerable time preparing the modules to help participants gain the knowledge, skills and attitudes to participate meaningfully in their Ward Committees. The course notes contained in Section A can also be used as an easy to use handbook that may assist Ward Committees in their day-to-day work as Ward Committee members. For this reason some of the detail provided may go beyond the requirements of the unit standard.

## Facilitation methodology

The programme is very practical and aims to provide practical tools and skills for adult learners. The methodology should ensure that:

- the learning environment is physically and psychologically comfortable
- contact training periods are short and varied to avoid boredom
- learner expectations are articulated and clarified and managed by the learner and facilitator
- the experience of participants is acknowledged and drawn on in the learning programme
- facilitation, rather than teaching, is used to allow participants to participate fully
- the facilitator balances the presentation of new material, debate and discussion in such a way that the outcomes of the module are met, while ensuring that all participants are valued and are able to contribute to the learning process
- the learning will be problem-oriented, personalised and accepting of participants' needs for self-direction and personal responsibility
- the module presented in a way that allows a participant to participate fully in the language of their choice
- the facilitation process accommodates participants who may not be literate, or who are not literate in English.

The contact session uses a participatory methodology. This is appropriate for adult audiences who come with a wide range of experiences and skills. It also accommodates a broader range of learning styles. Some techniques that can be used include:

METHOD	DESCRIPTION
Structured learning experience	Participants engage with a complex game or activities that represent real-life situations that they may encounter in the course of their work as a Ward Committee member.
Case study	This is a realistic story or real-life situation that has taken place, in which participants need to apply their knowledge and skills to practise how they can deal with the issues presented.
Group work	Participants work on tasks in their groups and report their findings back to plenary.
Lecture	The facilitator presents a short talk (maximum of 10 minutes) to introduce a new subject, to provide details, or to wrap up a session.
Discussion	This is a free exchange of ideas or experiences on a particular topic. It may be between the facilitator and the participants or between the participants.
Brainstorming	Participants generate a number of ideas on a particular subject or question. It may be used to gather different opinions or to find out what participants know about a particular topic.
Role-play	Participants are asked to act out a scenario where each participant plays a particular role. A role-play may be used to illustrate how people respond in different situations.
Panel discussion	This is a planned presentation by one or more experts. It may be followed by a discussion session or a round of questions.

# ASSESSMENT

Assessment of participants will be workshop based and participants will not be required to complete a practical assignment. Assessment will be based on a general understanding of the overall content by participants. A general question per chapter has been provided for this purpose.

Facilitators should explain to participants at the opening of the workshop that each module will be assessed and the specific outcomes and criterion relevant to that module covered during the course of the workshop. Facilitators should reassure participants that the assessment will be conducted to ensure that participants have understood the contents and met the requirements of the unit standard. Assessment will be part of the workshop activities and participants will have an opportunity to complete the assessment assignment during the course of the workshop. The assessment may be completed as group work or individually depending on the assignment and group. It is envisaged that participants may also discuss these questions (either after the workshop or during workshops lasting longer than one day and at the end of the learning session in one day workshops) and then hand in their assessment answer sheets at the close of the workshop. Time has been provided after each session for participants to discuss the relevant assignment questions and for them to write up their answers (see Recommended Timetable on page 12).

The assignment topics are based on the unit standards and complement the theory training. By means of the assignment the participant needs to prove that he/she can apply in a real work situation what has been learned in theory. For this reason participants are encouraged to prepare for the course in advance by preparing a project based on their experience as members of a Ward Committee that they can use during the assessment as a practical example.



CHAPTER	PROPOSED ASSIGNMENT TOPICS
1	What are the objectives of community-based planning? Describe the benefits and the principles of CBP.
2	List the phases of CBP and describe the purposes of each phase. Give 3 examples of the CBP tools that can be used in each phase.
3	What are the processes necessary for a Ward Committee to undertake in order to ensure community involvement in developing a ward plan? Explain how the priorities of the community can be reflected and included in the municipal IDP.
4	What is the role of Ward Committees in CBP? Describe the part that two other stakeholders play in CBP.



# COVER PAGE

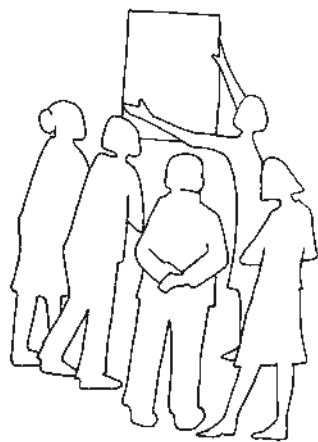
Assignment report prepared by the participant during the workshop

Name of training provider:.....

Title of Skills Programme:.....

Date of report established:.....

Name of participant:.....



# RECOMMENDED TIMETABLE

## DAY ONE

TIME	ACTIVITY
8.00 to 9.00	Welcome and Introduction
9.00 to 10.00	Chapter 1: Why community-based planning?
10.00 to 10.15	Tea
10.15 to 12.30	Chapter 1: Why community-based planning?
12.30 to 1.30	Lunch
1.30 to 3.00	Chapter 2: Community-based planning and the municipal IDP
3.00 to 3.15	Tea
3.00 to 4.30	Chapter 2: Community-based planning and the municipal IDP
4.30 to 5.30	Chapters 1 & 2 Assessment: Discussion

## DAY TWO

TIME	ACTIVITY
8.00 to 9.00	Chapter 1 Assessment: Write up
9.00 to 10.00	Chapter 2 Assessment: Write up
10.00 to 10.15	Tea
10.15 to 12.30	Chapter 3: The methodology of community-based planning
12.30 to 1.30	Lunch
1.30 to 3.00	Chapter 3 : The methodology of community-based planning
3.00 to 3.15	Tea
3.00-4.30	Chapter 3 : The methodology of community-based planning
4.30 to 5.30	Chapter 3 Assessment: Discussion

## DAY THREE

TIME	ACTIVITY
8.00 to 9.00	Chapter 3 Assessment: Write up
9.00 to 10.00	Chapter 4 : The role of ward committees and other stakeholders
10.00 to 10.15	Tea
10.15 to 12.30	Chapter 4: The role of Ward Committees and other stakeholders
12.30 to 1.30	Lunch
1.30 to 3.00	Chapter 4: The role of Ward Committees and other stakeholders
3.00 to 3.15	Tea
3.15 to 5.15	Chapter 4 Assessment: Discussion and Write up

# B

## Training Material



# CHAPTER 1

## Why community-based planning?



### Introduction

LOCAL GOVERNMENT LEGISLATION has been put in place to enable South Africa to constructively work towards providing basic services and improving the social and economic lives of citizens. As local government is the sphere of government where delivery takes place at community level it is important to ensure and secure the support and participation of communities. This chapter outlines the objectives and principles of community-based planning (CBP).

“ TO PROVIDE FOR THE CORE PRINCIPLES, MECHANISMS AND PROCESSES THAT ARE NECESSARY TO ENABLE MUNICIPALITIES TO MOVE PROGRESSIVELY TOWARDS THE SOCIAL AND ECONOMIC UPLIFTMENT OF LOCAL COMMUNITIES, AND ENSURE UNIVERSAL ACCESS TO ESSENTIAL SERVICES THAT ARE AFFORDABLE TO ALL. ”

#### Reference!

Local Government:  
Municipal Systems Act, 2000

### 1.1 Objectives of community-based planning (CBP)

#### Why community-based planning?

Local government faces many challenges in providing services that will contribute to developing a peaceful, stable and healthy environment. Using the CBP approach has a number of benefits including:

- Assistance to municipalities gives effect to the requirements of the Municipal Systems Act, 2000.
- Moving from consultation to empowering encourages ownership of local development and overcomes dependency.
- Planning from outcomes not problems leads to more realistic and creative planning.
- Plans are more targeted and relevant to addressing the priorities of all groups, including the most vulnerable.
- The municipality develops a cadre of trained facilitators who can be accredited.

- The municipality has a resource in the trained facilitators on whom they can draw to assist them in identifying community needs.
- Identifying and collaborating on solutions to community needs and priorities assists councillors and Ward Committees in fulfilling their tasks.
- CBP can play a key role in reconciliation and mobilisation by bringing together different sectors of the community.
- CBP can generate mutual understanding between stakeholders.



### CBP and participatory democracy

Section 16 (1) of the Municipal Systems Act, 2000 states that a municipality must develop a culture of municipal governance that complements formal representation. This means that a municipality must create conditions for the local community to participate in its affairs. The Act identifies several ways in which this can be achieved including:

- Preparation, implementation and review of the Integrated Development Plans (IDPs).
- Establishment, implementation and review of the performance management systems.
- Monitoring and review of its performance outcomes and impact.

This requires a thorough method and systematic approach by the community to ensure that its voice is heard.

Participatory or community-based planning empowers communities to interact and engage with appropriate poverty reduction interventions in their communities and must also lead to improved local authority and other agency plans and services.

Community-based planning is therefore a form of participatory planning designed to promote community action and to link to the Integrated Development Plan (IDP).

There are three commonly different types of reasons why community-based planning is advocated, to improve:

- the quality of plans
- the quality of services
- the community's control over development.

**Reference!**

Chapter 5 of the Act

**Reference!**

Chapter 6 of the Act

Different structural arrangements exist to ensure that communities input into the way in which resources are allocated such as Ward Committees or other developmental forums.

The MSA, 2000 encourages participatory democracy.

Checklist:

1. Have I read or had a presentation about the contents of the White Paper on Local Government, 1998?  Yes  No
2. The White Paper identifies forums that allow organised formations to initiate policies and/or influence policy formulation. Does my municipality have such a forum or forums?  Yes  No
3. Does my Ward Committee make input to the Integrated Development Plan?  Yes  No
4. Do I consult the community about their needs and priorities?  Yes  No
5. Does my municipality have regular meetings with citizens?  Yes  No
6. Do my neighbours know who the ward councillors are?  Yes  No

1.1.1 Practical implications of undertaking a CBP

Community-based planning does not happen on its own. Planning is not something that an expert does. It is based on participation and principles of political democracy. Participation requires that all stakeholders are invited to participate, including government, community, business, labour and other sectors of civil society.

Scenario – Luckytown

This is a situation that can be found in many municipalities that CBP can assist in responding to.

Luckytown is a small town in the Eastern Cape (or any other province). In one part of town people live in well built houses on large plots of land. Some have their own boreholes and on some, owners have a few vegetables and fruit trees. Prior to 1994 this part of town was only inhabited by white people and subsequently a few families from the adjacent township have moved in.

The bulk of the residents live in either matchbox houses or backyard shacks. Many houses in this area have no electricity or running water. There are only three schools and two clinics for this area.

The town has very little industry and quite a large farming community around the town. There is high unemployment in the town. There are three farms that are collectively owned and the farmworkers get a share of the profits.

There is also an informal settlement which has started about five years ago. Water in this area is from public taps and there are only three taps in the area. Most of the residents in this area trade informally and many worked on farms until they were told to leave. There are no schools in this area.

## What needs to be considered in undertaking a CBP?

CBP can assist in responding to the issues outlined in the scenario. To be effective it needs to:

- be prepared by local people for their ward
- be owned by the community
- ensure that the community is actively involved in the implementation
- be supported by discretionary ward funds provided by the municipality
- provide useful information in guiding the IDP.

## Who gets involved in CBP?

Effective community-based planning requires the inclusion of all stakeholders in the planning process such as residents, councillors, municipal officials, members of community structures such as Ward Committees and CBOs, service providers, traditional leaders, local interest groups and local business. Each of the stakeholders plays a role in CBP.

### The CBP process

**Facilitators:** CBP requires a team of dedicated and well trained facilitators who fully understand the process and can carry it out efficiently and effectively.

**Adequate training:** A team of two people per ward should be trained who work closely with the local Ward Committee. Depending on previous experience and skills in facilitation, a training programme can take up to 15 days.

### Identifying facilitators:

Facilitators can be a mix of:

- **Ward facilitators** – either drawn from elected Ward Committee members or respected members of the community.
- **Municipal facilitators** – could come from different sectors of the municipality or technical government officials from district or provincial departments.
- **Service providers** – either working with the municipality on the IDP or on community participation issues such as NGOs.

## What does facilitation mean?

CBP involves identifying and training facilitators to work with communities to assist and support them in participating in planning in their community.

Facilitation includes facilitating meetings with community members. Facilitating meetings requires skills to encourage maximum participation. Facilitators need to:

- ask for and give information
- ask people for their views and ideas
- check if everyone agrees
- give everyone an opportunity to express themselves
- analyse problems
- reflect on the issues raised
- problem solve and seek solutions to challenges.

### Reference!

Chapter 4 of this module outlines the roles of the different stakeholders in more detail.

Local councillors or other Ward Committee members and technical staff can assist the facilitation team at different times in the planning process.



When developing priorities with the community it is helpful to encourage community members to think broadly and consider the short, medium and long term needs.

When planning consider:

- all sectors – that is economic, social, natural resources, environment, health etc.
- cross-cutting issues that impact on development
- thinking outside the box – it is often easier to refer a matter to a committee or build a clinic. Consideration needs to be given to the holistic picture. If a clinic is built without a health worker, medication etc. it will not be effective. This may lead the community to feel that CBP is ineffective.

### Challenges in undertaking CBP

#### Diversity

Communities are made up of people with different backgrounds, different interests, different cultures, religions, ethnic and income groups. Balancing and accommodating these different interests is a major challenge. Factors such as limited resources and access and control of resources add to these challenges. CBP facilitators need to ensure effective representation during the planning process and provide the opportunity for different interests to be expressed, debated and agreed upon. Their role is to create an environment that ensures maximum participation by groups in the planning process.

Consider the following principles to guide you in the division of the community in the ward when conducting CBP:

- capture the diversity in the plans (that is social, economic, cultural etc.)
- representation of all areas in the ward
- community involvement in the division of social groups – this ensures the input of local knowledge and ownership
- representation of marginal groups and analysis of livelihoods of marginalised groups
- ensure a balance between inclusivity/representivity – bear in mind what is practically manageable in terms of sample size
- include members of the different social groups at key meetings.



## Accountability and transparency

Feedback is important so that the community is kept up to date with progress and challenges. CBP requires continuous feedback and interaction so that everyone is updated on the progress and if necessary to find solutions to challenges. Feedback is important at all stages:

- the pre-planning phase – increases community awareness and elicits questions and suggested improvements, interest and participation
- the community launch meeting
- community meetings to set and agree on priorities
- regular public meetings to report back and monitor implementation.

## Geographical representation

Geographical representation needs to be taken into account to ensure that the process brings communities together. Launch and feedback meetings may need to be convened in more than one place so that a wider group is reached.

### 1.1.2 How do we participate?

CBP relies on community participation so that services are effectively responded to. The level and depth of participation is critical for CBP to work. It requires a commitment from stakeholders to actively participate for this to result in community action and empowerment.

Communities, organisations and people participate for different reasons and bring different skills and experiences that can help the process. The table on page 21 outlines the type of participation and what it involves.

Geographical representation is particularly challenging in large dispersed rural wards.

#### The ABC of locating a venue

- A – accessible
- B – big enough
- C – convenient

Interactive participation underlies the philosophy of South African democracy.



TYPE OF PARTICIPATION	WHAT THIS INVOLVES
Self-mobilisation	People participate by taking initiatives independently of external institutions for resources and technical advice they need, but retain control over how resources are used.
Interactive participation	People participate in joint analysis, development of action plans and formation or strengthening of local institutions. The process involves interdisciplinary methodologies that seek multiple perspectives and make use of systemic and structured learning processes. As groups take over local decisions and determine how available resources are used, so they have a stake in maintaining structures or practices.
Functional participation	Participation seen by external agencies as a means to achieve project goals, especially reduced costs. People may participate by forming groups to meet predetermined objectives related to the project. Such involvement tends to arise only after external agents have already made major decisions.
Participation for material incentives	People participate by contributing resources, for example, labour in return for food, cash or other material incentives.
Participation by consultation	People participate by being consulted and by answering questions. External agents define problems and information gathering processes, and so control analysis. Such a consultative process does not concede any share in decision-making, and professionals are under no obligation to take on board people's views.
Passive participation	People participate by being told what has been decided or has already happened. It involves unilateral announcements by an administration or project management without any listening to people's responses.
Manipulative participation	Participation is simply a pretence, with 'people's' representatives on official boards but who are not elected and have no power.

## 1.2 Policy background of community-based planning

Section 152, of the Constitution states that local government should provide 'democratic and accountable government' and encourages the 'involvement of communities and community organisations in the matters of local government'. CBP provides a mechanism for entrenching participation in planning and management at ward level. The President's State of the Nation address, 2006 placed emphasis on building capacity at local level emphasising that local government is a key site for service delivery and a catalyst for local economic development in the next decade.

**Reference!**

Section 152 Objects of Local Government

### 1.2.1 The White Paper and Municipal Systems Act, 2000

**The White Paper on Local Government, 1998** is a policy document that establishes the basis for a new developmental local government system. This new system is committed to working with citizens, groups and communities to provide for a quality of life and meet the social, economic and material needs of the communities. This means that municipalities need to structure and manage their administration, and budgeting and planning processes to prioritise basic needs of the community.

The White Paper identifies forums 'to allow organised formations to initiate policies and/or influence policy formulation, as well as participate in monitoring and evaluation and participatory budgeting initiatives aimed at linking community priorities to capital investment programmes'.

**The Municipal Systems Act, 2000** sets out the internal systems of municipalities that enable them to operate so that they move progressively towards the social and economic upliftment of local communities and ensure universal access to essential services affordable to all.

The Municipal Systems Act, 2000 therefore has participation as a central concept of Integrated Development Planning. Chapter 4 of the MSA outlines processes, mechanisms and procedures for community participation. For example, section 16(1) states that a municipality must 'develop a culture of municipal governance that complements formal representative government with a system of participatory governance' including report-back to the local community.

Section 29(b) of the Act discusses the process to be followed in developing an IDP specifying that the local community must be consulted on the development needs and priorities of the IDP as well as participate in its drafting.

The White Paper for Local Government, 1998 and the Municipal Systems Act, 2000 recognise that participation is one of the cornerstones of our democracy and that it has equal benefit for all involved at municipal level, that is, civil society, politicians and officials. It is premised on the understanding that:

- consultation plays a positive role in ensuring that more appropriate decisions are made based on the real needs of the community
- the more informed people are the more they will commit to making the IDP and other council plans work
- continual interaction with the community through feedback and reporting promotes accountability
- development and improved access to services requires a partnership with all stakeholders.

CBP is an effective way to promote ward level plans to promote community action.

Participation is a two way process giving responsibility to the local municipality to provide the necessary processes to enable consultation and participation to take place and at the same time Section 5 of the Municipal Systems Act, 2000 outlines the rights and duties of members of the community.

Municipalities need to develop mechanisms to ensure:

- citizen participation in policy initiation and formulation
- monitoring and evaluation of decision-making and implementation.

**Reference!**

Refer to the Guidelines for the Establishment and Operation of Municipal Ward Committees, government gazette No 27699, 24 June 2005

The Preamble of the MSA emphasises that local government must not only seek to provide services to all citizens but to be 'fundamentally developmental in orientation'.

CBP promotes other aspects of government policy such as Letsema and Vuk'uzenele, mobilising communities and citizens to take control of their environment through volunteering.

Some of the rights of members of the community include:

- The right to contribute to the decision-making of the municipality.
- The right to be informed of decisions of the municipality.
- The right to submit recommendations, representations and complaints.
- The right to receive prompt response.

Some of the duties of members of the community include:

- to observe the procedures of the municipality
- pay promptly for service fees, rates etc.
- comply with municipal by-laws.

### 1.3 Principles of community-based planning

Although the planning process is initiated and co-ordinated by the municipality, to be effective, the plan needs to be owned by the ward, represented by the Ward Committee. Municipalities empower their ward councillors and committees to facilitate a planning process that will 'enable each committee to generate a mandate for its term of office'.

The approach to CBP in this unit is based on the sustainable livelihood principles. These principles have their origins in the broader principles contained in the Millennium Development Goals outlined in the Millennium Declaration 2000 which states:

“ WE ARE COMMITTED TO MAKING THE RIGHT TO DEVELOPMENT A REALITY FOR EVERYONE, AND TO FREEING THE ENTIRE HUMAN RACE FROM WANT. WE THEREFORE RESOLVE TO CREATE AN ENVIRONMENT – AT THE NATIONAL AND GLOBAL LEVELS ALIKE – WHICH IS CONDUCIVE TO THE DEVELOPMENT AND TO THE ELIMINATION OF POVERTY. ”

More importantly paragraph 173 of the 2005 World Summit Outcome, Resolution adopted by the General Assembly highlights the 'important role that local authorities play in contributing to the achievement of the internationally agreed development goals, including the Millennium Development Goals'.

At the Millennium Summit in September 2000, all member states of the United Nations reaffirmed their commitment to sustaining development and eliminating poverty by adopting the Millennium Declaration. The Millennium Development Goals (MDGS) are the roadmap for meeting the commitments of the Millennium Declaration.

Goal 7: Ensure environmental sustainability has three targets:

- Target 9 relates to integrating principles of sustainable development into country policies and programmes and reverse the loss of environmental resources.
- Target 10 aims to halve by 2015 the number of people without sustainable access to safe drinking water.
- Target 11 aims to achieve by 2020 a 'significant improvement' in the lives of at least 100 million slum dwellers.

#### Reference!

Pg 2, Facilitators Guide for Community-Based Planning, AICDD and Development Works

Key principles in the sustainable livelihoods approach include:

- ensure the inclusion in planning of poor people
- systems need to be realistic and practical – this means that the planning process must be implementable using available resources within the district/local government
- planning must be linked to a legitimate structure, such as a Ward Committee
- planning should be part of an ongoing process that includes planning, implementable, monitored and evaluated and annual reviews
- planning must be people-focused and empowering
- planning must build on strengths and opportunities
- planning must be holistic and cover all sectors
- planning should promote mutual accountability between community and officials
- planning requires commitment by councillors and officials to plan and implement.

It must empower not paralyse the community.

Someone must be responsible to ensure that it gets done.

Principles of the sustainable livelihoods approach:

- people focused
- participatory and responsive
- based on strengths not needs
- holistic
- a partnership between stakeholders
- sustainable (economic, social environment and institutional)
- flexible and dynamic.

Applying the Principles of the Sustainable Livelihoods

Applying the Principles of Sustainable Livelihoods begins with understanding the livelihoods of different social groups in the community by considering their current situation in terms of assets they have or have access to, the challenges they face and their desired outcomes and opportunities. Identifying the challenges that people face and their outcomes is a basic tool in the CBP process. Consideration needs to be given to:

- What is the situation in the community?
- Who makes up the community and what are their livelihoods?
- What do we want to achieve?
- What strategies do we need to have in place to reach our goals?
- How do we implement our strategy?

**Reference!**

Applying the Principles of Sustainable Livelihoods Approach to CBP is outlined in Chapter 2 .

## Conclusion

This chapter outlined the objectives and principles of community-based planning and looked at how this approach is contained in policy for local government development. CBP is an integral part of development of communities, upgrading services and providing the practice for the policies outlined in local government legislation and making the Constitution a reality for citizens. The next three chapters will provide practical skills for applying CBP.

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two



## CHAPTER 1 ACTIVITIES

Time: 3 hours

Resources: Copies of 'Scenario: Luckytown'

Resources: White Paper on Local Government, Municipal Systems Act, 2000

This chapter provides the framework within which community-based planning takes place. Participants will consider the objectives, the practical implications of undertaking CBP, the principles and policy background to this approach. This chapter gives participants the basis from which to put in place CBP.

### ACTIVITY 1.1

#### What is local government?

**Facilitation method:** Plenary discussion, small groups

- Draw a circle on the flip chart and write the phrase 'community-based planning' onto the flip chart.
- Participants brainstorm what they think of when they hear that phrase.
- Record responses on the flip chart around the circle. Go through the objectives of the CBP relating them to some of the responses on the flip chart. Refer participants to Section 16(1) of the Municipal Systems Act, 2000 and draw the link with the contents of the Act in relation to CBP.
- Participants are divided into two groups and consider the following scenario and respond to the allocated question.
- Take responses from the groups, taking one group at a time and record the main points. Sum up by referring to the course notes pages 11 to 14 section 1.1.1.



Refer to the course  
notes pg 17.

#### Scenario: Luckytown

Luckytown is a small town in the Eastern Cape. In one part of town people live in well built houses on large plots of land. Some have their own boreholes and on some, owners have a few vegetables and fruit trees. Prior to 1994 this part of town was only inhabited by white people and subsequently a few families from the adjacent township have moved in.

The bulk of the residents live in either matchbox houses or backyard shacks. Many houses in this area have no electricity or running water. There are only three schools and two clinics for this area.



The town has very little industry and quite a large farming community around the town. There is high unemployment in the town. There are three farms that are collectively owned and the farmworkers get a share of the profits.

There is also an informal settlement which has started about five years ago. Water in this area is from public taps and there are only three taps in the area. Most of the residents in this area trade informally and many worked on farms until they were told to leave. There are no schools in this area.

Questions to be answered:

- **Group One:** Consider the practical implications of undertaking a CBP, including:
  - How would you approach the CBP plan?
  - Who would be involved?
  - What would you need in order to carry out the CBP?
- **Group Two:** Consider the reasons why different stakeholders would become involved in CBP.

## ACTIVITY 1.2

### Policy background of community-based planning

**Facilitation method:** Plenary discussion

- Refer to the Luckytown scenario and highlight the legislation that is in place to meet the challenges raised, highlighting that CBP is located in the White Paper on Local Government, 1998 and the Municipal Systems Act, 2000.
- Participants reflect on their Ward Committee as you highlight points
- Participants complete the checklist and discuss how their municipality compares.



**Discussion points:**

- The White Paper on Local Government, 1998 is a policy document that established the basis for a new development local government system.
- The new system is committed to working for citizens, groups and communities to improve their lives.
- Municipalities have to structure and manage their own administration, budgeting and planning to prioritise basic community needs.
- The MSA, 2000 sets out the internal systems of municipalities that will enable them to fulfil the objectives of the White Paper.
- The preamble to the MSA emphasises that local government must be 'fundamentally developmental in orientation'.
- Participation is a central theme.

Refer to the course notes pg 17.

Complete the checklist and compare your responses to your own situation.

Refer participants to the White Paper for further information and the Municipal Systems Act.

Checklist:

1. Have I read or had a presentation about the contents of the White Paper on Local Government, 1998?  Yes  No
2. The White Paper identifies forums that allow organised formations to initiate policies and/or influence policy formulation. Does my municipality have such a forum or forums?  Yes  No
3. Does my Ward Committee make input to the Integrated Development Plan?  Yes  No
4. Do I consult the community about their needs and priorities?  Yes  No
5. Does my municipality have regular meetings with citizens?  Yes  No
6. Do my neighbours know who the ward councillors are?  Yes  No

## ACTIVITY 1.3

### Principles of sustainable livelihoods approach

See pg 24 of the course notes.

**Facilitation method:** Pairs

- Participants work in pairs and read through the key principles on sustainable livelihoods approach.
- Allocate a principle to each pair (you may have to give the same principle to more than one pair depending on the number of participants you have) and consider how they would apply the principle in their community.
- Take responses and record.
- Sum up by highlighting the Millennium Development Goals and how local municipalities, together with the community, need to find ways of working to meet these goals.



Consider the following principles and how you would apply them in your community.

Key principles in the sustainable livelihoods approach:

- ensure the inclusion in planning of poor people
- systems need to be realistic and practical – this means that the planning process must be implementable using available resources within the district/ local government
- planning must be linked to a legitimate structure, such as a Ward Committee
- planning should be part of an ongoing process that includes planning, implementable, monitored and evaluated and annual reviews
- planning must be people-focused and empowering
- planning must build on strengths and opportunities
- planning must be holistic and cover all sectors
- planning should promote mutual accountability between community and officials
- planning requires commitment by councillors and officials to plan and implement.

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two



# CHAPTER 2

## Community-based planning and the municipal integrated plan



### INTRODUCTION

COMMUNITY-BASED PLANNING is a ward-based planning approach that tries to break down the Municipal Integrated Development Plan to the ward level. CBP is a process that makes municipal plans more relevant to local conditions. It is a mechanism to increase community involvement in these processes, identify appropriate issues and control of service delivery. The IDP has its origins in the impact of social inequalities of the past where some communities were well resourced resulting in inequities in development and service delivery. This requires careful planning, co-ordinating and monitoring of these plans. Government uses the IDP to address the inequalities and to ensure that development responds to the needs of the community. Community-based planning is a process that facilitates a community response to the IDP. An IDP looks at existing conditions and facilities, challenges and needs and available resources to find suitable solutions to address the needs of communities

### 2.1 Participation envisaged in the IDP

The CBP methodology provides municipalities with the means to strengthen the participatory aspects of their IDP. In this way CBP assists municipalities to give greater effect to the requirements of the White Paper and the Municipal Systems Act, 2000.

The IDP methodology provides for participation as part of the planning process through specific structures. These include the Representative Forum, project task teams and strategy events. The Act also makes explicit the requirement for ward-level consultation. It specifies the need for the public to contribute to plans and to comment on the performance of the municipality.

IDPs are necessary to address:

- inequalities between rich and poor
- high unemployment rates
- inadequate housing for the majority
- poor quality, or no, service delivery.

Chapter 2 is based upon *Community-Based Planning and the IDP, Guide 2: Facilitators Guide for Community-Based Planning and Guide for Decision-Makers* developed by AICDD and Development Works.

Community involvement in the IDP allows for a shift from citizens being passive consumers of services to active citizens that are able to participate in meeting their development priorities.

Participation in the IDP serves four major functions:

- needs orientation to ensure that people's needs and problems are taken into account
- appropriateness of solutions by using the knowledge and experience in the community to arrive at appropriate and sustainable interventions
- promoting community ownership
- empowerment and increased transparency and accountability of local government towards local residents.

Ward Committees are the organisational framework (as well as stakeholders associations) and should be represented on the IDP Representative Forum and in relevant IDP task team.

Linking CBP and IDP creates the opportunity for cementing the IDP in the local context and to give meaning to the participatory requirements of the Municipal Systems Act. Two basic methods for linking the CPB and IDP processes can be applied:

- Firstly, by using the outputs of either process (i.e. the ward plan and the IDP) to inform the planning activities occurring in the other process
- Secondly, by ensuring that participants in the CBP process are represented in IDP events through structures and processes currently provided for in the IDP methodology contained in the IDP Guide Pack, particularly the IDP Representative Forum and the project task teams.

An IDP needs to take into account that:

- all citizens are equal therefore planning must be based on the constitutional principles of equality and the guarantee of certain human and socio-economic rights
- effective use of resources for the benefit of all citizens
- participation by the community in IDP planning.

Community-based planning can contribute to an effective integrated development planning process.

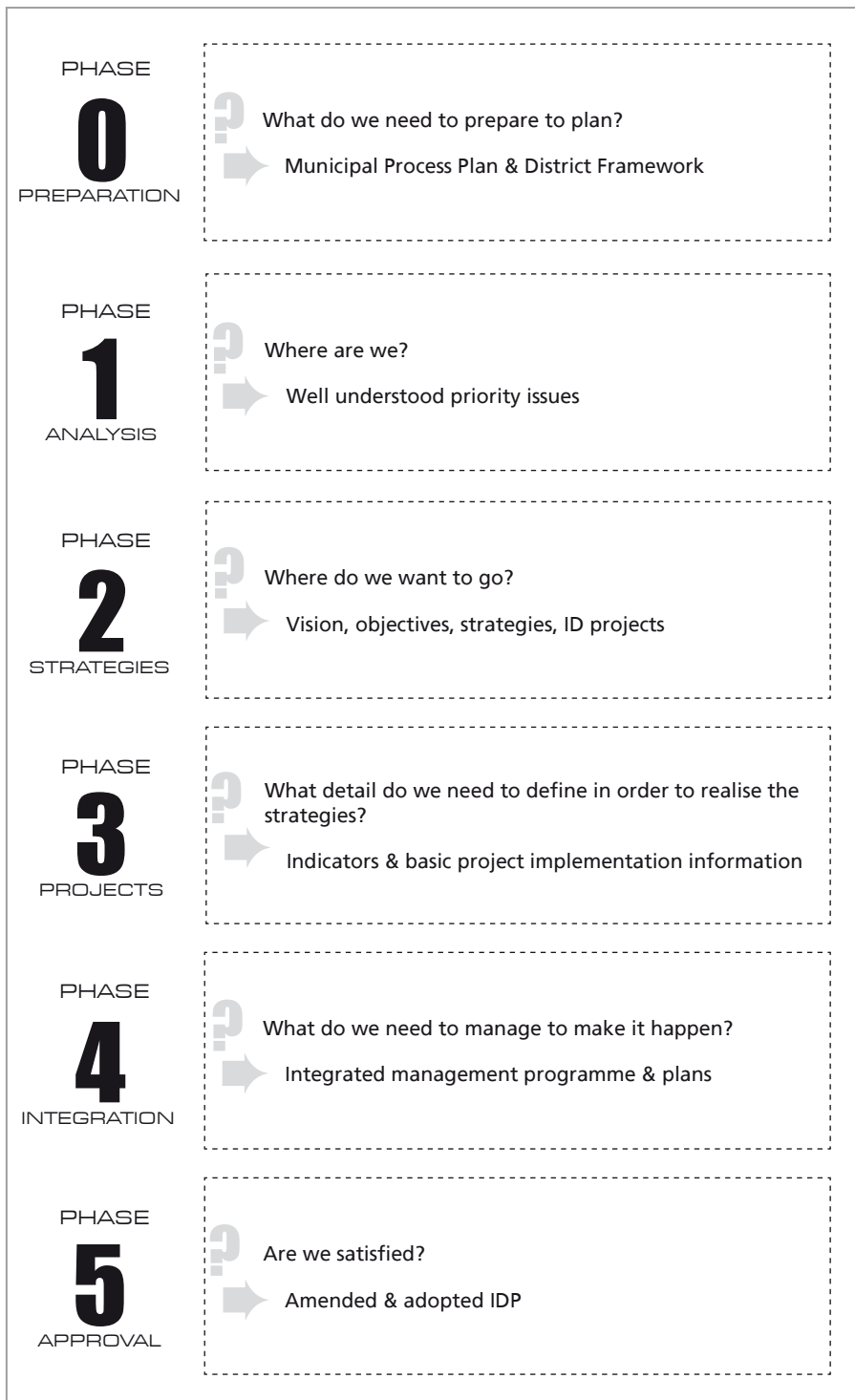
## 2.2 Phases of the IDP

The IDP is a vital tool for using the resources available to meet the wider needs in an area. It helps a municipality identify the needs in the different sectors, such as water, health, transport, community, and safety, and how it can respond in a co-ordinated way. Modules 1 and 3 of the NQF 2 Qualification for Ward Committee Governance outlines the IDP in detail

Municipalities have to prepare an IDP that covers a five year period. The planning and implementation process is organised in five phases briefly outlined below. It is important to be familiar with the phases in order to link the CBP cycles to that of the IDP. Integrated development planning is a process where municipalities prepare a strategic development plan for a five year period. The IDP is a product of the integrated development planning process.

PHASES OF THE IDP PLAN

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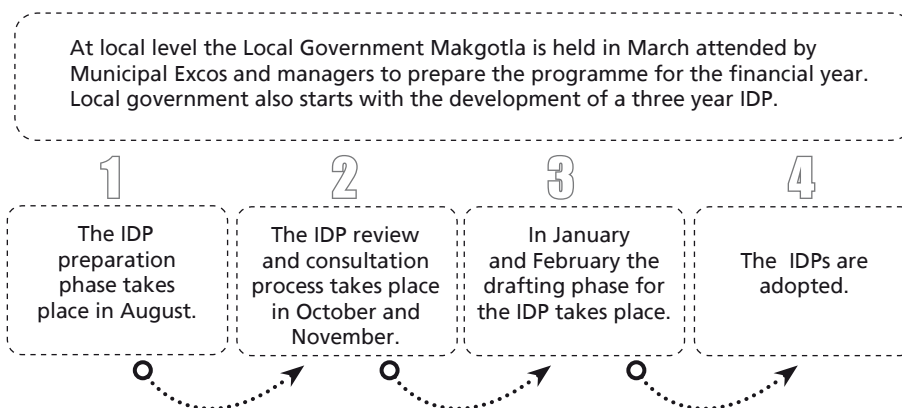


### 2.3 Linking the CBP and the IDP

Linking the CBP and IDP outputs is a cyclical process. The cycle of activities outlined in CBP needs to link to the IDP cycle. This is necessary as the CBP tries to ensure that communities' needs are identified and included in the IDP. As the IDP is meant to reflect the priorities of the community, if these cycles are not aligned communities can become disillusioned with the CBP approach to planning.

The IDP cycle has its beginning with the National Cabinet Lekgotla and the Provincial Exco Makgotla which are held at the beginning of each year. These meetings develop the Programme of Action (PoA) for the year and broad medium-term issues. These events are followed by the presentation of the President's State of the Nation address, State of the Province addresses and the budget speech.

CBP AND IDP

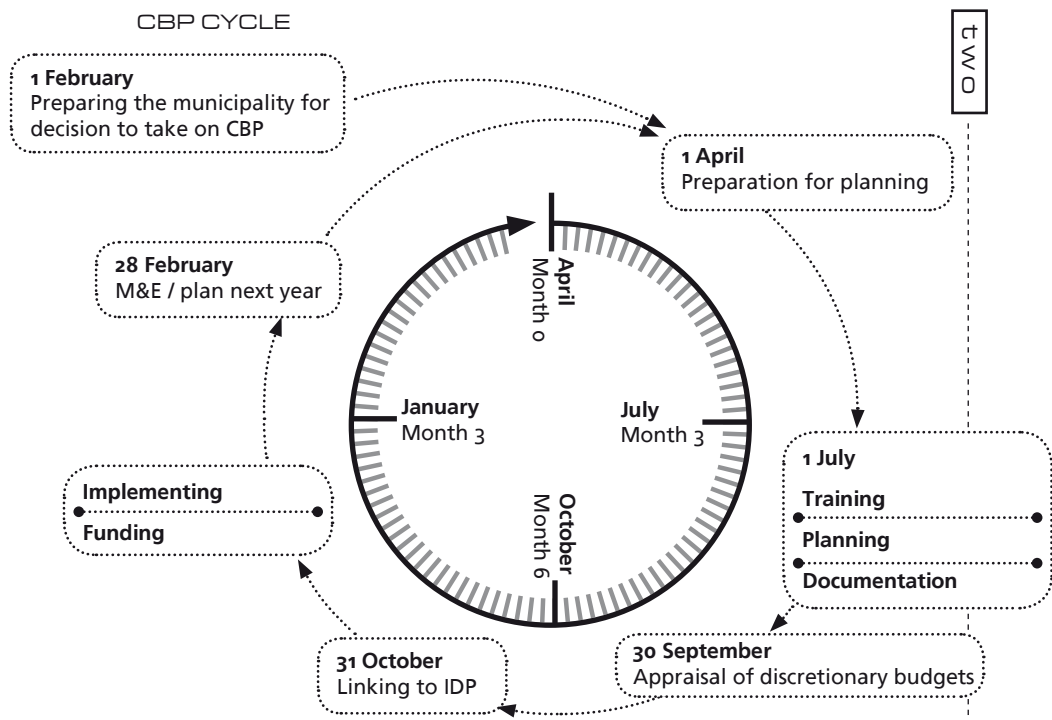


The table below outlines the schedule for CBP and IDP.

MONTH	ACTIVITY	CONTENT
1 Jan to 1 April	Meetings with council and senior management	<ul style="list-style-type: none"> <li>Discussing costs, benefits and preconditions for CBP</li> <li>Deciding whether to take on CBP</li> <li>Clarify roles and responsibilities for CBP</li> </ul>
1 April to 30 June	Preparing for planning	<ul style="list-style-type: none"> <li>Plan/content/duration/planning cycle for CBP</li> <li>Process for developing the ward plans</li> <li>Running training for CBP manager, specialists, councillors, sector staff</li> <li>Packaging IDP information for CBP</li> </ul>
July	Training of facilitators	<ul style="list-style-type: none"> <li>Training of facilitators from municipality, Ward Committees (and if appropriate NGOs and CBOs)</li> </ul>
August	IDP process plan	<ul style="list-style-type: none"> <li>Process plan developed and approved by council</li> </ul>
August to September	Ward planning	<ul style="list-style-type: none"> <li>Ward planning in all wards</li> <li>Documentation</li> </ul>
October	Appraisal of ward discretionary budgets	<ul style="list-style-type: none"> <li>Ward plans reviewed and discretionary budgets approved</li> <li>Questions sent to technical departments</li> </ul>
November to February	Linking to IDP	<ul style="list-style-type: none"> <li>Packaging CBP information for IDP</li> <li>IDP process underway</li> </ul>
	Implementation of ward plans by wards	<ul style="list-style-type: none"> <li>CBP implementation</li> </ul>
May	Approval of IDP and budgets by council	<ul style="list-style-type: none"> <li>Council approves IDP and budget inclusive of relevant CBP project proposals</li> </ul>
June	Feedback to community	<ul style="list-style-type: none"> <li>Feedback to community on CBP projects included in the IDP and budget</li> </ul>
July 2004	IDP implementation	<ul style="list-style-type: none"> <li>Implementation of IDP projects and programmes (including those drawn from ward plans)</li> </ul>

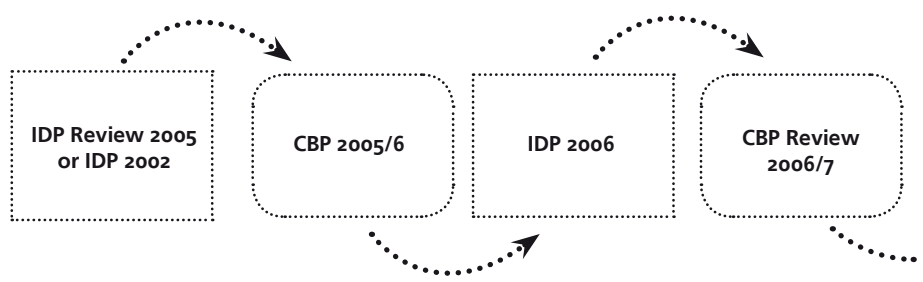
Draft National Policy Framework for Public Participation 2005, pg 10





The diagram below outlines the CBP process and its link to the IDP.

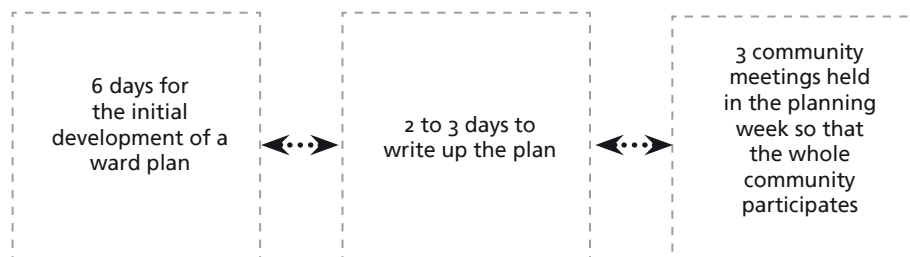
**CYCLE OF CBP AND IDP**



## 2.4 Developing a ward plan

Developing a ward plan takes time and requires careful planning. The process includes a situational analysis (two days), consolidation of information (one day), planning the process (one day) and planning implementation (one day). Facilitation of the planning process takes place by trained Ward Committee and municipal facilitators.

The AICDD community-based planning course suggests the following:



Key issues to be tackled include:

- unique priorities for the specific community
- identifying and prioritising outcomes and key risks
- finding ways then to plan how to address these.

Discretionary funds are provided by the municipality to facilitate implementation of the plan. The funding of communities directly encourages ownership of programmes of action and builds a sense of responsibility. Management, monitoring and budgeting skills are also developed.

Wards plans should include:

- specific targets for service delivery and infrastructure development which can be monitored through properly defined ward indicators
- reporting systems to council and line departments should accommodate periodic feedback guided by these ward indicator reports
- the presentation of the Annual Report to council should make special provision for a summary report on Ward Committee feedback.

### Reference!

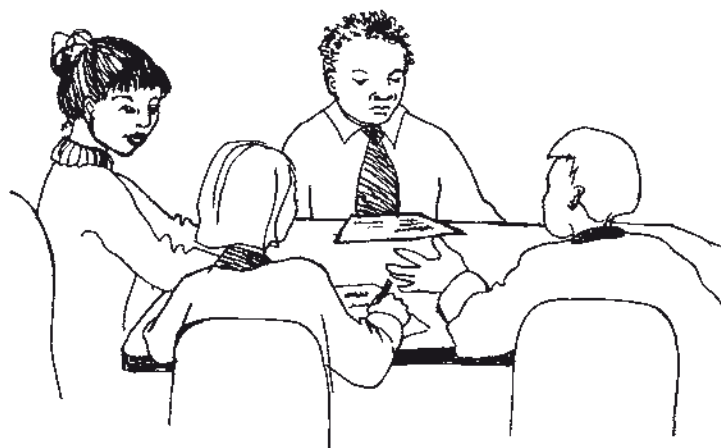
*Community-based planning and the IDP: A Guide for Decision-Makers, 2005, AICDD and Development Works, pg 12*

The following are important considerations to take into account when developing a ward plan

- The dates when the municipality will be holding consultations that you may wish to participate in, such as the idp and the annual budget.
- The most important issues for the community – What can the ward committee do to assist? When should you do this?
- What projects does the ward committee wish to undertake? Consider such things as local economic development projects, training home-based care givers? Could we do these projects with other community organisations?
- What community forums, e.G. Health or community organisations does the ward committee want to be represented on?
- Which community organisations or municipal departments do we want to invite to do a presentation to the ward committee or to a constituency meeting?
- Which ward committee members should be given the responsibility to do the tasks?
- What are the deadlines for completion of the tasks?
- What are the most urgent or important tasks that we want to do first? What can wait a bit longer?

**Reference!**

*Handbook for Municipal Councillors, SALGA and GTZ, March 2006*



## SAMPLE OF A WARD PLAN

The diagram below summarises the process for developing a ward plan.

DAY	EVENTS	ESSENTIAL	WHOM
<b>PRE-PLANNING</b>			
0.5 days	1: Pre-planning meeting at least one week before the planning starts	X	Ward Committee plus representative group of local leaders
	3: Compiling background information IDP summary presented		
Evening on Thursday/Friday before	2: Community launch meeting (presentation of IDP summary and background information)	X	Broad community group
<b>PLANNING (UP TO 3 DAYS)</b>			
<b>Day 1</b> (gathering information)	Review of progress against last year's plan		
	5: Timeline (reviewing since last plan)	X	Smaller community group
	8: Changes in services with Venn	X	Smaller community group
	16: Verification of SWOT and prioritisation	X	Broad community
	Organising with service providers to participate in planning		
<b>Day 2 Planning</b> (replanning the future)	17: Reconciliation	X	Facilitators, Ward Committee and working groups with selected participants to be relevant to each objectives, including service providers
	19-21: Confirm objectives (19), review strategies (20), update projects and activities (21)	X	
<b>Day 3</b> (preparing implementation)	22: Develop IDP submissions	X	Facilitators plus Ward Committee
	23: Develop project concept sheets		
	24: Budget for discretionary funds	X	
	25: Develop action plan	X	
Evening	26: Community meeting to approve plan	X	Broad community group
<b>DOCUMENTATION (WITHIN NEXT WEEK OR BY DEADLINE)</b>			
(Writing)	27: Completing writing up the plan	X	Facilitation team plus other community
	28: Submission of plan and approval of budget	X	Core facilitation team
<b>FINALISATION (0.5 DAY)</b>			
After local authority review of community plan	29: Feedback to community before implementation	X	

## 2.5 The ward plan in relation to the IDP

The ward plan is the foundation of the CBP process in ensuring community participation in the IDP. It is important that a reasonable quality of document is produced so that the plan can contribute effectively to the IDP.

The plan is a tool for defining where the community wants to go, for making proposals to the IDP, for monitoring progress in implementing the plan, and can be updated annually as projects move forward, and new priorities emerge. When the plan is developed, ownership can be improved by considering how else the contents can be communicated to a broad range of community groups, including summaries of local languages, posters, drama. This should be discussed at the community finalisation meeting. It is essential that key elements such as the vision and objectives are translated into the language of people in the area.

CBP establishes a participatory process for getting input from the community and planning around grassroots issues and how this information can relate to the broader municipal planning perspective. Below is an example of an outline of the ward plan and relevant for the IDP.

### Plan details

The main parts of the ward plan must take the following into account:

1. Cover and/or endorsement page (with key signatures).
2. How did we make the plan (the process we went through)?
3. What is the situation in our community (background, livelihoods of different groups, services, state of the environment)?
4. What is important about the situation in our community (key issues emerging from consolidated information around desired outcomes of the community)?
5. What do we want to achieve (the vision, objectives and the strategies and projects/ activities to reach the objectives)?
6. Implementing our plan (summary of who needs to do what for our projects and activities).
7. Project concept sheets.

The plan must include information about the community, the events in the community and the tools and methods that can be used to generate the information needed. On the following page is an example of a plan and how it should be written up. This is done to give a picture of the content of what the ward plan should include.

Remember that a plan written in only one language will have only limited readership and use in the community.

Linking the CBP with the IDP creates the opportunity to ensure that the IDP is grounded in the local context and gives meaning to the participatory requirements of the Municipal Systems Act, 2000.

Let's look at the plan in more detail.

SECTION	SECTION HEADING	CONTACTS	RELEVANCE FOR IDP YEAR 1 & 2	RELEVANCE FOR IDP YEAR 3
1	How did the ward make its plan?	A decision of the planning process		
2	What is the situation in the ward?	General background on the community (basic statistics and historical trends)		*
		Livelihoods of the different socio-economic groups – poverty and gender data-sheet	*	*
		Overview and assessment of services provided in the ward		*
3	What is important about the situation?	Consolidated SWOT by outcome		*
		Environmental data-sheet	*	*
		Prioritised outcomes in the ward	*	
4	What does the ward want to achieve?	Vision		
		Objectives as per priorities outcomes	Possible	*
		Projects and activities	*	*
5	Implementing the plan	Summary of action plan for implementing projects and activities	*	*
<b>Annexure sheets</b>	Project concepts	Project summaries for projects to be submitted to the IDP	*	*

### Endorsement

#### Reference!

More details of each step of the plan are outlined in Chapter 3

On the first page of the plan, there should be the name of the ward, date and endorsement for which a suggested format is shown.

A suggested format could be:

SIGNED AS AN APPROVED PLAN PRODUCED BY WARD 27, OF X MUNICIPALITY  
 Councillor's name: ..... Signature: ..... Date:.....  
 IDP manager:..... Signature: ..... Date:.....  
 Office of the Speaker: ..... Signature: ..... Date:.....

### Step 1 – How did we make the plan?

Draw from secretary's minutes, community records and facilitator's notes.

This section records what the facilitator/s did to develop this plan and who was involved. In this section the facilitator/s lists the meetings held and the name/number of participants and facilitators.

**For example:** 54 people participated in the planning process. Groups included employed – blue and white collar workers, self-employed, unemployed, single women with children. A member of the Ward Committee, Ms Mofolo and the local councillor, Ms Smith, attended all the sessions. The facilitators were Mr Jones and Ms Mpefu. Mr Mars from **dplg** attended and a town planner Mr M Zungu attended.

**Step 2** – This section asks the question, what is the situation in our community?

This is necessary as it will help you identify the needs of the community. It records the different social groups in the community, the types of livelihood, who the most vulnerable groups in the community are, the main activities and who the service providers are.

The events section will include information such as:

- date the town was established, the impact of the establishment of the town and the implications
- major events such as floods, or fire, the impact and the implication.

What are the major events or trends that have happened in our community over the last 30-50 years?

e.g.

The timeline below shows some of the major events affecting a Bloemfontein community in the Free State as an example.

YEAR	EVENTS	IMPACT	IMPLICATIONS
1846	Bloemfontein established	Introduction of organised development around a centre of business	Increased production from the farmers around supplying the town residents
1904	Severe storm and bad floods	Many houses badly damaged	Policy with regard to building near rivers and marshes to avert disasters
1916	First Post Office in Batho, a multi-purpose office including administration	Increased communication	Movement of information increased
1927	Establishment of Bantu High School (now Sehunelo). The only high school in Mangaung was in Ward 2. Bochabea and Batho already existed, while the rest was veld with cheetahs	Increased numbers of educated. Higher attendance of children because of reduced distance to school	Reduction of distances to school very beneficial for school attendances
1936	Severe storm and bad floods	Many houses badly damaged, Bloemfontein not accessible for three days	Reinforced the need to have policy in place with regard to building near rivers and marshes to avert disasters
1943	Beginning of community-based birth care attendants.	Delivery of healthy babies by semi-trained health workers	Community-based services are possible and can be encouraged

The diagrams that follow are divided into three headings, namely:

- Issues to cover – under this heading – list what you want to do.
- Event – under this heading – list how you are going to do it. The number referred to under this column can be found in the *Community-Based Planning Guide 2*. For example 2.1.1 refers to the number 3. This can be found on page 33 of the Guide.
- CBP Tool – refers to the tool contained in the *Community-Based Planning Guide 2*, for example reference is made to CB Tool 12 under 2.2.1. This can be found on page 53 of the Guide.

### Background to the community

ISSUES TO COVER		EVENT		CBP TOOL
Describe the community (administrative unit, tribal/ethnic make-up, statistics on people, numbers, employment, etc.)	3	Existing background information	3	A ward statistics provided
	3	Analysis of existing background information		IDP Summary
What are the major events or trends that have happened in our community over the last 30-50 years (before major changes happened)?	5	Timeline	5	
	7	Long-term trends	7	
	11	Mapping	11	
Provide a map of the community area	10	Transect	10	
	11	Mapping	11	With map from community

e.g.

### Who is our community and what are their livelihoods?

ISSUES TO COVER		EVENT		CBP TOOL
What are the different social groups in the community and what are their livelihoods?	2	Community planning launch meeting		
	12	Livelihoods analysis	12	
Has this changed in the last few years?	5	Timeline	5	
	12	Livelihoods analysis	12	
Which are the most secure and most vulnerable groups? What are the characteristics of people with different levels of well-being in the community (e.g. very poor, poor, average, well-off) How do different socio-economic groups fit into the well-being categories? (e.g. elderly mostly are in very poor)?	1	Pre-planning meeting		15A, 15B, & 15C
	15	Consolidated SWOT on outcomes		
Summarise with poverty and gender data sheet	1	Preplanning meeting		1A & 1B
How does this vulnerability change in the year?	6	Seasonal trends	6	

e.g.

### Activities and services in the community

ISSUES TO COVER		EVENT		CBP TOOL
What are the main activities and projects in the community?	2	Community launch meeting		
Which service providers come to the community and how good is the service? Which groups receive which services?	8	Venn on services	8	
	9	Interviews with services providers	9	
	12	Livelihoods analysis	12	

e.g.

## 3

Step 3 – This section asks the question what is important about the situation in our community?

It will provide a picture of the reality on the ground that will assist in formulating the IDP. It identifies the main outcomes that the community wants from the process, the strengths and weaknesses that will assist or hinder the outcomes and the spatial reality, e.g. grazing land available, extent of pollution and where it is situated.

#### Reference!

Chapter 2 provides an example of a spatial/environment data sheet



What is important about the situation in our community?

ISSUES TO COVER	EVENT	CBP TOOL
What are the main outcomes the community has identified?	15 Consolidated SWOT on outcomes	15 B
What are the main strengths, weaknesses, opportunities and threats in relation to the outcomes identified?	15 Consolidated SWOT on outcomes	15 C
What are the spatial strengths, weaknesses, opportunities and threats (shown on environmental and spatial data sheet)?	13 Spatial and environmental data sheet	13

e.g.

## Step 4 – What do we want to achieve?

(The vision, objectives and the strategies and projects/activities to reach the objective.)

A vision is ‘the dream’ of the community, where the community would like to be. It takes considerable time to agree on a vision, especially as the dream of citizens may be very different depending on the social and economic background of that particular person.

Developing objectives is the next step as this sets out how the community will achieve its vision. Objectives need to be specific, realistic and short enough for people to see the benefits. A realistic timeframe to set objectives is over a three year period.

The strategy is the process, or the way, that the objectives will be met.

What do we want to achieve?

### A vision for .....Ward

ISSUES TO COVER	EVENT	CBP TOOL
What do we want to see happen – what are our (realistic) hopes and dreams for the future for our community? For example: By 2006 we will be a vibrant community where people like to live and work, people are well-fed, able to access health and education services...	18 Visioning	

e.g.

#### Example of vision based on prioritised outcomes

By 2010, Ward 10 is a safe and secure place, with people living in good houses, people are healthy and HIV/AIDS has decreased significantly, many are skilled and self-reliant, and generating viable income from a strong economic base.

### What are our objectives? (Objectives – will be several, typically around five)

ISSUES TO COVER	EVENT	CBP TOOL
List all the prioritised objectives e.g. health of community improved, especially for under fives and the elderly.	19 Developing objectives	

e.g.

Turning outcomes into objectives

Outcomes:

- youths need awareness about HIV/AIDS
- the partners of the single mothers lack awareness about use of condoms
- the orphans need assistance
- the elderly need support to care for the orphans.

Objective statement:

By 2007 the HIV/AIDS infection rate has been reduced amongst the youths and young mothers by 20% in Ward 10, 75% of the HIV/AIDS orphans are healthy, attending school regularly and the elderly are well supported in looking after the orphans.

**What strategies shall we adopt to achieve our objectives?**

e.g.

ISSUES TO COVER		EVENT	CBP TOOL
LIST OF STRATEGIES For each objective what are the main things we need to do (strategies) to achieve the objective? (e.g. reduce incidence of malaria, ensure safe drinking water)	20	Developing strategies	20
What are the projects/activities we will do for these priority strategies?	21	Developing projects/ activities per strategy	

Developing strategies to achieve an objective

Objective:

By 2007 the HIV/AIDS infection rate has been reduced amongst the youth and young mothers by 20% in Ward 10, 75% of the HIV/AIDS orphans are healthy, attending school regularly and the elderly are well supported in looking after the orphans.

Strategies:

- targeted HIV/AIDS awareness campaigns
- capacity-building amongst the youths and young mothers
- promote volunteerism among the youth
- improve support for HIV/AIDS orphans.

# Step 5 – Implementing our plan

(Summary of who needs to do what for our projects and activities.)

MODULE TWO

## Implementing our plan

ISSUES TO COVER	EVENT	CBP TOOL
Budget for discretionary funds The budget for the discretionary ward funds being provided by the local authority to help the community take their plan forward (e.g. R50 000)	24 Discretionary funds budget	24
Projects for submission to IDP Larger projects, or those requiring support, being submitted for consideration for the IDP for funding by the municipality or other service providers	22 IDP submissions	22

**e.g.**

### Plan of things we need to do in the community to take forward our plan

Once a plan is drawn up identifying what the community needs, an action plan of the immediate activities must be developed so that the community can take their own development process forward. This may involve allocating discretionary funds that are already available, actions the community has to take to get other projects moving, as well as purely local activities such as organising a festival, litter-picking event etc.

The Ward Committee will be responsible for this and will need to produce a monthly report against this action plan.

ISSUES TO COVER	EVENT	CBP TOOL
Development of action plan for Ward Committee	25 Action planning	25

**e.g.**

**Reference!**  
Project concept sheets are discussed in more detail in Chapter 3.

# Step 6 – Project concept sheets

Project concept sheets are the ‘paper work’ that needs to be prepared and submitted to the council or sectoral departments. They are a record of what has been agreed upon so that all stakeholders can monitor the progress.

## Ward plan schedule

A schedule is a useful tool that will assist the facilitator/s to plan the steps that will be undertaken to achieve the ward plan. The CBP schedule may differ depending on the community that the facilitator is working with. For example, in a commercial farming area it may be necessary to have more activities in the evening that involve the community, but schedule meetings with the Ward Committee during the day. In a community where most of the residents are professionals or in business it may be difficult to get participation from the

- Concept sheet checklist**
- Objectives
  - Location in ward
  - Timeframes
  - How was the project identified and by whom?
  - Who will benefit?
  - How many will benefit?
  - Describe the project.

community due to work pressures. Facilitators may need to plan for only one or two evenings to bring residents together and do other planning during the day. The length of time required for planning can be reduced if a situational analysis has been completed or partially completed as this can save time on this aspect.

The CBP process should occur prior to the initial steps of the IDP planning and review process so as to inform the IDP in each municipal area. The planning needs to be specified and detailed in each municipality. In the illustration of a schedule for undertaking CBP as part of the planning cycle, the budget is highlighted. This is because the budget is fixed at its annual scheduling.

-----  
THE APPROVAL OF THE BUDGET IS THE KEY MILESTONE FOR DETERMINING  
WHEN THE IDP AND THE CBP PROCESSES CAN HAPPEN.  
-----

A more in depth schedule will be required outlining the detail for each event, indicating the number of days, (reflected in the month of the overall schedule) each activity that needs to take place for that event, the level of importance for that activity, and with whom you need to undertake the activity.

The dates, times and event will change depending on the requirements of the community that you are interacting with.

## Conclusion

The community-based planning approach requires careful and systematic planning to ensure its success. It takes time and commitment and requires the support of the Ward Committee, councillors and municipal officials. CBP is an effective tool to give effect to the intention of the Municipal Systems Act, 2000.



## CHAPTER 2 ACTIVITIES

Time: 2 hours 30 mins

Resources: Copy of the municipality Integrated Development Plan, *Community-Based Planning and the IDP Guide 2* (AICDD and Development Works), PowerPoint (optional).

### ACTIVITY 2.1

#### Overview

**Facilitation method:** Plenary discussion

- Ask participants if they are familiar with their municipality's IDP. Take responses. If participants are familiar with their IDP ask them what the IDP contains. Record on the flip chart. If you have copies of participant's municipality IDPs, invite participants to look at the IDP and see if it contains the items raised by participants.
- Referring to page 33 in the course notes take participants through each of the points. Start with the phases of the IDP plan. Take a few minutes to go through the phases of the IDP explaining that it is necessary to be familiar with the IDP as the cycle of CBP links to that of the IDP.
- Use the PowerPoint if you have a data projector available, alternatively write up each phase on the flip chart and refer participants to the diagram in the course notes on page 35.
- Using the diagram on page 35 of the course notes (use the PowerPoint if available, alternatively use the course notes as a reference and construct the diagram on the flip chart each phase at a time), explain that the CBP cycle should link to that of the IDP. Highlight that the reason is because the CBP tries to ensure that the community's needs are identified and included in the IDP. The CBP and the IDP are cyclical processes and should be aligned.
- Explain that the CBP process requires the development of a ward plan as the ward plan is a tool to ensure that citizens' views and priorities are included in the IDP.
- Participants think about what the key issues of a ward plan would be. Record responses.



If you do not have copies of the IDP and/or participants are not familiar with the IDP go through the phases on page 33, explaining each phase and show how each phase impacted on their IDP. If participants are familiar with their IDP then highlight the phases and ask them how they participated in each phase.

Participants who have been through Module 1 will have a sound basis of the IDP.

Refer to pg 36 of the  
course notes .

If the following are not included then add to the list:

- unique priorities for that community
- identify and prioritise outcomes and key risks
- find solutions to the outcomes and risks.

Questions to be answered:

- What does an IDP contain?
- What are the key issues that a ward plan should include?

## ACTIVITY 2.2

### Constructing the ward plan

**Facilitation method:** Group work

- Participants practice each step of constructing the ward plan in a role-play. The assigned facilitators facilitate the process, groups record their information on a flip chart and each group is invited to present to the plenary .
- Participants work in groups of eight.
- Assign two people in each group to be the facilitators. The remaining participants in the group are the community members.
- Use the course notes to help you explain each step by guiding the groups through Steps 1 to 5. Then invite them to share their information. There will not be sufficient time for all groups to share each step, invite a group to share one step, e.g. step 1 with the group, another group to share step 2, another group to share the first component of step three etc. After each step explain, add additional information and supplement with correct information where necessary. This can take a long time, but use each group's input as a way of expanding where necessary.
- Endorsement: The endorsement is the 'agreement' between the parties. Explain and demonstrate that the endorsement will contain:
  - the name of the ward
  - date on which the plan is agreed
  - signature of community representative.



Refer to pg 40 to 46 of the  
course notes

## Step 1: How did we make the plan?

- Explain that this section of the ward plan records what the facilitators did to develop the plan and who was involved. Give each group a few minutes to record the names of the 'facilitators' and the names of other participants who are the community members.

## Step 2: Community situation

- This step paints a picture of the community, who is the community, that is, the social groupings, the sources and types of livelihood of the community, the main activities of the community and the service providers. The section in the ward plan is divided into three compartments. Firstly, the background to the community and the major trends; secondly, who is the community (social groups) and what is their livelihoods; and thirdly activities and services.
- Before undertaking this step, facilitators would need to have a copy of the IDP so that they can identify overall priorities of the IDP. If participants have a copy of the IDP, give them five minutes to list the details from the members and record it and to identify one priority from their IDP.
- Do this section in three phases to ensure that each step is covered.

### Firstly

Who is our community and what is their livelihood? 'Facilitators' must obtain this information from their group and record it. The group must describe their group, taking into account the number of people in their group, if they are employed and what is their employment, if not how many are not employed, the ethnic make up of the group.

### Secondly

The group, led by the 'facilitators', must outline the different social groups in their community and record them on the flip chart, and briefly what, if any, changes have taken place in the social make up of their community in the past few years and list the most vulnerable and the most secure groups, e.g. secure could be the professionals, and vulnerable the new job seekers.

### Thirdly

The group, led by the 'facilitators', should outline the main activities and projects in their community and who the service providers are.

## Step 3: What is important about the situation in our community?

- This step of the development of the ward plan identifies the main outcomes that the community wants and how realistic these outcomes are in terms of available resources. Take participants through the step explaining to them what each component of the step covers. Refer to page 13 of the *Facilitator's Guide for Community-Based Planning* and show participants how to find the information in the Event and CBP tool boxes.

Explain that when this is done in the community the person writing it up can use the secretary's minutes, community records and facilitator's notes for information if necessary.

This information is necessary to identify the needs of the community. This information includes statistics and reports, which provide a background for the ward.

### Reference!

Refer participants to pgs 12 and 33 of the *AICDD Facilitators Guide for Community-Based Planning* for more detail

#### Step 4: What do we want to achieve?

- This section of a ward plan includes developing vision for the community, identifying the objectives and designing a strategy for each objective.
- Ask each group to agree on a vision for their community. Explain that drawing up a vision is an important part of developing a ward plan as the vision is the 'dream' of the community. It looks at where the community wants to be in the future. Explain that this exercise takes time and when working with the community to develop the ward plan sufficient time must be given to do so. Refer to steps 1 to 3 and highlight that these steps give the CBP facilitator a picture who the community is, given that the community is made up of different social formations, economic groups etc., coming to a common vision takes time, patience and careful management of the group.
- Remind participants that we are using this activity to make participants aware of the challenges in developing a ward plan and that we do not have time to go through each phase in detail, therefore we will only be able to spend 10 to 15 minutes on this step, but that groups should come up with a vision within this timeframe. If they are not able to complete their vision they should go as far as they can.
- Now explain to participants that once the community has agreed on the vision, the objectives need to be agreed on and strategies designed for each objective. Refer to the course notes on pages 44 and 45 to assist you.

#### Step 5: Budget for discretionary funds

- This is the last phase in developing a ward plan and has to take into account the budget for discretionary funds needed to take the plan forward, which comes from the local authority and the projects that need to be submitted for consideration to the IDP.



# CHAPTER 3:

## The methodology of community-based planning



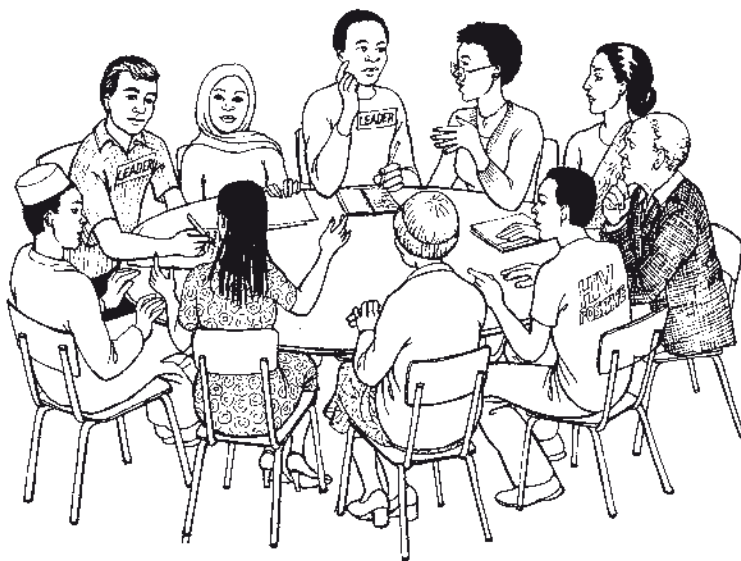
Chapter 3 is based upon *Community-Based Planning and the IDP, Guide 2: Facilitators Guide for Community-Based Planning and Guide for Decision-Makers* developed by AICDD and Development Works.

### Introduction

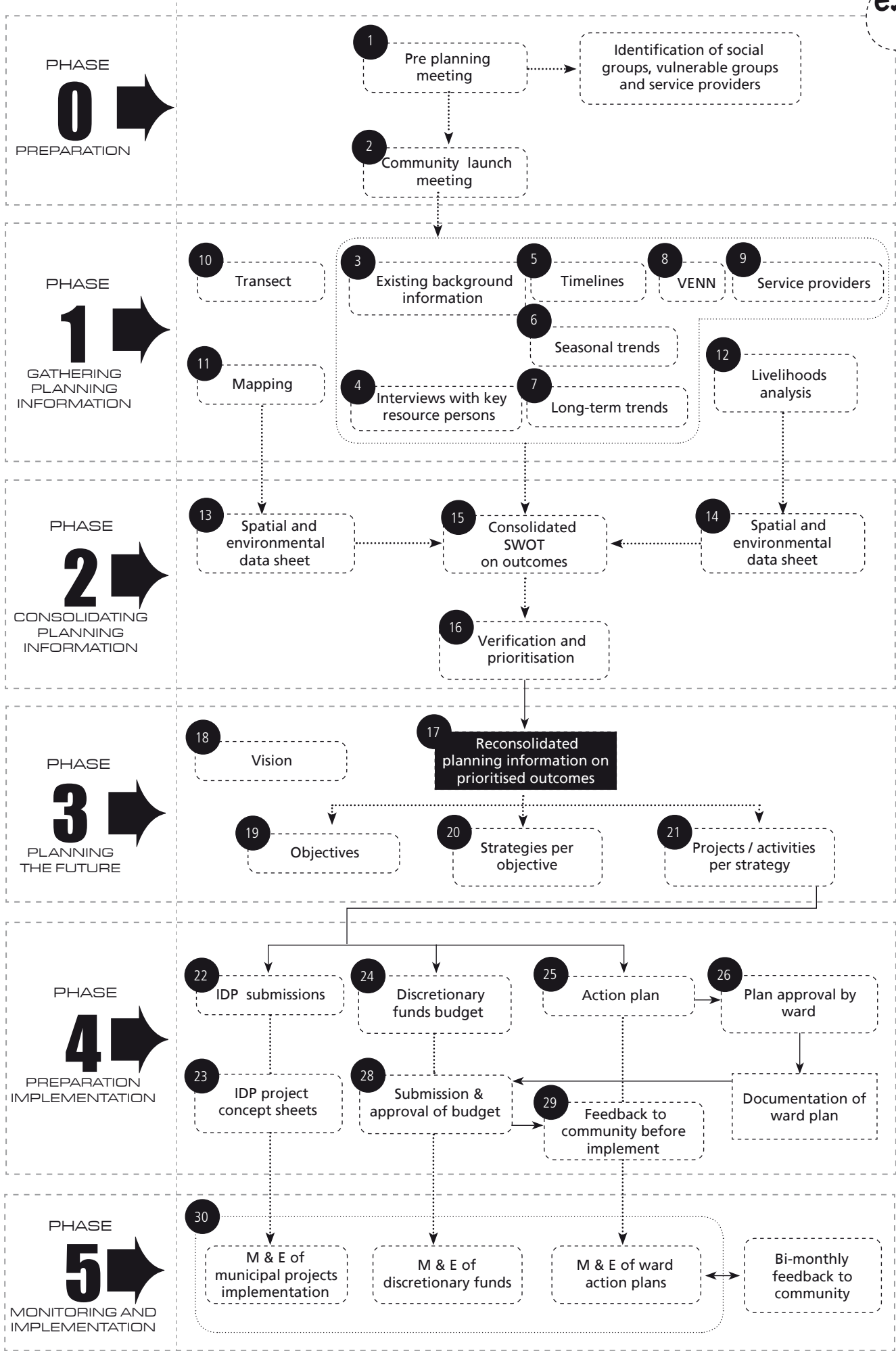
THIS CHAPTER DESCRIBES AND DETAILS each phase of the CBP Roadmap outlined by the AICDD CBP guide. The chapter journeys through each phase and, based on AICDD Guide, suggests how each phase could be carried out. The chapter summarises the main points. A more comprehensive outline is contained in the AICDD Guide.

### 3.1 Overview of the Roadmap

The Roadmap covers five distinct phases, with each phase building onto the next. The diagram on the next page provides an overview of the Roadmap.



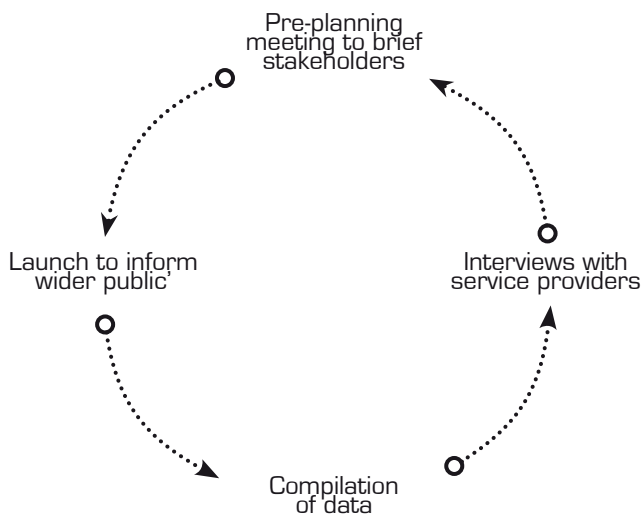
e.g.



### 3.2 Phase 0 Preparation

Planning can only be effective if the people in the ward are aware that planning is taking place and that their views and input add value to the development of a ward plan. The process begins with:

- **holding a meeting** to which stakeholders are invited. The purpose of the meeting is to brief stakeholders about the detail of the planning and the roles they need to perform, followed by
- **a launch** where the wider public is informed of the process. In order to ensure that all relevant data is available to inform the plan, this may require interviews with service providers and the compilation of the data.



e.g.

Chapter 1 and Chapter 4 provide information on the types of facilitators involved in the development of the CBP Roadmap and the different stakeholders who need to be consulted.

#### Liaison with the municipality

CBP is a partnership between the community, the municipality and councillors. CBP facilitators need to work and plan with the councillor for each step of the process.

Before the pre-planning meeting CBP facilitators need to check that the municipality has:

- briefed all councillors about the CBP
- spoken to and agreed with the ward councillor on the date for the meeting
- arranged a meeting with the Ward Committee
- agreed on who will be included in the facilitation team
- compiled existing data relating to the community, e.g. maps, statistics that may be helpful and identified previous plans and secondary data
- identified emerging opportunities for funding and support

This may require the CBP facilitators holding several meetings with the municipality in advance to agree and negotiate the above information.

CBP is a partnership between all role-players.

### Logistical arrangements

For any meeting to be constructive and to meet its objectives all the logistical arrangements need to be place. This includes:

- Transport – reimbursement to community members and facilitators.
- Venue – is it acceptable, is there a venue hire fee?
- Materials and equipment – it is useful to prepare a list in advance and identify the item required, the quantity and what it is for. This can include basic items such as paper and pens as well as forms, laptops and data projectors.

For example

Item	Quantity	Use
Masking tape	2 rolls	To put up notes recorded on the flip chart sheets

- Publicity – use a range of methods to inform Ward Committees, communities traditional authorities and opinion leaders that the CBP process is going to take place.
- Municipal support or grants – check whether any funding has been earmarked for the process.
- Key service provider interviews – these should be set up in advance to ensure broadbased participation.
- Ward launch – organise launch meetings for the week before training.

A budget may need to be prepared in advance and funding secured

**Definition!**

**Event:** Specific session during the CBP process, during which one or more tools may be used.

Details of each event suggested in the Roadmap can be sourced from the *Community-based Planning and the IDP Facilitator’s Guide 2* developed by AICDD and Development Works. What follows is a summary of each phase of the Roadmap

Each event in the Roadmap needs to be carefully planned. CBP facilitators need to know what they want to do as this builds the community’s confidence in the process.



The **pre-planning meeting** should be held one or two weeks before the main planning week. Leaders should be mobilised from different sections of the community to prepare for the planning week and promote the community’s ownership and role in shaping the process. The summary below outlines the main features of the pre-planning meeting and the process.

<b>Phase 0</b>	<b>Pre-planning meeting</b>
Method	The pre-planning meeting is done in the form of a discussion with representatives from the community, including the councillor, Ward Committee, opinion leaders, traditional leaders other relevant stakeholders.
The objective is to:	<ul style="list-style-type: none"> <li>• understand the planning process and that the intended outputs involve local action and not just demands for resources from others</li> <li>• identify the key resource persons and service providers in the ward to be interviewed concerning the ward development</li> <li>• define the main social groups that should participate in the planning process</li> <li>• collect existing background information</li> <li>• develop a timetable for the planning week, scheduled the first meetings and identified locations for the launch meeting(s).</li> </ul>
Process	Start off by discussing expectations and concerns for the CBP, introduce it and how it fits into the IDP process of the municipality, the role of the facilitation team and the Ward Committee. Identify the different social groups in the community. You could use a well-being ranking such as this example below.

This meeting will set the tone for a successful planning process.

Example of well-being ranking

	Well off	Poor	Very poor
Marital status			
Age			
Main livelihood activity			
Assets			
Type of housing			

e.g.

- Checklist for the pre-planning meeting
- Transport for community members has been arranged
  - Attendance confirmations received
  - Venue hired
  - Documentation prepared
  - Agenda prepared
  - Refreshments arranged
  - Ward Committee informed
  - Traditional leaders and authorities informed
  - Material and equipment confirmed



The second component of the preparation phase involves a **community launch**. This is a preparatory meeting where all stakeholders come together and are provided with information about the CBP process. This includes a presentation of the IDP summary and an introduction to the ward plan. The proposed timetable and the social groupings identified during the pre-planning meeting should be presented to this wider group for validation and to reinforce the message that the CBP process is empowering and inclusive.

Phase <b>1</b>	Community launch
Method	This is done as a group discussion and takes about two to three hours. The participants are drawn from a broad based group of community members, including representative of all social groups.
The objective is to:	<ul style="list-style-type: none"> <li>• understand the place of CBP in the IDP planning process</li> <li>• finalise the different social groups to be included in the planning week</li> <li>• develop an inventory of existing projects and service providers to be included</li> <li>• finalise the timetable for the planning week, scheduling meeting with various social groups and service providers</li> <li>• understand the importance and excitement of active participation in development.</li> </ul>
Process	The meeting discusses the IDP planning processes. It is useful to use the CBP cycle. The meeting is also informed of the pre-planning meeting discussion, the different types of social groups identified and the meeting can add to this list. The meeting plans the timetable for the week including a schedule of meetings with representatives from the different social groups. It is useful to identify a specific person from each social group who will mobilise others for these scheduled meetings. Encourage participants to attend all planning meetings.

In addition to promoting maximum participation, the meeting represents an opportunity for the broader community to understand the advantages of the CBP process.

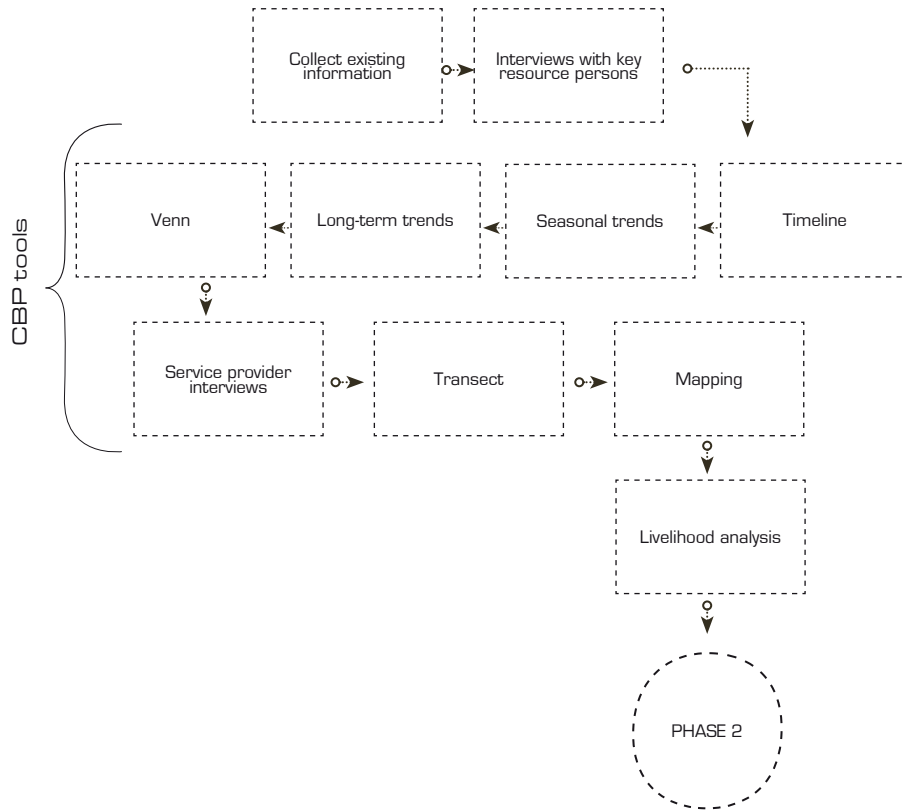
**Phase 1** provides an anthology of accessible user-friendly information as a starting point for the planning process.

### 3.3 Phase 1 Gathering planning information

During the first phase of the CBP Roadmap the planning team collect and analyse information and existing knowledge from the community through a series of interviews and the use of various CBP tools. The thorough analysis of this data provides the planning team with a comprehensive background and insight into the community's situation, problems, customs, practices, systems and values.

The construction of a community timeline, seasonal and long-term trends analysis enable the community to identify key recurring dynamics and enable the community to identify and analyse the success or failure of the types of interventions that have been implemented in an attempt to promote community development. The Venn diagram, livelihood analysis, transect and mapping activities produce a snapshot of the current status of the community highlighting geographical, environmental, spatial features, as well as an analysis of livelihoods and services in the community.

Phase 1 starts by **gathering all the available information** about the ward to establish a context for planning. This includes IDP priorities, areas which the municipality is likely to fund and information about other service providers. The summary below outlines how to go about collecting this information.



**Definition:**  
**Secondary information** includes information that was recorded before the planning phase including statistics, reports, and minutes of meetings and articles, local authority record books and demographics.

It is critical to ensure the participation of key resource persons and all vulnerable groups in this process to promote a sense of ownership and control amongst the community.

<b>Phase 1</b>	Analysis of existing background information
Method	Collection of secondary information from community members by the facilitators and community representatives. This can take a few days or spread out over a period of time, but keeping within the planned schedule.
The objective is to:	<ul style="list-style-type: none"> <li>• collect background information and arrange in a summary format</li> <li>• compile information that is readily available about the community</li> <li>• understand overall municipal priorities</li> <li>• arrange for further consultations as needed.</li> </ul>
Process	Some of this information may have been compiled in advance by CBP specialists. Collect background information and arrange in a summary format showing the information. Check with the Ward Committee and councillor if there are any useful sources of information which could be used.

Ideally, much of this information will have been compiled in advance by CBP specialists, but check with the Ward Committee and councillor if there are any useful sources of information which could be used.

The CBP process acknowledges that the community members have unique and valuable insights into their own development and places a strong emphasis on these perspectives. In the next activity **interviews with key resource people** are used to solicit their ideas around potential solutions.

Phase <b>1</b>	Interviews with key resource people in the community
Method	Interviews with individual or focus groups.
The objective is to:	<ul style="list-style-type: none"> <li>• gain a deeper understanding of the community and the issues in the ward</li> <li>• develop a rapport with key people in the community.</li> </ul>
Process	Engage in a semi-structured discussion with the resource person(s) encouraging them to ask questions. Use interviews to help identify vulnerable groups.

In the next activity community members create a **timeline** tracking a history of the community. By identifying recurring patterns and trends this activity should deepen the community's understanding of their situation and get them thinking about the success of past interventions.

Phase <b>1</b>	Timeline
Activity type	A timeline is prepared with the key informant group, usually groups of about 12 to 20 people including a broad range of social groups – men, women, youth, aged, natural resource users, environmental interest groups etc. This meeting usually takes about two hours.
The objective is to:	<ul style="list-style-type: none"> <li>• develop a history of the ward including major events</li> <li>• identify the impacts and effects of major events on livelihoods and the implications for the future</li> <li>• discuss the changing trends with respect to access to, and status of natural resources, and showed how these are linked with changing quality of life/poverty trends.</li> </ul>
Process	A good way to start is to invite the oldest person in the group to share the earliest event they can remember. Use that event as the starting point of the timeline. Start by drawing a timeline on a piece of paper and put it on the wall. It is helpful to get people to write events onto cards and then put the cards on the timeline. If writing is a problem the facilitator can record the events on the timeline for the participants of the group. The timeline should remain displayed for additions and as a community record.

The development of timelines reinforces a sense of pride among community members by drawing upon its collective memory. It taps into oral tradition involving the older members of the community in the planning process, while younger members of the community can learn from this.

Some elements in community life are strongly seasonal, such as disease patterns, labour use, agricultural cycles, and nutrition. This next two activities promote an understanding of **seasonality** and **long-term trends**. By making these patterns and trends explicit planners are able to predict certain events and tailor their plans and strategies accordingly.



Phase <b>1</b>	Analysing seasonality
Method	Group meeting with key informant groups such as farmers or women. Give yourself about two hours for this meeting.
The objective is to:	Understand seasonal or annual trends in key areas such as health, nutrition, strikes and so on.
Process	Identify potential patterns that would be useful to track such as labour, disease patterns, nutritional levels etc. record the months of the year on a flip chart and ask members of the group when the event happened and how severe. You can do this for all the patterns identified. Have a discussion with the group about the implications of each of the patterns identified.

Phase <b>1</b>	Long-term trends and dynamics
Method	This takes about an hour with a key mixed group who have been resident in the ward for at least ten years.
The objective is to:	Understand the long-term trends in key areas identified by the community.
Process	Identify issues with the group that they would like to discuss in more detail. This could be teenage pregnancy, HIV and AIDS or any issues that the community identifies as important. To assess the impact or emergence of the problem write the years on a flip chart and record under each year how large the problem was.

The **Venn diagram** is a tool to analyse service provision in the community. Community members identify organisations, services and service providers and rank them in terms of importance and accessibility. It is also a useful tool for understanding the needs of the community.

Phase <b>1</b>	Venn diagram
Method	This is done with a broader mixed community group and is a particular type of technique. It takes about two hours and the diagram is used to complete an analysis sheet.
The objective is to:	Identify different organisations in the community and rank the importance and accessibility of their services.
Process	<ul style="list-style-type: none"> <li>Brainstorm a list of the services and service providers that operate in the community. Responses should include government, NGOs, private sector, CBOs and the municipality.</li> <li>Ask the group to cut a series of circles in five different sizes out of paper, each representing a service or service provider. Match the largest circle with the most important service or service provider. Match the smallest circle with the least important service or service provider. Complete for the rest of the services and service providers.</li> <li>Make a mark in the centre of a flip chart or brown paper on the wall, representing the community. Draw five concentric circles around the centre.</li> <li>Take the largest circle and ask participants to judge how accessible it is. Place the most accessible services/organisations in the circle closest to the community. Place the least accessible services/organisation in the outermost circle.</li> <li>Continue until all circles have been positioned inside the concentric circles around the community reflecting how accessible they are.</li> <li>Discuss the diagram created and complete the analysis sheet.</li> </ul>

For groups that are not comfortable with the written word, the AICDD guide mentions using seeds, stones or sticks on cards so that participants can visibly see how the problem has grown. These are put on a card indicating the year.

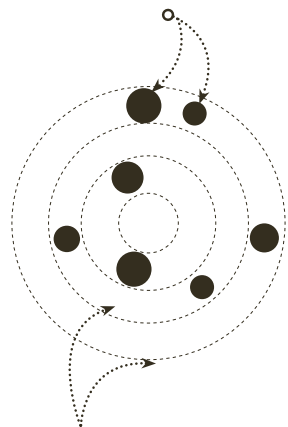
Start with examples of the extremes, for instance, which was the worst year, which people can then relate other examples in terms of degree of severity.

Make sure the group understands the difference between 'importance' and 'accessibility'. These words could be translated into the local language.

Ensure that participants include community-based service providers.

e.g.

Different sized circles representing the importance of service providers



Concentric circles representing accessibility of service providers

Example of Venn diagram analysis

Organisation	Importance (0-5)	Accessibility (0-5)	Comments
Health cluster			
Fana Clinic	5	1	<ul style="list-style-type: none"> <li>• Staff not helpful</li> <li>• Open late close early</li> </ul>
Tsidi Home-based care	4	5	<ul style="list-style-type: none"> <li>• Struggling financially</li> <li>• Very good service</li> </ul>
Education cluster			
Tswelopele Creche	4	5	<ul style="list-style-type: none"> <li>• Operating well</li> <li>• 35 children</li> </ul>

During the next activity **service provider interviews** are conducted to determine the capacity of the service providers identified during the previous activity to contribute to implementation, examine the problems they face, and involve them in the planning process. This will help to build plans that are realistic and achievable. Remember to organise these interviews in good time.

Phase <b>1</b>	Service provider interviews
Method	Semi-structured interview carried out with service provers identified in the Venn diagram. These take about 1 to 1.5 hours.
The objective is to:	understand of the capacity of individual service providers to contribute to implementation of community-based plans, and the problems they face and create ownership and commitment among individual service providers.
Process	The checklist below can help to structure the discussion with a representative of the service provider as the information will be shared with others.

The checklist can be shortened, simplified and adapted to the local context and scope of work of the service provider being interviewed.

Service provider checklist



- Contact person and details.
- Who are your clients?
- What area does your office cover in providing services?
- What services does the organisation offer?
- What successes have you had as an organisation?
- What failures and frustrations have you experienced in delivering services in this area?
- What do you see as the key constraints to service delivery?
- What are your plans to maximise opportunities and overcome obstacles?
- Would you be willing to participate in ward plan implementation?
- Would you be able to participate in a working group on (date) at (venue)?

A **transect** is like a section cut through the community which should be selected to highlight the main land uses in the area. It identifies specific spatial and development planning issues that are considered important by the community in a ward.

Phase <b>1</b>	Transect
Method	This is a practical on the ground exercise that is taken by walking through the area. The facilitator/s lead the walk with about six key informants from the community. It should take about one to two hours as people will not have time for a longer walk.
The objective is to:	understand the spatial layout of the ward, the development issues in the ward and how they relate to location.
Process	Plan a rough walk through the ward covering key spatial aspects of the area. As you do the walk, note the major features and where they occur. It is helpful to take this information and put it on a linear picture highlighting any geographical features or developmental issues in each of the zones and generally providing a context to the ward as the example below will show you. Use the environmental checklist to ensure that all aspects are included.

Example of transect



Main characteristics of the area					
Strengths					
Weakness					
Opportunities					
Threats					
Remarks for planning					

'Transect' implies a direct line through the ward, however it may be more effective to take a zigzag route through the area to cover the main features.

The transect walk develops a community perspective of the current spatial layout of the community.

Try to involve a range of the identified social groups, including people knowledgeable about local environmental issues.

If areas are large you may drive the transect.

Do not talk much, rather listen and ask probing, open-ended questions.

e.g.



### Environmental checklist

- Are there areas with geological, soil or slope conditions that are problematic for construction, e.g. steep slopes, waterlogged soils, and unstable underlying rock?
- Are there areas of water with significant ecological, conservation or recreational value, e.g. wetlands, lakes, estuaries, dams, rivers?
- Are there significant groundwater sources? Are these being threatened by any sources of pollution?
- Are there air, soil and water pollution problems?
- Are there vegetation areas of particular conservation or recreational value, e.g. natural areas with special features such as attractive and shady trees?
- Are there areas where rare or endangered species of plants and animals are found?
- Are there areas of historical, archaeological or cultural value, e.g. memorials, rock painting sites, areas used for initiation rites?
- Is there a rapid growth of informal settlements?
- What are the environmental health issues in the area?
- Do services provided avoid harmful impact on the environment?
- Are there any envisaged developments with regard to urban agriculture, marine resources or water features?
- Agriculture: have there been changes in types of crops grown? Why? Are there changes to numbers of livestock over the years? Why? Changes in access to grazing/amount of grazing land available? Who has access?
- What are seasonal changes in resource use (seasonality diagram can help here)?
- Conservation: Has the amount of wild or natural land increased or decreased? Why? Have any protected areas been established?
- Water: Where was water obtained from in the past, how has this changed over the years? Why? Are there changes in the distance women need to walk to fetch water? Why? Have there been changes in water quality? Why? Is there a river? Have any dams/irrigation schemes been developed? How has this affected access to water/water quality?
- Where appropriate for the above questions, ask if and how any changes affected different groups differently (will provide additional information for social differentiation).



**Mapping** also provides a community perspective of the current spatial layout, issues affecting different zones, natural resources, urban environment and possible options to improve their living environment.

Phase <b>1</b>	Mapping
Method	This is a group exercise with a sample of the residents representing the broader community that involves drawing or developing a map. Give yourself two hours for the mapping exercise.
The objective is to:	<ul style="list-style-type: none"> <li>draw a map of the ward</li> <li>identify the position of key physical infrastructure and natural resources</li> <li>identify problem areas and areas of opportunity, e.g. crime hotspots, polluted areas</li> <li>identify infrastructure gaps and where new infrastructure could be developed</li> <li>draw up spatial strengths, weaknesses, opportunities and threats.</li> </ul>
Process	<ul style="list-style-type: none"> <li>Ask the community to construct a map of their ward as they perceive it.</li> <li>Ask questions to understand the implications and stimulate thinking. Refer to information obtained during transect walk. Record issues that arise.</li> <li>The group can also develop another map consisting of how they would like to see their ward in the future.</li> <li>Write up the spatial strengths, weaknesses, opportunities and threats that were identified.</li> </ul>

Ensure that social, economic, institutional and environmental dimensions are mapped.

**The livelihoods analysis** is a fundamental tool in the CBP process because it builds an understanding of the livelihoods of different social groups in the community, including their assets, challenges, desired outcomes and opportunities. The challenges and outcomes will form the basis of the planning.

The social groups should have been identified in the pre-planning and validated in the community launch meeting, but additional groups may be identified during the planning.

Phase <b>1</b>	Livelihoods analysis
Method	A focus group discussion using the checklist with a broad range of social groups.
The objective is to:	Understand the livelihoods of specific social groups, including their assets, challenges, desired outcomes, and opportunities that are available.
Process	Use the assets checklist for a semi-structured discussion about the livelihoods of the group. Record the responses. The example of the assets checklist can help you in this exercise to make sure that you have all the information you will need.

Find out what groupings are not participating, no matter how seemingly insignificant.



### Assets checklist

#### Human assets

How old are most of the people represented by this group?

How many people are living in the homes of the people you represent?

What is the average education of the group that you represent?

What are the varieties of skills people in this group have?

How do you use these skills to assist with your livelihoods?

What are the common diseases that this group usually suffers?

How does HIV affect people in this social group (not them as individuals)?

Nutrition issues – how many meals do they eat a day, what is eaten, and seasonality of intake?

#### Housing

What type of houses do you live in or own?

What services do you have access to? (e.g. water, water borne sanitation, electricity, energy for cooking)

#### Transport

What means of transport do you use or have access to? (car, bicycle, walk, train, other)

#### Livestock

What livestock do you have or have access to? (cattle, sheep, goats, horses, donkeys, pigs, chickens)

#### Equipment

What equipment do you have or have access to? (e.g. tools, machines, telephone)

Other

What do you use them for?

#### Public infrastructure

Roads

Other

#### Natural assets

What natural assets do you have access to, e.g. land, dams, springs, rivers, mountains open space, etc.?

How do you use those assets to assist your livelihood?

Do you have any problem associated with any the natural assets that you have access to?

Other comments

Financial (what are the sources of income that are common for this group?)

Employment (what)

Remittance (from whom)

Income-generating projects

Business (what?)

Social grants e.g. pension

Do you have access to loans? From whom?

#### Social (what structures support you socially)

Describe the family structure

What traditional structures support your group?

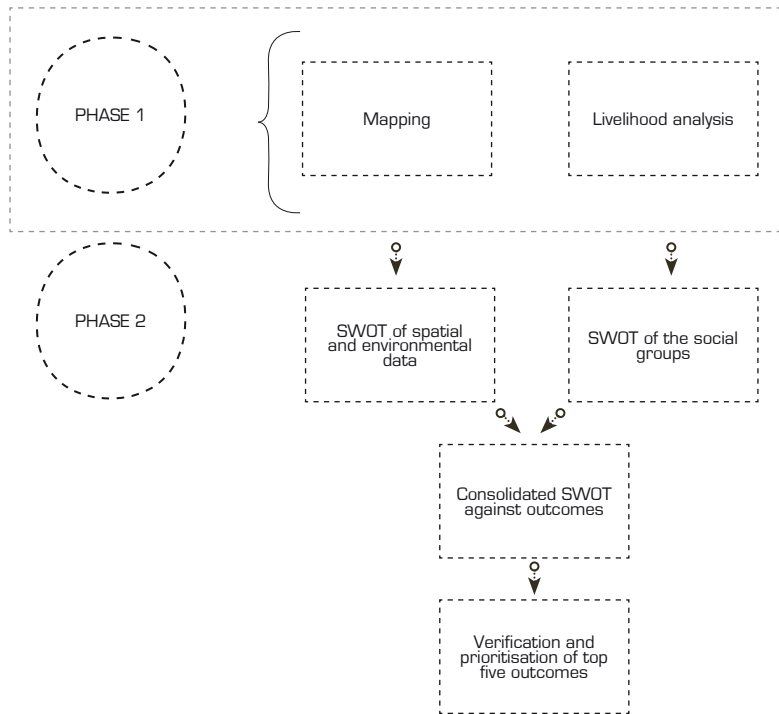
What community groups are you members of?

What other structures provide support to your social group?

The asset checklist may need to be adapted for the area where the CBP is taking place (e.g. urban, rural etc.).

### 3.4 Phase 2 Consolidating planning information

Building upon the data gathered during the first phase, the second phase involves a thorough analysis and consolidation of this data. In Phase 2 the data that has been gathered is analysed and discussed in small groups. This process brings together the livelihood analyses of different social groups, the CBP tools (maps, Venn, transect, seasonality and long-term trends timeline), and the findings from the interviews with service providers and from key resource persons. At the end of the phase the community review, cross-check and validate the consolidated information. This is then presented to the ward and they are required to prioritise five key outcomes for the planning process.



Phase 2 starts by analysing and **consolidating the data** collected in the mapping, transect, timeline and long-term trend exercises.

Phase <b>2</b>	Consolidation and SWOT of spatial and environmental data
Method	A group exercise completing the SWOT matrix with the Ward Committee and key resource people. Give yourself about two hours.
The objective is to:	summarise the environmental and spatial SWOT of the area.
Process	Use the map and transect and the notes you made for this discussion. Discuss the spatial and environmental strengths, weaknesses, opportunities, and threats and record the key points in the SWOT matrix

e.g.

Example of SWOT matrix

	Location	People affected	How significant	Causes
Strengths				
Local problems/ weaknesses				
Opportunities				
External threats/ vulnerabilities/ risks				

The information gathered in the livelihood analysis is used to conduct a **SWOT of the social groups**. The results and desired outcomes for each group will be summarised on a flip chart.

## Phase 2 SWOT of the social groups

**Method** The Ward Committee members and the CBP facilitators who completed the livelihood analysis sheets hold a group discussion.

**The objective is to:** consolidate the strengths, weaknesses, opportunities, threats for each of the social groups interviewed.

**Process** Using the livelihoods analysis sheet from each social group produce a table like the one below.

Example of a SWOT matrix for the social groups

Socio-economic group	Desired outcomes	Strengths	Weaknesses
Socio-economic group	Desired outcomes	Opportunities	Threats

Community-based planning focuses on vision and strengths/opportunities rather than problems. This means that plans are developed around the community's priority outcomes, and not their priority problems.

In the next activity the desired outcomes from the social groups are added to the SWOT across different social groups, creating a macro view of the community. This also helps with the prioritisation of the key outcomes.

This can be a very useful tool as people can use it to identify the issues emerging from the map.

**Note that:**

- strengths = the assets they have or have access to
- weaknesses = absence or low level of access to assets
- opportunities = external or future possibilities the groups have access to
- threats = external challenges facing the group



Phase <b>2</b>	Consolidated SWOT against outcomes
Method	The Ward Committee and CBP facilitators use the livelihood group SWOTs and information from Phase 1 for a six hour group discussion.
The objective is to:	<ul style="list-style-type: none"> <li>reconcile the outcomes/key risks across all the social groups</li> <li>consolidate the ward's strengths, weaknesses, opportunities, threats and relate these to the preferred outcomes and key risks identified by the social groups.</li> </ul>
Process	<ul style="list-style-type: none"> <li>List the outcomes from the different social groups and the key threats/risks to be avoided. Convert the threats/risks into desired outcomes.</li> <li>Create a consolidated list of desired outcomes across all social groups, indicating where these outcomes originated.</li> <li>Using the consolidated list of outcomes transfer each outcome onto a blank sheet. On each sheet: record:             <ul style="list-style-type: none"> <li>Which groups mentioned each outcome, the manner in which the outcome was specified and where the group comes from.</li> <li>The strengths, weaknesses, opportunities and threats related to this outcome from the consolidated SWOT table.</li> </ul> </li> </ul>

Phase 2 ends with a large meeting where the community is able to review, cross-check and **verify** the consolidated information. All the information generated during the process should also be on display for the community to see. The community are then required to **prioritise** five outcomes to plan for during the planning process.

Phase <b>2</b>	Verification and prioritisation
Method	A large group meeting with a broad community group where the outcomes of the week's work that includes the Roadmap, the consolidated outcomes and information for each outcome is discussed and priorities agreed on for the community.
The objective is to:	<ul style="list-style-type: none"> <li>review and validate the background information gathered in the first three days of the planning phase giving an overview of the strengths, weaknesses, opportunities, threats for the community as a whole</li> <li>prioritise the outcomes that will form the substance of the ward development plan.</li> </ul>
Process	All the information listed under Method is placed on the wall for all members of the group to view. The facilitator for the meeting goes through the information and invites additional input from the group. As this meeting is to prioritise the outcomes that will form the ward plan the group needs to come to an agreement as to what these priorities will be.

The desired outcomes relate to the desired living conditions in the community.

As the priorities start to emerge, it may be useful to invite service providers related to these outcomes in the planning the next day.

It is important to decide beforehand whether the priorities of marginalised groups will receive any priority. For instance, it might have been agreed that one out of the five outcomes must be from these groups.

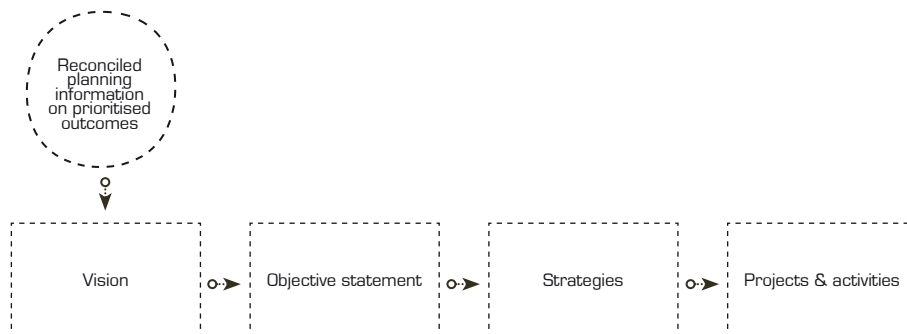
The facilitation team should take care to update any new information that is revealed and make corrections so that the information included in the plan is that which has been validated by the broader community group.

It is important that people voice their opinions and make a contribution, no matter how seemingly insignificant, as it will improve understanding and ownership.

Each community member is free to place the three pieces against any one or more of the outcomes.

### 3.5 Phase 3 Planning the future

Phase 3 focuses on the actual formulation of the plan. Moving through a logical step by step process, the community take the consolidated information and prioritised outcomes and synthesise these into a **vision, objective statement, strategies, projects and activities** to improve community life.




Care should be taken to include the priority outcome from the most disadvantaged groups.

The first activity **reconciles the most important five outcomes**, ensuring that all the planning information has been accurately captured.

Phase <b>3</b>	Reconciliation of prioritised outcomes
Method	A two-hour group meeting with CBP facilitators, Ward Committee members and working groups established for each outcome.
The objective:	By the end of this session for each prioritised outcome there will be a set of reconciled information to be used for planning.
Process	Participants are given an opportunity to add any information which was omitted during the first reconciliation. Organisations identified in Phase 1 are matched with the prioritised outcome. The meeting also has an opportunity to add information from the service provider interviews and activities and examine and cross-check the outcomes in relation to the IDP summary, the social groups well-being sheet and the environmental and spatial data sheet.

**Visioning** enables community members to articulate their developmental aspirations for the community. It is particularly powerful when, as in the next activity, it is based upon a review of assets and services. This encourages people to develop a realistic, achievable vision and steps to reach the vision.

Phase <b>3</b>	Vision
Method	A facilitated session with CBP facilitators and members of the working groups.
The objective:	By the end of this session the community will have a negotiated shared vision for the development of the community.
Process	<p>A useful way to conduct this session is to:</p> <ul style="list-style-type: none"> <li>list the five statements of the key prioritised outcomes</li> <li>underline the key words from each of these statements, e.g. for improved income – it might be 'income', for crime it may be 'safe and secure' and write these on a flip chart</li> <li>use the key words to construct a vision statement for the next five years. The order of the wording of the vision should reflect the order of the prioritised outcomes of the ward</li> <li>reflect on what has emerged with the group and see if any changes are needed.</li> </ul>

**Reference:** 

Visioning was discussed briefly in Chapter 2.

A strengths-based approach moves away from problem-based planning, which focuses on constraints, to a more visionary approach looking at where a community desires to be and how to get there.

The next steps are undertaken with the same group of up to 12 people. It starts with the preparation of an **objective statement** for each of the working objectives. This activity will be done in smaller groups, each with a Ward Committee member and relevant resource persons and service providers.

Phase <b>3</b>	Developing objectives
Method	Group discussion with groups of up to 12 people with an interest or expertise in a particular objective area. This is a lengthy process and can take from 8 to 16 hours per objective. A blank matrix with criteria and a blank matrix for tasks, person responsible and deadlines as well as a summary of the information and the IDP summary for each objective should be prepared in advance.
The objective is to:	prepare a specific objective statement for each of the working objectives.
Process	<ul style="list-style-type: none"> <li>Use information recorded during the reconciliation of prioritised outcomes.</li> <li>Use the outcomes expressed by the different social groups to construct an objective.</li> </ul>

Facilitators need to ensure the representatives of the vulnerable groups are part of the working groups and have a voice in the groups.

Objectives should be specific, measurable, appropriate, realistic and time bound (SMART).

**Strategies** are plans that need to be conducted in order to achieve an objective. In the next activity strategies are identified to build upon strengths and overcome weaknesses. The next activity takes this a step further and identifies projects and activities that need to be initiated to address each the strategy.

**Reference:**

Objectives were discussed briefly in Chapter 2.

**Reference:**

Strategies were discussed briefly in Chapter 2.

Ensure the representatives of the vulnerable groups have a voice in the groups.

The community should be able to implement most of the strategies, rather than just strategies that can only be achieved by others.

e.g.

The identification of concrete and practical actions is a critical planning step. This may include activities in which the community is directly involved; or activities which can be funded with the discretionary funds from the municipality.

Ideas should not be left at a general level, they need to be broken down in step by step tasks. If tasks remain general they will not happen.

Phase **3** Strategies

Method Group discussion with the same group of people.

- Process:
- Use information recorded during the reconciliation of prioritised outcomes.
  - What needs to be done to overcome the weaknesses and threats; and build upon the strengths.
  - Group these into related clusters of issues and develop a strategy to achieve the objective for each cluster of issues.
  - Cross-check strategies with the reconciled outcome to ensure they address the weaknesses and threats and build upon the strengths.
  - Ensure that the strategies are sufficient to achieve the objective.

Phase **3** Developing projects and activities

Method Group discussion with the same group of people. Prepare blank activities matrix in advance.

The objective is to: identify projects and activities to address each strategy.

- Process
- Use information recorded during the reconciliation of prioritised outcomes.
  - Review the issues clustered under the strategies.
  - List the main projects and activities that will help to achieve these strategies.
  - How do these relate to the identified strengths and opportunities?
  - Focusing on the strengths and opportunities, add any further projects or activities which would help to achieve the strategy.
  - See if the IDP summary includes any relevant projects that could be built upon.
  - For each activity determine what is required from the community, the municipality and other service providers, using a matrix below. Note the bulk of the activities will be driven by the ward.

Example of activities matrix

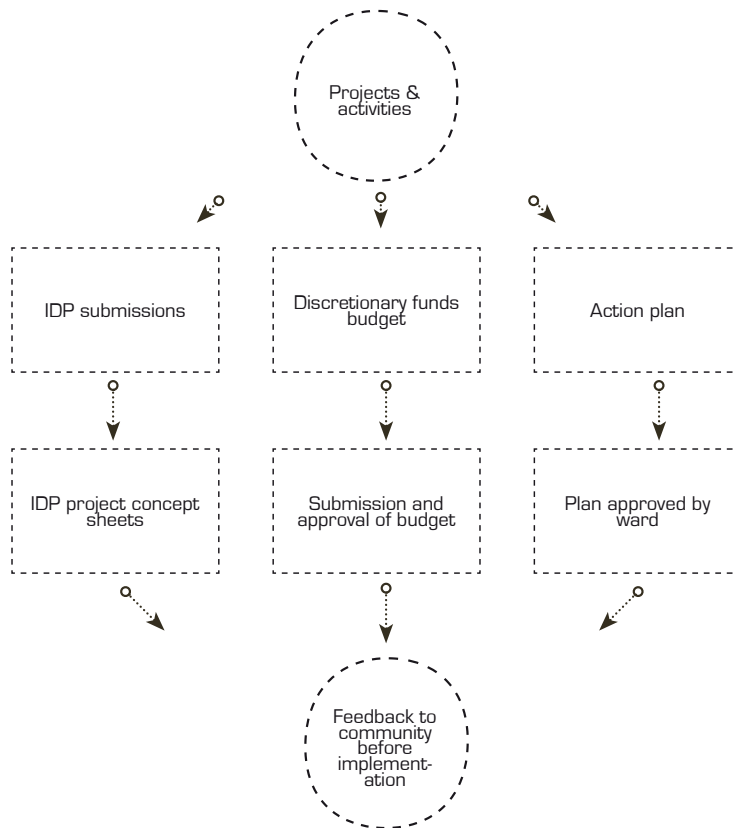
Project/activity	Ward activities?	Municipal activities	Service provider activities
Strategy 1			
Activity 1 Description of activity			
Activity 2 Description of activity			

### 3.6 Phase 4 Preparing implementation

Phase 4 is concerned with the nuts and bolts that will ensure that the planned activities become a reality.

Most of the activities identified during the CBP process will be implemented by Ward Committees, but some may require significant external resources or they could be applied more successfully on a municipal scale. This includes deciding who should be responsible for the project and how to go about mobilising resources for implementation.

In the first part of Phase 4 CBP participants are given practical guidelines about proposals for submission to the IDP and project concept sheets for projects that require external support. The development of a discretionary ward fund budget enabling the community to move forward with their plan immediately is also discussed. The second part of Phase 4 emphasises that a detailed action plan is essential in making the plan a reality. It outlines how projects need to be broken down into a step by step plan of action explaining how to go about documenting the plan. The phase concludes with the submission of the finalised plan to the CBP manager for approval of the discretionary fund budget. Once this has been approved a community report-back meeting should be organised to update them.



Some projects identified during the CBP process should be **developed into proposals for submission to the IDP** because they contain valuable information about the community’s needs as well as creative solutions that are rooted in the community, but they may be too big to be implemented at a ward level. This summary explains how to go about developing IDP submissions.

Phase <b>4</b>	Developing proposals for submission to IDP
Method	Group discussion with Ward Committee or working groups over two hours.
The objective:	By the end of this session participants will have prepared a summary of projects/activities that they would like to submit for funding by the municipality or other service providers, and to be included in the IDP.
Process	Determine which activities require significant external resources or would be better applied at a municipal scale. These should be submitted to the IDP.

Check CBP activities against those proposed in the IDP to determine whether there is any overlap. Even if there is not, it may still be possible and appropriate to approach other funders directly.

e.g.

### Summary of submissions to the IDP

Objective	Project name	Location	Municipal section	Financed by whom	By when
-----------	--------------	----------	-------------------	------------------	---------

A **project concept sheet** must be completed for each project which requires support from government, NGOs or the private sector. This concept sheet motivates for the project by defining its elements and is also useful in terms of monitoring progress and holding people accountable for their actions.

Phase <b>4</b>	Developing project concept sheets for projects requiring external support
Method	Small groups of two to three people with an interest or expertise in the objective/strategy/project provided with a concept sheet. You will need about one to two hours per concept sheet.
The objective is to:	complete project concept sheets for each project/activity requiring external support.
Process	Use the concept sheet checklist to create a concept sheet for each project/activity requiring external support.

### Concept sheet checklist

- Objectives
- Location in ward
- Timeframes
- How was the project identified and by whom?
- Who will benefit?
- How many will benefit?
- Describe the project.



Municipalities make a small amount of funds available to support the immediate implementation of the ward plan so that the energy from the planning process is not lost. Decisions around the disbursement of these funds need to come from the planning process, the selection process needs to be transparent and the community should receive feedback. The next exercise explains how to **develop a budget** for these ward funds.

Phase <b>4</b>	Developing discretionary ward fund budget
Method	Group discussion with planning team, Ward Committee or working groups which discussed the developing project concept sheets for projects requiring external support.
The objective is to:	prepare a summary of projects/activities they would like supported by the discretionary ward funds being provided by the municipality.
Process	<ul style="list-style-type: none"> <li>Identify which activities could start to help the ward move forward if they received a small amount of cash from the municipality?</li> <li>Do an indicative costing for each activity and add up the total costs.</li> <li>Develop a matrix as shown below.</li> </ul>

Concept sheets are exploratory, but should provide sufficient information for the municipality to understand what the project is and to decide whether it is worth considering.

The plan has been devised but it needs to be translated into an **action plan** so that it can be implemented. Here's how to go about it.

Phase <b>4</b>	Developing a ward action plan
Method	Ward Committee and other people likely to be involved in the implementation, including representative from each of the objectives working groups meeting for two hours using a matrix for an action plan to assist them.
The objective is to:	draw up a three-month action plan outlining what needs to happen at a local level to take the plan forward.
Process	<ul style="list-style-type: none"> <li>Create a working group of relevant people to tackle each objective.</li> <li>Draw up a three-month action plan for each element, objective and action that needs to be taken forward.</li> </ul>

Discretionary funds are typically between R25 000 and R50 000 per ward.

Example of a matrix for the action plan

Action	By whom	By when

The first time this is done, it will probably contain many process elements. However, as this is rolled out at each Ward Committee meeting it will become more concrete as work begins.

e.g.

Leave flip charts at the community centre to be displayed for people to look at before the meeting and afterwards, for wider community dissemination.

Prepare for the documentation of the plan in advance since it may mean that laptops or typing facilities need to be organised.

Get people to start writing early on as it builds up a feeling of the plan being created.

Write in 'plain English' so it is accessible and consider the use of translations in some places.

Incorporate real stories in boxes to bring the plan alive.

This should happen quickly so that the energy created during the CBP process is not lost.

Phase **4** Approval of plan by ward

**Method** A broader community group meets for two hours, possibly a Saturday evening, or when it is suitable for the participants. The group will review the vision, prioritise objectives for each of the objective strategies, the proposals for discretionary funds and submissions to the IDP. It is useful to have all this information on a flip chart. If you have resources the information can be typed out and copied.

- The objective is to:**
- review and understand the plan
  - validate or modify the plans produced around each objective
  - approve the discretionary fund budget for the council and the list of submissions to the IDP.

- Process**
- The councillor introduces the purpose of the meeting and the process that has happened in the week.
  - Ward Committee members present the vision in different languages.
  - Each objective working group presents a summary of the proposed strategies.
  - The broader group then discusses these, makes any suggestions for changes, and endorses the final product.
  - Repeat until all objectives have been endorsed.
  - Report on the projects proposed to be funded from the discretionary ward funds and the projects to be submitted to the IDP.
  - Ask the community if they endorse the plan.
  - Explain what will happen in terms of approving the budget, reviewing IDP project submissions, implementation etc.

It is essential that the **plan is well documented** to record the community's vision and to ensure that it can be used by higher level authorities and other service providers.

Phase **4** Documentation of the ward plan

**Method** This exercise is completed by a smaller community group given responsibility to write up the final plan. It starts during the planning week and should be completed the following week.

**The objective is to:** finalise the plan ready for submission to higher authorities through the appropriate community channel.

- Process**
- Decide how documentation process will happen and whether there is a need for an office, computers or administrative staff to type the plans.
  - Delegate responsibilities for the writing of specific sections. This promotes ownership and ensures the proper completion of the task.
  - Enter the information into the plan format as soon as events are completed.
  - Invite different stakeholders to review the plan.
  - Submit the plan to the municipality.

When the plan has been finalised it is submitted to the CBP manager for **approval of the discretionary fund budget**.

Phase **4** Submission and approval of discretionary fund budget

**Method** One-hour meeting per ward is held with the CBP manager and CBP specialist who present the signed ward plan.

**The objective is to:** rapidly approve the discretionary fund budget.

**Process** The CBP manager takes participants through the plan, explaining how it was formulated and clarifies and elaborates where necessary.



Once the council has reviewed the discretionary fund budget and has agreed to provide support a large group meeting is organised to **provide feedback to the community** before implementation.

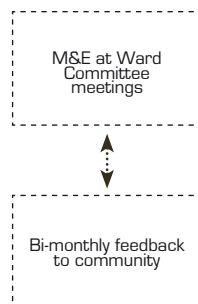
Phase <b>4</b>	Feedback to community
Method	The discretionary fund budget and action plan is presented to a broad community group at a meeting.
The objective is to:	<ul style="list-style-type: none"> <li>• understand what has been agreed by the council</li> <li>• agree upon a communication strategy for the community and service providers.</li> </ul>
Process	<ul style="list-style-type: none"> <li>• The councillor presents a summary of the community plan.</li> <li>• The council confirms which areas of the plan have received support.</li> <li>• The Ward Committee informs the public about the action plan and identifies areas where their support is required.</li> <li>• Various feedback mechanisms are examined and activities are agreed upon by the community.</li> </ul>

Facilitators need to be prepared to deal with the feedback on the discretionary budget from the council. The community may feel frustrated if some of their key priorities have not been selected for funding.

### 3.7 Phase 5 Monitoring and implementation

Once the plan is in place, the process of monitoring, measuring and reviewing the plan is essential. Plans should be reviewed at each Ward Committee meeting and every one to two months at a public meeting of the community with the ward/district/municipality. Ward Committees should report on the progress that has been made as well as highlight any problems that have arisen. These reports should include a financial component detailing the funds that have been used.

Phase <b>5</b>	M&E process at Ward Committee meetings
Method	Ward Committee discussion of the matrix for action plan and previous action plan.
The objective is to:	review progress in implementing the plan.
Process	<ul style="list-style-type: none"> <li>• Update the community with any information from the municipality.</li> <li>• Use the action plan to review progress in the plan and the funds that have been used.</li> <li>• Discuss whether any problems have affected implementation.</li> <li>• Identify any new issues or opportunities.</li> <li>• Discuss what needs to be done to take the plan forward over the next two months.</li> <li>• Update the action plan.</li> </ul>



Two monthly monitoring meetings are important for the committee after the plan has been developed as a way of mobilising people around plan implementation and holding people accountable for progress.

Phase <b>5</b>	Two monthly public meetings
Method	Broad community public meetings and sub groups including Ward Committee where the matrix for action plan and summary of projects (which can be written on a flip chart and displayed) are discussed.
Objective	The broader community will be aware of progress with implementation of the ward plan.
Process	<ul style="list-style-type: none"> <li>• Publicise the meeting using a range of communication strategies.</li> <li>• Put the flip charts about the projects up on the walls for people to see before the meeting.</li> <li>• Run through the main objectives in the plan.</li> <li>• Present an overview of what has been achieved.</li> <li>• Report on each objective and the strategies and activities to indicate how far you have got against each of these.</li> <li>• Indicate what you are planning to do over the next two to three months.</li> <li>• Ask for comments and feedback.</li> <li>• Co-opt additional people/organisations to assist with specific projects if necessary.</li> </ul>

Indicate when the next public meeting is likely to be held.

If the ward covers a large area organise meetings in more than one place so that all are aware of what is happening.

## Conclusion

The planning process consists of five phases and a pre-planning phase:

- Phase 0: Preparation or pre-planning phase
- Phase 1: Gathering planning information
- Phase 2: Consolidating planning information
- Phase 3: Planning the future
- Phase 4: Preparing implementation
- Phase 5: Monitoring and implementation

Each phase is made up of a number of specific events during which one or more of the CBP tools may be used.





# CHAPTER 3 ACTIVITIES

Time: 2 hours 30 mins

Resources: Roadmap in course notes displayed on data projector or overhead projector, blank assets checklist, a blank SWOT matrix for the social groups for each group

## ACTIVITY 3.1

### The Roadmap

**Facilitation method:** Groups of three and plenary brainstorm



- Participants consider the challenges for community-based planning which are listed on the flip chart.
- Responses could include: Lack of support from community and/or municipality, pre-planning meeting arranged and participants do not arrive, lack of resources for community and ward facilitators to carry out the process.
- Introduce the phases of the Roadmap using a data projector, or overhead projector. If you have neither participants can use their course notes, page 52 to follow the explanation. Using the diagram identify each phase.
- Participants read through each phase, alternatiely the facilitator can explain each phase, clarifying and explaining where necessary.
- Participants discuss how they can use the Roadmap in their ward.
- Participants complete the checklist.

- Answer the questions below in your small groups.
- Then complete the knowledge test.

#### Questions to be answered:

- Identify two challenges for community-based planning?
- How can you apply this in your ward? Identify challenges and solutions for how you can apply it.

See the AICDD *Community-Based Planning Guide 2* for more indepth information.

# Test your knowledge

Yes

No

The pre-planning meeting is held about two weeks before the main planning week

The municipality needs to brief councillors before the pre-planning meeting

The community launch gives people an opportunity to think about what they want from the planning week

Secondary information includes information recorded before the planning phase

Interviewing can only be done formally with an invited group

It is important to understand the community's history when developing a plan

Understanding the livelihoods of the different communities is totally unnecessary

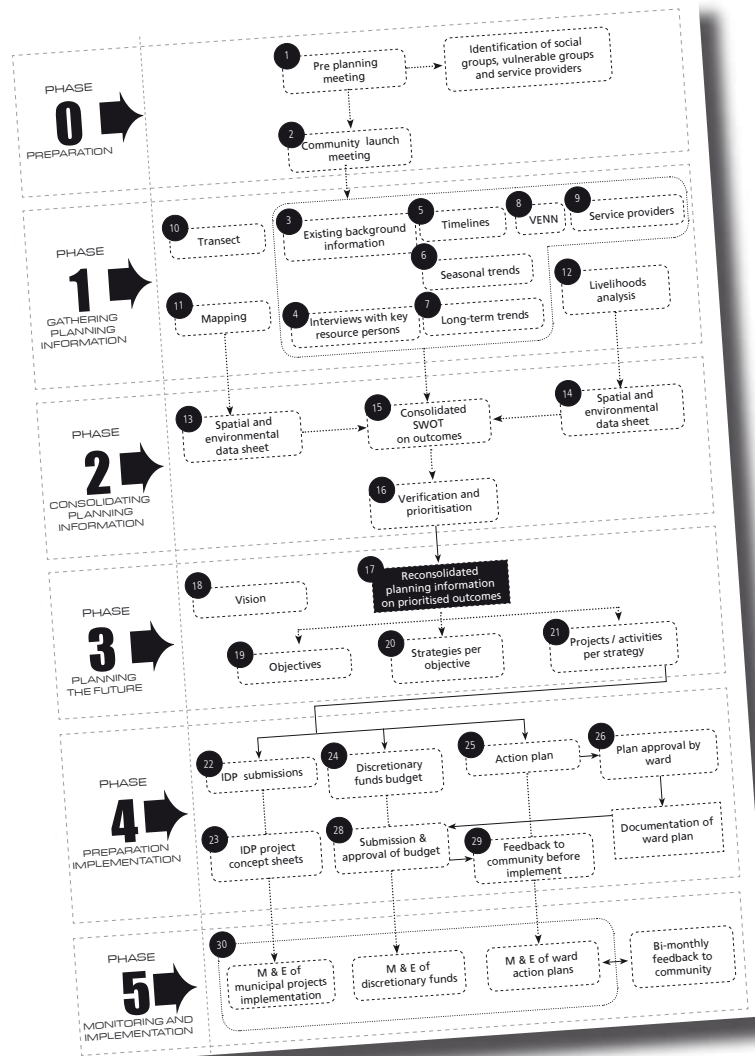
All development plans have a spatial component

A SWOT analysis will help in identifying the needs of the community that can feed into the IDP

Projects are the things that need to be done to achieve the strategy

**Reference!**

See the course notes on pg 52



# ACTIVITY 3.2

## Phase 0 – Preparation phase

**Facilitation method:** Plenary discussion



- This phase includes a pre-planning meeting and a community launch.
- Participants brainstorm what happens in the pre-planning phase. Responses could include:
  - identification of social groups
  - identifying issues in the community.
- Explain that to obtain this information a pre-planning meeting is held. Outline what is required to be done at the pre-planning meeting including:
  - the objective of the meeting
  - who should be invited
  - when the meeting should be held
  - length of time and the process
  - contents of the meeting, i.e. expectations of the meeting
  - introduce the CBP
  - explain how it fits into the IDP process
  - the roles of the facilitation team
  - what would participants want the CBP to achieve?
- Explain the community launch, outlining what is required to be done at the launch including:
  - the objective of the launch
  - who should be invited
  - when the launch should be held
  - length of time and the process
  - contents of the launch, i.e. expectations of the meeting,
- Participants answer the questions below in groups of three for a few minutes and then share responses in plenary.
- Top-up with information about the logistical arrangements and the process of the meeting.

Phase 0 provides more information on social groups.

See course notes on pg 53.

- Answer the questions below in your small groups.

Questions to be answered

- Do you think you could do this in your community?
- How would you do it?

## ACTIVITY 3.3

### Phase 1 – Gathering planning information

**Facilitation method:** Plenary discussion, small groups

- Explain that during the first phase the planning team gather all available planning information.
- Brainstorm the different types of information in their municipality that would be useful to have for planning. Take responses and record these on the flip chart for all to see.
- Once they have presented their findings in plenary, break away into the same small groups and provide each group with a blank assets checklist. Participants should complete the checklist for one social group in their ward.



- Follow these instructions in your small groups.

#### Instructions for group work

- Appoint a rapporteur to take notes during the discussions and someone to report back during plenary.
- Refer to the course notes (pages 56 to 64) for your specific tool and follow the process. If possible base your responses upon your own experiences in your ward.
- Present your findings in plenary.

Assets checklist

Human assets

How old are most of the people represented by this group?  
 How many people are living in the homes of the people you represent?  
 What is the average education of the group that you represent?  
 What are the varieties of skills people in this group have?  
 How do you use these skills to assist with your livelihoods?  
 What are the common diseases that this group usually suffers?  
 How does HIV affect people in this social group (not them as individuals)?  
 Nutrition issues – how many meals do they eat a day, what is eaten, and seasonality of intake?

Housing

What type of houses do you live in or own?  
 What services do you have access to? (e.g. water, water borne sanitation, electricity, energy for cooking)

Transport

What means of transport do you use or have access to? (car, bicycle, walk, train, other)

Livestock

What livestock do you have or have access to? (cattle, sheep, goats, horses, donkeys, pigs, chickens)

Equipment

What equipment do you have or have access to? (e.g. tools, machines, telephone)  
 Other  
 What do you use them for?

Public infrastructure

Roads

Other

Natural assets

What natural assets do you have access to, e.g. land, dams, springs, rivers, mountains open space, etc.?  
 How do you use those assets to assist your livelihood?  
 Do you have any problem associated with any the natural assets that you have access to?  
 Other comments

Financial (what are the sources of income that are common for this group?)

Employment (what)  
 Remittance (from whom)  
 Income-generating projects  
 Business (what?)  
 Social grants e.g. pension  
 Do you have access to loans? From whom?

Social (what structures support you socially)

Describe the family structure  
 What traditional structures support your group?  
 What community groups are you members of?  
 What other structures provide support to your social group?

## ACTIVITY 3.4

### Phase 2 – Consolidating planning information

**Facilitation method:** Plenary discussion, small groups

- Explain that the second phase involves a thorough analysis and consolidation of the information collected in Phase 1.
- Once you have gone through the course notes from pages 65 to 67 explain to them that in this activity they will be using the information gathered in the livelihood analysis to conduct a SWOT of the social groups.
- Ask participants to breakaway into their small groups and refer them to the SWOT of the social groups on page 66 of the course notes.
- Using the livelihoods analysis sheet completed during the previous activity ask participants to produce a table like the one below.
- The results of the SWOT and desired outcomes for each group should be summarised on a flip chart.
- Members of the group should then vote for the top three desired outcomes. Each group member has three votes and can 'vote' by placing one or more ticks alongside the desired outcome they feel should be prioritised.
- Ask them to list these three priority outcomes on the flip chart as they will be used in the next activity.



Take participants through the course notes from pgs 65-67.

#### Examples of priority outcomes

- Youths need awareness about HIV/AIDS.
- Partners of the single mothers lack awareness about the use of condoms.
- Orphans need assistance.
- The elderly need support to care for the orphans.





## ACTIVITY 3.5

### Phase 3 – Planning the future

**Facilitation method:** Plenary discussion, small groups

- Participants break into their small groups and refer to the three outcomes that they prioritised in the previous activity.
- Participants underline the key words from each of these statements, e.g. for improved income – it might be 'income', for crime it may be 'safe and secure' and write these on a flip chart.
- Using these key words, participants construct a vision statement. Read out the example of a vision statement below. Explain that the order of the wording of the vision should reflect the order of the prioritised outcomes of the ward.
- Take participants through the notes on 'objectives' on page 69 in the course notes.
- Read the example of an objective statement based upon the outcomes identified in Activity 4.4.
- Participants turn their outcomes into objectives.



Take participants through the notes on 'vision' on pg 69 in the course notes.

A strengths-based approach moves away from problem-based planning, which focuses on constraints, to a more visionary approach looking at where a community desires to be and how to get there.

#### Example of a vision statement

By 2010, Ward 10 is a safe and secure place, with people living in good houses, people are healthy and HIV/AIDS has decreased significantly, many people are skilled and self-reliant, and generating viable income from a strong economic base.

#### Example of an objective statement

By 2007 HIV/AIDS infection rate has been reduced amongst the youth and young mothers by 20% in Ward 10, 75% of the HIV/AIDS orphans are healthy, attending school regularly and the elderly are well supported in looking after the orphans.

# ACTIVITY 3.6

## Phase 4 – Preparing implementation

**Facilitation method:** Small groups

- Write the following questions on the flip chart and participants complete it in their small groups using information from the course notes.
- Discuss in plenary.



Take participants through the course notes on pgs 71-75.

### Questions to be answered

- What type of projects should be developed into an IDP submission?
- What is the purpose of a discretionary fund budget?
- When should the documentation of the ward plan take place?
- How should discretionary funds be disbursed?
- What types of information should be included in the project concept sheet.
- Draw a blank action plan matrix.
- Why should plans be fed back to the community before implementation?

# ACTIVITY 3.7

## Phase 5 – Monitoring and implementation

**Facilitation method:** Individual activity

- Take the participants through the course notes on pages 75-76. Participants to draw up an agenda for the Ward Committee meeting and the public meeting.



### Definition

An agenda is a list of meeting activities in the order in which they are to be taken up.



# CHAPTER 4

## The role of Ward Committees and other stakeholders in the community-based planning process



### INTRODUCTION

THIS CHAPTER EXPLAINS THE ROLE OF WARD COMMITTEES and other members of the community in community-based planning. Chapter 1 highlighted that a community-based plan needs to be prepared by local people for their ward, owned by the community and ensure the active participation of the community in its implementation. The Ward Committee plays an important part in ensuring and securing community participation.

The CBP methodology provides Ward Committees with a systematic planning and implementation process to perform their roles and responsibilities. They have an agenda – the ward plan – and the implementation and monitoring and evaluation of the ward plan gives them an ongoing role through the year.

#### 4.1 The role of Ward Committees in the CBP process

Ward Committees are established in those municipalities that have opted for a ward-based participatory system. The role of the Ward Committee is to enhance participatory democracy in local government. Ward Committees are seen as an independent advisory body that must be impartial. A Ward Committee is made up of not more than 10 people. The 10 members are elected by the community and should represent the different interests of the community and equitable representation of women. The ward councillor chairs the Ward Committee. The specific roles of Ward Committees contained in the Guidelines section 5 include:

- Make recommendations on any matters affecting the ward to the ward councillor or through the ward councillor to the municipality.
- Hold Section 59 of the Municipal Systems Act, 2000 delegated duties.

While the planning process is initiated and co-ordinated by the municipality, CBP is a partnership between the ward and the municipality. The plan is owned by the ward, represented by the Ward Committee. The municipality empowers its ward councillors and committees to facilitate a planning process that will enable each committee to generate a mandate for its term of office.

Ward Committees are provided for in the Local Government: Municipal Structures Act, 1998. sections. See the Guidelines for the Establishment and Operation of Municipal Ward Committees No 276999 GG 24 June 05.

- Serve as an official specialised participatory structure.
- Create formal unbiased communication channels as well as a co-operative partnership between the community and the council.
- Serve as a mobilising agent for community action, in particular through the IDP process and the municipality's budgetary process.

Ward Committees therefore play an important part in promoting and encouraging community participation to ensure that the community's priorities and needs are taken into account in municipal planning.

Ward Committees have been widely applied as a way of structuring municipal-community relations. In compiling the IDP, Ward Committees play a crucial role in providing community input and needs assessment that can feed into the IDP but also in facilitating public review of the IDP implementation and municipal performance against the IDP.

Communities also have a role to play in monitoring their municipality's performance management system and in setting appropriate key performance targets. CBP is a supportive process to assist Ward Committees in assisting their communities to input to this process. It encourages accountability and transparency.

## 4.2 The role of other stakeholders in relation to CBP

The CBP is a process designed to facilitate community participation at municipal level. This means that the CBP process needs to include a number of other stakeholders. They include:

- community members (individuals, social groups, CBOs)
- facilitators (ward, municipal, other)
- service providers (NGOs, government, private sector, parastatals)
- politicians and community leaders/representatives, councillors, traditional authorities
- officials of the municipality.

Community-based planning requires a facilitator or facilitators to support the process.

Effective community-based planning requires the inclusion of all stakeholders in the planning process. Although 100% community participation may be unrealistic it is important to ensure that all the main social and interest groups in the community are involved. Participation should not only be limited to local leaders or those who normally attend or run community meetings. CBP means that an effort needs to be made to reach out to those in the community who do not necessarily play an active role. It requires time, effort and commitment.

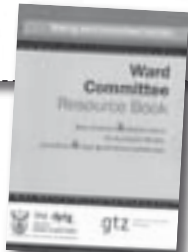
Community-based planning must lead to action involving the communities themselves, in partnership with municipalities.

### Reference!

Chapter 3 discusses the role of CBP in ensuring the community's input into the municipal Integrated Development Plan

### Reference!

See the Ward Committee Resource Book for detailed information on Ward Committee processes, functioning and roles – dplg/gtz



### Reference!

The Local Government Municipal Systems Act, 2000, Chapter 4

Community-based planning may also lead to changes in the ways municipalities deliver their services. For instance the municipality may consider establishing a partnership with a particular community group to deliver a particular service. Community involvement in service delivery is already happening in places like KwaZulu-Natal and Eastern Cape where the community is engaged in provision of water and sanitation and tourism.

### 4.3 The role of facilitators

CBP is a facilitated process geared to ensuring that the views of the community are included in the development of the community. A core team of at least two facilitators per ward working with the local Ward Committee is the most effective approach. The team should include at least one facilitator from the ward and one from the municipality, and possibly an additional ward facilitator from another ward. Ideally the municipal facilitators should be drawn from different sectors, to ensure that a variety of municipal sectors are exposed to CBP, and to establish a contact person for CBP in each sector department.

The facilitation team is likely to include:

- **Ward facilitators** – who may be drawn from elected Ward Committee members or could be respected members of the community such as volunteers, religious and opinion leaders, or community resource persons such as retired civil servants, teachers, women’s group leader, etc. In all cases they should have the energy and enthusiasm to help develop and implement the community-based plans.
- **Municipal facilitators** from different sectors of the municipality or technical government officials from district or provincial departments.
- **Service providers** working with the municipality on the IDP or on community participation issues such as NGOs.

The success of the process is hinged upon a high level of participation from ward members in ward planning. This will enable the community to conduct its own planning processes in the future, reducing reliance on outside facilitators.

#### The role of ward facilitator in the CBP process

The ward facilitator will facilitate and organise the planning process in the ward, document ward plans, and

- assist in the mobilisation of communities
- organise the planning process
- facilitate community planning meetings
- document the ward plans
- update/brief the ward councillor on progress during planning process where necessary
- report regularly on progress during the planning to the CBP specialist.

### The role of the municipal facilitator in the CBP process

The municipal facilitator will help the ward facilitator and Ward Committee to facilitate the planning process; document and implement ward plans, and conduct ongoing monitoring and evaluation. The municipal facilitator will:

- prepare and facilitate the planning process with the ward facilitator and committee members
- document ward plans with the ward facilitator
- prepare implementation reports with the ward facilitator.
- support the ward facilitator in facilitation
- give regular feedback and reporting to his/her sector department and the CBP manager on progress and challenges.

### The involvement of the facilitation team in the planning week

The facilitation team should also include local councillors, other Ward Committee members, and technical staff who can assist during the planning process. This should be agreed at the pre-planning phase and ratified at a community meeting. The facilitation team should include as many Ward Committee members as possible. At least three Ward Committee members should be permanently available throughout the planning week, with others participating wherever possible. This would mean at least three groups could be facilitated simultaneously. Ideally each group should have a facilitator as well as an individual dedicated to documenting the process.

#### Consider the following factors when selecting the facilitation team:

- skills base of these individuals
- language skills
- social characteristics (age, gender, ethnic background)
- ability to relate to different sections of the community.

Facilitators should be supported by CBP specialists. The specialists will provide technical and logistical back-up and will be allocated the responsibility for specific wards.

In the previous round of IDPs, consultants played a very large role – often with problematic results. IDP consultants as well as municipal planners tend to be engineers or town planners, and are therefore trained to focus on physical, infrastructural or spatial issues, rather than process dynamics or community consultation. This problem was widely recognised by **dplg** and the training in IDPs conducted in 2001 attempted to broaden the understanding of development as opposed to physical planning.

CBP specialists have contributed and supported the participation of communities into their municipal IDPs.



## Service providers

Technical advisors can and do play an important role as they provide skills and expertise that the community may not have, therefore it may be important to bring in technical advisors/ service providers from higher levels of local government, NGOs or the private sector. The participation of technical advisors should assist the process by providing appropriate inputs to the process, without dictating the outcomes. For example the involvement of technical advisors is useful when communities are selecting strategies and projects to achieve their objectives, i.e. around the fourth day in the planning process.

Involvement can be enhanced by:

- proper pre-planning, consultation and dissemination of information
- timely communication of the schedules for planning
- appointments made with key service providers
- service providers furnishing the planning team with their plans relating to the plan period
- effective dialogue between service providers and the planning team.

## Politicians

Politicians are responsible for ensuring follow-up and implementation of the plans and their commitment to the process is vital. Their participation is therefore important.

To guarantee their participation in the CBP process politicians should be:

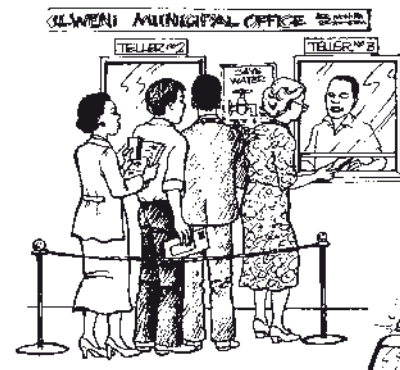
- included as part of the pre-planning, consultation and dissemination of information
- lobbied in council meetings and through the different caucuses of the municipality to support CBP
- asked to play a key role in particular meetings including pre-planning, launch, prioritisation and feedback meetings.

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

## Traditional leaders

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

Remember it is important to interview service providers to hear their views on issues affecting the community and their services so that they compliment and support community input.



## Conclusion

Effective community-based planning is a partnership between all stakeholders. Ward Committees are the recognised structure that acts as a conduit for the community's voice to be heard. CBP facilitators need to work with all stakeholders to make the process work.





## CHAPTER 4 ACTIVITIES

Time: 1 hour

### ACTIVITY 4.1

#### The role of Ward Committees in the CBP process

**Facilitation method:** Small groups, plenary report discussion

- Participants work in groups of four to five and answer the questions below. If the group prefers to have the question read out, then read each question at a time, get all groups to discuss the question, then move onto the next question. If you are using the flip chart then assign each group two questions. Remember more than one group will have the same question.
- Take responses from the groups. If more than one group has the same question make sure that each group contributes. For example you could ask one group to respond to one question and another to the second question. Alternatively take a few responses from each group and move on to the next group.
- Using the course notes from pages 87 to 92 top-up by providing additional information. Highlight the difference between the ward facilitator, municipal facilitator and Ward Committee member and ensure that participants understand the role that CBP plays and the link to Ward Committees.



- Answer the questions below in your small groups.

#### Questions to be answered:

- Explain that each group should appoint a rapporteur to report back.
- Using this quotation discuss the importance of Ward Committees in community-based planning.
- Suggest ways that Ward Committees can help councils to use local resources for projects.
- Suggest ways in which communities can participate in local government?
- Suggest ways to involve the different stakeholders in communities.





# Administrative Annexures

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# REGISTRATION OF A LEARNER FOR THE SKILLS PROGRAMME

module TWO

## 1. Module details

1.1 Name of Skills Programme	
1.2 Linkage to qualification	
1.3 Commencement date of Skills Programme	
1.4 Termination date of Skills Programme	
1.5 Unit standards covered	

## 2. Learner details

2.1 Full names						
2.2 Identity number						(Please attach certified copy of ID)
2.3 Gender	Male			Female		
2.4 Home language						
2.5 Race	African	Coloured	Indian	White	Other	
2.6 Do you have a disability, as contemplated by the Employment Equity Act (No. 55 of 1998)?						
	No	Yes	If yes, specify			
2.7 Home address						Code
2.8 Postal address (if different from 2.7)						Code
2.9 E-mail address						
2.10 Tel number & codes	Home	Work	Cell			
2.11 Are you a South African citizen?	Yes	No	If no, specify			

### 3. Employer details

3.1 Registered name of employer				
3.2 Trading name (if different from 3.1)				
3.3 Are you the lead employer?	Yes		No	
3.4 Physical address				Code
3.5 Postal address				Code
3.6 Full names of contact person				
3.7 Tel number & code			Fax number & code	
3.8 E-mail				
3.9 Registration number & codes	SIC		SARS	
	SETA			

### 4. Training provider details

4.1 Registered name of training provider				
4.2 Trading name (if different from 4.1)				
4.3 Are you the lead training provider?	Yes		No	
4.4 Physical address				Code
4.5 Postal address				Code
4.6 Full names of contact person				
4.7 Tel number & code			Fax number & code	
4.8 E-mail				
4.9 Registration number & codes	SIC		SARS	
	SETA		SAQA	

### Signatories

Date.....

Training provider's signature

.....



# REPORT ON THE DECLARATION OF COMPETENCY FOR THE SKILLS PROGRAMME

module  
two

Title of the Skills Programme	
Commencement date of the Skills Programme	
Date of completion	
Name of registered assessor training provider	
Registration number	

# COMPLETENESS OF THE PORTFOLIO OF EVIDENCE AND DECLARATION OF COMPETENCY

Name of Learner: .....

Declaration by the training provider:

.....

The 'Portfolio of Evidence' has been checked and is complete with respect to

- Knowledge test (carried out after theory training)
- Report about workplace experience

The Skills Programme is covering the following unit standards:

.....

with a total of ..... credits

## Assessment decision

The learner is declared (Indicate the decision with a tick)

- Competent
- Not yet competent

Date of assessment:.....

Remarks: .....

Signature: .....

# EVALUATION OF INDIVIDUAL ASSIGNMENT BY THE TRAINING PROVIDER

module  
two

Name of Participant: .....

Municipality: .....

Type of evidence submitted:

Date of Submission:

--	--

Validation of assignment by the training provider:

Note: Please evaluate the evidence by indicating whether the evidence meets the criteria as listed below.

Authentic  
Evidence that it is the participant's own work

Current  
Evidence from the workplace not older than 12 months

Sufficient  
Enough evidence to make a competency judgment

Valid  
Evidence that it is related to the assignment

The submitted document meets the requirements:

Yes

No

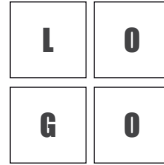
Comments or additional action required: .....

.....

Date:.....

Signature of training provider/assessor: .....

# RECOMMENDED FORMAT OF CERTIFICATE



[Insert logo of training provider]

## CERTIFICATE FOR A SKILLS PROGRAMME FOR

[Title of the Skills Programme]

THIS IS TO CERTIFY THAT

.....  
I.D.:.....

HAS BEEN ASSESSED COMPETENT IN THE SKILLS  
PROGRAMME COVERING THE FOLLOWING UNIT  
STANDARDS

US:.....

US:.....

US:.....

[Please indicate the number and the title of the unit standards]

With a total of.....credits

.....  
Signature Training Provider

.....  
Endorsed by LGSETA\_ETQA

.....  
DATE OF ISSUE

module

two

Module

2

# COMMUNITY-BASED WORKBOOK & GUIDE PLANNING PROGRAMME



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Provincial and Local Government  
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