ASSESSING COMMUNITY PARTICIPATION – THE HUIDARE INFORMAL SETTLEMENT

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DECLARATION

I, the undersigned, hereby declare that the work contained in this thesis is my own original work and has not previously, in its entirety or in part, been submitted at any university for a degree.

Signature …………………   Date …………………

ABSTRACT

This study evaluates community participation in the Huidare Informal Settlement (HDIS) as a case study. The hypothesis is that the breach of trust between the previous community leaders of the HDIS and the current community members has an effect on community participation in issues affecting them and their community today. The research methodology employed is explained as well as the policy context for community participation both on an international level and in Namibia, is reviewed.

The legislation on community participation that has been enforced by the City of Windhoek contradicts what happened in the HDIS. The possibility will be investigated as to whether these policy documents of the City of Windhoek are only another form of tokenism.

From the literature it became clear that the process for the attainment of effective community participation is far too complex to happen overnight. There will always be challenges for which we may never find solutions. Despite this, the researcher beliefs that community participation is a crucial aspect of any development project in order to be sustainable.

Attaining sustainable development projects requires a united effort and the participation of the people concerned. This is why effective communication amongst stakeholders is crucial and should be recognised and promoted. How communication between the City of Windhoek, the community leaders of Huidare and its community members can be improved upon, is highlighted.

The answers to the interview questions referred to in Annexures A and B are highlighted. The hypothesis is tested by analysing these answers and strategic and policy proposals are made to assist the identified stakeholders to achieve effective community participation. According to the criteria highlighted, the research findings indicate that there is meaningful community participation in the HDIS despite the

breakdown of trust between its former community leaders and the present community members.

Chapter six highlights the main points raised throughout the study and conclusions and recommendations are made in this chapter.

OPSOMMING

Hierdie studie evalueer gemeenskapsdeelname in die Huidare Informele Nedersetting (HDIS) as 'n gevallestudie. Die hipotese is dat die skending van vertroue tussen die vorige gemeenskapsleiers van die nedersetting en die huidige lede van die gemeenskap 'n uitwerking het op gemeenskapsdeelname ten opsigte van vraagstukke wat hulle en hulle gemeenskap tans raak. Die navorsingsmetodologie wat gebruik is asook die beleidskonteks vir gemeenskapsdeelname op internasionale vlak, maar ook in Namibië, word in oënskou geneem.

Wetgewing oor gemeenskapsdeelname wat in die Stad Windhoek afgedwing word, weerspreek dít wat in Huidare gebeur het. Die vraag is of hierdie beleidsdokumente van die Stad Windhoek nie bloot 'n ander vorm van tokenisme is nie.

Uit die literatuur blyk dit dat die proses vir die bereiking van doeltreffende gemeenskapsdeelname heeltemal te kompleks is om oornag te gebeur. Daar sal altyd uitdagings wees waarvoor daar nooit oplossings gevind sal kan word nie. Desnieteenstaande meen die navorser dat gemeenskapsdeelname 'n deurslaggewende aspek van enige volhoubare ontwikkelingsprojek moet wees.

'n Gesamentlike poging en die deelname van die betrokke mense is nodig ten einde volhoubare ontwikkelingsprojekte te kan bereik. Dit is waarom doeltreffende kommunikasie tussen belanghebbendes van deurslaggewende belang is en ook erken en bevorder moet word. Hierdie studie belig die metodes waarop kommunikasie tussen die Stad Windhoek, die gemeenskapsleiers van Huidare en die lede van die gemeenskap verbeter kan word.

Die aandag word ook gevestig op die antwoorde op die vrae gestel tydens onderhoude en waarna in Bylaes A en B verwys word. Die hipotese word getoets deur ontleding van hierdie antwoorde en strategiese en beleidsvoorstelle word gemaak ten einde die belanghebbendes soos geïdentifiseer daarin by te staan om doeltreffende gemeenskapsdeelname te bereik. In die lig van die kriteria wat uitgelig word, dui die

navorsingsbevindinge daarop dat daar betekenisvolle gemeenskapsdeelname in die HDIS bestaan, ondanks die ineenstorting van vertroue tussen die vorige gemeenskapsleiers en die huidige gemeenskapslede.

Hoofstuk ses vestig die aandag op die hoofpunte wat deur die loop van hierdie studie na vore gekom het. Gevolgtrekkings en aanbevelings word ook in hierdie hoofstuk aangebied.

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ABBREVIATIONS

CBO   – Community-Based Organisation

HDIS   – Huidare Informal Settlement

IAP2   – International Association for Public Participation

IDP   – Integrated Development Planning

LED   – Local Economic Development

NGO   – Non-governmental Organisation

PME   – Participatory Monitoring and Evaluation

PPP   – Public-Private Partnerships

SDFN   – Shack Dwellers Federation of Namibia

CHAPTER ONE

INTRODUCTION

Community participation can be seen as a process whereby the residents of a community are given a voice and a choice to participate in issues affecting their lives. In this way the members of the community might, if the process is managed well, take ownership of the projects that are implemented (Theron, 2005a:104-105).

Whether a community participates or not is determined by a variety of factors. One such factor is reluctance to participate because the community members do not trust each other. Community participation can thus be enhanced by addressing barriers to participation while at the same time taking the necessary steps to promote the principles of sustainable participation.

1.1 BACKGROUND TO THE STUDY

Although community participation has its drawbacks, there are more benefits. Various stakeholders play a role in contributing to more meaningful community participation. The challenge to promote sustainable and empowering community participation lies in a partnership with all stakeholders in the process.

This study will focus on the Huidare Informal Settlement (HDIS), Windhoek, as case study. This settlement was previously known as the Omkhai Informal Settlement. A breach of trust between the community members of the (then) Omkhai and its community leaders occurred in July 2000. The reason for this being that these community leaders abused the money contributed by the community members to purchase erf 856 Hakahana, the erf on which the HDIS is currently situated, from the City of Windhoek. Each member of the HDIS had to contribute a monthly amount to the Omkhai leadership for this purpose. The Omkhai leadership had to pay the money to the City of Windhoek, but it soon became clear that the contributions made by the community members during the periods January 1998 to July 2000 were not fully paid over to the City of Windhoek. New community leaders were then elected and together

with this, a new name was given to the informal settlement – the Huidare Informal Settlement (Republic of Namibia, 2002:2, 5-12).

If there is no mutual trust between the community members and the community leaders, the extent to which community members participate in development projects will be affected. This study will assess whether this breach of trust that occurred four years ago between the Omkhai leadership and its community members still have an effect on the community participating in community development today. At the same time, it will highlight what the City of Windhoek could have done to encourage the full payment of the money paid by the community members.

1.2 RESEARCH PROBLEM

The community members of the current HDIS lost trust in their previous community leaders. Because trust is an essential component of the relationship between community members and community leaders, community participation by the community members of Huidare was negatively affected. The question remains whether the breach of trust that occurred in July 2000 involving the previous community leaders still affects community members' perceptions and their participation.

It is worth investigating the issue regarding the effect of the breach of trust, and if and how it affects community participation. It will also assist different stakeholders engaged in community development, for example the City of Windhoek, to realise what role they could play to prevent the lack of community participation. This study adds value by linking the building blocks of development, namely community participation, a social learning process, capacity building, empowerment and sustainable development (Theron, 2005b:119-123; Davids, 2005:18-22; Meyer and Theron, 2000:1-6).

1.3 HYPOTHESIS

The breach of trust between the previous community leaders of the HDIS and its current community members has an effect on community participation in issues affecting the community and its members today.

The variables identified by this study, were *trust*, which is an independent variable, and *community members' participation*, which is a dependent variable. O'Sullivan and Rassel (1989:10-11) regard independent variables as a cause or input and dependent variables as an outcome or an effect. There is a direct relationship between these two variables. Whenever the independent variable changes positively, the dependent variable follows suit.

1.4   OBJECTIVES OF THE STUDY

The study has the following objectives:

- to suggest policy recommendations as well as the strategic role stakeholders engaged with the community could play in enhancing community participation;
- to highlight what the City of Windhoek and other institutions engaged in community development can learn from the study;
- to establish what role the City of Windhoek played in encouraging the community members to continue making their monthly savings despite what the Omkhai leadership did;
- to establish to what extent community members trust one another currently;
- to establish how community members currently regard community participation;
- to establish to what extent the community members have access to information regarding their monthly savings. It is crucial to know this because a lack of access to relevant information can be a constraint to community participation (Meyer and Theron, 2000 (see Batho Pele principles));
- to assess whether municipal officials are committed to community participation by analysing municipal policy documents and investigating whether these officials put the suggested guidelines into practice; and
- to investigate whether the breach of trust between the former community leaders of Huidare and the current community members has any effect on community participation today.

1.5   RESEARCH METHODOLOGY

This study will employ structured interviews with community members of the HDIS and those officials of the City of Windhoek who were engaged in the community's saving

schemes. As stated previously, the aim of the study is to assess, based on information gained from the municipal officials and members of the Huidare community, whether the breach of trust between their previous community leaders and the community members, still has an effect on community participation today.

Participatory observation was undertaken in order to access the thoughts of the community members of Huidare regarding the project. Participatory observation allows a deeper insight into a problem by observing and understanding the behaviour and feelings of a community. In order to gain the confidence of the participants, observers hide the real purpose of their presence by themselves becoming participants. The limitations of participatory observation are that the researcher could risk losing his/her objectivity, inaccurate information may be recorded because notes may have to be taken from memory, and the researcher/observer cannot apply it to many aspects of social life for example he/she cannot directly observe attitudes or beliefs (Bless and Higson-Smith, 1995:43, 105).

In order to gain a deeper understanding of what went wrong with regard to the Huidare money saving scheme, the interviewees of the HDIS were free to elaborate on issues as they saw fit. In other words, although questions were asked as formulated in the questionnaires, the participants were free to tell their side of the story. *Participants* is used here to refer to the members of the community being studied (Babbie and Mouton, 2001:314).

The following issues were observed:
- people relationships within the Huidare community;
- threats faced by the community members that prevent them from raising their voices;
- whether community members feel that they have a direct stake in the project; and
- opportunities for skills development (empowerment) in the community.

Bless and Higson-Smith (1995:85-86) state that the *"… group of people which is the object of research and about which the researcher wants to determine some characteristics is called the* population*. The subset of the whole population which is actually investigated by a researcher and whose characteristics will be generalised to the entire population is called a* sample*."*

In the above case, the Huidare community members represent the population. The selected household owners targeted for the interview represent the sample. Friedmann (1992:32) refers to a household as "… *a residential group of persons who live under the same roof and eat out of the same pot.*" These people residing in a household may be blood-related or not. Best and Khan (1993:19) highlighted the fact that there is no fixed number or percentage of subjects that determines the size of an adequate sample. Because of this, this study will focus on interviewing 30 of the 167 household owners of Huidare (Republic of Namibia, 2002:3).

The home owners of Huidare to be interviewed were selected randomly. According to Bless and Higson-Smith (1995:89), the selection of an element from a population is called *random* when each element of the population has the same chance, likelihood or probability of being chosen for the sample. To make the sample as representative as possible, the list of names of the male home owners were separated from the female home owners. All the individual home owners were then assigned numbers, starting from one. These numbers, representing the male and female home owners, were placed into two different boxes. From each box, fifteen numbers were selected randomly. The numbers chosen represented the home owners to be interviewed for the study. This is known as the *lottery* technique (Bless and Higson-Smith, 1995:89). Five extra numbers were selected from each box. They were to be interviewed in case one of the originally chosen home owners were not available.

The questionnaires for both the community members and the municipal officials will consist of closed questions as well as open-ended questions and computer programs will be used to analyse the data. The home owners will be approached personally and

the aim and the relevance of the study will be explained, while the municipal officials will be handed the questionnaire to be completed.

In order to measure meaningful community participation, the following criteria was used:

- Very meaningful community participation   80-100%
- Generally meaningful community participation   65-79%
- Meaningful community participation   50-64%
- Less meaningful community participation   21-49%
- Very low community participation   10-20%

Values were attached to the variable *community participation* and these were ranked in a scale as indicated above. The answers from the questionnaires will be presented by using bar and pie charts to summarise the information. In certain cases, the answers from the respondents will be summarised by highlighting the main points.

Interviews were conducted with the municipal officials to gain an in-depth understanding of what had happened between the Omkhai leadership and its community members. Legislation regarding community participation, on both an international and local level, was reviewed. Different references were reviewed to gain insight into community participation. The World Bank Sourcebook on Participation as well as IAP2 have contributed to this study. Internet references have also been used.

1.6   SIGNIFICANCE OF THE STUDY

Various stakeholders, for example the City of Windhoek, will realise what role they could play from the beginning to prevent issues that could lead to a lack of community participation. At the same time, this study will assist other institutions that are engaged in grassroots development to overcome issues that could lead to a lack of community participation.

Community members will suggest strategies as to what the current community leaders could do to regain the trust of the community members or to maintain it. This is very important, because without mutual trust between the community leaders and the

community members, there is no hope of sustainable and empowering community participation and for that matter, sustainable development. Accommodating the building blocks of development through community participation is the main challenge.

1.7   LIMITATIONS OF THE STUDY

This study will only focus on interviewing the community members of the HDIS and the officials of the City of Windhoek. This is so because the main aim of the research is to assess, with the help of the community members, whether the breach of trust between the former community leaders prevents or affects their participation in community activities today. The municipal officials will be interviewed to assess to what extent the community members of the HDIS participate today after their experience four years ago.

1.8   DEFINITION OF KEY TERMS AND THEIR RELEVANCE

- **Capacity** is the ability of a community to carry out its functions more effectively (Glickman and Servon, 2003:240). Morss and Gow (1985:135) regard capacity as the ability to make informed decisions, attract and absorb resources and to manage resources to achieve objectives in an efficient way.

- A number of conceptual problems are associated with the definition of **community**. One reason for this is that communities are seldom, if ever, homogeneous and unified (Emmett, 2000:3). Swanepoel (1992:11) defines a community as a living entity, which like its people, continuously changes physically and psychologically. A community means interaction, equality and opportunity within the group and the possibility to grow in a collective consciousness (Oakley *et al.,* 1991:220).

- Brown (2000:173) states that **community participation** is the active process by which beneficiary groups influence the direction and the execution of a project rather than merely being consulted or receiving a share of the project benefits. The beneficiary groups do this with a view of enhancing their well-being in terms of income, personal growth, self-reliance or other values they cherish (UNDP,

2000; Theron, 2005b:115-116). Nghikembua (1996:2) states that community participation is about *"… empowering people to mobilise their own capacities, be social actors …, manage the resources, make decisions and control activities that affect their lives."* Theron (2005b:117) agrees that community participation *"… implies decentralisation of decision making"* and *"… entails self-mobilisation and public control of the development process."*

- Oakley *et al.* (1991:196) defines **conscientisation** as *"… a process of liberating the creative initiatives of the people through a systematic process of investigation, reflection and analysis undertaken by the people themselves. People begin to understand the social reality through a process of self-inquiry and analysis, and through such understanding, perceive self-possibilities for changing that reality.''*

- Meijer (1992:53) regards **effectiveness** as the ability of the community to determine objectives and support administration.

- Oakley *et al.* (1991:17) and Meijer (1992:52) regard **efficiency** as a process in which available resources could be used more efficiently.

- Kok and Gelderbloem (1994:58) regard **empowerment** as seeking to increase the control of the underprivileged sectors of society over the resources and decisions affecting their lives and their participation in the benefits produced by the society in which they live.

- Namoya-Jacobs, Wellman, Joas and Hokans (1995:2) state that **informal settlements** *"… are generally referred to as 'squatter' areas."* Their definition of the term *squatter* refers to *"… a resident who illegally enters and occupies land belonging either to the local authority of a certain area, or to private landowners.*"

- Bryant and White (1982:110) define a **project** as an intervention that addresses a particular problem. A project is a one-off set of activities with a definite beginning and an end. Projects furthermore vary in size and scope. The task of getting the activities done on time, within budget and according to specifications, is referred to as *project management.* In the typical project, team members are temporarily assigned to a project manager, who coordinates the activities of the project with other departments. The project exists only long enough to complete its specific objectives. This is why it is temporary (Robbins and Decenzo, 2004:415).

- According to Burkey (1993:50), **self-reliance** means doing things for one's own self, whilst maintaining confidence in making independent decisions. When people are self-reliant, their ability to devise solutions themselves to whatever problems they are experiencing improves (Babbie and Mouton, 2001:318).

- According to the World Bank (1996:125), **stakeholders** are those affected by the outcome – negatively or positively – or those who can affect the outcome of a proposed intervention. These may be either individuals or group representatives (Integrated Environmental Management Information Series, 2002:14).

- According to Roodt (2001:469), participation is regarded as one of the ingredients necessary to promote sustainable development. Oakley *et al.* (1991:18) agree and argue that participation can ensure that local communities maintain project dynamics. Oakley *et al.* (1991:8) conclude by defining **sustainability** as continuity of what the community has started, and these researchers see participation as fundamental to developing self-sustaining momentum of development in a particular area. Honadle and Van Sant (1985:7) regard sustainability as the ability to manage post-project dynamics through the use of a permanent institution. Dresner (2002:1) states that **sustainable development** is development that meets the needs of the present without compromising the ability of future generations to meet their needs.

Community participation is essential for any project to be sustainable. In order to sustain a project, people need to participate in it and be committed to it. This cannot be done if they are not, for example, empowered or self-reliant. As shown below, a sustainable development project will depend on whether or not the objectives of community participation are met.

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        ╭─────────────────────────────╮
        │   Sustainable development   │
        │           project           │
        ╰─────────────────────────────╯
                      │
                      ▼
   ┌─────────────────────────────────────┐
   │   Building blocks of development:   │
   │                                     │
   │   Empowerment        Capacity       │
   │                                     │
   │   Sustainability     Self-reliance  │
   │                                     │
   │   Effectiveness      Efficiency     │
   │                                     │
   │   Community Participation Objectives │
   └─────────────────────────────────────┘
                      ▲
                      │
        ╭─────────────────────────────╮
        │         Community           │
        │        Participation        │
        ╰─────────────────────────────╯
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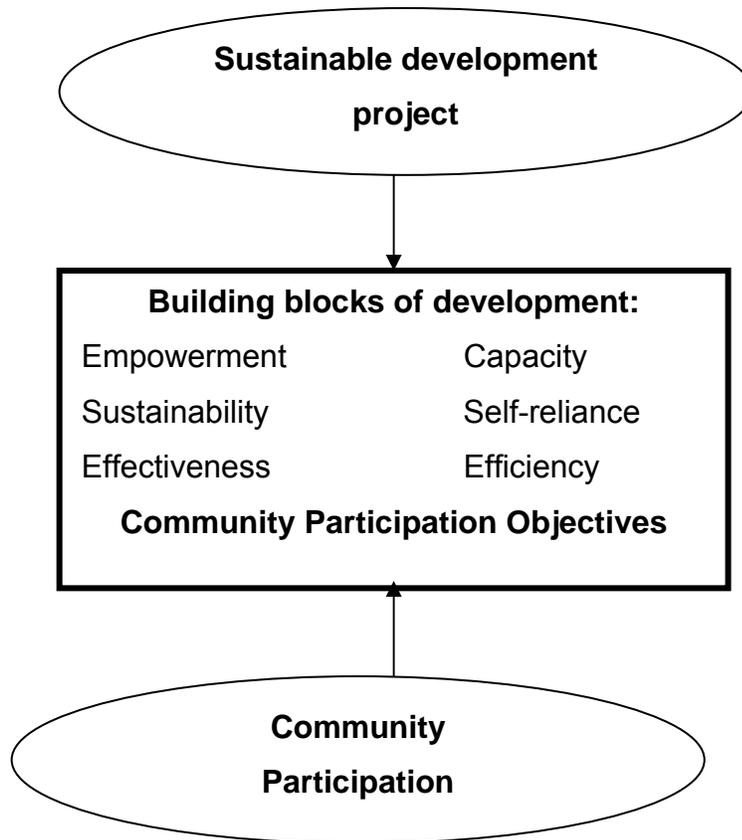
FIG.   1: Community participation objectives

People have different reasons why they want to or do not want to participate. There can therefore be no "blueprint" for achieving community participation. It is a challenge to mobilise people to participate because there is no guarantee that all the individuals within a community will voluntarily be interested in influencing and executing the direction of a project.

Figure 1 shows that community participation is essential for any project to be sustainable. Although the objectives of community participation displayed in Figure 1 are not exhaustive, no project can be sustainable if these objectives are not met. Theron (2005b:111-132) and Meyer and Theron (2000:1-6) refer to the key concepts in Figure 1 as the building blocks of development. One of the objectives of community participation is to empower people. This can help the people to take control of their destinies by making decisions and having control over resources that affect their lives. One way to encourage communities to make informed decisions is to educate them on issues of, for example, sustainability. In this way, they will be able to attract and manage resources in an efficient way.

Only the people themselves know best what they need. When communities have control over resources affecting their lives, it can lead to changes in knowledge and skills. In the process they become self-aware, gain more confidence and become self-reliant, i.e. the building blocks of development are accommodated.

When people participate, they understand what a project entails. This way there can be fewer misunderstandings with regard to project aims. Time is reduced in giving explanations because people understand and know what is going on – they have a stake in the process. With community participation, the people will take responsibility for the project and will assist by contributing to the maintenance of the project. This way fewer costly outside resources are needed thus contributing to the efficiency of the project (De Beer and Swanepoel, 1998:17-32). Once a community knows it will benefit from a project, the members are more likely to make their skills, indigenous knowledge and resources available. This can add to the effectiveness of the project.

Establishing sustainable development projects is crucial. That is why development agents must ensure that projects continue after external assistance to the project has been terminated. Not only should the projects be environmentally sustainable and initiated by the community itself, but the projects should be owned and managed by their benefiting communities. These benefiting communities should be able to sustain

and maintain these projects. Community participation is the most important means to secure the sustainability of a development project (Kellerman, 1997:51).

The objectives of community participation cannot be achieved in isolation. One way or the other they are all related to each other. Community development workers should not focus on trying to attain only certain objectives. Rather, focus on achieving all the objectives as envisaged in the best way possible.   Only then can community development workers ensure that the projects implemented have a likely chance to be sustainable.

1.9   STRUCTURE OF THE STUDY

Chapter 1:   Introduction

In this chapter an introduction to what community participation entails, is given. A brief background to the study is highlighted together with why the problem as stated is worth investigating. Not only is the hypothesis identified, the objectives of the study are also highlighted. A short description of the research methodology that will be used to test the hypothesis, is identified.

Chapter 2:   The policy context for community participation internationally and in Namibia

The World Bank Participation Sourcebook and the IAP2 principles are presented. Following is the Constitution of the Republic of Namibia and the Namibia National Housing Policy.   Finally, the main points regarding community participation in the Access to Land and Housing Policy of the City of Windhoek are highlighted. The public participation policy and strategy for the City of Windhoek are analysed.

Chapter 3:   Community participation theory and strategy

This chapter acts as an introduction to community participation.   The relationship between community participation and development is discussed.   Following this, the different strategies for community participation, the advantages and disadvantages of community participation as well as ways to encourage it, are outlined.

Chapter 4: The importance of effective communication in community participation

Community participation has a variety of goals. One such goal is to improve communication between different stakeholders. This chapter will focus on how the different stakeholders – the City of Windhoek, the Huidare leadership and its community members – can improve their communication. The role participatory monitoring and evaluation play in contributing to effective community participation is highlighted in this chapter.

Chapter 5: Research findings and the strategic and policy proposals for improving community participation in the HDIS

In this chapter, the research findings on community participation in the HDIS as well as the responses from the municipal officials are highlighted. Following this, the various strategic and policy proposals to improve and encourage community participation will be discussed.

Chapter 6: Conclusion and recommendations

The stated hypothesis will be reviewed and recommendations made.

Diagrammatically, the research has been planned as follows:
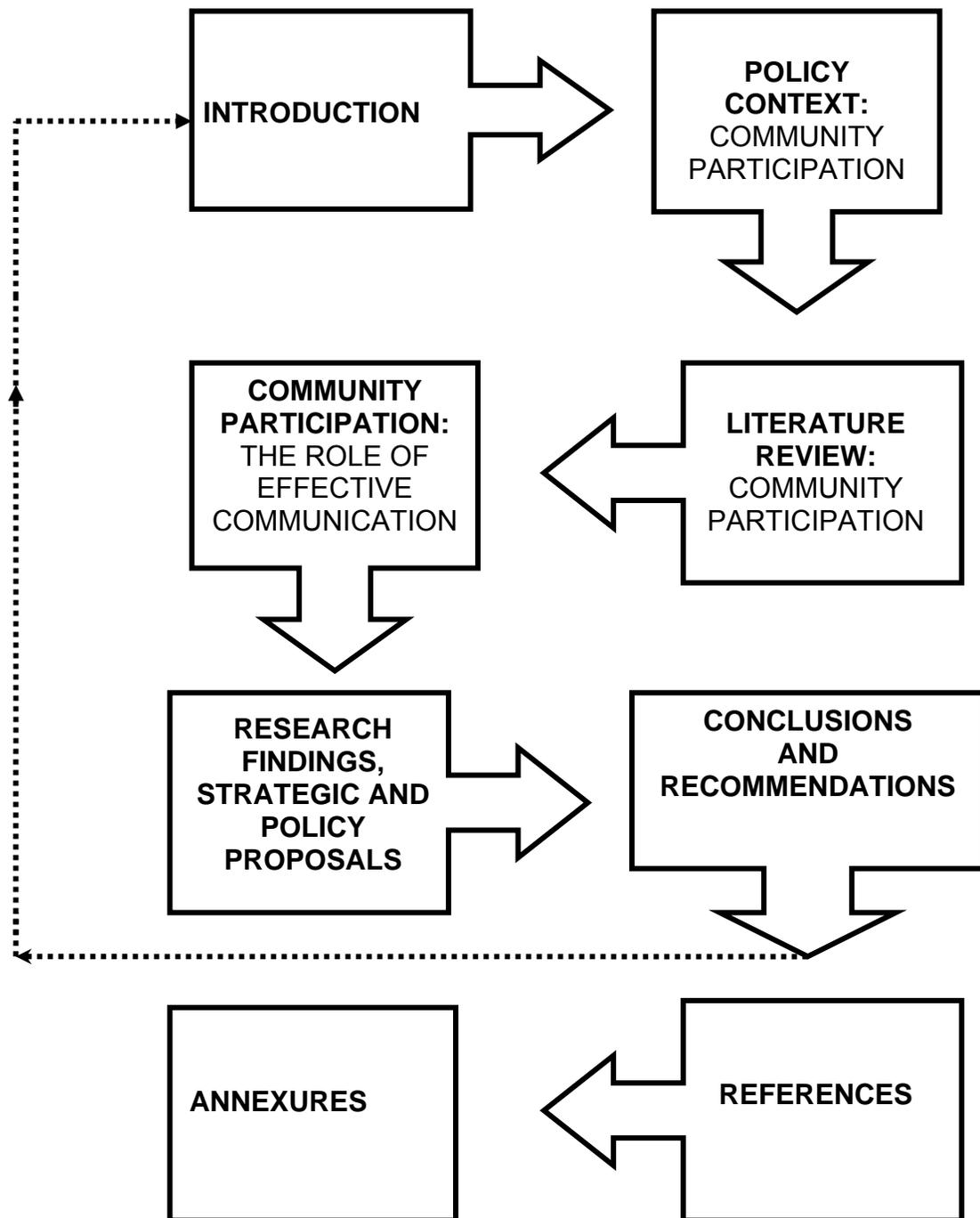
FIG.   2: Schematic plan of the study

CHAPTER 2

POLICY CONTEXT FOR COMMUNITY PARTICIPATION INTERNATIONALLY AND IN NAMIBIA

2.1 WORLD BANK SOURCEBOOK ON PARTICIPATION

Community participation facilitates working together and allows people to speak for themselves. People know exactly what they want and need. This is one reason why planners and policy-makers should not ignore them in the development process. At the same time, community participation can assist stakeholders to avoid conflicts in the sense that it brings stakeholders with different interests together to explore and find common interests. It generates constructive collaboration among stakeholders who may not be used to working together for some or other reason. The role of experts continues to be important when it comes to development projects. Community participation aims to change the way experts communicate their expertise to stakeholders and increases their effectiveness. This is why experts from different fields should contribute what they know. One of the golden rules in community participation is to remember that it is never too early or too late to start – community development is thus a participatory and incremental learning process (World Bank, 1996:121-179) and a slow-fast approach should be adopted. In such an approach, agreement between the community members and change agents is obtained from the first notion of a project and continues through approval to implementation. Plan preparation and concept formulation are slow, but development, approvals and implementation are fast because people are confident that the plans are in accordance with the issues that are meaningful to them (Brown, 2000:176-177).

People have to believe that it is in their interest to participate in order for them to do so. In other words, the benefits should be clear to those expected to participate. However, there are cultural, economic and political barriers that prevent people from having a stake in development projects. This is especially the case with women. Women are

overrepresented among the poor and they usually do not participate unless specific steps are taken to ensure that they participate and benefit. Women, including those from the very poor and indigenous people, are often the exact stakeholders whose interests are critical to the success and sustainability of projects. That is why designers and sponsors of projects should make special efforts to address and overcome these barriers in order for the voices of the poor to be heard (World Bank, 1996:121-179).

In order to obtain the participation of stakeholders, continuous efforts should be made to improve communication and to engage stakeholders in sustainable interaction. Former differences can be resolved when all stakeholders collaborate in designing their collective future. For this reason all stakeholders should be given an opportunity to work together – although this seldom happens. Collaboration and consensus among different stakeholders are not always possible. This is especially the case in situations with a history of entrenched conflict and division among the parties. Trust between the different stakeholders plays a crucial role in community participation, and this can be built by sharing information. However, it should be kept in mind that building trust takes time and effort (World Bank, 1996:121-179).

Government support is critical in starting community participation. At times, officials are skeptical about participation and need convincing, and this may be a challenge. At the same time, policies can create a regulatory framework and an enabling environment that facilitate community participation (World Bank, 1996:121-179).

2.1.1 Summary

What can be concluded from the World Bank Sourcebook on Participation is that the community members of Huidare should know that it is in their interest to participate in a project. Despite this, the community members will have to face challenges that could threaten community participation. Communication amongst different stakeholders is therefore crucial. This means that the municipal officials, community members and leaders of Huidare will have to communicate in such a way that they will understand each other, which could motivate them to trust each other. This will contribute to sustainable interaction amongst these stakeholders and could contribute to the

sustainability of a project.   The municipal officials and the community leaders must share information with the community members regarding those issues about which the members of the community are concerned. This way trust can be built amongst the City of Windhoek, the community leaders of Huidare and the members of the community, which could in the long run lead to more effective participation by the community.

2.2   INTERNATIONAL ASSOCIATION FOR PUBLIC PARTICIPATION – IAP2

The IAP2 is an international leader in community participation.   It has developed core values for use in participatory interventions in development. These core values assist in better decision-making regarding the interests and concerns of affected people and entities (website: http:// iap2.org/corevalues/index.shtml).

Core Values for the Practice of Community Participation
- the community should have a say in decisions about actions that affect their lives;
- community participation includes the promise that the community's contribution will influence the decision;
- the community participation process communicates the interests and meets the process needs of all participants;
- the community participation process seeks out and facilitates the involvement[1] of those potentially affected;
- the community participation process involves participants in defining how they participate;
- the community participation process provides participants with the information they need to participate in a meaningful way; and
- the community participation process communicates to participants how their input affected the decision.

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[1] Theron (2005b:117) warns that the outcome of community participation is related to how officials who implement and manage the process define, interpret and implement the confusing concepts of participation, involvement and consultation. Community participation as *involvement* represents a top-down decision-making process and is regarded as *weak* participation. "*Involvement* is probably the most problematic concept in the community participation debate. It has gained a negative reputation for being associated with co-option, placation, consultation, informing and similar *slippery* concepts in the development debate."

2.2.1 Summary

The IAP2 highlights that whatever the community members contribute should be able to influence the direction of the decisions made. Continuous efforts should be made to ensure that all the representatives of a community participate. For example, the committee members of the HDIS should be representative in terms of the number of males and females. If this does not happen, the women might feel that their needs are not taken into account.

2.3   THE CONSTITUTION OF THE REPUBLIC OF NAMIBIA

The policy and regulatory framework for community participation, based on the principles employed by Meyer and Theron (2000:23) can be summarised as follows:

Article 6:   **Protection of Life**

       The right to life shall be respected and protected.

Article 7:   **Protection of Liberty**

       No persons shall be deprived of personal liberty except according to procedures established by law.

Article 8:   **Respect for Human Dignity**

(2)   (b) No persons shall be subject to torture or to cruel, inhuman or degrading treatment or punishment.

Article 10:   **Equality and Freedom from Discrimination**

(1)   all persons shall be equal before law; and

(2)   no persons may be discriminated against on the grounds of sex, race, colour, ethnic origin, religion, creed or social or economic status.

Article 16:   **Property**

(1)   All persons shall have the right in any part of Namibia to acquire, own and dispose of all forms of immovable and movable property individually or in association with others and to bequeath their property to their heirs or legatees:

provided that Parliament may by legislation prohibit or regulate as it deems expedient the right to acquire property by persons who are not Namibian citizens.

Article 17:   **Political Activity**

(1)   all citizens shall have the right to participate in peaceful political activity intended to influence the composition and policies of the Government. All citizens shall have the right to form and join political parties and, subject to such qualifications prescribed by law as are necessary in a democratic society, to participate in the conduct of public affairs, whether directly or through freely chosen representatives; and

(2)   every citizen who has reached the age of eighteen (18) years shall have the right to vote and who has reached the age of twenty-one (21) years to be elected to public office, unless otherwise provided herein.

Article 19:   **Culture**

Every person shall be entitled to enjoy, practice, profess, maintain and promote any culture, language, tradition or religion subject to the terms of this Constitution and further subject to the condition that the rights protected by this Article do not impinge upon the rights of others or the national interest.

Article 20:   **Education**

(1)   all persons shall have the right to education; and

(4)   all persons shall have the right, at their own expense, to establish and to maintain private schools, or colleges or other institutions of tertiary education.

Article 21:   **Fundamental Freedoms**

(1)   All persons shall have the right to:

(a) freedom of speech and expression, which shall include freedom of the press and other media;

(b) freedom of thought, conscience and belief, which shall include academic freedom in institutions of higher learning;

(c) freedom to practice any religion and to manifest such practice;

(d) assemble peaceably and without arms;

(e) freedom of association, which shall include freedom to form and join associations or unions, including trade unions and political parties;

(f) withhold their labour without being exposed to criminal penalties; and

(g) move freely throughout Namibia.

Article 25:   **Enforcement of Fundamental Rights and Freedoms**

(2)   Aggrieved persons who claim that a fundamental right or freedom guaranteed by this Constitution has been infringed or threatened shall be entitled to approach a competent Court to enforce or protect such a right or freedom, and may approach the Ombudsman to provide them with such legal assistance or advice as they require, and the Ombudsman shall have the discretion in response thereto to provide such legal or other assistance as he or she may consider expedient.

Article 45:   **Representative Nature**

The members of the National Assembly shall be representative of all the people and shall in the performance of their duties be guided by the objectives of this Constitution, by the public interest and by their conscience.

Article 95:   **Promotion of the Welfare of the People**

The State shall actively promote and maintain the welfare of the people by adopting, *inter alia,* policies aimed at the following:

(a) enactment of legislation to ensure equality of opportunity for women, to enable them to participate fully in all spheres of Namibian society; in particular, the Government shall ensure the implementation of the principle of non-discrimination in remuneration of men and women; further, the Government shall seek, through appropriate legislation, to provide maternity and related benefits for women;

(b) enactment of legislation to ensure that the health and strength of the workers, men and women, and the tender age of children are not abused and that citizens are not forced by economic necessity to enter vocations unsuited to their age and strength;

(c) active encouragement of the formation of independent trade unions to protect workers' rights and interests, and to promote sound labour relations and fair employment practices;

(d) ensurance that every citizen has a right to fair and reasonable access to public facilities and services in accordance with the law;

(e) enactment of legislation to ensure that the unemployed, the incapacitated, the indigent and the disadvantaged are accorded such social benefits and amenities as are determined by Parliament to be just and affordable with due regard to the resources of the State; and

(f) a legal system to promote justice on the basis of equal opportunity by providing free legal aid in defined cases with due regard to the resources of the State.

Article 138:   **Courts and Pending Actions**

(3)   Pending the enactment of the legislation contemplated by Article 79 hereof:

All persons having the right of audience before the High Court shall have the right of audience before the Supreme Court.

2.3.1 Summary

What can be summarised from the Constitution of the Republic of Namibia is that government is responsible for promoting the welfare of communities. That is why there is no longer the option of ignoring community participation. Because everybody is equal before the law, the community members of Huidare should not be discriminated against when, for example, committee members are chosen or when financial matters regarding the community are discussed.

The Constitution further acknowledges the fact that people of the Republic of Namibia have every right to scrutinise public policy. This gives the community members of the HDIS the right to participate in the policy-making process and to raise their voices

regarding policies. The challenge is to make people continuously aware that it is their democratic right to be part of this process. One way in which the government can do this is to make the environment conducive in order to enable community members to participate in the policy-making process. Not only should government officials have the political will to do so, but they should also be trained regarding good governance and the policy-making process.

Certainly one of the most challenging aspects of sustainable development is that of achieving effective community participation. With government having appropriate structures and doing what they can to promote effective community participation, it will be possible to get one step closer to sustainable development.

2.4   NAMIBIA NATIONAL HOUSING POLICY

The Namibia National Housing Policy acknowledges the fact that previous administrations did not promote community participation in the development of low-income housing adequately at either central or local government level. At the time, there was no system of community participation in which the views of future residents could influence the location and design of new residential areas or the standards of services to be provided (Namibia National Housing Policy, 1991:8). According to the Constitution of the Republic of Namibia, the Land and Housing Policy of the City of Windhoek and the other identified policy documents, there is now a system in place for promoting community participation.

The policy document states that community participation will be institutionalised into the planning and implementation process of all low-income housing projects. Such community participation should build self-reliance and a co-operative spirit. A learning process is introduced and community participation generally enhances the chances of successful project implementation. If managed well, this approach will lead to the accommodation of the building blocks of development as explained in Figure 1. All local authorities shall aim to develop a capacity for promoting community participation and for providing social and technical assistance to low-income communities (Namibia National Housing Policy, 1991:24).

2.4.1 Summary

Because previous administrations did not provide for adequate community participation, as stated in the Namibia National Housing Policy, unlearning the old ways of doing things might pose a challenge for these organisations. There may, for instance, be people within an organisation who are reluctant to change and who might make it difficult for the organisation to reach its objective of promoting effective community participation. Despite this, investing in training activities that are aimed at promoting community participation is essential. This builds the capacity of the staff, enabling them to understand the different aspects of community participation and the role it plays in promoting sustainable development.

It is stated in the Namibian National Housing Policy that community participation should be institutionalised into the planning and implementation process of projects. However, community participation should, at the same time, be institutionalised in the monitoring and evaluation process of projects. This contributes to the empowerment of the individual. By monitoring and evaluating the progress of a project, it is possible to check whether the objectives of the project are being met and which challenges need to be faced.

2.5 LAND AND HOUSING POLICY OF THE CITY OF WINDHOEK

The vision of the Land and Housing Policy is to ensure that all low-income residents of Windhoek have adequate and affordable access to housing as a means to reduce poverty and to increase the quality of life. At the same time, the policy aims to create a sense of pride and ownership amongst the residents. It aims to install within the communities of Windhoek a culture of co-operation and participation in order to achieve its objectives (City of Windhoek, 2000:2, 3).

The motto of the City of Windhoek is TOGETHER WE SHALL SUCCEED, and the city is committed and dedicated to ensure that the motto is achieved. The City of Windhoek acknowledges the fact that it cannot tackle urban challenges such as a lack of housing, on its own or by importing solutions from the industrialised world. It is crucial to work with the communities and to assist them in eliminating the constraints in their endeavour

to build houses. The Land and Housing Policy stresses that the emphasis should be community-based and community-oriented (City of Windhoek, 2000:2, 3, 5).

The Land and Housing Policy document states that community participation should be an integral component of any development initiative. Any action taken should be done by means of proper consultation[2] with the community and the involvement of its members. When the communities participate, they will be induced and inspired to help themselves (City of Windhoek, 2000:5).

The City of Windhoek commits itself to establish and market enabling policies aimed at promoting self-reliance, pride and a sense of belonging to a community. The objective to facilitate access to housing has to be combined with a strong dimension of capacity-building and empowerment of poor communities (City of Windhoek, 2000:6), as the building blocks of development (Figure 1) implies.

The City of Windhoek acknowledges that raising awareness is the backbone of community participation.   It was established that poor performances and misunderstanding are based on a lack of information and awareness. This is one of the reasons why communication between the communities, municipalities and councillors needs to be intensified.   People and communities will be informed[3] and consulted regularly.   In terms of the Land and Housing Policy (City of Windhoek, 2000:6, 7), communities will be encouraged to continue building strong community organisation.

2.5.1   Summary

Throughout the Land and Housing Policy, terms like *consultation*, *involvement* and *informed* are used, which might cause confusion as to how the policy will be applied. These problematical terms can create confusion amongst stakeholders as to how the policies are applied.   For example, the stakeholders might think that the municipal officials have a limited understanding of community participation on the side of the

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[2] Theron (2005b:118) describes this term as follows: "*The community is free to give opinions regarding the relevant issues, but the powerful offer no assurance that these opinions will be considered (degree of tokenism).*"
[3] This is "*… a one-way, top-down flow of information in which the community is informed of their rights, responsibilities and options (degree of tokenism)*" (Theron, 2005b:118).

policy-makers of the City of Windhoek. That is why it is important to understand these terms and to make it clear in the policy documents as to what they refer to, to avoid confusion.

Vague words are used in the Land and Housing Policy of the City of Windhoek. For example, it is stated on page 6 that people and communities will be *regularly* consulted. How *regular* is *regularly?* Every two weeks, every two months or once a year? Every effort should be made to avoid the use of problematic terms.

Capacity-building *of the poor* is regarded as important in the Land and Housing Policy of the City of Windhoek. Why only capacity-building of the poor? What about the capacity of the municipal staff? At the same time, it is stated that communication between the community, the City of Windhoek and councillors need to be intensified. How is this going to be achieved? Communication about which issues should be intensified? Various questions can be raised in terms of the Land and Housing Policy. That is why a strategic plan should be included as to how the abovementioned issues will be resolved.

2.6   PUBLIC PARTICIPATION POLICY AND STRATEGY FOR THE CITY OF WINDHOEK

The purpose of the Public Participation Policy and Strategy is to *"… establish a community participation approach/system that would lead to self-mobilisation of communities whereby they will be facilitated to participate in joint analyses with the Council and all relevant stakeholders to improve their living and working conditions"* (City of Windhoek, 2004d:1).

In the Public Participation Policy and Strategy document, community participation is defined as *"… the direct involvement and education of people, through their democratically elected representatives, with the relevant stakeholders that could make a constructive contribution to the implementation of the identified projects and/or programmes …"* (City of Windhoek, 2004d:1).

The following are the objectives of community participation as highlighted in the Public Participation Policy and Strategy:

- to promote the necessity of a tripartite alliance amongst the communities, politicians and officials of the Windhoek City Council in local governance;
- to involve communities throughout the City directly, with special emphasis on those who have previously been marginalised, in determining their own needs and priorities;
- to afford communities the opportunity to exercise real control over all stages of a programme that affects them with a view to creating a sense of ownership and thus promoting their civic responsibility; and
- to improve project efficiency by promoting co-operation and interaction among beneficiaries, themselves and between them and the implementing agency in order to secure a smoother flow of project services, reduce delays and minimise costs.

The City of Windhoek aims to assist communities in meeting their responsibilities. It further aims to act as mediator between the project implementation unit and the beneficiaries in case of disputes. Another objective is the promotion of the rights and obligations of the community and other stakeholders (City of Windhoek, 2004d:1).

2.6.1 Summary

Vague and problematic terms are used repeatedly in the Public Participation Policy and Strategy for the City of Windhoek. It states, for example, that communities must be given the opportunity to exercise *real* control over all stages of a programme. What is meant by *real* control? What would *real* control regarding the monthly savings of the Huidare community entail for these community members? At the same time, there is no strategic plan as to how policy objectives are going to be met.

Other important issues regarding community participation are not included in the document. For example, how the policy-makers of the City of Windhoek intend to contribute to the development of skills in the Huidare community, what the challenges faced regarding community participation both within communities and at the City of

Windhoek are and how they plan to address these challenges as well as how the policy-makers encourage communities, including the Huidare community, to participate and to be aware of the policy process.

2.7 MANAGEMENT PLAN FOR COMMUNITY CENTRES

The management plan for community centres of the City of Windhoek gives an overview of community development and what its objectives are. These objectives aim to:

- involve communities in influencing and shaping policy development;
- involve communities to have a direct or indirect say in determining and prioritising their own needs;
- get support from communities to make any development initiative at local level sustainable and replicable;
- promote community participation by means of involving and educating the community to ensure commitment and responsibility to community self-help projects and programmes and to enhance the quality of life of all citizens; and
- enable communities to exercise judgement and to contribute to the debate about policy, identifying social problems and working towards finding solutions to these problems (City of Windhoek, 2004b:1).

2.7.1 Summary

The Management Plan for Community Centres is no different from the previous two policy documents in terms of problematical terms used. The policy-makers should realise that, in order to get the support of communities as stated above, they will have to concentrate on building relationships with community members. Nothing is mentioned about this issue in the Management Plan for Community Centres. How will policy-makers get the support of the community members of Huidare if they do not establish and maintain good relationships with the community members? In order to achieve this, one aspect that cannot be ignored is that effective communication between the municipal officials and the community members should be the main priority.

2.8   CONCLUSION

Government policy plays an important role in offering additional support to effective community participation.   That is why government should do everything within its capacity to ensure that policies are implemented in the best way possible because policy in itself does not effect change.   Only action is capable of achieving it.

Partnering with stakeholders is crucial.   This explains why alliances need to be built with various partners in development.   At the same time, personal development of the stakeholders in policy-making is crucial.   Policy-makers and senior public officials have to be trained.   People, whether they are policy-makers or community development workers, should realise right from the start the importance and benefits that can be reaped from community participation.   There should be a political will and commitment to achieve effective community participation.

Research regarding community participation and the policy process is crucial.   With research, gaps can be identified and new ways identified to improve upon these gaps. The institutions of higher learning could serve as a vital source of research and should be engaged in the debate regarding community participation and the policy process.

Because of the interdependence of the different stakeholders, it is necessary to follow an integrated approach.   Stakeholders should work together in an efficient and co-ordinated way, thereby ensuring that policy objectives are matched by actions in a disciplined manner.   In addition, appropriate tools should be put in place to monitor policy implementation.

The key agent in transforming and democratising development is local government (Theron, 2005c:133).   That is why policy-makers should promote decentralisation programmes and get rid of top-down obstacles that are part of the political system. Community stakeholders should be part of the process of the planning and identification of community participation strategies.   This is essential in implementing grassroots community participation programmes like IDP, that should be approached holistically.

IDP should be used as the stepping stone to encourage grassroots development and community participation (Theron, .2005b:123-124).

The culture of dependency is a threat to community participation. That is why it is essential to promote a spirit of self-reliance at national and local level. Marginalisation, poverty, gender inequality and hopelessness are other challenges to community participation. Community members must have the self-confidence and belief that they themselves can make a difference in their lives. Stakeholders must promote awareness of the need to address these challenges in order to have meaningful community participation (Theron, 2005b:123-124).

Stakeholders have different opinions of community participation. This explains why different stakeholders will have different views of how best we can achieve community participation. The challenge is how do we promote a culture and commitment of community participation despite these differences in opinions. Learning and reflecting on past mistakes and experiences are crucial because, in this way, we can share our experiences and avoid repeating mistakes in the future (Theron, 2005b:123-124).

CHAPTER THREE

COMMUNITY PARTICIPATION THEORY AND STRATEGY

3.1   INTRODUCTION

> *"… for no one can develop others, one can only*
> *stretch or diminish others by trying to develop them"*
> *(Oakley et al., 1991:1)*

Chapter one stated that one important factor underlying community participation is giving community members a voice *and* a choice in issues affecting their lives. This is because not every citizen is interested in participating (Meyer, Cupido and Theron, 2002:64).   Nghikembua (1996:15) agrees that different individuals in the same community may have different interests and may not necessarily want to participate in development projects merely for the purpose of collective socio-economic betterment. With community participation, the people decide, act and reflect on their actions as conscious subjects. It facilitates a reversal of the inequalities that have been developed under colonialism by helping people to engage in the process of identifying problems and acting on them (Chinemana, 1992:10).   Despite this, community participation is fraught with problems involving conceptual and practical difficulties (Emmet, 2000:1; Theron, 2005b:111-132).

In the case of the HDIS, the community members should have the freedom to decide on issues affecting them and they should also realise that it is their right to participate. For example, they have to decide who the committee members who will represent them should be. They should have the authority to make decisions with regard to their monthly savings contributions because this affects them directly.   The community members are the ones to decide who should collect the money and at what time of the month. Members of the Huidare community should also be able to express their views at meetings without fear, whether in the presence or absence of municipal staff.

Community participation is a democratic right (Baum, 1999:187). Theron (2003) states that people use different concepts when referring to community participation, e.g. public or citizen participation. Although community participation remains an elusive concept (De Beer and Swanepoel, 1998:20), it is not a new one (Meyer *et al.*, 2002:59). Because of the complexity of community participation (Midgley, Hall, Hardiman and Narine, 1986:viii), there are different views of what it entails (Baum, 1999:187). This makes it impossible to establish a universal definition of community participation (Oakley and Marsden, 1984:8). It is impossible to develop a single, unified methodology for community participation and it is highly influenced by the unique social context in which action is being taken (Emmett, 2000:2; Meyer and Theron, 2000:1-6).

There is no best strategy to engage in community participation (Theron, 2003). One reason for this is that communities are unique and their circumstances differ. Despite this, one of the main prerequisites for sustainable development is that of securing effective community participation (Taylor, 1994:138). A major obstacle to ensuring effective community participation is that there is often division within communities that undermines participation (Swilling, 2004:7). This explains the importance of establishing and maintaining excellent people relationships between the City of Windhoek and the Huidare community. Municipal officials and the community members of Huidare will be able to understand one another better and, in addition, they will have a common vision of what they want to achieve in the future. For example, community participation in Huidare cannot be effective if the members of the community at Huidare fight amongst one another at meetings or if the community members feel that the municipal staff do not respect them.

According to Friedmann (1992:160), it is difficult to implement and maintain projects successfully without the participation of the community. In order to get nearer to sustainability, a participatory approach has to be followed (Mikkelsen, 1995:61). It should be remembered that the participatory approach is not unproblematic and frequently gives rise to as many problems as it brings solutions (Nghikembua, 1996:1).

3.2 RELATIONSHIP BETWEEN COMMUNITY PARTICIPATION AND DEVELOPMENT

Community participation is an essential part of human growth. Through it people establish dignity, self-esteem and own their development process (Theron, 2005b:121; Midgley *et al.*, 1986:31). According to Chinemana (1992:4), development entails seeing progress in the lifestyle of people. It is the upward movement of an entire social system, which includes both economic and non-economic elements. Development can therefore be interpreted as a long-run, sustained process, involving improvement or progess (Muller, 2004:7).

Gran (1983:20) and Friedmann (1992:7) state that everybody is in possession of a world of his/her own and nobody can interpret this world better than he/she can. That is why development has to begin with the people who know most about their own livelihood systems. The knowledge and skills of these people have to be valued and, in the process, they should be encouraged to develop themselves (Mikkelsen, 1995:61). Oakley et al. (1991:2) support the point and further state that people cannot be developed – they can only develop themselves. The community members of Huidare should therefore be encouraged and given the opportunity to develop their skills. For example, different community members can be given the opportunity to present the financial data to the rest of the community members at meetings. These members in charge of the finances should then also calculate how much money has been saved by the entire community and report back to them.

Because people are a central part of the development process, their capacities and skills should be developed so that they can negotiate and seek the resources they require for the betterment of their lives. The people should have a stake in the development process, and one way of encouraging this is by using appropriate methods and techniques, which are well-known to them. This plays a critical role in providing immediate access to the benefits of development and to secure sustainable development (UNDP, 2000).

Although community participation is essential for development, it does not come without its challenges. According to Theron (2005b:113), few put community participation into practice. This is a challenge in itself because there are numerous reasons why the people who should ensure that community participation is put into practice in the best way possible, neglect to do this. For example, if a community development worker is underpaid, he/she might be uninspired. In this case, the work that the community development worker does, i.e. ensuring that the community participates in the best way possible, will be affected. This reflects the complexity of community participation and it reminds us that not only do different stakeholders have to work together, but that establishing and maintaining excellent people relationships are important in tackling issues such as community participation. A question we therefore have to ask is how we can motivate people to put community participation into practice in the best way possible.

Another challenge that stands in the way of attaining effective community participation is the fact that local elite groups in many Third World countries have dominated people (Taylor, 1994:138). This resulted in people, especially the poor, becoming accustomed to leaving decisions and initiatives to their "leaders" (Oakley *et al.,* 1991:13). This is problematic because the people themselves are the real actors of positive change and sovereignty resides with them. The people assisting with their development should recognise that they are participating in support of the people's agenda and not vice versa. The most important role player is and should be the communities (Theron, 2005b:111-132) and if people are allowed to make use of indigenous knowledge systems, they can act appropriately to become masters of their own destiny (Theron, 2003). Despite these obstacles, there is a need for community participation to be an ongoing commitment (Wild and Marshall, 1999:151) and for this commitment to be implemented in practice (Theron, 2005b:111-132).

According to Oakley and Marsden (1984:17), community participation is a key element in development. Raniga and Simpson (2002:182) highlight the fact that community participation is an essential feature of any community development initiative. It enhances the capacities of individuals and communities to mobilise and help

themselves (Midgley *et al.* 1986:8; Oakley *et al.*, 1991:2). When people are central to the development process, attempts to promote social and economic development are accelerated (Midgley *et al.*, 1986:13). However, a deeper, more sustained and comprehensive engagement with communities and beneficiaries is required to ensure that projects are integrated into the local social and economic fabric. One way of orchestrating this engagement is through the forging of partnerships with communities and beneficiary groups (Swilling, 2004:8), as, for example PPP[4], LED[5] and IDP[6] programmes in South Africa.

People should be able to participate directly in development efforts in order to succeed in strategies and programmes to alleviate poverty (Swilling, 2004:3; Oakley *et al.*, 1991:v). Theron (2003) states that people will only participate if they have a direct stake in the project. Delivering development is not an easy process and it cannot become sustainable unless the community participates in the conceptualisation, planning, implementation and monitoring of development projects. At the same time, it should be seen as a collective effort (Taylor, 1994:142). The figure below summarises why community participation is crucial to development.

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[4] PPP – Public-Private Partnerships
[5] LED – Local Economic Development
[6] IDP – Integrated Development Planning

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│                      DEVELOPMENT                         │
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│   ┌ ─ ┐   │
│   │
│   │   **COMMUNITY PARTICIPATION**   │   │
│   │
│   │   • Development begins with people   │   │
│   │
│   │   • People know what they want   │   │
│   │
│   │   • Essential part of human growth   │   │
│   │
│   │   • Capacities of individuals enhanced to   │   │
│   help themselves (self-reliance)   │
│   │   │   │
│   • Effectiveness and efficiency of projects   │
│   └ ─ ┘   │
└───┘

FIG.   3: Importance of community participation in development projects

It is clear that community development workers will not accomplish development if they do not acknowledge the fact that development begins with the people. This point is also argued by the Community Development Workers Programme, which is currently being introduced at South African municipalities. The Ministry of Agriculture, Water and Rural Development (1993:37) states that development efforts should start by recognising people's potential, and proceed to their enhancement and growth.   Community participation, as shown in Figure 1, is one of the building blocks of development. The other building blocks comprise the following: a social learning process, empowerment and sustainable development (Theron, 2005b:119-123). These building blocks and their relationship to community development can be illustrated as follows:
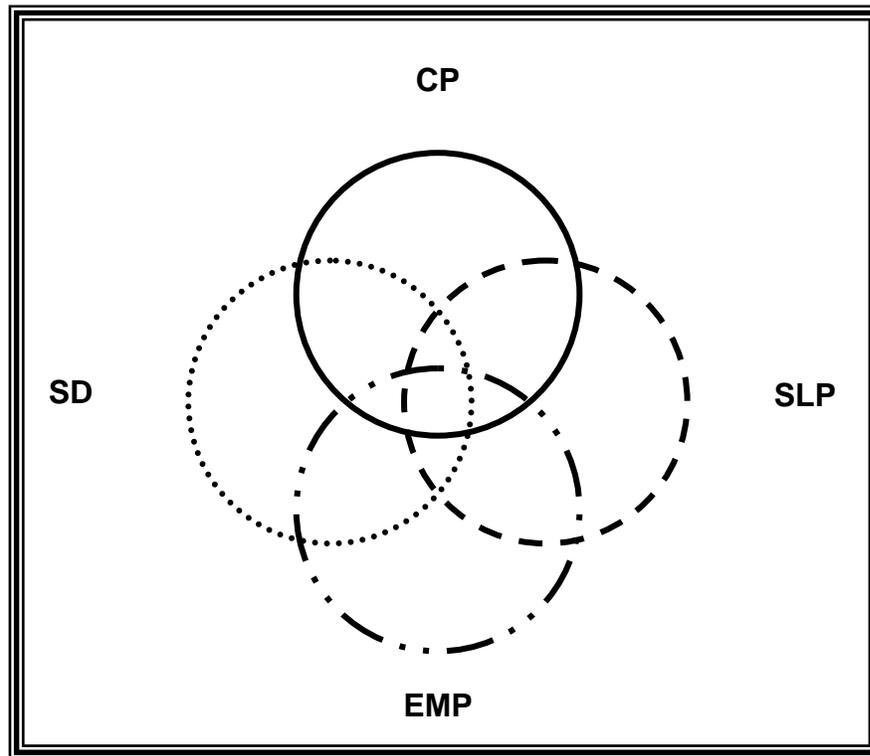
FIG. 4: Building blocks of development

CP = Community participation

SLP = Social learning process

EMP = Empowerment

SD = Sustainable development

These building blocks of development are interlinked and should not be thought of in isolation (Theron, 2005b:119-123; Meyer and Theron, 2000:1-6).

3.3 DIFFERENT STRATEGIES FOR COMMUNITY PARTICIPATION

There is a diverse range of community participation strategies. These strategies range widely in creativity, complexity and the type of technology used. There is no single recipe for selecting the right combination of strategies for a particular process and each strategy has advantages and shortcomings. Attaining effective, efficient and equitable community participation depends largely on choosing the appropriate combination of

strategies to be used (Integrated Environmental Management Information Series, 2002:14; Theron, 2005b:123-128).

The various strategies for community participation can be classified into a variety of groups depending on one's interest, for example, information sharing, consultation, decision-making and initiating action (Kok and Gelderbloem, 1994:65-66). In the paragraphs below, these four groups will be discussed more fully.

3.3.1 Information-sharing strategies

Information-sharing strategies do not constitute community participation because they merely require the community to judge a finished or almost finished product. An example of this kind of strategy is information documentation. Examples of information-sharing strategies include exhibitions, media coverage and audio and visual material (Kok and Gelderbloem, 1994:66-67). According to Taylor (1994:195), *"Project beneficiaries tend to be passive respondents."* Information-sharing strategies are referred to as "participation as a means to an end", because participation is generally short-term. Emphasis is placed on achieving the objective and not so much on the act of participation itself (Theron, 2005b:117-118). There is no channel provided for feedback (Arnstein, 1969:219). The primary concern is not about gaining long-term social advantages and sustainable development, but rather what community participation contributes to the end product (Meyer and Theron, 2000:3).

3.3.2 Consultation strategies

An example of this kind of strategy is referenda, which are relatively inexpensive strategies and which allow democratic community participation, especially between elections. Other examples include questionnaire surveys as well as in-depth and focus-group interviews (Kok and Gelderbloem, 1994:69). The project beneficiaries need to respond to project management at various stages, which is why they should be more reactive in their action (Taylor, 1994:195). There is no share in decision-making by the community (Theron, 2005b:115).

3.3.3 Decision-making strategies

Examples of this include public meetings and hearings. Decision-making strategies very often involve a one-way flow of information from the planners to the public. Another example is the Delphi strategy. This strategy entails no more than three or four rounds of questionnaires that allow views to be expressed anonymously (Kok and Gelderbloem, 1994:71-72). In decision-making strategies, the beneficiaries are considered as partners in the project because the decisions made by the beneficiaries can effect the course of the project (Taylor, 1994:195).

3.3.4 Initiating action strategies

Under this, we can include self-help manuals, for example those on housing standards or layouts. The workshop approach, which is also included in this strategy, allows residents to form groups in order to assess specific problems. Planning teams are established to deal with a specific planning problem, and problems may include the responsibility for resolving upcoming conflicts (Kok and Gelderbloem, 1994:74-75). Community participation is not just the means to achieve project goals, but it is seen as a right (Theron, 2005b:115).

Other strategies for community participation include participation for material incentives, functional participation and self-mobilisation. In the former strategy, people participate by providing resources, for example labour, in return for material rewards. This helps to reduce overall costs, and participants in return receive a resource (Raniga and Simpson, 2002:182). Theron (2005b:115) states that the people have no stake in prolonging activities when incentives end. When people participate by joining groups to implement projects, usually after important decisions have been made, it is referred to as functional participation. Self mobilisation is found where people participate by taking initiatives independently of any external organisation (Raniga and Simpson, 2002:182). The people themselves retain control over how resources are used. This bottom-up approach allows people to develop contacts with external institutions for resources and the technical advice they need (Theron, 2005b:115).

Development planners should understand the different strategies for community participation. They should take the context in which community participation takes place into account in order to assess which strategies indicate very good community participation and to determine how these strategies should be applied (Theron, 2005b:123-129).

Development planners should be aware, by taking the context in which community participation takes place into consideration, which strategies indicate very good community participation and how these strategies should be applied. It does not help, for example, if a development planner, on account of a lack of knowledge, thinks that information-sharing represents an effective way of community participation whilst this is not the case. For that reason it is important for community development workers to aim for continual upgrading of their skills and for their employers to play a role in this regard (see Community Development Workers Programme in South Africa).

It is crucial to know which combination of community participation strategies works best for a development project. Because each development project is unique and faces different challenges, a strategy that was a success in one community could fail in another (Theron, 2005b:123-131).

3.4   ADVANTAGES OF COMMUNITY PARTICIPATION

Community participation increases people's sense of control over issues that affect their lives and also promotes self-confidence and self-awareness (Oakley *et al.*, 1991:17). Gran (1983:viii) states that this heightened consciousness makes people continuously aware of the reality about them and of their own capacity to transform it. When people have the freedom to participate in activities, it gives them dignity and self-respect (Ministry of Agriculture, Water and Rural Development, 1993:37). Another advantage of community participation is that it empowers the individual (Theron, 2005b:117-118), as explained by way of the linkage between the building blocks of development (see Figures 1 and 3).

Community participation ensures that projects are developed according to the needs of the people (Raniga and Simpson, 2002:182). This can improve the outcomes of projects through cost sharing, increased efficiency and effectiveness (Theron, 2005b:116-118). Through community participation, resources available for development projects will be used more efficiently and fewer costs will be incurred if the people themselves are responsible for the project (Oakley *et al.*, 1991:17). When benefiting communities participate in the process of their own development, their personal interest is raised, and continued participation in the development project is ensured (Nghikembua, 1996:2). Community participation encourages community responsibility for projects and individuals are more likely to be committed to plans if they have been participating in the preparation of these plans (Kok and Gelderbloem, 1994:61).

Community participation teaches communities how to resolve conflict and allows for different perspectives to be heard. In this way, learning is promoted and people will be able to help themselves (Baum, 1999:187). Communities will be able to assess their own situation, organise themselves as a powerful group and work creatively towards changing society and building up a new world. In other words, conscientisation, as explained in Chapter one, is achieved (Oakley *et al.,* 1991:170, 196). This increased capacity of individuals, allow communities to mobilise and help themselves minimise dependence on the state and leads to a bottom-up approach (Midgley *et al.,* 1986: 8).

Community participation contributes to the development of appropriate policy, legislation and regulations while at the same time promoting democracy, as is applied through the Batho Pele principles employed in South Africa. When people participate, it assists them in identifying key issues of concern that need to be considered. Due to a diversity of opinions and perspectives from different role players, community participation helps to obtain a balanced perspective of key issues and to identify creative solutions to problems like, for example, the partnership-in-planning approach – Swilling's point previously. Not only does community participation increases understanding between stakeholders, it also establishes trust and cooperation (Integrated Environmental Management Information Series, 2002:9). It is clear from the

advantages of community participation that it is challenging to ascertain to what extent the advantages have been achieved.

3.5   DISADVANTAGES OF COMMUNITY PARTICIPATION

Community participation does not guarantee success and there is no clear methodology of community participation. That is why it lacks clear goals and objectives and why it is approached in an ad hoc and unsystematic manner. The result is that evaluating participatory processes becomes difficult, while cynicism and a lack of accountability among practitioners are taking place (Emmett, 2000:2, 5).

Community participation is time-consuming and it is difficult to judge to what extent projects are participatory (Garcia-Zamor, 1985:25). Taylor (1994:139) states that community participation can be costly in terms of time, money and skills. However, it should be remembered that obstacles to community participation are directly related to one's perspective of community participation (Oakley and Marsden, 1984:29).

Community participation can bring latent conflicts to the surface and it can delay project start-up, while increasing the demands on project personnel and managers (Kok and Gelderbloem, 1994:47). Illiteracy is an inhibiting factor in community participation. This is because illiterate people may be marginalised by professional and technical communication during the community-participation process (Meyer, Cupido and Theron, 2002:65).

It is not clear what constitutes a "good" decision when it comes to community participation. It is therefore difficult to assess the attainment of a "good" decision. Although there are attempts to classify a "good" decision according to the level of satisfaction and willingness to participate, for example, the literature does not state what the criteria for "good" decisions are. In other words, research on community participation is lacking as to whether there are legitimate factors for a good decision (Meyer *et al.,* 2002:66-67).

It can be the case that participants communicate a wrong interpretation because of a diversity of languages in a community. This can be problematic because findings can be interpreted wrongly. Because authentic, empowering community participation can slow down the planning and implementation of a project, local authorities can become impatient. This may prompt them to ignore the processes underlying community participation (Meyer *et al.,* 2002:65).

Community participation is not a legislated requirement in all countries. Many countries therefore lack supporting legislation and an institutional framework to ensure that stakeholders are effectively and efficiently engaged in the decision-making process. Governments may have a problem to delegate authority and power and, although requirements to empower stakeholders in the decision-making process may exist in law, this has not always been translated into practice. This leads to confusion and disillusionment in the process as the rights and responsibilities of different stakeholders may not be clarified (Integrated Environmental Management Information, 2002:16).

Countries that have a history of repression are often challenged by mistrust between different sectors of society. This remains to be the case despite various attempts that are being made for higher levels of community participation. People may still fear adverse consequences if they openly express a difference of opinion (Integrated Environmental Management Information, 2002:17).

These disadvantages have to be taken into account whenever a development project is to be implemented in a particular community. This can contribute to the sustainability of the project. Being aware of the disadvantages can help people to find ways to deal with such disadvantages and to minimise them in the future.

3.6   ENCOURAGING COMMUNITY PARTICIPATION

There are several ways to encourage community participation. It is a collective effort and not just the duty of a certain group of stakeholders. The community should be empowered to take control over how things are done. People should feel that they can influence the outcome of the project in order for them to participate. They should be

mobilised to take collective action aimed at sustainable development. Ignorance can be overcome by disseminating the appropriate information, and change agents should make sure that they are trusted by the community (Kok and Gelderbloem, 1994:47-65).

People should also be made aware of their individual rights and be informed about issues affecting them directly. For example, local authorities could invest in public education initiatives. When people are informed and educated, they are an asset in promoting democratic accountability and administrative responsibility.   Community participation should become a philosophy and the responsibility of all municipal employees. This kind of participation should become part of the organisation's vision, mission, work ethic and culture (Meyer and Theron, 2000:42, 72).

Conditions should be created under which collaborative dialogue can occur around issues that are critical to the community. All viewpoints should be heard and all citizens should have an equal chance to participate in the decision-making process (Hibbard and Lurie, 2000:193-194).

Community participation should seek to give a "voice" to those normally excluded from the process. At the same time, community participation needs to be an ongoing commitment with preparedness to begin with "where people are at" rather than set aspirations too high – Brown's slow-fast incremental approach (Brown, 2000:176-177; Wild and Marshall, 1999:151-152).

Developing critical consciousness about sustainability provides a platform for community participation. Stakeholder education for sustainability becomes a key component in facilitating community empowerment within the participatory development process (Cuthill, 2002:81, 83). For this reason community participation cannot be proclaimed; it has to be developed. Many work with a commitment to participation but with only limited guidance on how to put such commitment into practice (Oakley *et al.,* 1991). When communities are aware of the issues at stake, they will be more willing to participate (Laurian, 2003).

One way to strengthen community participation is through the welding of public/community/private partnerships built on existing organisational strengths. Community groups need to be remunerated for undertaking tasks of infrastructure management and maintenance in partnership or under contract to local government. Only if communities and beneficiary groups participate in project operation and maintenance will sustainability be assured. If communities are to enter into partnerships with local government for the implementation and management of local economic development and infrastructure projects, the capacity to sustain these partnerships will need to be created (Swilling, 2004:8). In South Africa this was realised through the IDP process (Theron, 2005b:123-131; Theron, 2005c:133-147).

3.7 CONCLUSION

This chapter departed by highlighting the fact that community participation is viewed differently by different individuals, which explains why the concept is so ambiguous. Despite this ambiguity, community participation makes an invaluable contribution to sustainable development. A continuous effort should be made to understand the concept and process rather than to focus on its ambiguity. Community participation is more focused than participation in general because it refers specifically to stakeholders who have a specific stake in a development project.

A proper assessment should be made by community development workers to determine to what extent the community is willing to participate, if at all. This will enable the community development workers to identify areas of improvement. There are various advantages of community participation, and these will differ from community to community. It could also be that disadvantages outweigh the advantages. This is one of the issues that has to be taken into account before community participation is implemented. Definitions for community participation should act as a social learning process and not as blueprints (Theron, 2005b:113). The following definition has been formulated by the researcher:

> *Community participation is a process associated with*
> *development projects that requires collective effort by the*

> *intended beneficiaries, who should take part in influential*
>
> *decision-making.*

Community participation is a process associated with the upliftment of a community and society as a whole. The intended beneficiaries should have a common vision and should work together. They should also be able to take part in influential decision-making. With regard to strategies for community participation, the right combination should be used as stated in Section 3.3. The community members should participate in this. They are the ones to decide upon which combination of strategies works best for them, in partnership with government change agents. Community participation will only be successful if a partnership-in-planning approach is prioritised. This principle is clear in LED, PPP and IDP as currently introduced in South Africa.

A continuous effort should be made to make the community members of Huidare aware of the benefits that could be reaped from community participation and how resources can go to waste without it. A challenge of concern is that of ensuring that stakeholders, including the City of Windhoek and the community leaders and members, remain interested and are willing to give their best to ensure that effective community participation takes place.

Continuous research should be done to assess what causes a lack of participation in communities and among stakeholders. New and creative ways must be found to deal with the challenges of community participation by taking into consideration that each and every community is unique. One way of doing this is via an integrated approach to development planning.

CHAPTER FOUR

THE IMPORTANCE OF EFFECTIVE

COMMUNICATION IN COMMUNITY

PARTICIPATION

4.1   INTRODUCTION

The concept *community participation* needs to find its rightful place in the development debate in Namibia.   To start off, it needs to be defined properly so that every stakeholder will know exactly what is entailed and there needs to be a clear understanding of the appropriate strategies to be applied at different levels of society (Nghikembua, 1996:15).   The lack of clarity of what community participation and its practical implementation entail, is and remains an international problem (Theron, 2005b:113-114; 2003).

The goal of community participation is to improve communication between stakeholders in the interest of facilitating better decision-making and sustainable development (Integrated Environmental Management Information Series, 2002:9).   This chapter will assess how communication between the different stakeholders – the City of Windhoek, the Huidare leadership and its community members – can be improved.   Before doing so, appropriate background information of the country in which this informal settlement is situated, is given.

4.2   NAMIBIA IN BRIEF

Namibia is situated on the southwestern tip of the African continent and is 834 000 square kilometers in size (Shipanga, 2000:2).   It has a total population of 1 830 330 of which 942 572 are females (Republic of Namibia, 2003:18).

Namibia is divided into regional and local units with their own local authorities.   The delineation of the boundaries of the regions and local authorities is geographical without any reference to race, colour or ethnic origin of the inhabitants of such areas.   A local

authority includes all municipalities, communities, village councils and other organs of local government defined and constituted by an Act of Parliament (The Republic of Namibia, 1990:54). This explains why the City of Windhoek is the local authority of Windhoek.

Namibia had been a colony of Germany for over 100 years. One of the results of colonization was that the country was divided according to race and tribe. All, if not most, of the government and private sector actions were based on benefiting and empowering white people (Shipanga, 2000:2). Africans were expected to retire to their communal/rural areas at the expiry of their working lives. Migration into and settling in urban areas was regulated (City of Windhoek, 2002:15). According to Shipanga (2000:2), this was the case until Namibia became independent in March 1990. After independence, control on rural-urban migration fell away. Consequently there was an influx of migrants from the rural areas and surrounding small urban and peri-urban settlements (City of Windhoek, 2002:15).

4.3   WINDHOEK – THE CAPITAL CITY OF NAMIBIA

Windhoek is situated in the Khomas region, which is one of the 13 regions of Namibia (Republic of Nambia, 2003:18). Windhoek was established in 1890. Windhoek is virtually a desert city and tends to manifest all the problems of prime cities in the Third World, including poverty (City of Windhoek, 2002:6, 14, 22).

The increase of squatters became the order of the day with the attainment of national independence. These slums are under-serviced neighbourhoods and the slum population lacks the most basic municipal services such as water and sanitation. They also lack schools, clinics, as well as places for the community to meet and socialise. An average of 1 400 squatter households establish themselves in the squatter area each year. This is why the poor constitute the fastest growing population in Windhoek. This growth implies that land in the Windhoek basin will become less available as it is at risk of being invaded by squatters. No politician is prepared to discuss and debate in public the effects of rural-urban migration on the City of Windhoek. This is because of fear of losing political popularity (Shipanga, 2000:13-14).

Conditions in the informal areas are precarious. The environmental and health conditions in the informal areas especially are of great concern. In order to render basic improvements to these areas, fast action is called for. The City of Windhoek cannot keep up with the unprecedented influx of poor people and the associated demands this has placed on available land and basic services in the Windhoek basin. That is why the City of Windhoek is currently looking at alternative and affordable land developments in order to address the land needs of the poor. Close to 60% of the approximately 7 000 new annual migrants to Windhoek settle in the informal settlements. The average size of a household among the informal population ranges from three to four people, and there is an average of 10 700 informal households currently residing in Windhoek. Whilst land is not available, increasing numbers of urban migrants are forced to settle on marginal land. An answer to land ownership for the poor should be found before informal settlement in Windhoek grows beyond manageable proportions (City of Windhoek, 1999).

4.4 THE HUIDARE INFORMAL SETTLEMENT

The HDIS is situated in the enumeration district of Hakahana within the City of Windhoek. Hakahana has a total population of 59 546 of which 33 348 are males. Hakahana is part of the Katutura township which was established in 1959 and means "*the place where we do not want to stay*" (City of Windhoek, 2002:6).

4.4.1 The Huidare self-help group/savings group

A group of people saving money together on a monthly basis in order to be able to purchase/lease land from the City of Windhoek is referred to as a *self-help group* or *savings group*. The group will continue saving in order to upgrade services even after land has been acquired. These savings groups have become major role players in the upgrading and development process in informal settlement areas (City of Windhoek, 2004a:3).

Two types of self-help groups exist within Windhoek. The first group is the Shack Dwellers Federation of Namibia (SDFN) affiliated groups. SDFN affiliated groups function under an umbrella organisation of savings groups. They assist each other in

the development process in terms of saving and accounting principles, layout mapping and the planning and pegging of erven. The independent groups function independently and the Huidare community is such a group (City of Windhoek, 2004a:3).

4.4.2 Time-line history of the Huidare Informal Settlement

In order to understand how the formation of the Huidare community came about, the following issues are highlighted from the report of the City of Windhoek (2004c:1-6).

March 1998

- One of the former leaders of the Huidare community approached the Property Division of the City of Windhoek for the acquisition of land.

April 1998

- A formal application was received for the purchasing of Erf 856, Hakahana, under the name Omkhai Savings and Credit Cooperative.

October 1998

- The sale of Erf 856 Hakahana to Omkhai Savings and Credit Cooperative was approved.
- An agreement to erect a maximum of 167 dwellings on the land concerned, was entered into.

January 1999

- Name change from Omkhai Savings and Credit Cooperative to Omkhai Community Organisation.

July 2000

- The members residing on Erf 856 submitted a complaint against the leadership of Omkhai.
- It was discovered that the Omkhai leadership refused to submit financial statements regarding contributions from between January 1998 and July 2000 to community members.

August 2000

- The financial statements and audit report have still not been submitted by the Omkhai leadership as agreed upon earlier.

September 2000

- Members of the Omkhai Community Organisation staged a demonstration in front of the City of Windhoek Administration and petitioned the City Council to assist them in the dispute they have registered with the leadership of the Omkhai Community Organisation.

- The community members were concerned about their monthly contributions to acquire Erf 856. They were unaware of how the funds they have contributed to the Omkhai Community Organisation on a monthly basis since January 1998 have been applied.

- The community members complained that the Omkhai leadership had failed to produce audited financial statements. When members requested these, the Omkhai leadership threatened them with evictions from the plot.

- The Omkhai leadership was accused of not being transparent regarding the financial contributions.

- The community members were suspicious of the Omkhai leadership and were not certain whether the funds earmarked for the acquisition of land for the landless was correctly applied with regards the intended purpose or not.

October 2000

- The Omkhai leadership still have not submitted any financial reports.

- The community members said that they were no longer prepared to make any further payments towards the Omkhai leadership account.

November 2000

- The dissatisfied members of Omkhai requested the Housing and Properties Division of the City of Windhoek to cancel the deed of sale signed by the former leader of Huidare and the rest of the leadership on behalf of the members of the Omkhai Community Organisation.

- The community members informed the City Council that they were prepared to take over the plot with all its liabilities and assets once the initial Agreements of Sale signed in the name of Omkhai had been cancelled.
- A new agreement was signed and a new formation, known as Huidare, came into being.

4.5　THE IMPORTANCE OF COMMUNICATION IN COMMUNITY PARTICIPATION

One of the goals of community participation is to improve communication between stakeholders in order to facilitate better decision-making and sustainable development (Integrated Environmental Management Information Series, 2002:9). That is why continuous efforts should be made to improve communication and to engage stakeholders in repeated interactions (World Bank, 1996:129). In order to enhance inclusive decision-making by the community, communication processes have to be put in place right from the start of the project. Communities should feel free to transmit their views, wishes and interests in order to participate meaningfully. Effective communication keeps the various role players in contact with each other and can effect a desireable and sustainable result. Poor communication often leads to chaos and uncertainty (Community Participation, 2005:2).

Communication is used to organise activities, plan work and share information. Effective communication is crucial in community participation because it enables people to achieve a mutual purpose. It helps to:

- identify, establish and promote community development principles and goals;
- develop, implement and assess plans;
- coordinate resources, both human and financial;
- lead, direct, motivate and create a climate in which members will collaborate, contribute, and participate toward mutual goals;
- ensure that a range of participants is included; and
- encourage ongoing participation. [website: http://mcaws.gov.bc.ca]

It is essential to create conditions under which a sustaining collaborative dialogue can occur around issues that are important to the members of a community. Planning processes should aim to communicate all proposals to the community, but also to provide meaningful opportunities to respond. Listening to all viewpoints is crucial and all community members should have an equal chance to participate in decision-making as regards the projects (Hibbard and Lurie, 2000:192-194).

It is essential for communities to be fully capacitated and to be able to transmit their views in order for them to participate meaningfully. Right from the beginning of a project – when it is identified by communities, through processes of planning, designing and preparation – up to its eventual implementation, communication processes need to be in place. These processes should ensure that communities have access to a free flow of information and that sufficient community mobilisation for inclusive community decision–making has taken place (Kellerman, 1997:53,59).

4.5.1 Barriers to effective communication

Because people differ, we will use different approaches to solve problems, hold different values, see problems differently and experience the same event differently. These differences can get in the way of effective communication. In order to avoid problems from affecting effective communication, we should try to understand where other parties are coming from and to see things in their terms (Communications Barriers, 2005:1).

Experts may see communities as lacking the knowledge and skills to participate effectively. This is problematic (see Chapter 3). At the same time, communities may feel that technical experts are suspect – this too is unfortunate, because experts who understand their role, can assist in the identification of "win-win" solutions. There are communities who feel powerless and feel that officials will not listen. This is another barrier to effective communication (Communications Barriers, 2005:1).

4.6   WHAT WENT WRONG IN THE HUIDARE INFORMAL SETTLEMENT?

The community members of the HDIS paid the monthly savings contributions to the Omkhai leadership. These community leaders then had to pay the money over to the

City of Windhoek. The money would then be used for capital redemption of the purchase price of the land. The majority of the community members soon realised that the contributions made by them during the period between January 1998 and July 2000 were not fully paid over to the City of Windhoek (Republic of Namibia, 2002:6).

Because the community members paid the monthly contributions to the community leaders of Omkhai and because the Omkhai leadership paid it over to the City of Windhoek, the communication flow of these stakeholders can be illustrated as follows:
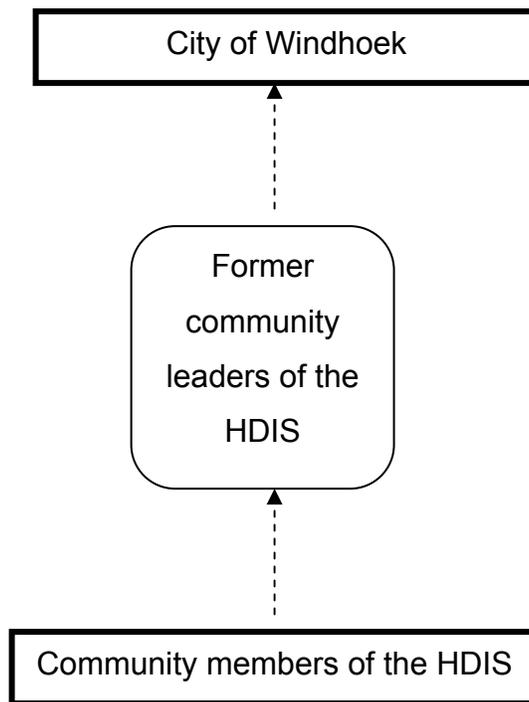
FIG.   5: Communication flow amongst the stakeholders

This graph illustrates top-down communication and can be explained as follows:

- There was a lack of, if any, communication between the community members and the officials of the City of Windhoek, because the community members paid their monthly rental contributions to the Omkhai leadership and the process ended there. Because of this lack of communication between the community

members and the municipal officials, the community members only discovered after two and a half years that they were defrauded by the Omkhai leadership.

- There was a lack of communication – if any communication existed at all – between the municipal officials and the community leaders. For two and a half years the municipal officials were not aware that the former community leaders of Huidare did not pay over the entire monthly contributions made by the community members. This indicates that no follow-up was done from the side of the officials at the City of Windhoek, which therefore constitutes a lack of communication between the former community leaders of Huidare and the municipal officials.

- There was a lack of communication – if any communication existed at all – between the former community leaders of Huidare and its community members. Community members were not kept up to date as regard the total amount of money they saved. This is a clear sign of a lack of communication between themselves and their former community leaders.

A lack of communication between different stakeholders can result in unnecessary misunderstandings. Through effective communication people would be able to share their hopes and fears. There will be fewer misunderstandings and therefore the time spent on dissolving conflicts will be reduced. This lack of communication amongst the above-mentioned stakeholders resulted in the following problems:

- There was a total breakdown of trust between the former community leaders of Huidare and its community members (Republic of Namibia, 2002:9), because the Omkhai leadership was not honest and transparent with their own members.

- There was a waste of resources, as the money was not used for its intended purpose – that is, for the betterment of the community as a whole.

- There was no control over the community leaders to ensure that they had indeed paid in the full amount that was contributed by the community members. In other words, no monitoring system was in place. When the former Huidare leadership were asked to submit to the original membership audited statements for the financial years 1998-1999, 1999-2000, and eventually also for 2000-

2001, they were unable to do so. Another issue of concern was that the Omkhai leadership during May-July 2000 started placing illegal lodgers on the erf, who paid contributions to them, but the contributions made were not paid over to the City of Windhoek in favour of the intended original owners (Republic of Namibia, 2002:6-7).

Swilling (2004:3) states that communities need to participate in the management and maintenance of local projects to ensure sustainability. What happened in the HDIS is a clear indication that this did not happen. Community participation was limited. The community members did not participate in recording the monthly contributions made by them, ensuring that the money was used for its intended purpose. All they did was to pay over their monthly contributions to the former community leaders of Huidare. In the mean-time, the community members were not concerned about representing the demands of ordinary community members. They were more interested in satisfying their own needs, because they used the money for self-enrichment purposes (Republic of Namibia, 2002:1-13).

According to the City of Windhoek (2000:5), "*If one has no information, one cannot take responsibility … If one has all the information, one cannot avoid taking responsibilit*y." This statement contradicts what happened in the HDIS and raises questions. The community members did not have all the information regarding their monthly savings. Is the policy document of the City of Windhoek yet another document to let the people think they are doing all they can to promote effective community participation? It is unfortunate that the benefits that could have been derived from community participation were not taken advantage of in the HDIS. It is clear that in the HDIS, the responsibilities were not shared by all and that there was no collective action – even though collective action is more effective than action taken by isolated individuals (Chinemana, 1992:38).

4.7   ALTERNATIVE COMMUNICATION MODEL FOR THE HUIDARE INFORMAL SETTLEMENT

Establishing community bonding cannot happen overnight; it will take time. This is because people might have to learn skills that will help them to take joint action and to respect each other, regardless of their differences, in other words, capacity-building will take time.

Against the above background, the following preferred model has been developed to illustrate how communication between the City of Windhoek, the community leaders of Huidare and its community members should take place.
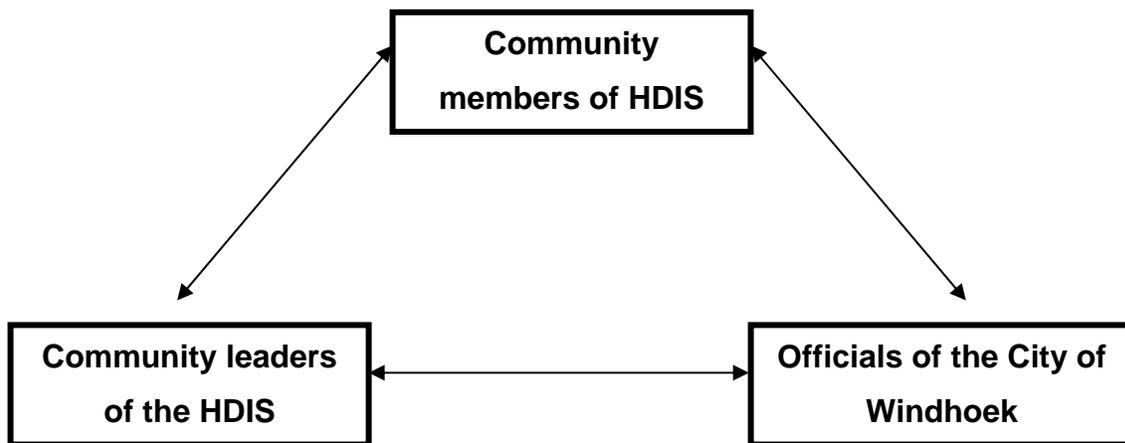
FIG.   6: Preferred communication flow model for the municipal officials, community leaders and community members of the HDIS

The diagram shows the preferred model for communication flow between the community members and leaders of Huidare as well as the municipal officials. All these stakeholders should continuously have been aware of how the monthly savings of the community were progressing.   There should be constant interaction between the different stakeholders, and feedback should be provided on a regular basis as previously determined.   In the case of the HDIS, it was the responsibility of all the community members to ensure that the monthly savings did not disappear.

Furthermore, the beneficiaries should have taken action to ensure that the project went according to plan.

Community members should participate in setting the goals of a project affecting them. The community members should decide what they want and should participate fully in the implementation of any decisions taken. This means that they should be given an opportunity to do so because, as stated earlier, that is their democratic right (Theron, 2005b:111-132).

In order for stakeholders to be able to work together, trust-building is important. According to Chinemana (1992:44), *"… to trust people is to have confidence in them, to be able to rely on them, to feel at ease with them. Trust is essential in building a strong group, as without trust members of a group cannot work together well."* Trust, which is a form of social capital, can facilitate cooperation and can ensure the attainment of goals that could not otherwise be achieved. Social capital refers to those features of social organisation such as norms, networks and trust that can improve the efficiency of society by facilitating coordinated actions. Social capital in this sense refers to both relationships and networks within specific localities and relationships that extend beyond or between communities (Emmett, 2000:8-9).

Rocha (1997:32) defines *power* as the ability to affect the behaviour of another. In other words, power is the ability to prompt a person to do something he/she would not otherwise do. Different stakeholders have different roles and agendas in a development project. That is one reason why power relations are complex, from household level right up to the state. The process of community participation is influenced by the way power is shared by the different sets of stakeholders in projects (Few, 2000:402, 420). For this reason, power relations should be taken into account when dealing with community participation.

4.8   PARTICIPATORY MONITORING AND EVALUATION
Monitoring and evaluation of projects is a challenge, but cannot be ignored if ongoing learning is to be effective. It is important to negotiate indicators with various

stakeholders, and there is much to be learnt from existing work on participatory monitoring and evaluation. At the same time, it is crucial to avoid undue complexity, spending too much time and/or money on monitoring and requiring project-level staff to take responsibility for outcomes that are well beyond control. In the long run, this will be counter-productive (Ashley and Carney, 1999:42).

Participatory Monitoring and Evaluation (PME) requires stakeholders to participate in deciding how project progress should be measured and how results should be acted on. This can create a clearer picture of what is really happening on the ground and may include the perspectives of various groups, including women and the disabled. With PME, people share successes and learn from each other. People are put in charge, which is one of the reasons why PME is empowering (Community Participation, 2005).

PME helps people to develop their capacity by enabling them to identify and solve their problems. In other words, PME helps people to become self-reliant. PME is a way of checking why group objectives are being achieved. It can assist in producing timely and relevant information for decision-making and results in improved programme performance. Local knowledge is utilised more effectively and the skills and confidence of the people to manage programmes is enhanced (Communications Barriers, 2005:1-2).

PME increases the accountability of all people and helps them to design ways to resolve conflicting views and interests.   This can lead to successful community development projects. Project management improves with PME and it helps people to understand each other's perspectives and values (Community Participation, 2005:2-7).

Development funders usually conduct monitoring projects to ascertain the impact of their investments on communities in the longer term, which ensures ongoing feasibility of a project. Organisations whose priority it is to promote development, need to be learning organisations (Kellerman, 1997:56).

4.8.1   Participatory monitoring and evaluation in the Huidare Informal Settlement

The community members of the Huidare community need to realise that all of them are responsible for ensuring that no more money disappears. All of them can benefit by taking joint responsibility.   There should be a sense of caring about the project and there should be joint participation in order for the project to be sustainable.

The stakeholders should try to reach a common understanding and they should identify the problems they have with regard to the monthly savings contribution.   Power relations play an important role and people should be willing to learn from each other, especially when it comes to monitoring and evaluation of the projects. At the same time, they should reflect on what went wrong in the past and why it went wrong.

Stakeholders can derive various benefits by making use of PME. For example, the community members of the HDIS, who participate in PME, will have an opportunity to present the information with regard to the total money saved by the community, to the rest of the community members. This will enhance their presentation and verbal skills. The community members will gain bookkeeping skills by keeping a record of the total money saved by the Huidare community. These skills will build the people's capacity and can enhance the opportunity of securing permanent employment in the job market.

Organisations should have the attitude and the capability of a learning organisation if they are serious about promoting effective community participation. Not only should the organisation have the capacity for responsive and anticipatory adaptation, but at the same time, it should embrace error, plan with the people and link knowledge-building with action. Project managers should facilitate rather than control the interaction of individuals and groups who have resources, knowledge and experience. Skilled people are needed who can act as catalysts (De Beer and Swanepoel, 1998:50-53).

4.9   CONCLUSION

When people understand the essence of community participation, their attitudes and behaviour can change. This means that they can be encouraged to participate in, for example, developmental projects and policy-formulation because they will understand

the importance of doing so. That way, relationships amongst stakeholders can be built upon, and in the process, trust, leading to the accommodation of the building blocks of development previously discussed.

Community members should not be isolated from decisions that affect their own lives. When isolated from such decisions, communication, community participation, networking and trust amongst the stakeholders will be negatively affected. The municipal officials and the community leaders of Huidare need to support the community members with transparent information with regard to their monthly savings. By providing the necessary information to the community members of Huidare, communication amongst the different stakeholders can be improved.

Stakeholders should be exposed to the ethical, theoretical, practical as well as policy implications for community participation. These issues are covered internationally by the Manila Declaration; the African Charter for Popular Participation in Development and Transformation; the UN Agenda 21 on Sustainable Development; the World Summit for Social Development; the Batho Pele Principles for South Africa and the UN Millenium Development goals (Davids, Theron and Maphunye, 2005:appendices 1-6, 203-237).

Stakeholders need to be committed to make a project work, which includes ensuring that there are proper communication channels. In order to empower community members, innovative information and communication technologies should be used so that people are aware of their rights. Systems should be put in place to monitor and evaluate the performance of the project.

The community members of the Huidare community should feel free to give their opinions, suggestions and criticisms. At the same time, they need to know what different policies, laws and regulations say about community participation. The media can play a critical role by informing communities about the role of community participation in sustainable development.

The municipal officials, the community members of Huidare and the leaders of HDIS, need to be willing to learn from each other. The City of Windhoek should ensure that their staff are trained to deal with situations, such as the case in Huidare. In other words, the City of Windhoek should have the capacity to do so. The Huidare community and the affected stakeholders should sit together and ask themselves what the causes were of the money being defrauded so that they are aware of it and do not repeat the same mistakes in the future. This process, if planned and managed well, will ensure that the building blocks of development, that is community participation → a social learning process → capacity-building → empowerment, will lead towards sustainable development at the Huidare Informal Settlement (Meyer and Theron, 2000:1-6; Theron, 2005b:111-132).

Chapter 5 will present the major research findings after which chapter 6 will finally present the conclusion and recommendations of the study.

CHAPTER FIVE

RESEARCH FINDINGS AND THE STRATEGIC AND POLICY PROPOSALS FOR IMPROVING COMMUNITY PARTICIPATION IN THE HUIDARE INFORMAL SETTLEMENT

5.1 INTRODUCTION

Every stakeholder engaged in community development will face challenges with regard to community participation. It is important that stakeholders acknowledge these challenges and do everything in their capacity to overcome them. Identifying the causes of these challenges is important in this regard. Not only should stakeholders be able to recognise the mistakes made in the past and try to eliminate them, but they should also make sure that the same mistakes are not repeated in the future.

As stated in Chapter 1, the following criteria were used to test the hypothesis:

- Very meaningful community participation 80–100%
- Generally meaningful community participation 65–79%
- Meaningful community participation 50–64%
- Less meaningful community participation 21–49%
- Very low community participation 10–20%

The percentages indicate to what extent the community members of the HDIS participate in issues affecting the community and its members today despite the breach of trust between the previous community leaders and its current community members.

5.2 ANALYSIS OF THE COMMUNITY MEMBERS' RESPONSES

Refer to Annexures A and B for the interview questions.

Question 1:   *Home language of the respondents*

LANGUAGE	NUMBER OF PEOPLE
Afrikaans	3
English	None
Damara/Nama	26
Herero	None
Oshiwambo	None
Other	1

Twenty-six of the thirty home owners stated that their home language is Damara/Nama.

Question 2:   *Age*

AGE	NUMBER OF PEOPLE
18-21	None
22-35	6
36-50	21
51-75	3

The majority of the home owners in the HDIS are in the age category of 36-50. None of the home owners interviewed were in the 18-21 category.

Question 3:   *Educational qualification*

LEVEL OF EDUCATION	NUMBER OF PEOPLE
No education at all	7
Primary education	3

Grade 8–10	20
Grade 11–12	None
Under-graduate	None
Graduate	None
Post-graduate	None

Question 4: *Respondents participating in community meetings*

10%

90%

Respondents participating

Respondents not participating
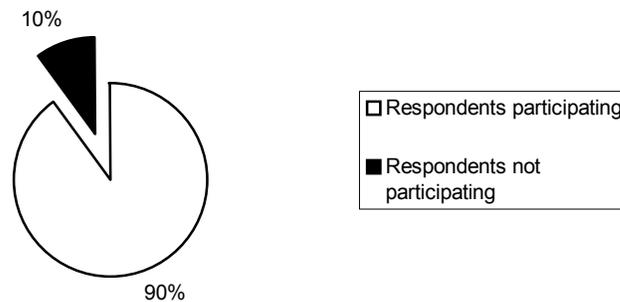
Twenty-seven of the home owners (90%) interviewed participate in community meetings. The rest do not participate for reasons mentioned below.

Question 4.1: *Reasons respondents do not participate*

The home owners who do not participate in the community meetings stated that they do not have the time to participate. Another reason for them not participating, is that people argue at the community meetings and they had the impression that the community leaders start to dislike them if they raise their voices on issues affecting them.

Question 5: *Payment of the monthly savings*

10%

90%

□ Paying the monthly savings

■ Not paying the monthly savings
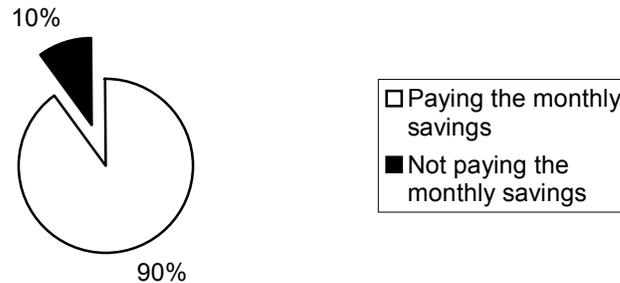
Ninety percent of the respondents stated that, despite what the Omkhai leadership did, they still pay the monthly savings installments. The rest do not pay the monthly installments.

Question 5.1:   *Reasons given by the home owners who contribute to the monthly savings:*

- They know that they will benefit by paying the monthly savings contributions as regards the project because they know they are eventually going to possess their own houses, which will be an asset to them.
- They said that they were thinking of their children and did not want them to live on the streets.
- The community as a whole benefits because the community is developed.

The following are the reasons given by the home owners who do not pay the monthly savings:

- They do not have a source of income.
- These community members alleged that they had never been told how much money the community members have contributed as a whole. They felt that the committee members are not transparent with regard the monthly savings of the community. They further argued that it is very difficult, if at all possible, to obtain

such information. They are not sure whether the leaders will not do the same as Omkhai did.

Question 6: *Election of the Huidare community leaders*

Only three respondents interviewed said that they did not know how this took place.

Question 6.1: *Respondents who participated in the election of the Huidare leadership*

17%

83%

Yes
No
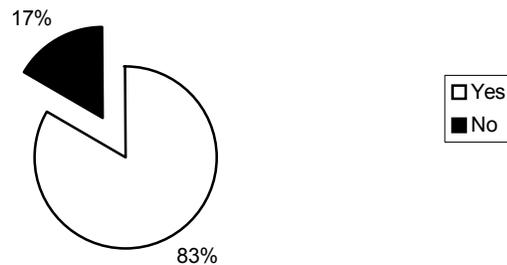
Eighty-three percent of the home owners participated in the election of the community leaders.

Question 7: R*espondents participating in project identification*

17%

83%

☐ Yes
■ No
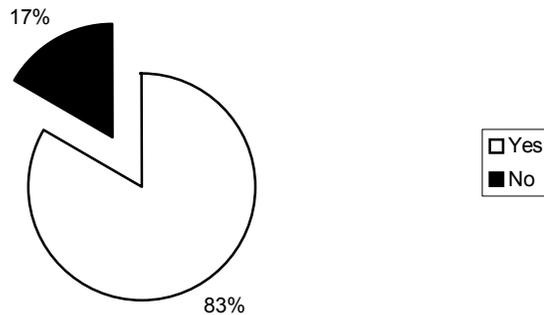
Twenty-five (83%) of the respondents stated that they would participate in meetings where projects are identified.

Question 7.1: *Reasons for not participating in project-identification meetings*

- The home owners stated that they do not know when the meetings were held.
- They did not have the time to attend such meetings.
- They are not interested in attending these meetings.
- There were no such meetings.

Question 8: *Mechanisms that can be used to encourage community members of the HDIS to participate*

The following are the combined reasons given by the respondents:

- The community leaders should let members know beforehand what the meeting is about and need to put more effort into raising awareness with regard to the time these meetings take place. In other words, effective communication amongst the community members and the community leaders should be encouraged.

- The community members felt that they had to see development taking place in the community. This will act as a motivating factor and they will see and know

that their money is not being misspent. The pace at which the houses are currently being built, is too slow.

- People do not listen to each other at the meetings, but fight and do not reach consensus. Something should be done to build the relationships amongst the community members.

Question 9: *The extent to which the community members decided about arrangements with regard to how the monthly savings payments should take place*

- Twenty-three respondents said that they had a meeting and decided to give the monthly savings to the community leaders.
- Three respondents said that the City of Windhoek commanded them to pay the money over to the community leaders.
- Three respondents said that, although they preferred not to pay any money to the community leaders, they just had to do so because that is what the majority of the community members wanted.
- One respondent said that she did not participate because she was not interested to do so.

Question 10: *Willingness of community members to assist one another in the building of houses*

33%

67%

□ Yes
■ No
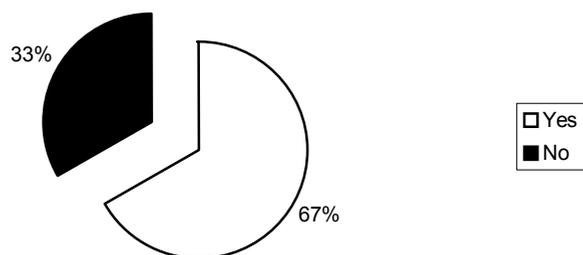
Sixty-seven percent of the home owners were prepared to assist other community members in building their houses.

Question 10.1: *Reasons for willingness or unwillingness to assist neighbours in the building of houses*

The following reasons were highlighted as to why the community members feel that they should help one another:

- The community members emphasised the importance of working in a team rather than working in isolation. They realised that as a group, they should support one another, and the Afrikaans expression "*Die een hand was die ander"* was a slogan commonly used by the community members.

The community members who were not willing to help other neighbours to built their houses said that they were not interested in doing so because they have a lack of information as regards the financial matters of the community.

Question 11: *To establish whether the City of Windhoek encouraged the community members to continue making their monthly savings despite what the Omkhai leadership did*

20%

80%

☐ Yes
■ No
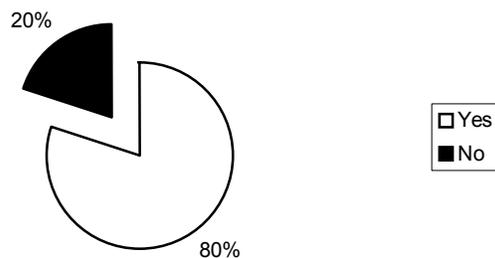
Eighty percent of the respondents said that the City of Windhoek encouraged them to continue making their monthly payments despite what the Omkhai leadership did.

Question 11.1: *What the City of Windhoek did to encourage the community members to continue paying*

The municipal officials continued to highlight to the community members the importance of contributing to the monthly savings. They were told that they would eventually be the owners of the erven on which their houses are to be built.

Question 12: *Access to the financial information of the community members*
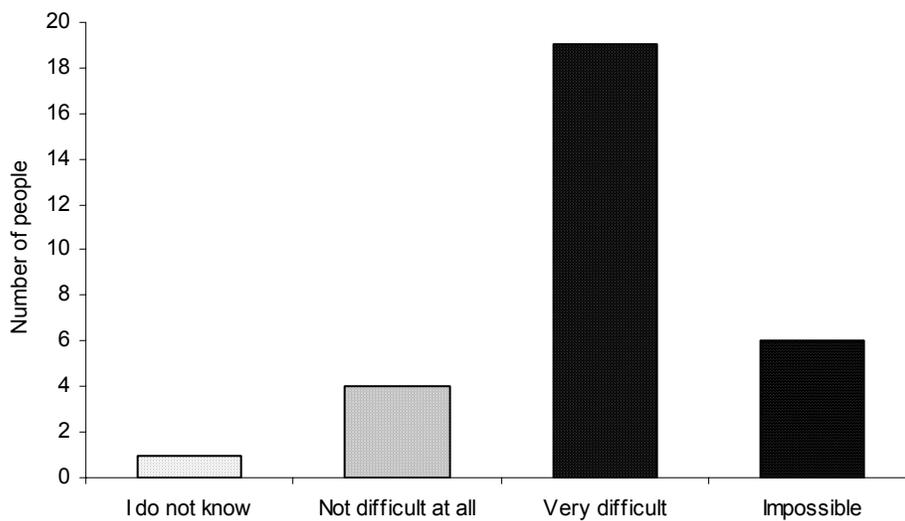
As can be seen from the graph, a total of nineteen respondents said that it would be very difficult or even impossible to gain access to information regarding the financial contributions of the community. One person felt that he did not know whether it would be difficult or not.

Question 13: *The extent to which community members trust one another*
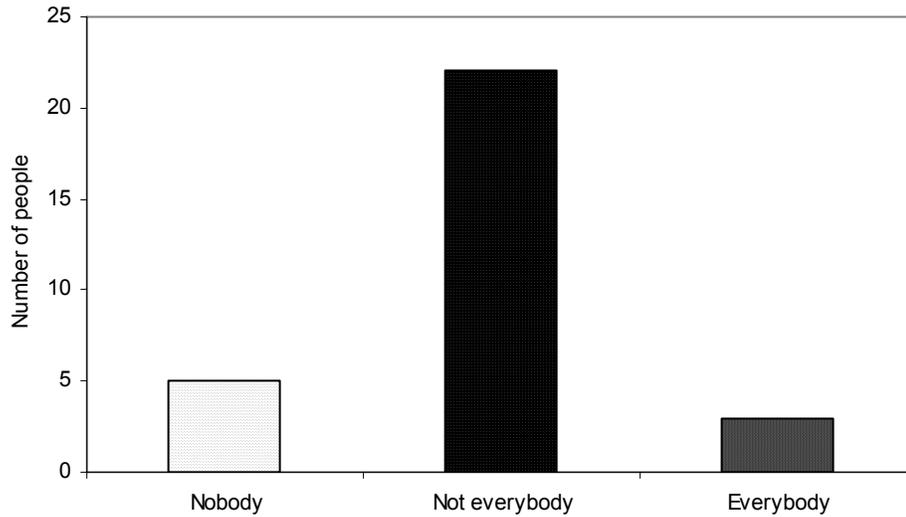
Two home owners interviewed said that they trust everybody in the community.

Question 14: *How community members regard community participation in the HDIS*

The community members said that in order to be up to date with what is going on in the community, it is important to participate in issues affecting them and their community. They stated that, although the community members have a problem working together, community participation is still essential because only when the whole community participates, can the goals of the community be achieved. The community can only develop when people work together.

Question 15: *What the City of Windhoek could have done to prevent the Omkhai leadership from abusing the money*

The City of Windhoek should have:
- given the community members the authority to pay their monthly contributions at the municipal offices;

- done its part to keep the community members up to date with regard to the financial affairs of the community by making a monthly financial report available to the community members;
- should not have discussed the financial affairs of the community with the Omkhai leaders only. The municipal officials should have discussed it with the community members as well; and
- should have intervened with regard to the financial affairs of the community as early as possible, and should not have waited to hear complaints. They should have played a role in acting as a "watchdog" with regard to the finances of the community.

Question 16: *What the current leadership can do to ensure that trust between them and the community members is enhanced and/or maintainted*

The community leaders should:
- be transparent with regard to the financial affairs of the community;
- be honest;
- make a financial statement available to the community members at the end of each month;
- focus on building relationships amongst themselves and the community members so that the people can raise their voices at meetings without any fighting; and
- let the community choose additional people within the community who can monitor the financial matters of the community. It is not only the community leaders who should have the authority to monitor the financial affairs of the community.

Question 17: *What the community members themselves could have done to prevent what the Omkhai leadership did to them*

The community members felt that they should:

- not have been too relaxed with regard to the monthly savings made by the community members. They should have been paying attention at all times;

- not have waited so long before raising their voices after suspecting something was wrong; and

- have paid their monthly contributions from the beginning at the offices of the City of Windhoek.

Question 18:   *What the community members learned from what the Omkhai leadership did*

The respondents stated that working together as a team is very important when it comes to community participation. The community members felt that it is not good to be passive when it comes to community participation. One should be active from the start. In other words, one should always be aware of what is going on in the community.

5.3   ANALYSIS OF THE MUNICIPAL OFFICIALS' RESPONSES

Question 1:   *Defining community participation*

The municipal officials all gave different definitions of how they see community participation. The following are the issues that were highlighted from the definitions:
- community participation is a process;
- it includes all subsections of a particular geographical area;
- it takes into account the local demographics and the socio-economy; and
- one of its ultimate goals is to empower the community and the society at large and to make people self-reliant.

Question 2:   *How the rate of payment has been affected after the breach of trust between the Omkhai leadership and the community members*

After the community members of Huidare discovered that the Omkhai leadership was misspending the money, they were reluctant to pay their monthly savings unless a new leadership was chosen. With the formation of the Huidare community and leadership, the community members were encouraged to continue making their payments despite what had happened. It was explained to them that they were doing it for their own benefit and that they should think of the future. The conclusion that could be reached was that the rate of payments was not affected because community members continued to make their payments despite what the previous Omkhai leadership did.

Question 3: *Community members' participation with regard to the decision-making as to how the payments should be done*

The community members held meetings and they agreed that they would pay the money to the committee members.

Question 4: *Problems experienced regarding community participation after the breach of trust between the Omkhai leadership and its community members*

All municipal officials said that they were not aware of any problems. If there were any problems, these were not formally lodged.

Question 5: *The extent to which the City of Windhoek will be participating with regard to the building of the houses*

The City of Windhoek will:
- administrate the housing loan funds;
- approve building plans;
- ensure that the money is spent on the actual building of the houses; and
- prepare the bill of quantities.

The community members of Huidare themselves would be responsible for the drafting of building plans and appointment of building contractors.

Question 6:   *What the municipal officials could have done to prevent what the Omkhai leadership did to the community members*

- the City of Windhoek could have facilitated training workshops to teach the Omkhai leadership basic leadership and community management skills;
- the broader community should have been made aware of what their rights and responsibilities were;
- the broader community should have been participating in drafting their constitution;
- clear communication channels should have been established between the City of Windhoek and the Huidare community so that people would have known where to go when they had problems; and
- the City of Windhoek could have mediated earlier to solve problems.

Question 7:   *How the City of Windhoek plans to maintain/enhance trust between itself and the community members of the Huidare community*

The City of Windhoek aims to be transparent in all aspects. Close cooperation between itself and the community is crucial. The City of Windhoek will aim to be responsive to the community needs of Huidare.

Question 8:   *What the municipal officials had learnt from what the Omkhai leadership did*

- the broader community has still not realised that their needs and voices should be heard;
- the democratisation of planning in Namibia is still in its infancy stages;
- more should be done to build capacity in community-based organisations; and

- channels need to be put in place to resolve conflict.

5.4 HYPOTHESIS RESULT

The aim of questions 4 to10.1 in the interview schedule for the Huidare community (refer to Annexure A) is to assess to what extent the community members participate currently despite the breach of trust between themselves and the community leaders four years ago.

QUESTION	PERCENTAGE	TYPE OF COMMUNITY PARTICIPATION
4	90% participate in community meetings	Very meaningful
5	90% pay their monthly savings	Very meaningful
6.1	83% participated in leadership election	Very meaningful
7	83% participate in project identification	Very meaningful
9	97% participated in deciding how payments should be done	Very meaningful
10	67% are willing to assist their neighbours in building their houses	Generally meaningful

TABLE   1: Number of people participating in community affairs

Average:

90 + 90 + 83 + 83 + 97 + 67
              6

= 510
   6

= 80% = very meaningful community participation.

In additional to this, is the fact that the rate of payment by the community members of Huidare has not been affected after the breach of trust four years ago (see Annexure B).

The conclusion is that there is very meaningful community participation in the HDIS. The hypothesis, as stated in Chapter 1, read as follows: *The breach of trust between the previous community leaders of the HDIS and its current community members has an effect on community participation in issues affecting them and their community today.*

The hypothesis tested false because there is very meaningful community participation even after what the Omkhai leadership did. The breach of trust between the previous community leaders and its current community members has no effect on community participation in issues affecting them and their community today.

5.5   COMMENTS REGARDING PARTICIPATORY OBSERVATION

➢ **People relationships within the Huidare community**

The respondents complained about quarrels at meetings and the fact that the community members do not listen to each other. They stressed that they do not feel that they can raise their voices freely because if they say something, community members might change their attitude towards them. Respondents raised the issue of respect and stated that there are still community members who do not respect each other.

➢ **Other threats faced by the community members that keep them from participating**

Apart from the continuous quarrels at meetings, the fact that the leadership is not, up to this date, transparent with the financial matters of the community, is a threat keeping the community from participating. Other community members stated that they have raised their voices regarding issues with which they are unsatisfied repeatedly with the community leaders, but it seems that their pleas are falling on deaf ears. This threatens community participation because it causes community members to become discouraged.

The community members are still not happy with the way the payments are made although they continue to make the payments. The money is paid over to the

community leaders and the community leaders then have to pay it over to the City of Windhoek. The community members of Huidare would have preferred to pay it over directly to the City of Windhoek. They have raised this issue before, but to this date they still do not understand why this cannot be done. This indicates a communication gap between the City of Windhoek and the community members of Huidare. The community members do not get monthly financial statements to monitor the finances of the community. This threatens community participation because the community members feel that they do not know where they stand with regards their finances and the development of the community as a whole.

➢ **The possibility of members having a direct stake in the project**

The community members all mentioned the importance of continuing to make the payments. They realised that it is risky continuing to pay, but said that they just have to continue paying because they do not know when things are going to change for the better. They also feel that they want homes that they may call their own. Despite the obstacles faced, the community members continue to pay.

➢ **Opportunities for skills development in the community**

The community leaders stated that they want to participate in handling the finances of the community. For example, they would not mind being given the opportunity to present the financial data to the community. This would enhance their presentation skills, while at the same time they would learn to do the books of the community. This, they say, would contribute to building trust and cooperation amongst the community members of Huidare. However, according to them, nothing is happening in the community.

At times, the community members spoke with a tone of discouragement and at other times, with a tone of frustration and anger. The community members of Huidare have to sort themselves out first in terms of relationship-building, cooperation and trust. They have to realise the importance of doing so, otherwise they will never be able to work together as a team for the collective betterment of the community. Communication channels within the community itself and the issue of transparency on the side of the

community leaders are other important issues that cannot be ignored and that need to be addressed as soon as possible.

Because the Huidare community is registered at the City of Windhoek as a group, the pace at which the community develops is affected by the rate of payment by all the community members. This is discouraging to other community members who continued to pay regularly. Another issue raised by the respondents, is that the people who are not paying, cannot be blamed for not paying. These people are not paying because they are not sure as to what is happening with their money.

The people stressed that they wanted the entire community to participate in checking the finances of the community. At the moment this is not the case and a major constraint to community participation in the Huidare community. The respondents stressed the point that they do not want to be a group anymore. They want to privatise the erven but none of them could explain as to what the reasons are why they cannot privatise. Once again, this illustrates a lack of communication between the different stakeholders.

5.6   STRATEGIC AND POLICY PROPOSALS

The City of Windhoek (2000:5-7) highlights that if one has all the information, one cannot avoid taking responsibility. It is further highlighted that poor performances and misunderstandings are based on a lack of information. This statement is contradictory to what has happened in the Huidare community. What did the City of Windhoek do to ensure that the community members of Huidare have all the information with regard to their monthly savings only to find out after two and a half years that their money was misspent by their former community leaders? Surely the community members did not have all the information. This indicates that what is written on paper is not always what is put into practice. Another question that needs to be raised is how trust can be build between the different stakeholders if the community members do not have all the information. This remains a major challenge, not only for the City of Windhoek, but for all institutions who stress the principle of participation.

A programme should be initiated that will encourage the City of Windhoek, community leaders and community members of Huidare to work together. This is crucial because the community members of Huidare should focus on establishing good people relationships amongst themselves before any other stakeholder can establish good relations with them. This calls for a partnership-in-planning approach.

Terms should be defined in the policy document in order to make the policy document understandable, and a strategic plan should be identified as to how the goals are going to be reached. Strengthening the capacity of local authorities to develop strategies and policies is crucial. The design and implementation of programmes to strengthen local authorities should take cognisance of the existing initiatives and experiences both at local authority level and at umbrella body levels. Methods and approaches can be employed in getting external stakeholders to participate in policy-making, planning, implementation and monitoring. Partnerships with the different stakeholders should be encouraged. One way of doing this, is making sure that there is proper communication between the different stakeholders.

Ways should be found in order for the community members to monitor, without any difficulties, the progress of the community's financial statements with regard to the monthly savings. In other words, the money issue in the Huidare community should be made transparent. There should be effective monitoring techniques to ensure that no more money disappears in the future and that community members feel secure about their finances. The security people have about their finances could act as a motivating factor to help build trust in the community and to encourage community participation (see Batho Pele Principles) (Davids, Theron and Maphunye, 2005:234).

The City of Windhoek should integrate the issue of women's participation in their policy documents. The municipal officials could discuss the benefits of female participation and make the commitment to work towards this goal. Removing these constraints is important because equity in distribution of development benefits is a fundamental principle. Motivation from the part of the municipal officials is important in this regard. At the same time, the City of Windhoek should foster partnerships with external

stakeholders. Knowledge could be shared and skills contributed when people work together (see IDP in South Africa) (Theron, 2005c:133-147). Being honest and open about issues is crucial in ensuring meaningful community participation. This is why stakeholders need to develop a trusting and open relationship with other stakeholders. Stakeholders should know that they can approach each other at any time without feeling scared and uncomfortable. Open communication should be encouraged at all levels.

5.7   CONCLUSION

The role of Government regarding the issues highlighted above, should not be forgotten. Because Government is responsible towards all people, it should play a role in contributing financially to help solve the challenges regarding community participation faced by institutions such as the City of Windhoek.

The policy documents of the City of Windhoek require urgent revision as regards the gaps identified by this study. The policy documents should be understandable and as detailed as possible in order to avoid unnecessary misunderstanding and for the municipal officials to know what their responsibilities are with regards to community participation. This means that the municipal officials will have to identify the challenges they face regarding community participation and find solutions to these problems. They should ensure that there is legislation pertaining to the issues raised, while at the same time being pro-active in dealing with the challenges of community participation.

Of particular value in this regard, as Theron and Wetmore (2005:151-166) explain, is that local government officials should be exposed to social research methodology. Local government officials often do not fully understand the social context and reality of communities in which they have to intervene as change agents. A true planning partnership between planners and community beneficiaries can only be established if officials/planners are well trained in, for example, community development principles (De Beer and Swanepoel, 1998:17-32).

It is clear that there is room for improvement for the municipal officials and the community members and leaders of the HDIS. Interventions in these areas, whether it is enhancing people relationships between the different stakeholders or improving upon their communication, would require time and resources to impact successfully. The researcher stresses that partnership in community participation is important because taking one partner along, while leaving the others behind, may create problems. There is always room for improvement.

CHAPTER SIX

CONCLUSIONS AND RECOMMENDATIONS

We should value community participation and not approach it as something we have to do. The final outcome of any project should represent a balance of all views and interests. This means that when it comes to community participation, stakeholders should be willing to compromise and negotiate. In the case of the Huidare community, it can be said that there are community members who are trying to avoid conflict by not saying all they have to say at the meetings. This should not be the case as conflict should not be avoided when it comes to community participation. Discussions should take place, and in the process the stakeholders should have a common vision, but other people's views should also be appreciated.

The City of Windhoek should not act as an "outsider" and assume that it has nothing to do with what is going on in the Huidare community. It needs to intervene in the sense that it should make sure that it is part of introducing a monitoring and evaluation system so that the community members of Huidare are no longer defrauded. These interventions require time from all the stakeholders and the necessary resources. Stakeholders should ensure that they understand each other and listen to each other. In other words, they need to communicate the information as regards the monthly savings in such a way that it is not confusing and conflicting. Stakeholders should not get discouraged. They should rather look at ways to expand community participation continually so as to ensure maximum contribution to sustainable development.

A holistic approach to development at the local, national and international levels should be followed to tackle the challenges of community participation. At the same time there should be continual enhancement of the recognition and promotion of the community. The recognition and mobilisation of the potential of all stakeholders and the people themselves, can make a significant contribution to achieving effective community participation.

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ANNEXURES

ANNEXURE A

INTERVIEW SCHEDULE FOR THE HUIDARE INFORMAL SETTLEMENT

Complete questionnaire by:

 i.Marking with a cross in the space provided,

ii.Filling in the required information in the space provided

Objective: To get a general background of the community.

1.   What is your home language?

Afrikaans   ☐

English   ☐

Damara/Nama   ☐

Herero   ☐

Oshiwambo   ☐

Other   ☐

2.   Age.

18-21   ☐

22-35   ☐

36-50   ☐

51-75   ☐

3.   Educational Qualification.

No Education at all   ☐

Primary Education   ☐

Grade 8 – Grade 10   ☐

Grade 11 – Grade 12   ☐

Under Graduate   ☐

Graduate   ☐

Post Graduate   ☐

Objective: To assess to what extent the community members participate currently despite the breach of trust between them and the former community leaders four years ago.

4.   Do you participate in community meetings?

Yes   ☐

No   ☐

4.1   If not, give a reason for your answer.

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5.   Do you still pay the monthly savings after what the Omkhai leadership did?

Yes   ☐
No   ☐

5.1   Give a reason for your answer.

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6.   How was the current community leaders elected in this community?

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6.1   Were you participating in their election?

Yes   ☐

No   ☐

7.   Would you participate in meetings where projects are identified?

Yes   ☐

No   ☐

7.1   If not, give a reason for your answer.

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8.   What mechanisms could be used to motivate you to participate in meetings where issues affecting you and the community are discussed?

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9.   To what extent have you been participating in deciding the arrangements of how the payments should be done after what the Omkhai leadership did to you?

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10.   Will you be willing to assist any person in the HDIS to build his/her house?

Yes   ☐

No   ☐

10.1   Why would you be willing/not willing to assist your neighbour to build the house once he/she qualifies to build a house?

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Objective: To establish what role the City of Windhoek played in encouraging the community members to continue making their monthly savings despite what the Omkhai leadership did.

11.   Did the City of WIndhoek do any effort to encourage you to continue paying despite what the Omkhai leadership did?

Yes   ☐
No   ☐

11.1   If yes, what did the municipality do?

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Objective: To establish to what extent the community members have access to information regarding their monthly savings.

12.   If you wanted to know how much has been contributed by the community so far, would it be difficult to gain such information?

I do not know   ☐
Not difficult at all   ☐
Very difficult   ☐
Impossible   ☐

Objective: To establish to what extent community members trust one another.

13. Do you trust each other in this community?

Nobody ☐

Not everybody ☐

Everybody ☐

Objective: To establish how community members regard community participation.

14. What do you think about community participation?

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Objective: To establish what the City of Windhoek and other institutions involved with community development can learn from this study.

15. What do you think the City of Windhoek could have done to prevent the Omkhai leadership from abusing the finances?

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16. What should the current community leaders do to ensure that trust between its community members is enhanced and/or maintained?

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17. **What do you think could have been done by you, as a community member, to prevent what the Omkhai leadership has done?**

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18. **What have you learned from what the Omkhai leadership did to you?**

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ANNEXURE B

INTERVIEW SCHEDULE FOR THE MUNICIPAL OFFICIALS

Complete questionnaire by:

    i.   Marking with a cross in the space provided,

    ii.   Filling in the required information in the space provided

1. How would you define community participation?

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2. How has the rate of payment been affected after the breach of trust between the community leaders of Omkhai and its community members?

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3. To what extent has the community been participating with regard to decision - making as to how payments should be made after what happened to the community members of Huidare four years ago?

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4. **Are there any problems that have been experienced regarding community participation after the breach of trust between the Omkhai leadership and its community members four years ago?**

Yes ☐

No ☐

4.1 If yes, what problems?

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5. With regard to the building of the houses, to what extent will the municipal officials be participating?

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6. What could the municipal officials have done to prevent what the Omkhai leaders did to its community members?

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7. How do the officials of the municipality plan to maintain/enhance trust between the City of Windhoek and the community members of Huidare?

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8. What have you learned from what the Omkhai leadership did to the Huidare community?

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