

**A CRITICAL ANALYSIS OF PARTICIPATORY COMMUNITY
DEVELOPMENT INITIATIVES: A CASE STUDY OF THE
SMALL BUSINESS DEVELOPMENT DEPARTMENT OF THE
ELGIN LEARNING FOUNDATION IN THE OVERBERG
REGION.**

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KEY WORDS

Accountability,

Community,

Co-operation,

Decision-making,

Development,

Inclusion,

Ownership,

Participation,

Stakeholders,

Sustainability and,

Transparency,



ABSTRACT

Development thinking in the 21st century has embraced the challenge to inform development practice towards managing the relationship between the macro and micro level of development, with an emphasis on people-centred development (PCD) and a participatory development approach (PDA). People-centred development advocates a process focused on people, which enables beneficiaries of community-development initiatives to empower themselves through participation. People-centred development has been universally accepted in the development community as the only viable option, with the potential to reverse decades of top-down approaches to development through the engagement of community stakeholders in a meaningful participation process. The social development scene in South Africa is characterised by a strong presence of the civil society in general and non-governmental organisations (NGOs) in particular, which are major role players in socio-economic development at the grassroots. Most of these organisations are committed to participatory development methodologies in order to meet the needs of poverty-stricken communities in South Africa.

This thesis critically assessed participatory development in the Small Business Development Departmentsø (SBDD) programmes/projects at the Elgin Learning Foundation, in the Overberg district of the Western Cape. A qualitative research methodology was applied throughout the study. This research approach was chosen

because the purpose of this project was to understand and describe community participation at the SBDD from an insider's perspective, and not to predict social action or make generalisations about it. Accordingly, observation, in-depth interviews, documentary analysis, and focus-group discussions were utilised for data collection. The study also used secondary sources of information, namely policy briefs, project proposals, annual evaluation reports, and minutes of meetings.

The findings indicate that the community-development activities of the SBDD are very visible in the Overberg region, and that the organisation maintains good relationships with community stakeholders. In addition, the department contributes significantly towards entrepreneurship and skills development in the community, through its training and mentorship programmes. However, results also suggest that community-development at the SBDD is not always people-centred because training programmes are largely externally designed, monitored and evaluated, without taking into consideration the felt needs of the people. Participation that is perceived as a means to an end, rather than an end in itself can be described as tokenistic. In this light, the study recommends that the SBDD develops context-specific strategies to implement participatory methodologies at all stages of project-cycle management, in order to provide an enabling environment for the genuine participation of people at the grassroots. This approach can empower community members and build local institutional capacities to ensure project/programme sustainability in the long term.

DECLARATION

I declare that the thesis entitled: A critical analysis of participatory community development initiatives; a case study of the small business development department of the Elgin learning foundation in the Overberg region is my own unaided work, that it has not been submitted for any degree or examination at any other university, and that all the sources I have used or quoted have been indicated and acknowledged as complete references.

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Signed: í í í í í í í í í í í í í



Date: í í í í í í í í í í í í í

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Fig.:1.1 Logical relationships between the five chapters that make up the study

Fig. 4.1 Classification of the number and types of programmes/projects initiated by the SBDD



LIST OF ACRONYMS

ABET - Adult Basic Education and Training

ACPD - African Christian Democratic Party

AIDS ó Acquired immune deficiency syndrome

ANC - African National Congress

AusAID ó The Australian government's overseas aid program

CEO - Chief Executive Officer

DA- Democratic Alliance

DBE - Department of Basic Education

ASGISA - Accelerated and Shared Growth Initiative for South Africa

CBO - Community based education

ECD - Early Childhood Education

ELF - Elgin Learning Foundation

GEAR- The Growth, Employment and Redistribution Strategy

GTZ - German Agency for Technical Co-operation

HWSETA - Health and Welfare Services Sector Education and Training Authority

FSAA - Finland South African Association



HIV ó Human immunodeficiency virus

ID - Independent Democrats

M&E - Monitoring and evaluation

MERSETA - Manufacturing, Engineering and Related Services Sector Education and Training Authority

NGO - Nongovernmental organization

NQF - National Qualification Framework

NSDP - National Spatial Development Perspective

PCD - People-centred development

PD - Participatory development



PDA - Participatory development approach

PDM- Participatory development methodologies

PME- Participatory monitoring and evaluation

RDP - Reconstruction and Development Plan

SBDD - Small Business Development Department

TWK- Theewaterskloof

UNDP - United Nations Development Programme

CHAPTER ONE

INTRODUCTION

1.1 Background/contextualisation

Over the past few decades, participatory community-development (PCD) has become one of the important elements in mainstream development thinking (Parfitt, 2004; Rahman, 1993; Schuftan, 1996). Pioneered by Freire (1973) and Chambers (1983), participation in community-development was popularised in the 1990s by the United Nations. Today donor organisations such as the World Bank and the Australian government's overseas aid program (AusAID) have embraced it as part of their response to the criticisms of top-down development (Narayan, 2002). In one form or another, in developed and developing countries alike, most multilateral organisations such as the United Nations Development Programme (UNDP), bi-lateral organisations such as the German Agency for Technical Co-operation (GTZ), non-governmental organisations (NGOs), and community-based organisations (CBOs) advocate participatory approaches to development.

Having replaced earlier top-down versions of community-development, participatory development is currently being applied at multiple levels, in diverse sectors of South

African society. These levels include education and training, healthcare, agriculture, small-business development, and the environment, in both urban and rural communities (Roodt, 2001). The participation of community members and stakeholders in the design, planning, implementation, monitoring as well as evaluation of community-development initiatives is therefore crucial to the success of development projects (Davids, Theron & Maphunye, 2009).

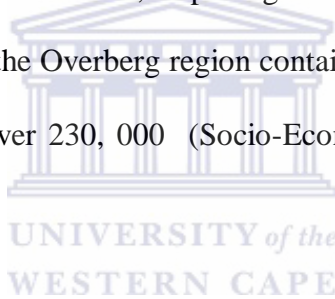
Analysts in the field (Davids et al., 2009; Tembo, 2003; Roodt, 2001) argue that the rationale behind the emergence of participatory community-development is the fact that the participation of beneficiary groups does not only develop their capabilities to identify their needs, but also strengthens their ability to take concrete action to address them. This process is empowering and leads to self-transformation and self-reliance within individuals as well as communities, thereby ensuring sustainable development (Chambers, 1997; De Beer & Swanepoel, 1998).

However, the practice of participatory development in developing countries is not without challenges. According to Kapoor (2005), participatory development is characterised by a variety of approaches and methodologies that can be interpreted and applied selectively, with varying implications for development. Therefore, although participatory development theory is widely accepted, its variety of practices

and interventions at the micro-level are challenging for authentic participation, from both beneficiary and community-development workers' perspectives.

1.1.1 Participation and community-development in the Western Cape Province

The Western Cape Province is one of nine provinces of the Republic of South Africa. It consists of six district municipalities, one of which is Overberg. The Overberg district municipality (ODM) comprises four local authorities, namely; Theewaterskloof (TWK), Overstrand, Cape Albus and Swellendam. Covering a total land space of 11,407km², the Overberg region contains 32 demarcated wards, with an estimated population of over 230, 000 (Socio-Economic Profile: Overberg District 2007).



The regulatory framework for community-development in the Western Cape Province is outlined in the Western Cape Growth and Development Strategy (2008). The foundation of this policy document is the South African Constitution, the Millennium Development Goals, the Accelerated and Shared Growth Initiative for South Africa (ASGISA), and the National Spatial Development Perspective (NSDP). The Western Cape Growth and Development Strategy white paper (2008) provides a legal framework to coordinate the efforts of civil society, complex government structures,

business, labour and the faith-based sector towards a vision of eradicating poverty and inequality in the province

Small business development in the Western Cape is guided by the white paper on the National Strategy for the Development and Promotion of Small Business in South Africa (1995). Created within the framework of the Reconstruction and Development Plan (RDP) (1994), the policy document provides an enabling environment within which small businesses can flourish (Von Broembson, 2001). According to the National Strategy for the Development and Promotion of Small businesses, the Western Cape Provincial government is responsible for facilitating, rather than implementing small business development in the province. Therefore, the implementation of the National Small Business Development Strategy over the last decade has relied on collaboration between governments, NGOs, the private sector, community-based organisations and donor agencies (Von Broembsen, 2001). This implies that NGOs have an important role to play in partnership with government and the private sector, especially in facilitating the development and sustainability of small-businesses in South Africa.

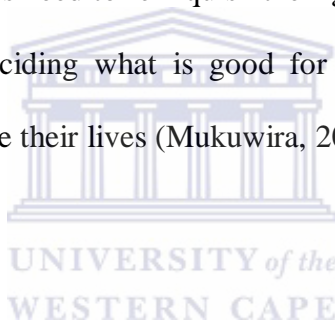
1.1.2 The role of non-governmental organisations (NGOs) in community-development

Since the 1980s, the international community has witnessed significant growth in the numbers and scope of NGOs in different aspects of socio-economic development (Lewis, 2001). In the context of South Africa, the demise of apartheid in the early 1990s unleashed an unprecedented growth in the NGO sector, which was characterised by an increase in government and donor funding. This sought to redress the imbalances created by decades of segregation and marginalisation of the majority (Davids, et al., 2009).



NGOs encompass a broad spectrum of organisations, "varying in their specific purpose, philosophy, sectoral expertise and scope of activities" (Zohir, 2004: 4109). The social development scene in the South Africa is characterised by a strong presence of community-based organisations (CBOs) as well as local and international NGOs (David, et al., 2009). In the context of this study, NGOs are development-oriented, non-profit organisations that are institutionally independent of the State, though operating within its legal framework and directing donor funds as well as local resources towards development programmes (Tembo, 2003).

NGOs have a comparative advantage over public and private sector organisations in facilitating the participation of local communities in development programmes (Tembo, 2003). Furthermore, David, et al. (2009) postulate that NGOs are characterised by innovative and flexible institutional structures that allow for the mobilisation of the poor and the strengthening of local institutions through participatory bottom-up approaches. However, according to Makuwira (2004) the potential for NGOs to be effective and efficient in ensuring participatory development at the micro level is not always realised because of the politics of participation. He further contends that NGOs need to relinquish their grip on power and trust that local people are capable of deciding what is good for them and owning development projects designed to change their lives (Mukuwira, 2004: 10)



1.1.3 The case study of the Small Business Development Department at the Elgin Learning Foundation

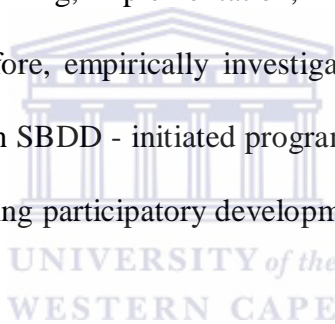
The Elgin Learning Foundation (ELF) is a non-governmental and non-profit organisation formed in 1995 to address the needs of poverty-stricken communities in South Africa. Though geographically situated in the Overberg district municipality and focused on development work in rural areas, it also extends its services to other regions in the field of community-development and capacity building. The vision of the organisation is to help change lives through service and education, with a mission to help disadvantaged communities in rural areas in South Africa through education,

training and development. ELF provides services in the fields of agriculture, small-business development, health management, education, training, and technical/occupational skills (Elgin Learning Foundation, 2010). The Small Business Development Department (SBDD) is one of several departments at ELF, and focuses on nurturing small businesses within the community to become successful money-generating operations, through training and mentorship programmes (Elgin Learning Foundation Annual Report, 2009).

1.2 Statement of the problem

Swanepoel (2000) and Davids et al. (2009) concur that NGOs play a critical role in terms of participation and involvement of the people, with the aim to develop and strengthen the capabilities of beneficiary groups in any community-development initiatives. The participatory development process is empowering and leads to self-transformation and self-reliance, thereby ensuring the sustainability of community-development programmes (Penderis, 1996; Rahman, 1993; Dinbabo, 2003b). However, there is still a dearth of information on the nature of local community participation in NGO-initiated projects in post-apartheid South Africa. In this regard, Tembo (2003) notes that, although several scholars have examined participatory development in government projects, the findings are not fully transferable and therefore not applicable in the context NGOs in general and, specifically, in small-business development.

As a development oriented NGO, ELF is involved in both rural and urban community-development initiatives in the Overberg region and sometimes as far as the Cape Metropolis and the Northern Cape (Elgin Learning Foundation, 2010). At the time of the research, ELF was involved in 52 educational, training and community-development projects. While the SBDD boasts of over 200 successful community-development initiatives (Elgin Learning Foundation Annual Report, 2009), the extent to which it mobilises the participation of its beneficiaries in the decision-making processes of the training and small-business development projects, from the design to the planning, implementation, monitoring and evaluation is yet to be interrogated. Therefore, empirically investigating the level and the extent of community participation in SBDD - initiated programmes or projects is important for the purpose of understanding participatory development at the SBDD, and to a larger extent at ELF.



1.3 Research questions

In line with the research problem identified above, the main purpose of this research was to answer to the following specific research questions:

- What are the types of community-development projects that the SBDD has initiated in Overberg?

- To what extent does the community participate in decision-making processes in projects?
- What is the level of accountability in the leadership structures and transparency in the operational modalities of the SBDD?

1.4 Aims of the study

The overall aim of the research was to gain an in-depth understanding of the practice of participatory development within programmes/projects initiated by the SBDD of ELF. This included various aspects of the processes of project identification, planning, implementation, and monitoring and evaluation.

The study had the following specific research aims:

- To analyse literature on participatory community-development; development theories and concepts, as a framework to critically examine the level of community participation in SBDD projects and programmes;
- To understand the institutional setup, structures, procedures and systems of ELF in general and the SBDD in particular;
- To empirically investigate the various types of community-development projects initiated by the SBDD;

- To examine the level of community participation, accountability, transparency, decision-making processes, capacity-building, leadership, and sustainability at the SBDD;
- To provide recommendations to the SBDD, ELF and other community stakeholders.

1.5 Research design

Research design indicates the overall framework or 'blueprint' for the empirical research that was undertaken (Babbie & Mouton, 2008: 74). A qualitative research paradigm is relevant to social research, which 'takes its departure point as the insider perspective on social action' (Babbie & Mouton, 2008:53). In this study, a qualitative mode of enquiry was deemed the most appropriate because the aims of the research are to understand and describe social action rather than to predict or make generalisations about it. The core of qualitative-data enquiry is gathering information through observation, interviewing and the analysis of documents (Marshall & Rossman, 2006).

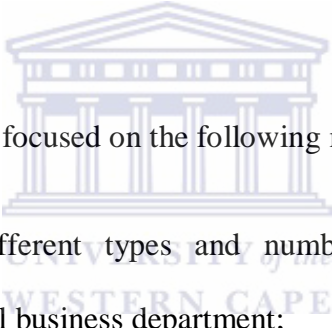
1.5.1 Research methodology

Research methodology refers to the techniques and instruments used in collecting data (Bryman, 2001). Mouton (2001) contends that research methodology is

important in social-science research as it is used to collect, condense, organise and analyse data. For this study, a range of research methods were selected based on their potential to provide data that is relevant to the objectives of the study. A case-study design was used to collect qualitative data through interviews, focus-group discussions and observation. This approach ensured the triangulation of the findings. A total of 40 informants were selected, using non-probability sampling techniques, namely purposive and snowball sampling.

1.5.1.1 Data collection

The gathering of field data focused on the following major themes:

- 
- classifying the different types and number of community-development projects in the small business department;
 - identifying and assessing the different levels of community participation (project identification, planning implementation, monitoring and evaluation);
 - assessing the decision-making structures, accountability and transparency;
 - distinguishing institutional aspects such as rules, capacity-building activities, ownership, and sustainability;

- identifying the monitoring and evaluation strategies ó these categories were turned into specific research questions (see Annexure 1) that formed the basis of the empirical stage of the study.

Interviews and focus-group discussions transcripts, field notes and project documents constituted the raw data for analysis. Significantly, qualitative-data analysis is the process of ‘bringing order, structure and meaning to the mass of collected data’ (De Vos, 2007: 333) and it transforms raw data into findings (Patton, 2002: 432. In order to document data accurately, audio tapes and field notes were recorded throughout the data-collection stage, and audiotapes were carefully transcribed. Transcripts were categorised into meaningful groups, based on the research question and the objectives of the study. Programme/project documents were interpreted, and field notes generated during observations were examined. Here, the researcher was interested in their specific meanings and how they can be brought to bear on participatory development at the SBDD. Finally, emerging patterns and underlying themes were identified and categorised. In the ensuing chapters, a synthesis of these themes has been presented and an overall portrait of participatory development at the SBDD has been constructed to provide conclusions and recommendations to the SBDD and ELF.

1.5.1.2 Literature review

Documentary analysis was considered important in this study because it helps to clarify the researcher's understanding of people-centred development theory and related concepts, as well as to provide relevant background information on the case-study area and the ELF. Delport & Fouche (2007) point out that theory and literature reviews are relevant in case-study research to guide the study in an explanatory way prior to data collection. Secondary data analysis was carried out in the form of a literature review and a careful study of relevant documents such as project proposals, reports and minutes of meetings.



1.5.1.3 In-depth interviews

In-depth interviews were conducted to gather information on the number, types and origin of community-development projects initiated by the SBDD, as well as the levels of community participation in these programmes. These interviews were relevant in that they supplemented the documentary evidence, and helped the researcher to eliminate inconsistencies and identify commonalities, contradictions, ambivalences and disruption in the emerging issues on participatory development (Rubin & Rubin, 1995, cited in Babbie & Mouton, 2008: 289). Even though guiding questions were formulated for the interviewing process, it was characterised by flexibility and continuity. This helped the researcher to explore important themes in more detail. Informants were selected from among the staff of the ELF and the

SBDD, project beneficiaries and community members. They were selected on the basis of their age, gender and knowledge of the organisation and their community-development activities.

Thirteen respondents were interviewed in-depth. These informants included senior ELF staff members such as; the Resource manager, the Quality Assurance manager, and the Finance manager. Others included the Manager, the Assessor, Facilitators, Mentors and the Administrator of the SBDD. Finally, a local government official and a couple of community members were also interviewed as key informants.

1.5.1.4 Focus-group discussions

Focus-group discussions were necessary to obtain information from community members. The main purpose of these discussions was to find out the extent of participation in the decision-making processes, and the level of accountability in the leadership structures and accountability in the operational modalities of the SBDD. To this end, they provided a platform for programme beneficiaries and community members to create meaning of their shared experiences as a group, rather than as individuals (Flick, 2009). Furthermore, group discussions offered an alternative way of refining, checking and clarifying themes that had emerged from the processes of interviewing, observation, and documentary analysis.

The researcher facilitated four main focus-group discussions and the participants were selected on the basis of shared interests. They included a women's self-help group, a youth group, small-business owners and participants in a training programme at the SBDD. These groups consisted of between 7 and 13 participants of varying ages, gender and socio-economic status in the community.

1.5.1.5 Observation

In this study, the purpose of an observation was to gather first-hand information on the manner in which community members interact with one another and programme officials, in planning and implementing project activities. According to Kaplan (1996), observation is the most important faculty in understanding any intervention. To achieve this interest, the researcher stayed in Elgin Valley near the town of Grabouw for one week, thereafter, several visits were paid to the communities. The researcher observed programme activities and project sites such as training workshops and a vegetable garden respectively. Through direct observation, attending project meetings, training sessions and visiting project sites, the researcher was able to witness at firsthand how people participated, rather than relying exclusively on what they said about their participation.

1.5.1.6 Data analysis

As mentioned previously, qualitative-data analysis brings order, structure and meaning to collected data (De Vos, 2007: 333) and changes raw data into findings (Patton, 2002: 432). In this research, in order to document data accurately, audio tapes and field notes were recorded throughout the data-collection process and were later carefully transcribed. Field notes and transcripts, which constituted the raw data for analysis, were coded. Coding is the process of assigning identifiable symbols, words or names to meaningful sections of transcribed data (Hahn, 2008). Codes can be developed either inductively by the researcher during data processing, or from a set of pre-existing deductive codes (Silverman, 1994). Although it is important to let codes emerge in data processing, one can also identify certain codes from other empirical studies or important concepts in the field, when one is seeking to test existing theories or expand upon them (Nieuwenhuis, 2007).

In this case, coding enabled the researcher to bring together texts from different informants and other data sources associated with a specific theme, so that they could be examined together. Drawing from Silverman (1994), descriptive codes that summarised texts into words or phrases were assigned, across all data sources where appropriate. Whenever a segment of text provided a response that was directly related to the research question, a word or phrase was composed that described the relevance of the data to the objectives of the study. Such codes identified the topic, or what was

written about in the text. All the segments from all the sources of data were coded, and the same codes were applied to similar sections of data.

A thematic analysis was applied to pre-coded data across all data sources and to establish categories. Categories emerged in the process of analysing and combining related codes from interview transcripts, focus-group discussion transcripts, field notes as well as documents. In order to provide direction for data analysis, the interpretation of data began with identifying important categories from codes, based on relevant concepts in participatory development, and then searching the data for texts that matched categories and themes. Therefore, thematic analysis enabled individuals' ideas and experiences of participation at the SBDD that could be easily ignored when examined individually, to be presented as a whole when patterns emerged (Flick, 2009).

Data was presented in the form of narrative analysis, and texts from data were quoted frequently to support the discussions and conclusions. Categories and themes were used as headings and sub-headings to guide the structure of the analysis section, and themes as well as concepts were synthesised to construct patterns and unearth trends of participatory development at the SBDD. Finally, recommendations were offered to the SBDD, ELF, community based organisations, local government departments and other NGOs in the region.

1.6 Motivation for the study

Community-development practitioners are often faced with the challenge of bridging the gap between participatory ideals and what is possible in practice. From the researcher's experience as a volunteer worker in NGOs, most practitioners and organisations sometimes either do not understand or fail to act on the philosophical elements of participatory development. This is often detrimental to poor individuals and communities. Passionate about pursuing a career in community-development practice, the researcher hopes to contribute to minimising the pitfalls of the community-development process by undertaking this empirical study on ELF.

1.7 Ethics statement

An ethics clearance to conduct the study was obtained from the Ethics Committee of the University of the Western Cape. Permission to conduct the study was also obtained from the management of ELF and community members that were directly involved in the study. Written and verbal consents were obtained and permission to record the interviews was also obtained prior to the interviews and focus-group discussions. The purpose of the study and the expected roles of the participants were explained and recorded prior to each interview or focus-group discussion.

To comply with universally accepted ethical standards for social research and to ensure anonymity, (Strydom, 2007), no names, positions, roles and responsibilities at

the ELF or in the Overberg community have been revealed in this thesis as it would indirectly reveal the identity of the individual or group. Furthermore, no individual's name has been linked to a particular statement in an interview or focus-group discussion. No compensation was paid to any informants for participating in the study. Confidentiality on the part of the researcher and the anonymity of respondents ensured that, no participants in the study were harmed as a result of participating in the study.

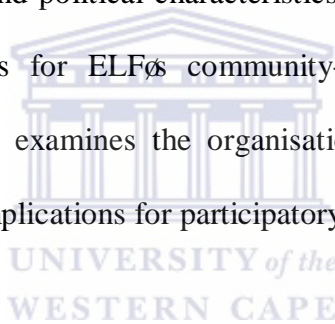
1.8 Chapter outline

This study is presented in five main chapters structured as follows:

- Chapter 1 introduces the field of study and examines the context within which the participatory community-development initiatives of the SBDD at ELF is analysed. It also contains the problem statement, the research questions, aims and objectives of the study, research design and methodology, as well as the motivation for the study.
- Chapter 2 provides a theoretical-conceptual foundation for the study. It discusses the classical theories of modernisation and dependency, and explains how the limitations of these theories led to the development of people-centred development (PCD) theories. It further analyses PCD and defines related concepts as used in this study, to avoid ambiguity. It also

provides a review of empirical field studies undertaken internationally, in South Africa, and in the context of the Western Cape Province. It identifies the gaps in available research and indicates the significance of this study in filling these gaps.

- Chapter 3 contextualises the study by providing background information on the SBDD at ELF. This is done by describing the case-study area, the Overberg district, as well as ELF. The chapter also focuses on the physical, social, economic and political characteristics of the Overberg region, as well as its implications for ELF's community-development initiatives in the district. Finally, it examines the organisational structure of ELF, with an emphasis on the implications for participatory development at the SBDD.
- Chapter 4 assesses the level of community participation at the SBDD, focusing on the numbers and types of projects/programmes, decision-making processes, institutional arrangements, as well as the monitoring and evaluation strategies at the SBDD.
- Chapter 5 presents the conclusions emanating from the empirical research undertaken, offers recommendations to the SBDD and ELF, and identifies areas for further research.



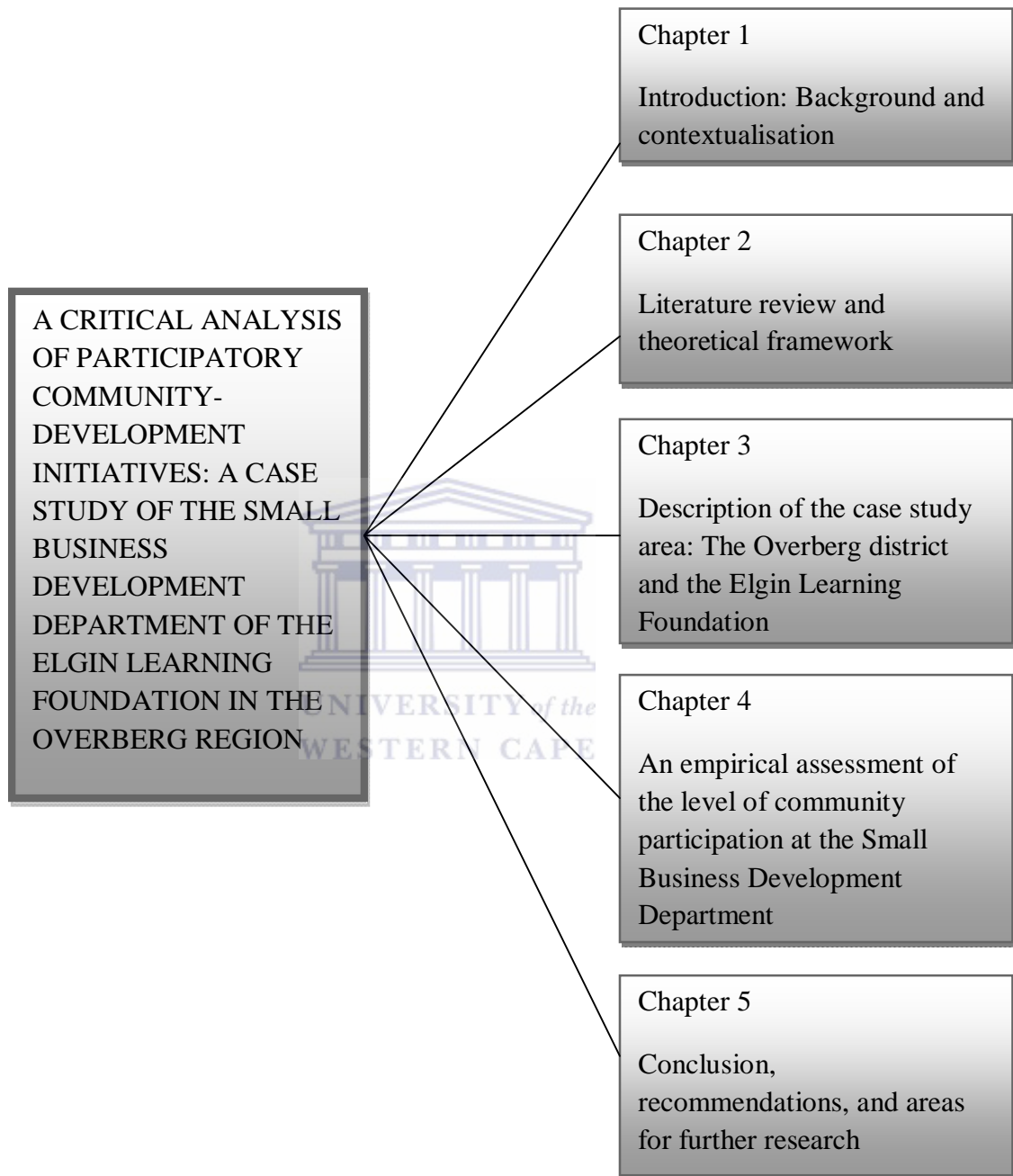


Fig.:1.1 Logical relationships between the five chapters that make up the study (Source: Researcher's diagrammatic illustration)

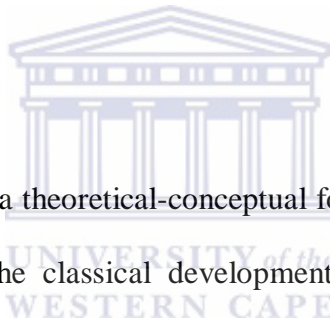
CHAPTER TWO

THEORETICAL FRAMEWORK AND LITERATURE REVIEW

2.1 Introduction

Development theories have evolved over the last five decades, from macro approaches that were informed by the traditional theories of modernisation and dependency, to micro-level approaches, greatly influenced by the humanist paradigm (Burkey, 1993; Mohan & Stokke, 2000; Dinbabo, 2003a). The humanist paradigm refers to theories and approaches that emphasise the participation of people as the most important aspect of the development process. Also, Coetzee, Graff, Hendricks & Wood (2001) contend that participatory development approaches emerged out of the failures of traditional approaches, to bring about positive change in developing countries. Drawing on the humanist paradigm, the international development community has institutionalised people-centred development theory and related practices over the past two decades, with an emphasis on participation at the grassroots (Davids, Theron & Maphunye, 2009). This is because participation at the grassroots has the potential to build community capacities, to collectively mobilise local resources and manage them effectively and efficiently in order to uplift entire communities, out of poverty and deprivation.

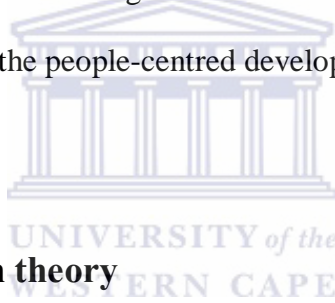
Development theories which are considered conventional today do not exist in a vacuum, but have their origins in several philosophical or meta-theoretical paradigms of the social sciences (Coetzee et al., 2001). According to Mouton (2001: 11), "meta-theory is a form of enquiry which reflects critically on the world of science and theory". The purpose of this chapter is to tease out debates around the history of development, in order to unearth the importance of people-centred development theory in the current practice of community-development in South Africa. It identifies relevant debates on development theory and practice in order to build a logical framework for the study.



The chapter also provides a theoretical-conceptual foundation for the study. It begins by critically examining the classical development theories of modernisation and dependency. Also, it analyses the evolution of the people-centred paradigm, the implementation challenges and how these can be overcome in South Africa. Furthermore, the definitions of key concepts such as *participation*, *community*, *empowerment* and *sustainability* are discussed in order to clarify their meaning in the context of the study. Finally empirical studies in the field are examined and conclusions provided.

2.2 Classical theories of development

The theories of modernisation and dependency are the historical foundation of the more recent theories, approaches and methodologies that constitute the people-centred development paradigm. Coetzee et al. (2001) argues that the orthodox theories of modernisation and dependency, although traditionally considered opposites, are similar in perceiving development as progress. They only differ at the level of implementation of the principles. The following section distinguishes between modernisation and dependency theories in policy and practice, and explains their conceptual and practical strengths and weaknesses. This approach provides a context for the analysis of the people-centred development paradigm.



2.2.1 Modernisation theory

After the Second World War, modernisation became the most popular theory of social change, with influences from various schools of thought in the western social sciences, such as the functionalism of Talcott Parsons and the stages-of-growth theory by Walt Rostow (Davids, et al., 2009). Based on the development experiences of Western Europe, and the movement from feudalism to capitalism, the term modernisation was perceived as the final stage in the process of the socio-economic and political development of traditional societies into modern ones (Coetzee, 2001: 28). The movement from the traditional to the modern was understood to be a linear one that could be attained through 'industrialisation', 'democratisation' and

ösecularisationö. Modernisation, therefore, was perceived as the process through which the newly decolonised traditional countries in Africa, Asia and South America would go through to become modern. This was supposed to be achieved through the transfer of the advanced political, social, cultural and economic accomplishments of western societies to become modern (Coetzee, 2001: 27).

2.2.2 Dependency theory

With its roots in Marxism, the major tenet of dependency theory is that the underdevelopment of certain countries is a process that is well crafted and sustained by the öinternational capitalist economic systemö (Davids et al., 2009: 13). Frankö 1969 centre- periphery model (cited in Graaff & Venter, 2001; Davids et al., 2009) postulates that the institutionalisation of capitalism in the core/western countries directly causes underdevelopment in the periphery/poorer countries through the exploitation of natural resources with unequal market conditions. This kind of exploitation is possible because peripheral economies were not designed to be self-sufficient, but to serve as extensions of the centre. The relationship between the periphery and the core exists between wealthier and poorer nations, as well as between rural and urban areas (Graaff & Venter, 2001: 77- 82).

Although the classical theories of development are traditionally perceived as competing, they are similar in many ways. While modernisation consists of two parallel forms of traditional and modern societies, dependency simply replaces those by the dual elements of development and underdevelopment. Also, development as conceptualised in modernisation theory is simply inverted into the 'development of underdevelopment' in dependency theory (Davids et al., 2009: 14). That is, they are both intrinsically deterministic, even though modernisation focuses on the internal determinants of development such as tradition, and dependency on external ones such as the spread of capitalism from western to poorer nations (Davids et al., 2009). Furthermore, modernisation emphasises narrowing the gap between the modern and the traditional, while dependency stresses the widening inequality between the centre and the periphery (Graaff & Venter, 2001). Finally, the orthodox theories of modernisation and dependency place European and American societies on a pedestal, and western materialism is perceived as the gold standard that other societies should aspire to attain (Coetzee et al., 2001: 101).

By the 1980s, dissatisfaction with the outcomes of the implementation of the holistic approaches of modernisation and dependency in the developing countries of Africa, Asia and South America was clearly visible, especially given the worsening living conditions of the people, and the widening inequality between the developed and developing countries (Sachs, 1992). Where applied, both orthodox theories failed to bring about sustainable development, to the extent that there was the necessity for a

paradigm shift, away from the macro-theories of modernisation and dependency to a micro-approach which focused on people and the community (Davids, et al., 2009; Eade, 1997; Rahman, 1993). Community-development as it is today has found a home within the humanist paradigm that will be explored below. Therefore, despite the obvious differences between the opposing theories of modernisation and dependency, both are not only prescriptive in nature but also offer oversimplified macro-solutions to the development problematic of Less Developed Countries with disastrous consequences, which the humanist paradigm attempts to redress (Davids, et al., 2009: 16).



2.3 People-centred development/ participatory development

According to De Beer & Swanepoel (2000), community-development within the classical development paradigms (modernisation/dependency theories) turned out to be the most abused form of development the world has ever experienced. In the context of South Africa, blue prints and action plans that are characteristic of the orthodox-development paradigm implemented during the colonial and apartheid eras socially, economically and politically disempowered the majority of the population (David, et al., 2009). The advent of democracy in South Africa ushered in a policy shift towards participatory development policies on the one hand, which is evident in the Reconstruction and Development Plan (RDP), and on the other hand, neo-liberal macro-economic policies, elaborated in the Growth, Employment and

Redistribution strategy (GEAR) (RDP, 1994). Therefore, although people-centred development prioritises individual, institutional and organisational issues in local development over national strategies, it is a challenge for participatory development actors, striving for participation at the grassroots, especially within a context of global neo-liberalism (Swart & Venter, 2001).

Moreover, people-centred development has been defined as a process through which community members "increase their personal and institutional capacities to mobilize and manage resources to produce sustainable and justly distributed improvements in their quality of life, consistent with their own aspirations" (Korten, 1990: 76). This implies that development initiatives should be by the people and for the people. People-centred principles have influenced the course of a world-wide movement over the past three decades, changing the bearings of education, business, public policy, international relief effort and development programmes (Jennings, 2000). This practice has become known as participatory development. Participatory development "is a variant of community-development" that is, society-centred, people-centred, socially inclusive and democratic" (De Beer & Swanepoel, 1998, cited in Davids, et al., 2009: 44). On both theoretical and strategic levels, participatory development advocates that beneficiary communities should not just be involved, but that they should also be able to design, shape and eventually own development projects (Theron & Ceasar, 2008). This suggests that the outcome of development is determined by the dynamics of the social relationships between the

change agent and the beneficiary community. The rationale for participatory development is that it does not only involve beneficiary groups in development projects but develops and strengthens the capabilities of beneficiary groups in development initiatives, which is òí empowering, and leads to self-transformation and self-reliance thereby ensuring sustainabilityö (Dinbabo, 2003: 9).

In this light, participatory development encompasses a variety of approaches and strategies which emphasise participation that is socially inclusive, particularly with reference to previously excluded groups in development processes. These groups include; women, children, the elderly, the youth and the disabled (Roodt, 2001). In the context of South Africa, these groups also include rural communities, townships or urban slums and the specific races that make up previously excluded components in development. Here, participatory development theory posits that the solution to underdevelopment in developing countries can only be realised through the mobilisation of local resources and capacity building at the grassroots, rather than through the centrally mandated development programmes of large agencies with centralised hierarchies and inflexible bureaucratic structures (Abiche, 2004).

2.3.1 Challenge for people-centred development/participatory development

Since the demise of apartheid, several development oriented organisations in South Africa have embraced the philosophy of participatory development (Davids et al. 2009). Contrary to the view that is accepted in theory, participatory development is problematic in practice because it is perceived differently by diverse organisations and individuals, resulting in a variety of practices and interventions (Pijnenburg & Nhantumbo, 2002). Proponents of participatory development contend that development can only contribute to poverty alleviation if the poor actively participate in development initiatives (Davids et al., 2009: 43). Participation, however, means different things to different people, ranging from a tokenistic display to transformative participation (Makuwira, 2004). Participatory development advocates transformative participation in which people find ways to make decision and take action, without outsider involvement and on their own terms (Lewis, 2001: 118).

However, critics such as Kapoor (2005) have discarded participatory development as the new tyranny in development practice, and participation has been defined as loosely as a rendition of the organisational culture defining it (Jennings, 2000: 1). As such participation can be used as an instrument of oppression, when people are not given the power to make decisions. This is because participatory development has

evolved into an extraordinary combination of context-specific qualitative methodologies and techniques that are constantly evolving based on local realities (Mohan & Stokke, 2000: 252). Examples of these approaches include Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA) (Chambers, 1992). When applied appropriately, these methodologies have the potential to transform individual and community capacities, in order to bring about sustainable development. For Kapoor (2005), some NGOs that adhere to the rhetoric of participatory development, interpret it as persuading beneficiaries to accept whatever is being proposed to them, and involving them in predetermined projects of large agencies which are unaccountable to the poor. Others, however, perceive the substance of participation as a fundamental right of the communities and a means of capacity building and empowerment (Davids et al, 2009). It is against this background that the proposed study sets out to interrogate the practice of participatory development in the ELF-initiated community-development projects.

Moreover, in as much as these approaches have the potential to be transformative, they can also be used as a front for the implementation of traditional top-down approaches to development. For Makuwira (2004), despite the comparative advantage of NGOs in promoting participatory development in Malawi, the participation of their stakeholders, including local government, community-based organisations (CBOs) and local community members can be tokenistic. Participatory development in

development practice is therefore laden with conflicting debates on both theoretical and strategic levels, which this study aims to highlight.

2.3.2 Participatory development and related concepts

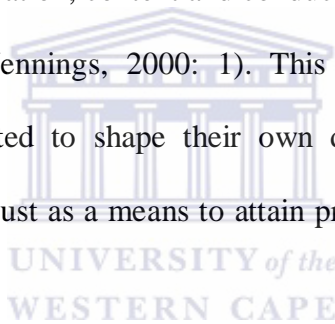
2.3.2.1 Community

The concept *community* has been defined in a variety of ways usually based on geographical location and/or shared interests. De Beer & Swanepoel (1998: 18) contend that, within the context of community-development, the term *community* is used with inherent assumptions about the geographical location of people, their shared interests, a willingness to participate in joint initiatives, and some measurable level of poverty or deprivation. Within the people-centred approach to development, the community is the main actor and not just a beneficiary of development. The term *community*, in the context of this research, refers to a group of people residing in a specific locality and exercise some degree of local autonomy. In addition, it indicates a certain power structure and responsibility (Dinbabo, 2003a).

2.3.2.2 Participation

The term participation lends itself to different definition, by different authors. Maser (1997) refers to participation as the involvement of all groups of people in a

community in decision-making planning regardless of age, sex, colour, religion and race. Also, it can be defined as the "exercise of people's power in thinking and acting, and controlling their action in a collaborative framework" (Dinbabo, 2003a: 4-5). Furthermore, several levels and types of participation have been identified – for example, instrumental and transformative participation, collaborative versus collegiate participation, consultation versus interactive participation, functional participation versus self-mobilisation, and so on (Pretty, 1995; Nelson & Wright, 1995). In the context of this study, participation is defined as the mobilisation of "local populations in the creation, content and conduct of a program or policy designed to change their lives" (Jennings, 2000: 1). This is based on the principle that beneficiaries can be trusted to shape their own destiny. Therefore, participation should be considered not just as a means to attain project objectives but as an end in itself.



2.3.2.3 Capacity-building

Capacity-building is the prism through which marginalised and vulnerable individuals and communities acquire skills that they can apply to empower themselves and promote self-reliant development at the grass roots level (Abiche, 2004). Unlike welfare and relief programmes that perpetuate poverty situations by creating dependency, capacity-building acts as a release from poverty because it targets not only the physical but, more importantly, the abstract needs of self-reliance

and dignity (De Beer & Swanepoel, 2006). In this case, capacity-building is the process of enabling people to find appropriate vehicles to overcome the constraints they experience in breaking the cycle of poverty.

2.3.2.4 Sustainable development

The World Commission on Environment and Development Report, cited in Davids, et al. (2009: 22) defines sustainable development simply as "development that meets the needs of the present, without compromising the ability of future generations to meet their own needs". The concept of sustainability is not only limited to the environment, but also to the social, cultural, political and economic aspects of development projects/programmes. Project activities have varying ecological and socio-economic effects on communities. Therefore, sustainable development is a complex construct that is difficult to explain, but provides the basis for thinking about the present and planning for the future, as a way of avoiding uncertainties and minimizing risks (The World Bank, 2003). In this study, sustainable development refers to the ability of the SBDD to initiate programmes/projects that take into consideration the social, political, cultural, economic and environmental context, to ensure that projects continue long after the change agents have left the scene of development.

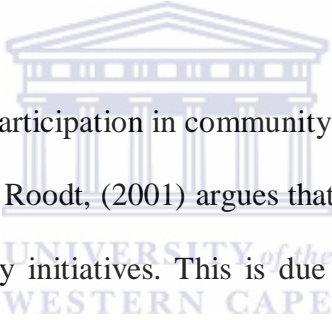
2.3.2.5 Empowerment

The term *empowerment* refers to the transfer of political power from development practitioners and/or elites to the people at the grassroots (De Beer & Swanepoel, 2006). The concept, however, denotes a multi-dimensional human development process that enables people to gain self-confidence and a vision for their future by expanding capabilities and freedom of choice (Burkey, 1993). It has been argued that access to information, participation, accountability and local organisational capacity are key factors that are a prerequisite for empowerment to be effective (World Bank, 2003). The guiding principle for empowerment at the micro-level of development is to ensure that the mobilisation process gives people the right to make decisions as well as the necessary information to make good decisions. Empowerment is therefore the right to make decisions and the ability to make informed decisions (De Beer & Swanepoel, 2006). Here, empowerment refers to the process of self-consciousness that beneficiaries undergo when given the opportunity to develop their individual and institutional capacities and to make major decisions on projects and activities that are designed to change their lives.

2.4 Empirical studies on participatory development

There are a number of empirical studies on participatory development in the context of developed and developing countries. On the one hand, in the international scene, there is an overwhelming availability of empirical research on participatory projects initiated by public-sector organisations. But findings from these studies are not fully

transferable to the NGO sector. On the other hand, there are studies that focus on participatory development, with an emphasis on individual projects, such as the successes of a women's self-help group in India or a nutrition project in Tanzania (Krishna, Uphooff & Esman, 1997), but they exclude the institutions that initiate them, either directly or indirectly. A systematic and empirical analysis of non-governmental organisations that initiate participatory community-development, specifically in the context of the Western Cape, has not been explored adequately in existing research in this field.



In a survey of local-level participation in community projects in the United States and Britain, Cochrane, cited in Roodt, (2001) argues that there are very limited successes of participatory community initiatives. This is due to the difficulties in addressing structural economic and social problems at the micro-level. In India, Kolavalli & Kerr (2002) conducted a survey of 36 village projects driven by government organisations, to examine the extent of community participation in watershed development. Based on an analysis of social organisation, joint decision-making and cost-sharing, the authors argue that the nature of participation in village projects in India is characterised by a lack of transparency and accountability to communities (Kolavalli & Kerr, 2002).

In the African context, several empirical studies have been conducted on participatory development in different countries. In Malawi, a qualitative study on community participation in two rural communities was investigated by Tembo (2003). The emphasis of the study was on how project participants are constructed in discourses of participation and how they construct their own 'engagements' and 'entitlements' (Tembo, 2004: 6). In a case study of agricultural food-security projects in North western Tanzania, Silva and Kepe (2010) determined that a growing segment of the poor are being excluded from well-intentioned food security projects because of the absence of participatory processes. In Mozambique, Pijenburg and Nhantumbo (2002) conducted a comparative study of 22 governments, non-governmental and multi-lateral development organisations and their experiences of participatory development interventions. They identified the differences in the interpretation and application of the concept of participatory development in community-development projects, as well as the problems encountered and lessons learned in using such approaches. Their findings revealed that some participatory techniques are used by most organisations at the level of implementation, although projects are largely planned by intervening agencies. Also, Abiche (2004) conducted an empirical study using mixed methods, to investigate the impact of the community-development initiatives of a faith-based organisation, on poverty reduction in Ethiopia. Although the findings revealed that community projects had a significant impact on improving the living conditions of community members, the level of beneficiary participation was limited to the implementation of community projects.

In the context of South Africa, Byrne and Sahay (2007) carried out a case study on the role of participation and social development in community-based child-health information systems in an unnamed rural community. Using participatory action research, the researchers concluded that there is a need for a re-conceptualisation of traditional participatory development in information systems in South Africa, because the information-system design and development processes excluded all community members who did not directly interact with the system, even though they lived within the community and were affected by the project. In the Western Cape Province, Nel, Binns & Bek (2007) examined community-based development processes in rooibos tea production in the cases of two rural communities in the west coast mountain region. The authors argue that the success of the projects can be attributed to NGO support which, in combination with local skills and social capital, has led to significant social and economic development in the Wupperthal and Hievelde communities. The focus of the study, however, was on the relevance of alternative foods such as rooibos tea in community-based development.

The above-mentioned studies provide an insight into some of the empirical research that has been done on participatory development internationally, in the context of Africa in general, and specifically in the Western Cape Province of South Africa. These discussions identify the failures and successes of participatory development initiatives. Notably, one of the studies attempts to analyse participatory development

by empirically investigating decision-making processes, accountability in leadership structures, and transparency in operational modalities.

2.5 Conclusion

The foregoing discussions have provided an analysis of the classical theories of modernisation and dependency as theories of progress, with a holistic approach to development. This chapter has also examined the weaknesses of the traditional approaches to development and explained how the weaknesses, as well as the strengths, influenced the development of PCD as the new development paradigm. Furthermore, it has analysed definitions of key concepts in participatory development to clarify meaning and prevent ambiguity when key words are referred to in the rest of this thesis.

Finally, the chapter has examined empirical studies in the international context, as well as in the Western Cape Province of South Africa. This study however goes beyond the scope of the studies discussed above, because it examines community-development initiatives in the case study of the SBDD at ELF, by focusing on participatory development. It further explores themes such as the level of community participation, decision-making structures, institutional arrangements, and monitoring

and evaluation strategies. The next chapter focuses on the description of the case-study area.



CHAPTER THREE

DESCRIPTION OF THE CASE-STUDY AREA: THE ELGIN LEARNING FOUNDATION IN THE OVERBERG DISTRICT

3.1 Introduction

The Western Cape is one of nine provinces of the Republic of South Africa. It is located on the South Western tip of the African continent and covers a surface area of 129 386 km². It consists of six district municipalities, namely the Overberg, the Cape Winelands, the Central Karoo, Eden, and the city of Cape Town (Tom, 2006). Statistics South Africa (2010) population estimates, indicate that there are over 5 million people living in the province; which is, approximately 10% of the total population of South Africa.

The purpose of this chapter is to provide comprehensive background information on the Small Business Development Department (SBDD) at the Elgin Learning Foundation (ELF). An important aspect of case-study research is the description of its context ó including the social, political, cultural, economic and environmental factors that are related to that case and the overall research question of the study (Yin, 2009). Therefore, the chapter describes the Overberg community and the ELF, and analyses

their implications for the participatory development at the SBDD. It provides a description of the geographical location, socio-economic and political characteristics of the Overberg district municipality. It also explores its origin, and analyses the vision, mission, values and organisational structure of the ELF and the SBD. Finally, it discusses the relevance of the background information provided and the implications for participatory development at the SBDD. Data presented here was gleaned from secondary sources, in-depth interviews with community members and local stakeholders, as well as from direct observation by the researcher.

3.2 Contextual overview of the Overberg district

3.2.1 Physical characteristics

Overberg is one of six district municipalities of the Western Cape Province. It comprises of four local authorities, namely; Theewaterskloof (TWK), Overstrand, Cape Albus, and Swellendam, covering a total land space of 11,407km², and contains 32 demarcated wards. The population of Overberg was estimated at 237 555 in 2007, and was projected at 259 000 by 2012, indicating a growth trend (Socio-Economic Profile: Overberg District, 2007). The TWK local municipality has been categorised as a rural area based on land use ó mainly agriculture, small holdings, and open spaces. It comprises eight towns, which are divided into twelve wards, namely Grabouw, Caledon/Myddleton, Riviersonderend, Villiersdorp, Bot River, Genadendal, Greyton, Bereaville, Boschmanskloof, Voorstekraal, and

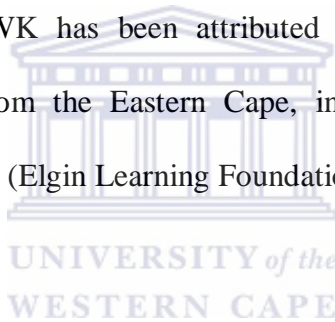
Tesselaarsdal/Bethoeskloof (Theewaterskloof Municipality: Integrated Development Plan, 2009/2010). Elgin is located in the town of Grabouw. It is the largest and fastest growing town in TWK, and the most populous local authority in the Overberg district, covering a total surface area of 3,246 km². Caledon however, is the district headquarter.

On the one hand, the large surface area and numerous wards as well as towns and poor road linkages pose a challenge for community-development in the Overberg (Socio-Economic Profile: Overberg District, 2007). This situation is further complicated by the fact that most government departments, such as Social Development, Education and Home Affairs in the TWK municipality are located in Caledon (Jacobs, Erasmus, Kotu & Karrisson, 2009). As a result, basic services are not easily accessible to the residents of other communities, as they have to travel long distances to use these much needed services. On the other hand, personal observations revealed that although ELF is located in the Elgin Valley, the SBDD is situated in the town of Grabouw. The fact that SBDD does not operate from the same premises as the other departments at the ELF may have negative implications for collaboration with other departments at ELF.

3.2.1 Social characteristics

3.2.1.1 Population

Based on population growth TWK can be considered the largest and fastest growing local authority in the Overberg district. In 2007, the population of TWK was estimated at 103 281, and projected to grow at 5.51% per annum, in 2012. Meanwhile, the populations of Overstrand, Cape Agulhas and Swellendam were estimated at 70 031, 30 231 and 30 445 respectively, with much lower projections of population growth (Socio-Economic Profile: Overberg District, 2007). Rapid population growth in TWK has been attributed to the high levels of seasonal migration, particularly from the Eastern Cape, in search of employment in the thriving agricultural sector (Elgin Learning Foundation, 2010).



The abovementioned figures indicate that TWK is the most populated local municipality in the Overberg and, it was also observed that most of ELF's community-development programmes are also located there. Therefore, ELF should not only concentrate its programmes in the TWK municipality, which is the most populous, but should extend its activities equally to the less populated local authorities in the region. In fact, the rapidly rising population of TWK and the region as a whole underscores the significance of the role that community-development organisations such as ELF play in fostering socio-economic development in the region.

3.2.1.2 Age and gender profile of TWK

Between 2001 and 2006, all age groups in the Overberg district were estimated to experience population growth, except for the 20624 and 25629 age groups. This was attributed to the migration of job-seekers to the Cape Metro area, and to HIV/AIDS related mortality. Based on gender, the population was estimated to be evenly distributed (Socio-Economic Profile: Overberg District, 2007). In spite of the previous statement, in 2010 youths between the ages of 20 and 29 were still estimated to make up the largest cohort of the population of Overberg (Jacobs & Gotte-Meyer, 2010). Furthermore, a recent projection of population trends in the municipality indicates that if current trends continue, the youth will still make up the majority of the population (*Theewasterskloof in 2030: A projection of socio-economic trends in the municipality*). This means that, ELF has to focus on the youth in the variety of community-development programmes/projects that it initiates in the community, since they make up the majority of the population.

3.2.1.3 Housing and sanitation in TWK

According to the Household Data Statistics Report on Households in Low-income Areas in Theewaterskloof, the largest concentration of low-income households in TWK can be found in Grabouw. Of the 6,137 low-income households in Grabouw, the majority (approximately 46%) are informal dwellings/shacks, 35% are formal/main dwellings, and 19% are informal houses erected in the backyard of

main/formal houses. Although all types of households have an average of 3 or 4 inhabitants, shacks tend to have the largest number of persons per household and are generally occupied by young black people (Nqoto, 2010). This may be attributed to the fact that young black people in the community are recent migrants from the Eastern Cape, with poor educational backgrounds and no skills, seeking employment in the agricultural sector (Socio-Economic Profile: Overberg District, 2007). Most of these informal dwellings are located in Pineview, Waterworks, and Rooidakke.

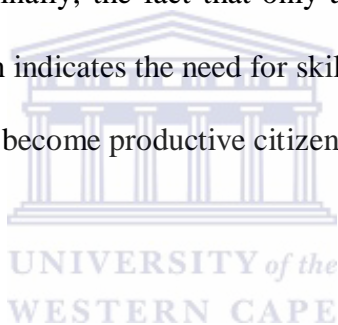
Access to water varies significantly, from house connections and yard taps in main houses and backyard dwellings, to communal taps in informal shacks in the low-income communities of Grabouw. Not surprisingly, access to sanitation services and electricity is closely aligned with the form of access to water services. Main houses and backyard dwellings have flush toilets, either inside or outside, and pre-paid electricity, whereas shack dwellers have communal flush or pit toilets and rely entirely on paraffin for cooking and lighting (Nqoto, 2010). This suggests that a significant number of people in the Grabouw area live in very poor housing conditions, and lack access to basic needs such as water and electricity. This section of the population is mostly young black migrants from the Eastern Cape, in search of employment opportunities in the agricultural sector. In its development activities in the region, ELF should focus on improving the skills of these recent migrants, so that they can be able to access employment, or create their own business, and improve their living conditions.

3.2.1.4 Education

Education is a major challenge in the Overberg district in general and in TWK in particular. In the Overberg, there are currently 193 Early Childhood Education (ECD) sites of which 39% are unregistered. An estimated 30% of the population of Overberg either have no schooling or only some primary schooling; approximately 42% completed primary school with some secondary education; and only about 28% have attained Grade 12/Std 10 and above (Jacobs et al., 2009). However, TWK, which is the largest local authority in Overberg, has the lowest educational levels in the region. Approximately 32% of those older than 14 years are classified as illiterate and only 11% of the total population of TWK completed primary schooling. Although a total of 15% of learners completed Grade 12, only 5% have access to tertiary education (Census Data 2001). Furthermore, out of the 32 public schools in the TWK area, 23 are no-fee schools, classified according to the degree of poverty in the community. Interestingly there are three English-medium private schools, but no English-medium public schools, forcing English-medium learners to travel out of the municipality to access education. Public schools also lack resources such as stationery, library books, science laboratories and computer laboratories (Theewaterskloof Municipality: Integrated Development Plan, 2009/2010).

The abovementioned figures indicate the magnitude of the problem riddling ELF especially in terms of promoting lifelong learning in Overberg. The fact that many

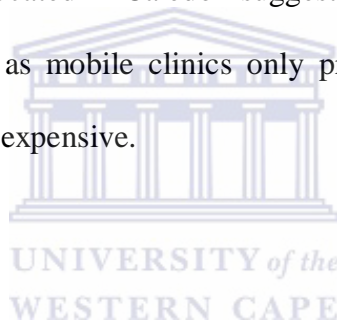
ECD centres are not registered implies that they do not meet the requirements set by the Department of Basic Education (DBE). Consequently, they do not receive the necessary subsidies from the government, resulting in children learning in deplorable conditions. In addition, relatively high levels of illiteracy among adults in the community create a huge need for Adult Basic Education and Training (ABET). Furthermore, the high dropout rates among learners in the community also indicate the need for support services to encourage learners to complete school, and to create opportunities for those that have dropped out to get a second opportunity to rewrite the Matric examination. Finally, the fact that only a limited number of learners has access to tertiary education indicates the need for skills development programmes that can stimulate the others to become productive citizens in the community.



3.2.1.5 Health

The prevalence of HIV/AIDS in the Overberg region is estimated at 5.56%, which is significantly lower than that of the other district municipalities of the Western Cape. However, as is the case provincially and nationally, women are the most infected and affected by HIV/AIDS in the Overberg district. The highest cases (11.6%) are women between the ages of 15 and 49 (Socio-Economic Profile: Overberg District, 2007). Primary healthcare services in TWK are jointly provided by the Provincial department of health and the private sector. TWK has one district hospital, located in the town of Caledon. It also has six district clinics, one of which is located in

Grabouw. The town of Grabouw also has an additional three mobile clinics, an X-Ray unit, and several private practitioners. Services provided include family planning, immunisations, well-baby clinics, chronic care, and health education (Theewaterskloof Municipality: Integrated Development Plan, 2009/2010). These figures indicate that young women are the most infected and affected by HIV/AIDS in the Overberg region. Physiologically, they are more susceptible to contracting the disease. Also, the responsibility of caring for those who are infected, or orphaned by HIV/AIDS, has traditionally resided with women. The fact that the only district hospital in the region is located in Caledon suggests that critical health services are inaccessible to the poor, as mobile clinics only provide primary health care, and private health services are expensive.



3.2.2 Political structure

Since the advent of democracy in South Africa in 1994, there has been political instability in the Overberg local government. This can be blamed on the struggle between different political parties over this region. Political instability and a track record of quick turnover in political leadership have had negative implications for service delivery and local economic development in the district (Jacobs et al, 2009). The TWK municipal council is currently governed by a coalition led by the Democratic Alliance (DA). The DA has 12 seats; the African National Congress (ANC) 7; the Independent Democrats (ID), 3; and the African Christian Democratic

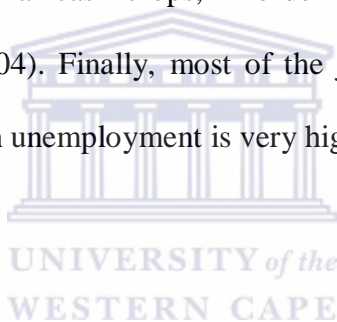
Party (ACDP), only 1(Theewaterskloof Municipality: Integrated Development Plan, 2009/2010). The political instability in the Overberg has significant implications for local economic development in the region. The quick turnover of local government officials has negatively affected the continuation of community-development programmes. Moreover, when political parties spend valuable time trying to gain control of the region, it detracts them from their mandate, which is to provide basic services to the people of the community. Finally, the absence of good leadership structures within the community poses challenges for community-development initiatives in the region. Therefore, civil-society organisations such as ELF have a responsibility to facilitate the development of leadership skills among community members.



3.2.3 Economic activities

The rate of economic growth is a very important indicator of the level of development in a community. Statistics over the last decade indicate that the economies of the local municipalities in the Overberg have been growing steadily (Socio-Economic Profile: Overberg District, 2007). The local municipality of Cape Agulhas expanded by the highest rate of 3, 4%; the Overstrand local municipality by 3, 1%; the local municipality of Theewaterskloof grew at a rate of 2, 7%; while the Swellendam local municipality grew at the rate of 2,4%, which is significantly lower than the other local municipalities in the Overberg. The agricultural sector is the largest employer in

the Overberg region, with the fruit and wine industry leading the agricultural economy of the region. The region also has the highest concentration of agricultural households compared to other districts of the Western Cape (Pauw, 2005). However, Tom (2006) contends that high levels of poverty and unemployment are prevalent in the region, particularly among the black and coloured population. Since grain fell out of favour as a lucrative trading commodity in the 1990s and global competition and patterns have pushed the deciduous fruit industry into a slump in recent years, farmers are reinventing agricultural practices and diversifying by venturing into the production of non-traditional cash crops, in order to cope with current challenges (Tom, 2006; Du Toit, 2004). Finally, most of the jobs in the Overberg region are seasonal and out-of-season unemployment is very high (Jacobs et al., 2009).



The high levels of unemployment in the Overberg region can be attributed to poor education and skills shortages, as well as an ever-increasing population, and reliance on the dwindling agricultural sector. Therefore, there is a need for the diversification of the local economy of the region, and this can only be achieved through a combination of indigenous knowledge and innovative technologies, which will ensure the sustainability of the existing sectors and the development of new ones. These initiatives will ultimately provide employment opportunities for the locals. Furthermore, the concentration of poverty and unemployment in the black and coloured populations is an indication of where social investment in education, skills

training, small-business development, and mentorship by local government as well as NGOs in the district should be directed.

3.4 The Elgin Learning Foundation (ELF)

3.4.1 Origin

ELF owes its existence to a vision of the original founders, the Gerald and Hazel Wright Trust. This vision was to establish a facility to help workers and their families on farms in the Overberg region. However, the Foundation also assists migrant workers who come to the region to seek employment on farms during the harvesting season, or further in the Cape Metropolis (Elgin Learning Foundation, 2010). For Jacobs et al. (2009) ELF is a community-development organisation, with an integrated approach to development that facilitates change and development in disadvantaged communities in Overberg. This signals that the organisation adheres to the principles of people-centred development, which has been assessed in the next chapter.

3.4.2 Vision

The vision statement of an organisation articulates the image that its members have for the future of the organisation and the community that it serves (Chechetto-Salles & Geyer, 2006). Principally, the vision of ELF is to promote sustainable development

through value-driven learning (Elgin Learning Foundation, 2010). Therefore, its vision statement aptly describes the changes that the NGO seeks to bring in the Overberg district. It articulates the importance of education and training in a community with high levels of poverty and unemployment, a limited number of skills development programmes and an abundance of physical and natural resources (Socio-Economic Profile: Overberg District, 2007).

3.4.3 Mission statement

The mission statement explains the overall purpose of an organisation. It is supposed to contribute towards making the vision a reality by stating why the organisation exists, what it seeks to accomplish, how it operates, and whom it targets (Edwards & Fowler, 2002). The mission of ELF is to provide relevant accredited training and development support, built on community participation as well as investment in human-capital development. This approach is underpinned by sound ecological principles and institutional values (Elgin Learning Foundation, 2010). Significantly, the mission statement clearly articulates the purpose of the organisation, it but it does not indicate where it operates or which population it targets.

3.4.5 Values

The vision and mission of ELF are informed by its organisational philosophy, which refers to its values and principles. The construct, *organisational values* refers to the

acceptable standards which shape the behaviour of employees. It also assists employees to attain specific goals and objectives, and meet the expectations of stakeholders (Chechetto-Salles & Geyer, 2006). It sets out the priorities of the organisation, its activities, and its organisational culture.

ELF's values are: social inclusiveness, the promotion of the total well - being of the entire community, co-operation, lifelong learning, the empowerment of disadvantaged people, the recognition of national quality standards and practices. These values are founded on the principles of transparency, accountability and seek to render quality service, promote entrepreneurship and create a learning environment (Elgin Learning Foundation, 2010). The values are in line with the principles of people-centred development, as conceptualised by Davids et al. (2009).

3.4.6 Organisational structure

An organisational structure is a very important aspect of any organisation (McMillan, 2002). It defines the roles and relationships between and within various levels of management and the different departments (Kroon, 1995). This definition stipulates that managers cannot perform their functions – planning, directing, organising and controlling without a structure (Smit & Cronje, 1997). Furthermore, the nature of an organisational structure does not only influence the allocation of responsibilities and

authority within an organisation, but also impacts significantly on its relationships with other organisations, as well as, on the accountability and communication channels within it. Davids, et al. (2009) and De Beer & Swanepoel (2006) argue that collaboration between organisations and communities, characterised by open channels of communication between different levels of management and accountability to community members are important elements of participatory development.

The organisational structure of ELF is hierarchical (see Annexure 2). It illustrates how the lines of authority and communications are coordinated between the education, health and social development, as well as agriculture, small-business development, and technical trades departments of the Foundation. It also illustrates how roles, power, and responsibilities are delegated and controlled, and how information flows between the top and middle levels of management and community members. Furthermore, the structure provides a system through which accountability and co-ordination might be promoted. However, the traditional structure does not allow the organisation the flexibility it needs to respond to environmental influences and cater for the needs of community members. McMillan (2002: 1) proposes innovative organisational design principles, derived from the complexity paradigm which offers self-organising, flexible and diverse structures, best suited for non-profit organisations concerned with grassroots development.

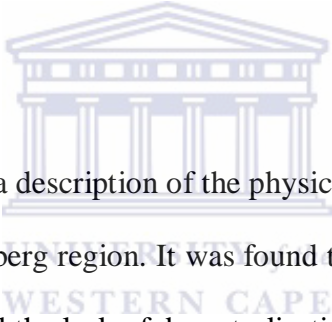
3.4.7 The Small Business Development Department at the Elgin Learning Foundation

SBDD has three levels of management. The manager of the SBDD is responsible for the tactical management of the department. He coordinates departmental activities and oversees programmes/projects. However, the broad policies and goals of the department are formulated by the top management of ELF, which is responsible for strategic planning in the organisation. The project manager is located at the middle level of management. This position was vacant at the time of the research October/November 2010. The first-line management has 4 facilitators, 2 mentors and an assessor. Together with the SBDD manager, they are responsible for the operational management of the department ó for implementing the objectives of the SBDD. They serve as a link between programme/project beneficiaries and top management, and are responsible for the daily activities and the overall participatory nature of community-development programmes/projects at the SBDD (see Annexure 3).

The organisational structures of the SBDD and ELF have important implications for decision-making processes at the SBDD, accountability in the operational modalities, and transparency in the leadership structures of the department. The hierarchical structure suggests that top managers have the power to make major decisions on how sub-units operate, which may have negative implication for decentralisation in the

organisation. Although the non-profit sector provides an environment conducive to decentralisation, the hierarchical nature of ELF's organisational structures allows top management to retain authority over decisions and operations that can either be performed at the micro-level or by middle management or community representatives. For example, it was observed that monitoring, that could be performed at project/programme or even at departmental level, is actually managed and executed at ELF headquarters.

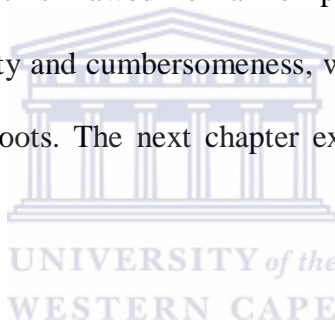
3.5 Conclusion



This chapter has provided a description of the physical, social, economic and political characteristics of the Overberg region. It was found that, due to the large surface area of the Overberg district and the lack of decentralisation of public services, community members face challenges in accessing these services. Also, a rapidly growing population, coupled with the lack of education and skills among young people, and an over-reliance on the agricultural sector, are indicative of the high levels of unemployment in the district. Furthermore, basic services such as water and sanitation are inaccessible to black and coloured residents of the district.

An analysis of the development activities at ELF indicates a relationship between the diverse socio-economic and political challenges of the region and the departments at

ELF. This indicates that the education, health and social development, as well as agriculture, small-business development and technical-trades departments at ELF were carefully selected to meet the needs of the community. However, an analysis of the organisational structure of ELF indicated that an attempt by the organisation to operate as a business, instead of a non-profit organisation, has negative implications for community participation especially at the level of identifying, planning, implementing, monitoring and evaluating programmes/projects. Although a desire to promote effectiveness may be considered as the rationale for a hierarchical organisational structure, it is flawed for a non-profit organisation because it is characterised by the rigidity and cumbersomeness, which have traditionally inhibited participation at the grassroots. The next chapter examines the level of community participation at the SBDD.



CHAPTER FOUR

ASSESSMENT OF THE LEVEL OF COMMUNITY PARTICIPATION IN THE SMALL BUSINESS DEVELOPMENT DEPARTMENT

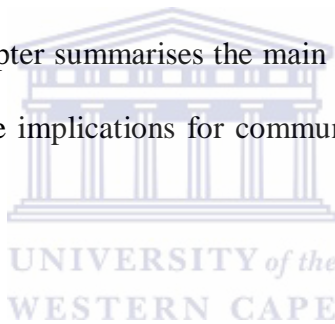
4.1 Introduction

Broadly speaking, participatory development is understood as an active involvement of people in making decisions about the implementation of processes, programmes and projects (Dinbabo, 2003a). He further notes that, essentially, the term *participation* denotes the exercise of people's power to think, act, and control their actions in a collaborative framework. The purpose of this chapter is to present and interpret the results of empirical research undertaken in an attempt to understand the nature of participation at the Small Business Development Department (SBDD) of the Elgin Learning Foundation (ELF). In the following sections of the chapter, the researcher:

- presents an overview of the types of community-development projects at the SBDD;

- assesses the level of community participation in relation to people-centred development theory;
- discusses decision-making structures and the level of accountability in the operational modalities of the SBDD;
- assesses the institutional arrangements of the SBDD;
- analyses participatory monitoring and evaluation strategies in the SBDD's programmes and projects.

The conclusion of the chapter summarises the main themes that have emerged out of the data, and discusses the implications for community participation in programmes and projects at the SBDD.



4.2 Types and number of projects/programmes at the Small Business Development Department

The Small Business Development Department (SBDD) is one of six departments that constitute the Elgin Learning Foundation (ELF) (see annexure 3). The aim of the SBDD is to create sustainable employment and small-business opportunities, which can in tend fight the social ills emanating from poverty and unemployment particularly amongst the youth in the community. In an attempt to classify the different types and number of programmes/projects at the SBDD, the researcher

formulated several questions such as: a) What types of community-development initiatives by the SBDD exist in the Overberg District? b) When and how were they established? (See Annexure 1).

Based on interviews and documentary analysis, three programmes were identified at the SBDD. These include the learnership and mentorship programmes for aspiring Entrepreneurs. These programmes are funded by public sector organisations such as the Manufacturing, Engineering and Related Services Sector Education and Training Authority (MERSETA) as well as the Health and Welfare Services Sector Education and Training Authority (HWSETA). A third programme, the entrepreneurship development programme for survivalist businesses is funded by a bi-lateral organisation, called the Finland South Africa Association (FSAA).

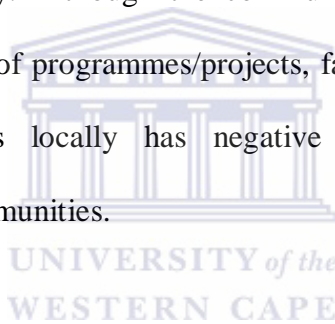
Furthermore, several community projects operated by community based organisations (CBOs), and members of the community were identified. They were made up of members who had received or are receiving ongoing training and mentorship programmes at the SBDD. These programmes comprised of a recycling cooperative, a bottle-crafting cooperative, and a women's agricultural self-help group. Focus-group discussions with the members of these groups were intended to investigate, how these programmes were established, the types of projects they undertake, how members were selected, and the different stakeholders. The researcher was also

interested in the way the programmes beneficiaries make meaning collectively and the community stakeholders' experiences, while participating in training and mentorship programmes at the SBDD. The following table presents the types of programmes/projects at the SBDD.

Fig. 4.1 Classification of the number and types of programmes/projects initiated by the SBDD

Types of projects/ programmes initiated by the SBDD	Duration of programmes/ Projects	Number of beneficiaries in programmes/ projects	Funders of programmes/ projects	Status of the project
Recruitment and training of aspiring entrepreneurs in New Venture Creation - learnership held in Grabouw, Strand and Eersterivier	Mid-2009; mid-2010	93	Manufacturing, Engineering and Related Services Sector Education	Completed
Training and Mentorship for Micro-entrepreneurs	February to November 2010	109	Finland South Africa Association (FSAA)	Completed
Womens' Agricultural Cooperative which has two projects: a vegetable garden and an essential oils project	Started in September 2010	5	The United States Consulate in South Africa	Ongoing
Bottlecrafting cooperative that manufactures crafts out of recycled glass	Started in August 2010	5	The Gerald and Hazel Wrights' Trust	Ongoing
Recycling Cooperative that recycles glass and cartons from household waste	Started in 2009	7	Self-funded. Collaborates with the TWK Municipality in refuse removal	Ongoing

It is evident from the table above that the SBDD is engaged in a variety of programmes/projects and that the beneficiaries are selected from within the Overberg district, particularly in areas such as Strand, Eersterivier and Grabouw. Furthermore, the SBDD does collaborate with community stakeholders such as the local government and the Gerald and Hazel Wrightsø Trust. The table also indicates that the FSAA and MERSETA are the main funders of the SBDD's training and mentorship programme. This suggests that the SBDD relies significantly on external sources of income to finance its training programmes, in spite of its potential to raise financial resources locally. Although the community contributes time and labour towards the development of programmes/projects, failure to explore opportunities to raise financial resources locally has negative implications for participatory development in these communities.



4.3 Level of community participation

Participatory development encompasses a variety of approaches and strategies which emphasise participatory development processes that are socially inclusive, particularly with reference to previously excluded groups such as women, children, the elderly, the youth and the disabled (Roodt, 2001). People-centred development theory posits that previously marginalised communities can break the cycle of poverty through participation in decision-making processes, which lead to capacity-building and empowerment (De Beer & Swanepoel, 2006).

In an attempt to understand the presence of participatory development within the SBDD, the researcher raised a number of questions pertaining to community participation in project identification, planning and implementation, and also examined relevant secondary data on the organisation (see Annexure 1). The following paragraphs present the findings on the level of participation in needs identification, planning and implementation at the SBDD.

The level of community participation at the SBDD varies between projects and programmes. On the one hand, members of cooperatives have the power to identify projects based on their experiences and understanding of community needs. Also, they plan and carry out their project and activities by themselves, with the staff of the SBDD acting only in an advisory capacity, through the mentorship programmes. On the other hand, beneficiaries of training programmes do not have the power to decide when and how trainings should be designed, who should be involved and what they should be taught. Significantly the various projects and programmes at the SBDD are not mutually exclusive as most members of cooperatives have benefited from training programmes and are benefiting from ongoing mentorship programmes. In this regard, one of the respondents stated:

... I participated in the planning of the project.... because I was in on the proposal;I was totally on board with all the documentation. For example, I sourced the type of equipment and other stuff that we put into the budget, so I knew exactly what went into the budget because I helped

them put it together. The other ladies and I are currently in the process of implementing the projects. Some of the projects like the vegetable garden and the essential oils have already started and each of the ladies has their own responsibilities within the projects. We also have our Mentor at the SBDD who gives us advice...

Here, these respondents were affirming their participation in the planning, and the implementation of the various programmes/projects initiated by the SBDD. According to Davids, Theron & Maphunye (2009), the ability of cooperative members to make major decisions that affect the direction of their projects at all stages of project cycle management ensures active people participation at the grassroots. However, during interviews with the manager, mentors and facilitators at the SBDD, most of the respondents indicated that limited time in which to implement projects, as well as limited resources, are the reasons why some of the SBDD's community-development initiatives are not always community-driven at all stages of project-cycle management. One of the informants testified:

I am talking three levels of participation, communities themselves, the government and other civil society organs like NGOs. ...However, we do not have money to always start from the bottom up. We need to balance it. It can't be top down all the time, but also in some cases, it can also be bottom up. We have got a top-down, bottom-up approach to community-development. We have got a very close relationship with communities. We normally advertise programmes in the local newspaper we also advertise in churches and other organisations, especially youth organisations, we advertise in municipality, your shopping centres, etc....

This response is a contentious one. On the one hand, it opines that the SBDD adheres to multiple stakeholder processes, involving partnerships with local government departments, local communities and civil society organisations. Multiple stakeholder processes facilitates the growth of social capital, which has been found to have a positive correlation with community participation and local development (Mohan & Stokke, 2000: 255-256). On the other hand, it hints on top-down development, which is characteristic of classical bureaucracies that hinder participation (David et al., 2009). Therefore, one can conclude that participation at the SBDD is limited to beneficiary participation in the planning and implementation of projects that are externally designed by highly bureaucratic public sector organisations ó in this case, MERSETA and bilateral organisations such as the FSAA. Participation in needs identification is very limited at the SBDD, because resources are obtained externally and subject to specific requirements. However, once funds have been obtained externally, beneficiaries participate in the implementation of the SBDD's community-development initiatives by attending trainings and operating small businesses individually, or within group. Along these contours, Roodt (2001) argues that community-development projects that do not facilitate the active participation of community members fail to address the actual needs of communities. For De Beer and Swanepoel (2006), this is because people will not come together and organise themselves towards a development initiative in a genuine participatory process unless they identify the need themselves.


4.4 Decision-making structures, accountability and transparency

4.4.1 Decision-making

Participatory and informed decision-making in community-development is the responsibility of both the community members and the community leadership. Swanepoel & De Beer (2006) state that, while leadership has the responsibility to provide appropriate options to the community members, community members equally have the responsibility to use indigenous knowledge, as well as the information provided by change agents, to contribute towards decision-making. Decision-making in a development institution is directly influenced by the level of openness in communication channels between group leaders and its members (Davids et al., 2009). Decision-making processes are directly linked to accountability, and transparency.

To understand the decision-making structures at the SBDD, the researcher formulated a number of relevant questions and also reviewed related secondary data. The questions included the following: a) Are participants fully involved in discussing and deciding major direction and activities? b) Are there different leading positions in the community projects and, if so, which ones? (See annexure 1) In response to the questions, a range of views were expressed by respondents. Decision-making at the SBDD was examined in terms of communication processes. In focus-group discussions with community members, informants expressed their feelings and

opinions about the decision-making process. Most of them agreed that they are consulted in discussions about SBDD activities, but excluded from making major decisions on the direction and activities of the SBDD. Findings from the documents indicate that the major decisions and activities at the SBDD are decided by ELF management, in consultation with funders such as MERSETA and the FSAA. However, when beneficiaries of the SBDD create small businesses and self-help groups, they do make major decisions on their own and have good communication processes within their groups. For example, an informant at the focus-group discussion indicated that:



... the smallest decision that we make, we need to set up a meeting, discuss it and decide together. An individual cannot make decisions for the group as we are a cooperative, with equal partners. This is our project. Nobody is going to tell us what to do. Even if I am sleeping and I wake up, I would say that I forgot something and I am going to do it.Don't say it is somebody else's' projects. Whatever we put in there belongs to us and whatever comes out there belongs to us.

For this respondent, beneficiaries have the power to make major decisions about all aspects of project activities. This means that the active participation in decision-making processes builds the capacity of participants, and instils in them the confidence to be self-reliant. It also signals some level of empowerment, as beneficiaries seem to have recognised the power they have. They have also gained the strength and confidence to act upon it in a collaborative effort, working towards positive change (Eade, 1997)

4.4.2 Leadership structures

Leadership is very important in community-development because the well-being of community organisations depends on the nature of political, economic, social and cultural leadership. The type of leadership that a group possesses determines the level of communication within the group, and the level of communication in turn affects transparency in the operational modalities and accountability in leadership structures (Swanepoel & De Beer, 2006).

In an attempt to understand leadership, focusing on democratic processes, informants were asked about the representation and accountability of their leaders. The questions included the following: a) Are there different leading positions in the community projects? b) If so, what are they? c) Do the current leaders represent the interests of the community? d) For what and for whom are project representatives accountable? e) How is the accountability of the community-development projects discharged? (See annexure 2). Information obtained through documentary analysis, interviews and observation indicates that the SBDD is led by the Manager, who is directly responsible for co-ordinating the staff and activities of the department. The Manager reports to the CEO and top management of ELF, which in turn is accountable to the board of trustees, as well as the funders (see Annexure 2). During interviews with the SBDD staff members, it was found that the lack of leadership skills within ordinary community members is a challenge for effective community participation. One of the respondents attested:

...The leadership in this community is not mobilised and organised and where you have leadership, it's like this local council, it's for self-interest and self gain. A huge problem that we have with the Grabouw community is that the leadership is not well organised or mobilised and that poses us with a problem. We have developed a very dynamic approach to that. We mustn't talk about representative leadership because it is nonexistent. Because the only representative leadership are political councillors, what we should rather be interested in are interest groups. ...Interest groups can be for example a women's cooperative, a women's sewing group or parents that organise around a crèche. I still think we have an obligation and we are gearing ourselves towards assisting the community in building leadership capacity and to mobilise and organise proper community leadership. Usually we do not have leadership to go to. ...We just have to advertise programmes to the community at large and then look at who comes through the gate.

This quotation supports findings obtained from documentary analysis that the quick turn over in the local political leadership has negative implications for community-development (Jacobs et al., 2009). However, it also highlights the fact that community interest groups represent important social and human capitals that can be harnessed to further development leaders from among ordinary community members. To this end, the emergence of project leaders from among community members who do not hold political, religious or cultural leadership positions in the community is important in ensuring broad based community participation (David, et al., 2009).

Moreover, in these groups, leadership processes are democratic and responsibilities are clearly shared. For example, informants in one focus-group discussion indicated that they occupy strategic positions such as Chief Executive

Officer (CEO), Operations Manager, and Collections manager. Most members stated that they elect their own leaders, who are accountable first and foremost to the group. However, findings from interviews with several community members indicated that they also receive guidance and advice from the SBDD through continuous mentorship, as well as support from the local municipality. The following quotation captures the opinions and feelings of some of the interviewees:

We are a cooperative, so we are equal in the business, but we have leadership positions. We have a CEO, Operations Manager, Collection Manager and we also have our Mentor who is very helpful in advising us. We are very proud our leaders. Our CEO is doing a great job. We do not have any problems because we as the members voted for him and we are very proud of him and we give him all the support. We do get a lot of support from the TWK municipality. The TWK municipality employs about 8 people to do recycling for us and we do not have to pay them. In the long term, maybe we will get a contract from the local government to expand the work that we do. We get a lot of support from ELF, like the yard where we recycle.

For these interviewees, projects implemented by cooperatives (See figure 4.1) have decentralised leadership structures that ensure transparency and accountability in all project activities. Also, the sharing of leadership responsibilities and the willingness of members to assume leadership positions contradicts assumptions by the staff at the SBDD that community members lack leadership skills. By being able to transcend mere involvement in decision-making processes, to gaining leadership roles and responsibilities, community

members are able to move one step closer to empowerment (Rahman, 1993). This process also enhances transparency and accountability to communities (Chambers, 1995).

4.5 Institutional arrangements

Institutional arrangements are the agreements concluded between social actors to define their actions. It is the process through which rules, norms and routines become established as authoritative guidelines for social behaviour (Scott, 2004). Institutional arrangements in the context of this study are the contractual relationship between the SBDD and community members in development initiatives. These comprise the ð...formal and informal rules and regulations that control behaviour and sanction relationships to ensure a system of accountabilityö (Dinbabo, 2005:36). In an attempt to understand the institutional arrangements at the SBDD, the researcher posed questions such as: a) Do programmes/projects have formal/ informal rules and regulations? If yes, give examples b) Do participants have the means to act against the poor performance and inappropriate behaviour of project leaders and change agents? (See annexure 1)

The responses of community members and programme/project beneficiaries during focus-group discussions indicated that the SBDD does have formal rules and regulations that guide employee/beneficiary behaviour. Several informants cited

written contracts that are signed between beneficiaries and the SBDD, as well as between the staff at the SBDD and ELF management. However, some informants also noted that beneficiaries do not always adhere to the terms and conditions of these contracts. One of the respondents affirmed that:

All Learners do sign a Learnership agreement that is a contract. So they are contractually bound that they have to complete all their assignments and all their tests as well and that they must attend class. However, learners do not always respect the rules and regulations in the contracts and some of them drop out completely. In the HWSETA Learnership that is ongoing, there are 13 learners in a class that started off with 25. They dropout for several personal reasons, but we do everything possible to accommodate them if they choose to come back. Sometimes, we even go to their homes to investigate when they fail to turn up for classes...

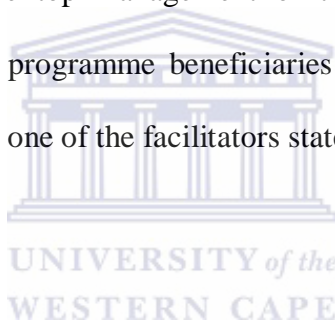
For this respondent, the rules of function at the SBDD are the written agreements that define specific aspects of the contractual relationships between the SBDD, the funders of its development initiatives, and the community members. The finding revealed that written contracts between the SBDD and its funders have negative effects on accountability in the operational modalities of the department. In particular, this happens when the SBDD is contracted by public sector organisations such as MERSETA and the HWSETA to implement new venture creation training programmes designed, monitored and evaluated by the funders. However, written contracts defining the relationship between community members and the SBDD during training programmes are not always enforced. This is evident from the high dropout rate among beneficiaries. In the case of the HWSETA training programme,

the drop out rate is as high as 48%. Therefore, institutional arrangements examined at multiple levels suggests that the formal contractual relationships at the SBDD are weak, resulting in passive participation as visible in high drop out rates. Although written contracts are generally considered as significant control instruments, ōí unwritten laws of behaviour in an informal accountability relationship often can be just as powerfulö (Broadbent, Dietrich & Laughlin, 2001, as cited in Dinbabo, 2005: 36)

4.5.1 Capacity-building

Capacity-building is a critical process that underpins people-centred development (Eade, 1997). It provides people with the necessary tools and instruments not only to identify, but also to attain their goals and aspirations (Tembo, 2003). In this context, it involves the acquisition of technical and business skills and enhances our understanding of local physical, social, economic and human resources that can be brought together in a collaborative framework to create sustainable small-businesses. To understand the process of capacity-building at the SBDD, the researcher asked the following questions: a) How are conflict-related issues handled within community projects? b) Is there evidence of conflict-management techniques acquired, learned and adopted by project participants? c) Is the SBDD a suitable unit to mediate between the different community stakeholders? d) Who else has the capacity to contribute and act? (See Annexure 1)

In terms of capacity-building, findings from interviews and focus-group discussions suggest that the SBDD programmes focus on business-skills transfer. Most respondents opined that they had learned how to do cash flows, budgets, income statements, balance sheets, business plans, marketing plans, and market research. These skills enabled them to introduce products to the broader community. They also stated that these were relevant skills that they applied to their businesses on a daily basis. However, most respondents did not demonstrate any knowledge of conflict-management techniques, especially since the dispute-management processes at the SBDD is managed by the top management of the department. For instance, in response to the ability of programme beneficiaries to start and own businesses on completion of the training, one of the facilitators stated:



The main reason why most of them do not start their own businesses is due to the lack of self-confidence. They do not believe in themselves. Some of them really do develop self esteem in the course of the training required to go out and start income –generating businesses.however, others battle a bit to develop themselves some more. They just need a little more guidance and time but yes if I look back at our last year’s learners that I observed, they were scared of the unknown and then after they have gone through the entire process, they develop the confidence to carry over what they’ve learned.

This excerpt suggests that, although the main objective of the SBDD is to provide community members with business skills so that they can set up income-generating businesses in the community, most beneficiaries of training programmes hardly do apply these skills because they lack self confidence. In terms of people-centred

development theory (Burkey, 1993), this can be attributed to the fact that the focus in these programmes are on the transfer of skills, rather than the conscientisation of community members through a transformative process. The participation of community members in the identification, planning, implementation and monitoring, as well as evaluating of training programmes at the SBDD can enable beneficiaries not to simply acquire business skills, but more importantly to empower themselves in the process (Eade, 1997). In terms of capacity-building, participation at the SBDD can be described as passive because although learners acquire important business skills, limited participation hinders the process of self-actualisation through learning.

4.5.2 Ownership



According to De Beer & Swanepoel (2006), community-development projects cannot be considered participatory unless people take ownership of their own development. *Ownership* refers to the ability of people to act as the main role-players in a development initiative, with all other stakeholders such as NGOs and public-sector organisations, playing a supporting role. In an attempt to understand the nature of ownership at the SBDD, the researcher posed the following question: As a participant in the project, do you feel some sense of owner? (See annexure 1)

Findings from interviews indicated that, since government is the main funder of the development activities implemented by the SBDD, community members do not feel a

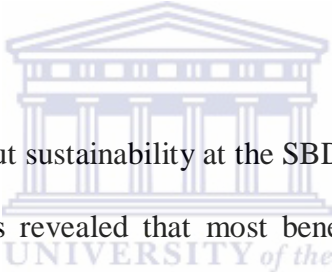
sense of ownership of these programmes. In contrast, focus-group discussions with beneficiaries who have moved on to set up small businesses individually or in groups indicated that they do feel a strong sense of ownership of their respective projects. Nevertheless, most respondents stated that they rely on external sources for funding and this has strong implications for the issue of ownership. One respondent explained that:

...With assistance from ELF, we were able to get funding from the United States consulate in South Africa for our projects. We own the projects because we decide what to do, but the money is managed by ELF. When we need anything towards the project, we ask them and, when the money is finished, we will apply for more funding from the US consulate.

This respondent exudes some sense of ownership of the variety of projects their cooperative is involved in. However, the over-reliance on external resources threatens sustainability of these projects. De Beer & Swanepoel (2006) contend that in order for beneficiaries to have a stake in projects/programmes, they need to contribute not only their physical labour towards projects/programmes activities, but also their indigenous technologies, local community economic resources, and their physical resources such as communal land and traditional institutional structures. The absence of these aspects of participation may prevent the community members from taking complete ownership of the programmes/projects. Therefore, based on the concept of ownership, participation at the SBDD cannot be described as transformational.

4.5.3 Sustainability

Sustainability refers to the ability of an organisation to initiate projects/programmes that take into consideration the social, political, cultural, economic and environmental context, to ensure that projects continue to exist long after the change agents have left the scene of development (Elliot, 1994). During focus-group discussions with projects/programme beneficiaries and community members, the researcher posed one question on the issue of sustainability: Do you think that this project is sustainable in the long term?



Responses to question about sustainability at the SBDD addressed during focus-group discussions and interviews revealed that most beneficiaries consider their projects sustainable from environmental, economic and socio-cultural perspectives. In principle, this suggests, from an ecological perspective that community-development at the SBDD is sustainable, as agricultural projects adopt environmentally friendly practices. However, socio-culturally, most respondents do not use indigenous technologies in the implementation of their projects. From an economic perspective, the activities initiated by the SBDD are not always sustainable because they rely almost exclusively on external financial resources, in spite of the possibility of raising these resources from community stakeholders who own successful businesses. In an interview, one of the respondents interjected

Yes definitely, the SBDD is sustainable because for South Africa to develop, especially to address our unemployment level, to me that is an important aspect of our economy and linked to that you will always have the need for small-business development. So, government will always fund the training programmes that we run.

This respondent believes that the SBDD is sustainable simply because small-business development is an important aspect of the South African economy, given the country's rate of poverty, unemployment and inequality (Seekings & Nattrass, 2006). Therefore, the SBDD will always be able to get external funding to sustain training and mentorship programmes. According to Jacobs, Erasmus, Kotu & Karisson (2009), social, economic and environmental aspects have to be taken into consideration to ensure sustainable development. With regard to sustainability, participation at the SBDD is tokenistic (David et al, 2009) as community members do not demonstrate the ability, particularly in terms of financial resources, to sustain the projects/programmes when the SBDD gives community members total control of these initiatives (Kotze, 1997).

4.6 Monitoring and evaluation

Monitoring and evaluation (M&E) are very important aspects of community-development, as they provide the opportunity for learning through action in projects/programmes (Swanepoel & De Beer, 2006). Participatory monitoring and evaluation (PME) is the application of M&E, based on participatory-centred

development principles. PME is community-driven, in that project objective, activities, and indicators to measure development are not developed by experts, but by community members themselves. Their experiences and indigenous knowledge of the local community informs their choice of indicators and this means they are also responsible for analysing the findings of M&E (Campilan, 2000).

To understand the existence of participatory monitoring and evaluation strategies at SBDD, the researcher posed the following questions: a) Have you taken part in participatory monitoring and evaluation exercises? b) How do you evaluate the benefits of the project for you and the community? c) Does ELF have regular financial and activity-reporting procedures? d) How do you judge the level of performance in initiating and implementing activities, and meeting set objectives? (See Annexure 1).

The responses from interviews and focus-group discussions, as well as the findings from the analysis of project documents, revealed the absence of a comprehensive monitoring and evaluation strategy at the SBDD. At the time of the research, participants of focus-group discussions had not participated in any monitoring and/or evaluation activities facilitated by the SBDD. However, the interviews highlighted that some aspects of M&E were carried out by the Quality Assurance Department at ELF, and not by the SBDD. This sought to ensure that accredited learnerships met the required standards before certificates are issued. Also, reports on project/programme

activities, including regular financial reports and case studies are documented mainly by the Resource Management Department at ELF. Seemingly, M&E at the SBDD is an activity that is externally required and implemented. The following quotation illuminates respondents' views on M&E:

We do not have formal monitoring and evaluation systems in place. For an NGO or NPO in this particular field, I think, it is very seldom that you are going to find them having their own M&E system in place. But what we've also realised, when we went through an external M&E conducted by lotto and Social Development, because we've got particular projects for them, we actually realised that it should be done, because then you can provide the funder with so much more information and I think the credibility of the project will be shown by having those in place. So it's an add on, it's taking the projects to a different level.



The quotation above suggests that although monitoring and evaluation at the SBDD is considered important, it is not community-driven. This is because M&E are carried out by external experts, without the participation of most staff members, project beneficiaries in particular, and community members as well as stakeholders in general. Communities are therefore not involved in the M&E of the projects/programmes designed to benefit them and hence cannot learn from them (De Beer & Swanepoel, 2006). M&E at the SBDD is still very much an activity that is required by external donors, rather than an important aspect of its participatory development initiatives in the community. Participation can only be transformative when community members genuinely participate in all stages of project cycle management, including M&E,. This approach offers opportunities for participants to

learn at first-hand from project mistakes and build on project successes (Theron, 2008). Based on an analysis of M&E at the SBDD, one can conclude that participation is tokenistic, rather than transformational.

4.7 Conclusion

The purpose of this chapter was to examine the level of participation in the variety of projects and programmes at the SBDD. The analysis in this chapter was framed around the claim that participation is the ability of community members to identify a felt need, mobilise local resources to plan and implement it, with specific objectives and indicators that can be used to monitor projects activities on a regular basis and evaluate them periodically (David, et al., 2009).

During data analysis, several themes emerged from transcripts of in-depth interviews, focus-group discussions, observation and documentary analysis. Firstly, several programmes were identified. These included learnerships that focused on providing business skills to aspiring entrepreneurs and unemployed youths in the community. Also, mentorship programmes were identified, that provide support to small-business in an effort to give them a chance to survive and become viable income generating enterprises, especially in an environment where a significantly high percentage of small-businesses have failed. Therefore, the SBDD's programmes contribute

significantly in developing the capacity of community members to start up small businesses that are sustainable, either individually, or as part of a group. This is achieved through the transfer of business skills in learnership programmes, long-term mentorship programmes, and linkages with micro-finance institutions and other community stakeholders like the local government department, community based organisations and non-governmental organisations.

The results of the study also identified gaps that hinder genuine participation in the SBDD programmes/projects in the Overberg. These gaps include the lack of community participation in needs identification and planning, poor community leadership structures, the over-reliance on external resources and absence of informal control mechanisms in SBDD programmes. They also include the fact that the community members are not involved in designing and implementing monitoring and evaluation strategies for its programmes/projects. Chapter five restates the main objectives of study, discusses key issues that have emerged out the research and provides conclusions and recommendations, as well as areas for further research.

CHAPTER FIVE

CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

Development theorists (Chamber, 1983; Burkey, 1993, Davids, Theron & Maphunye, 2009) concur that the failure of many development programmes/projects over the last five decades can be attributed to the traditional-development paradigm, which excluded people from their own development. This led to the conceptualisation of alternative approaches to development, such as the people-centred development theory. This theory emphasises the participation of people in programmes/projects regardless of their ethnicity, race or gender. Participation in these projects increases individual participant's potential and institutional capacities to mobilise and manage local resources to produce self-reliant and sustainable development (Dinbabo, 2003b; Penderis, 1996; Abiche, 2004).

This research focused on four main areas: understanding the variety of programmes and projects at the SBDD, the nature of relationships between community members the department as well as the importance of principles of people-centred development such as; participation, decision-making, sustainability, capacity building,

accountability and transparency. This chapter recapitulates the main arguments presented in this thesis. It reiterates the contributions of the SBDD to small-business development, and re-examines the gaps identified in the SBDD's community-development projects/programmes. It also provides possible recommendations and identifies areas for further research.

5.2 Conclusion

The main interest of this study was to critically assess the participatory development initiatives at the SBDD of Elgin Learning Foundation (ELF) in the Overberg. This was done by examining the number and types of programmes/projects, the level of community participation, decision-making processes, institutional arrangements, and monitoring and evaluation strategies. The study was based on people-centred development theory and key conclusions arrived at are discussed in the next five paragraphs.

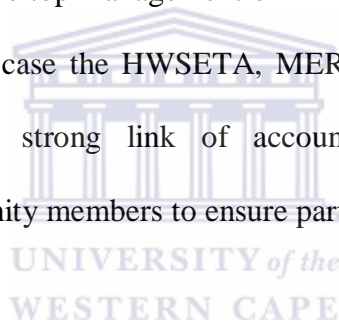
Firstly, the results of the study indicate that, at the SBDD, there are three training and mentorship programmes, which are externally financed by the Health and Welfare Services Sector Education and Training Authority (HWSETA), Manufacturing, Engineering and Related Services Sector Education and Training Authority (MERSETA) and the Finland South African Association (FSAA). The research also

uncovered that the over-reliance on external sources of income had negative implications for the participation of community members and stakeholders. This is particularly significant in the case of government funders such as the HWSETA. These funders identify a need on behalf of the community, design the programme, prescribe the number of participants, monitor and evaluate the project, while the SBDD only implements the training programmes. This approach is synonymous to tokenistic participation, which fails in providing an enabling environment for people to empower themselves and build local institutional capabilities for self-reliance (De Beer & Swanepoel, 2006).



Secondly, the assessment of the level of community participation in the identification, planning and implementation of community-development projects revealed that beneficiaries do not participate in the identification and planning of the various training and mentorship programmes. However, they do participate in the implementation of these programmes by attending training sessions and being involved in the mentorship process thereafter. As a result of the lack of participation, training programmes experience a high drop-out rate, and only a few beneficiaries actually start new businesses or improve existing businesses after participating in the SBDD's training and mentorship programme. This can be attributed to the fact that change agents, in this case the staff of the SBDD, do not fulfil their first role as facilitators of 'human development or conscientisation' before moving on to become 'organisational or rural business consultants' (Burkey, 1993:79),

Thirdly, an assessment of decision-making processes at the SBDD indicated that major decisions are made by the top management of ELF, strictly as part of its strategic business planning. Although there is some consultation with community stakeholders at multiple levels, this cannot be considered participatory because community members do not have the power, to make decisions on the directions taken by the programme. Some level of transparency was however identified in the operational modalities at the SBDD. This is guaranteed through regular reports on activities and expenditures that are provided to donors. Also the management of the SBDD is accountable to the top management of ELF and ultimately to the funders of its programmes ó in this case the HWSETA, MERSETA and the FSAA. Dinbabo (2005) contends that a strong link of accountability should exist between organisations and community members to ensure participatory development.

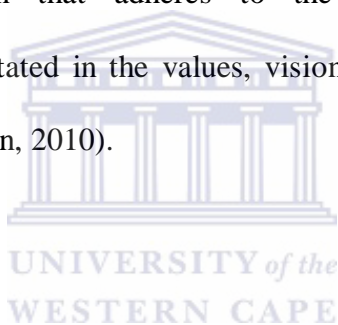


Fourthly, the findings revealed that the institutional arrangements at the SBDD are based on written rules in the form of contracts, designed to sanction behaviour and control relationship between the funders and beneficiaries. Written contracts between the SBDD and its funders may serve to hinder community participation as the terms and conditions of the contracts were found to be prescriptive. This can result in a top-down development process, which is characteristic of the highly criticised classical theories of development (David et al., 2009). Moreover, the lack of compliance among a significant number of beneficiaries, as evident in high drop out rates suggests that formal mechanisms of control have not been very successful. The lack

of commitment demonstrated by some beneficiaries, in spite of the contract, may be indicative of the lack of participation in the identification and planning of training programmes. This means that people can only mobilise towards a specific development initiative if it is designed to address a perceived or felt need within the community that they have identified themselves (De Beer & Swanepoel, 2006)

Finally, an examination of the monitoring and evaluation (M&E) strategies at the SBDD indicated that projects/programmes are monitored on a regular basis to document programme activities for monthly and annual reports. However, evaluation was perceived as an external activity that is requested and implemented by the funders to assess the impact of their donations. Interestingly, the SBDD does not engage in the evaluation of its programmes, even though the Quality Assurance Department of ELF is responsible for ensuring that training programmes meet the National Qualification Framework (NQF) standard required by the HWSETA and MERSETA. Evaluation is important in assessing whether projects/programmes have been successfully implemented so as to provide lessons for future interventions, and to increase efficiency and accountability (Middleton, 2006). M&E at the SBDD is not participatory, since community members do not have the opportunity to identify objectives and indicators for M&E, neither are they involved in analysing its findings. Therefore, there is no learning from projects because of lack of participation in monitoring and evaluation (De Beer & Swanepoel, 2006).

In general, the activities of the SBDD are very visible in the Overberg region, and the SBDD has good linkages with community members and organisations, including government departments. The SBDD contributes significantly towards small-business development in the district through skills transfer and support services, designed to nurture entrepreneurs. However, the findings suggest that community-development at the SBDD is not always people-centred as programmes are largely externally designed and evaluated. Based on its training programmes, the SBDD can be misconstrued as a free Business College, and not an organ of a community-development organisation that adheres to the principles of people-centred development, as clearly stated in the values, vision and mission statement of ELF (Elgin Learning Foundation, 2010).



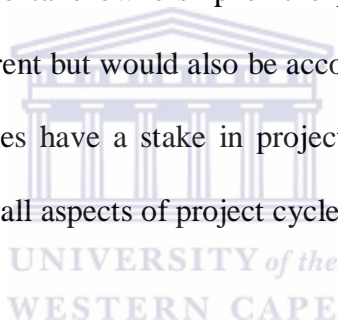
5.3 Recommendations

Based upon the conclusions presented above, the following recommendations have been formulated for the SBDD and the other departments at ELF. These recommendations offer ways to enhance participation in development activities in Overberg. Recommendations are provided in terms of the types of project/programmes, community participation in needs, identification, planning and implementation, decision-making structures to enhance transparency, accountability and institutional arrangements, as well as monitoring and evaluation strategies.

With regard to the types of programmes/projects at the SBDD, it is recommended that the SBDD apply participatory methodologies such as Participatory Rural Appraisal and Rapid Rural Appraisal within the community, to give community members the opportunity to identify their felt needs. The SBDD should be able to reject funders' pre-designed plans that are not in line with the needs of the community, needs clearly identified by the community members. The need for a training programme or a community project should be earmarked by the community members, and not by the management of ELF or the funders. Community assets and needs should be assessed through the application of participatory development methodologies, such as participatory rural appraisal (PRA). Some of the methods of PRA include; transect walk, mapping, venn diagram, seasonal calendar, community action plan, workshops and brainstorming (Chambers, 1992; Dinbabo, 2003a). Community members should also plan and implement programmes/projects, with the staff members at the SBDD acting strictly as facilitators.

Furthermore, the SBDD should take on the responsibility to provide information to community members that can ensure informed decision-making. Training programmes at the SBDD could be extended to include the development of leadership skills among ordinary community members, as local political leaders are perceived to be self-serving. Leaders that emerge from community-interest groups are more likely to be transparent and accountable to other community members (De Beer & Swanepoel, 2006). Also, the SBDD should be accountable first and foremost to the

community members. It should be able to reject projects that are externally designed and imposed on community members. However, this can only be possible if more resources for the implementation of programmes/projects at the SBDD are contributed by community stakeholders, such as the big businesses that operate in the community. Also fundraising activities could be organised at the level of the department. For example, the sale of products from projects, concerts, bicycle rides or big walks can be organised in order to encourage the involvement of the community as a whole. By contributing financial resources for these programmes, community members would be able to take ownership of the project. In this case, the SBDD would not only be transparent but would also be accountable to community members. Notably, when beneficiaries have a stake in projects, their level of participation is likely to be more active in all aspects of project cycle management (Abiche, 2004)



In terms of institutional arrangements at the SBDD, the emphasis should be on having a social contract with community members, which will ensure that people are recruited into training programmes on the basis of desire to become entrepreneurs, rather than on the basis of formal qualifications, which often serves to exclude some community members from participating. The emphasis in mentorship programmes should be on working with groups rather than individuals. Although conflicts are bound to arise in the teams, Davids et al.,(2009) point out that capacity-building, with reference to conflict-management techniques and shared responsibility in teamwork,

builds the local institutional capacities of the community to mobilise local resources and initiate programmes/projects that are sustainable.

Finally, the need for a clear policy framework for participatory monitoring and evaluation at the SBDD is imminent. The evaluation of projects should be a collaborative effort, with beneficiaries playing a major role in designing the process, analyzing the results, and making a judgment upon the outcome of the activities of the project (Oakley cited in De Beer & Swanepoel, 2006: 203). Community members and community stakeholders including local government departments should be involved in designing such a framework, implementing it, and analysing the findings in order to inform future programmes. The staff at the SBDD, and beneficiaries, should work together to identify indicators, based on the objectives of the respective projects/programmes. They should measure the outputs, outcomes, effects and impacts of development activities in order to build on their successes and learn from their mistakes. Programme beneficiaries should be able to monitor project activities on an ongoing basis, and also participate in the evaluation of programmes that are designed to change their lives (De Beer & Swanepoel, 2006). M&E is participatory if the project objectives, activities and indicators to measure development, are not developed by experts, but by community members (Campilan, 2000). Campilan further argues that the experiences and indigenous knowledge of the local community inform their choice of indicators, and that they should also be responsible for analysing the findings of M&E. This will create an opportunity for

community members to use the lessons learned for existing programmes to enhance future initiatives.

5.4 Areas for further research

NGOs have the potential to contribute towards participatory community development in South Africa (Edward & Hume, 1995; Davids, et al., 2009). To this end, a comparative analysis of the application of people-centred development in ELF and in other NGOs in the Western Cape can be valuable in the context of South Africa. Furthermore, another under-researched area in community-development in South Africa is participatory monitoring and evaluation. Any research on this area can enhance our understanding of the connection between the quality of the process of participation and the impact of projects on the empowerment of community members in particular and local economic development in general.

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Annexure

Annex 1: Guiding questions for the research processes
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I. Number, types and origin of community development initiatives

1. What types of community development projects initiatives by ELF exist in the Overberg District?
2. When and how were they established?
3. Do projects have participants from the community? If yes, how are they selected?
4. What other formal and informal organizations operate in the area?
5. Which of the formal and informal local organizations does the ELF engage with in community development initiatives?
6. Are there any social or cultural groups which may also have a potential for community development which are not included?

II. Types and levels of community participation?

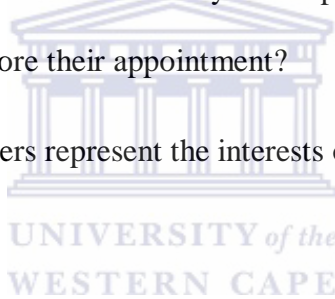
1. What do you understand by the term 'participation'?
2. Have you participated in project needs assessment?
3. Have you been involved in project planning?

4. Is the population well informed of meetings, activities and plans of ELF initiated community development initiatives?
5. Please describe the level of participation at project meetings.
6. Do projects raise any budget from local resources? If yes, how? Voluntary or imposed?
7. Quantify in terms of labour, material and financial resources mobilized by community for development initiatives.
8. Is there any willingness to work together and contribute financially to common objectives among project participants
9. To what extent are project participants autonomous to manage their programs and financial affairs? Please give examples
10. Are there any projects with savings and loans programs or experience with establishing them?
11. Are projects successful in obtaining access to outside resources and services?
If yes, give examples.

III. Decision-making structures, accountability and transparency in community development processes:

1. Are participants fully involved in discussing and deciding major direction and activities?

2. How are project participants delegated?
3. Are they accountable?
4. For what and for who are project representatives accountable?
5. How is the accountability of the community development projects discharged?
6. Are there different leading positions in the community projects? Which ones?
7. What responsibilities do they have?
8. Were the team leaders in community development projects already considered as local leaders before their appointment?
9. Do the current leaders represent the interests of the community?



IV. Institutional aspects such as; rules, capacity building activities, ownership and sustainability

1. Do community projects have rules of function? What types?
2. Explain the rules of function?
3. Do participants have the means to counteract against poor performance and inappropriate behaviour of project leaders and change agents? Give example of action taken.

4. Do you feel a sense of ownership being a participant in the project? Do the projects have participants holding community leadership posts and responsibilities? If yes, which kind?
5. How are conflict-related issues handled within community projects?
6. Is there evidence of conflict management techniques acquired, learned and adopted by project participants
7. Identify the technical competency of project participants to implement conflict management activities.
8. Is ELF a suitable unit to act as mediators between different developments actors? Why? By doing what? Are there other possible options of suitable units/groups? Who else has capacities to contribute and act?
9. Do you think this project is sustainable in the long term?
10. Does the community have the capacity to initiate new development projects?
11. Is there recognition of ELF initiated projects by other outside agencies coming into the area?
12. Does ELF undertake negotiation with community based organizations in the Overberg District Municipality?
13. Does ELF interact with government departments? If yes, how?
14. How does the relationship between ELF and other structures or groups exist in the Overberg district, including traditional and religious leaders?

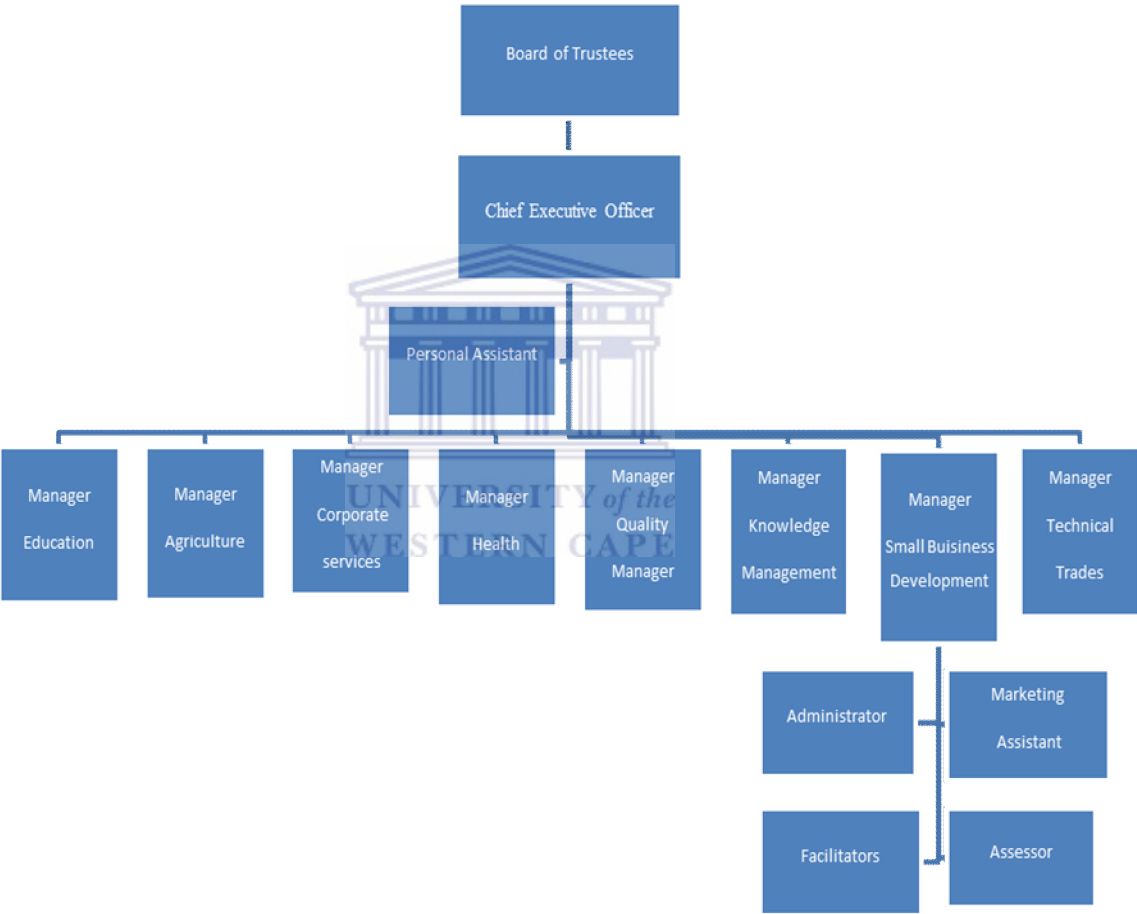
15. What type of social relationships exists among ELF staff members, project participants and community members?
16. Do you think that the quality of social relationship you have with your project members has an impact on your life? If so, in what way?
17. Do any mechanisms for project collaboration and exchange exist with CBOs? What do they look like?
18. If yes, please give examples of successful implementation of inter-project activities; are inter-project meetings held regularly and are they well attended?



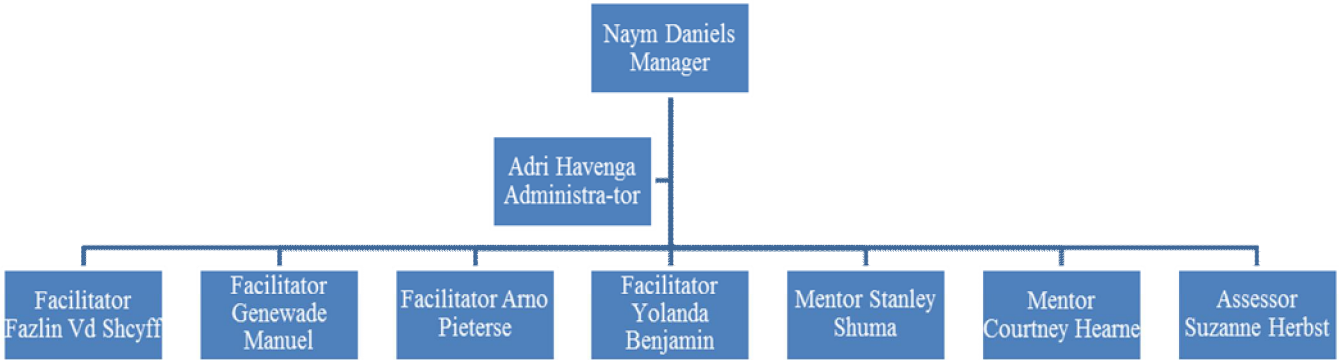
VI. Identifying the monitoring and evaluation strategies

1. Have you taken part in participatory monitoring and evaluation exercises?
2. How do you evaluate the benefits of the project to you and for the community?
3. What in your opinion is the social impact of this project?
4. Does ELF have regular financial and activity reporting procedures?
5. How do you judge the level of performance in initiating and implementing activities, and meeting set objectives?
6. Are projects leaders' performances evaluated? By whom?

Annex 2: Organisational Structure of the Elgin Learning Foundation



Annex 3: The Organisational Structure of the Small Business Development Department at the Elgin Learning Foundation



Annex 4: Timeframe of the research project

The empirical research was completed in 24 weeks from the actual date of grounding. The different tasks will be performed as per the time mentioned in the schedule below:

List of activities	Duration
1. Developing a research proposal	4 weeks
2. Designing and pre-testing of research tools	2 week
3. Field work	6 weeks
4. Processing of data	2 Weeks
5. Analysis of data	4 Weeks
6. Report writing	4 Weeks
7. Editing of report	2 Weeks
Total	24 weeks



Annex 5: List of offices contacted

1. The Elgin Learning Foundation headquarters, Elgin, Grabouw.
2. The Small business development department, Overberg Training College, Grabouw.
3. The Theewatersloof district municipality, Caledon.
4. The local municipality, Grabouw.
5. Theewaterskloof recycling, Grabouw
6. The Bottle crafting company, Grabouw



Annex 6: List of interview participants

S.no	Name	Sex	Position within the ELF/ SBD /community
1	Christo de Conning	M	Chief executive officer
2	Veronica Jacobs	F	Manager, Knowledge Management and resource mobilisation
3	Michelle Gotte-Meyer	F	Research and development coordinator, Fundraiser
4	Juanita Malan -Hendricks	F	Quality Assurance Manager
5	Naym Daniels	M	SBD Manager
6	Fazlin van der Schyff	F	Facilitator
7	Standley Shuma	M	Mentor
8	Suzanne Herbst	F	Assessor
9	Adri Havenga	F	Administrator
10	Leonie Engelbrecht	F	Finance
11	Lizneth	F	Leader of women's self-help group

12	Neville Truter	M	Small business owner, M & T motors
13	Anton Liebenberg	M	Town Manager, Grabouw

