

WINNIE MADIKIZELA-MANDELA LOCAL MUNICIPALITY



INSTITUTIONAL AND SOCIAL DEVELOPMENT (ISD) POLICY

PROJECT MANAGEMENT UNIT

2021/2022 FINANCIAL YEAR

Prepared by: ENGINEERING SERVICES DEPARTMENT

Adopted by the Council on: 13 May 2022

1. PREAMBLE

Municipalities are under tremendous pressure to address service delivery backlogs and service delivery deficiencies. Municipalities and other institutions responsible for service delivery still face great challenges in meeting the needs of the people. Although much has been achieved since the advent of democracy, we are still faced with past backlogs and problems that emanated from the apartheid political system. Poverty, inequality, high unemployment and service delivery deficiencies characterize the current socioeconomic status of many South African municipalities such as with the case of our local municipality; Winnie Madikizela-Mandela Local Municipality is not immune from challenges ranging from unsustainable projects, theft of projects materials during implementation and lack thereof of monitoring and evaluation.

Winnie Madikizela-Mandela Local Municipality is committed to ensuring maximum stakeholder participation in socio-economic development of its citizens and accepts the responsibilities assigned to it in terms **The Local Government: Municipal Systems Act 32 of 2000, Chapter 4 (17) (2e)** which provides for a municipality to establish appropriate mechanisms, processes and procedures to enable the local community to participate in the affairs of the municipality, and also report back to the local community.

2. PURPOSE

The mandate of Eastern Cape Local Government and Traditional Affairs Department is to ensure that local government systems are able to respond to the needs of the citizens. Therefore, the Municipal Infrastructure Services (MIS) component has developed a framework to advance community participation in the delivery of services and to give guidance to municipalities and other institutions on how to promote community participation in development programs in order to ensure that they are sustainable.

The Eastern Cape Local Government and Traditional Affairs department has learnt that too often projects are rushed to ensure that expenditure is made and this compromises the quality of the project. Social facilitation, which is an important element to quality projects, is unfortunately often seen as a waste of time by municipalities. Very often projects are managed by technical implementing agents and the ISD component is secondary. ISD is seen as something to be added on to meet conditions set by the funder, rather than a core focus of the projects.

The purpose of this guide is to provide common approach to community participation, guide development institutions on community involvement, and institutionalise ISD as the concept and process; to have clear ISD functions, to ensure community empowerment. It is meant for ISD practitioners, both those working in government and "social consultants". The overall objective of ISD is to achieve sustainable services provision.

3. APPLICATION

This guide is precisely intended for:

All Social Facilitators and development practitioners employed by Winnie Madikizela-Mandela Local Municipality.

All Social Consultants appointed by Winnie Madikizela-Mandela Local Municipality.

All ISD practitioners/Social Facilitators employed by Winnie Madikizela-Mandela Local Municipality.

All Stakeholders including Sector departments involved in community development and infrastructure development developmental programmes and all role players involved in the provision of services to communities in the jurisdiction of Winnie Madikizela-Mandela Local Municipality.

4. DEFINITIONS

ISD- refers to the *institutional and social development* components of a development project. It is process of social, economic and human empowerment through which ordinary people gain greater control over the factors which control their lives.

Community – The term "community" is usually used to describe a settlement of people that live in the same geographic or administrative area.

Participatory Methodologies- Participatory methodologies refers to the use of processes, methods and activities that allow project designers and managers such as governments and development organizations to work **with** communities to arrive at sustainable and acceptable solutions to development problems.

Stakeholder – *a person or group with a direct interest, involvement, or investment in something, for example, employees, councillors, and business people*

5. POLICY AND LEGISLATIVE BACKGROUND

The following pieces of legislation have been used to guide municipalities in ensuring participatory development (SOCIAL FACILITATION / INSTITUTIONAL AND SOCIAL DEVELOPMENT)

Chapter 7, Section 152 (1) (e) of **the Constitution of the Republic of South Africa Act 108 1996 as amended**, (the Constitution) states that municipalities should encourage the involvement of communities and community organisations in the matters of local government. The two essential points of the South African Constitution are that:

- People should participate in decision-making processes that affect them, and
- National government mandates are most effectively carried out by the lowest appropriate levels of government.

Section 152 of the Constitution sets out the following objectives for local government:

- To provide democratic and accountable government for local communities
- To ensure the provisions of services to communities in a sustainable manner
- To promote social and economic development
- To promote a safe and healthy environment, and
- To encourage the involvement of communities and community organisations in the matter of local government

It is thus a fundamental responsibility of local government to ensure services are delivered in a sustainable manner. Sustainability is expected to flow from the involvement of citizens in the business of local government.

The 1998 White Paper on Local Government was clear that municipalities require active participation by citizens at four levels:

- As voters
- As citizens
- As consumers and end-users, and
- As organised partners

The Local Government: Municipal Systems Act 32 of 2000, Chapter 4 (17) (2e) provides for a municipality to establish appropriate mechanisms, processes and procedures to enable the local community to participate in the affairs of the municipality, and also report back to the local community.

The Municipal Systems Amendment Act 2011 provides for municipal councils obligation to consult the local community about municipal services. The community's voice must be heard regarding service delivery and what their needs are.

Intergovernmental Relations Framework Act (Act 13 of 2005). Intergovernmental relations (IGR) are intended to promote and facilitate co-operative decision-making and ensure that the needs of communities are met and there is efficient service delivery.

Community participation: chapter 4 (5.1) of municipal systems act: Members of the local community have the right contribute to the decision-making processes of the municipality: and to be informed of decisions of the municipal council, or another political structure or any political office bearer of the municipality, affecting their rights, property and reasonable expectations.

Chapter 4, Section 16 (1) of Municipal Finance Management Act: stipulates that, the council of a municipality must for each financial year approve annual budget for the municipality before the start of that financial year

Batho Pele Principles, these principles were developed to serve as an acceptable policy and legislative framework regarding service delivery in public service.

6. WHAT IS ISD?

ISD stands for Institutional and Social Development. The aim of ISD is to ensure that a developmental approach is taken when planning, designing, implementing, monitoring and evaluating a developmental project. ISD is often referred to as the soft part of a project while the technical parts are referred to as the hardware.

ISD refers to the **institutional and social development** components of a development project. ISD is important for all phases of a project from planning to design and implementation.

Institutional and Social Development is a process of ensuring community buy-in, participation and ownership leading to sustainability of development initiatives. The ISD deals with community participation in ensuring that communities are part of the development process (decision making).

6.1.1 Sustainable Services

The whole aim of ISD is that services should be sustainable. Within the context of development projects/programs it can be said that services are sustainable only if:

- The benefits of the service continue over a prolonged period of time

- The facilities are maintained in a condition that ensures a reliable and adequate service
- The natural environment is not over-exploited but developed in a sustainable manner
- Projects contributes to the sustainability of the community and institutions

6.1.2 Peoples Participation

The central responsibility of municipalities is to work together with local communities to find sustainable ways to meet their needs and improve the quality of their lives.

International experience has shown that citizens and community participation lead to projects being sustained. Beneficiary participation is the single most important factor contributing to project effectiveness.

6.1.3 ISD is done within a developmental context.

Development is the process of social, economic and human empowerment through which ordinary people gain greater control over the factors which control their lives. It is a process where people are at the center of their own emancipation with the support of others. Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment. There is growing consensus worldwide that good governance is participatory governance.

ISD ensures community involvement in planning, decision-making, implementing, monitoring and on-going sustainability of projects. The Eastern Cape Local Government and Traditional Affairs Department wants communities to be at the center of their own development. There is a need to return to an approach to delivery that puts vibrant social facilitation at the heart of projects implementation. Social facilitation in projects means many things; communities know about the ins and outs of a project; community structures to manage projects are established; meetings are held with communities with their decisions taken into consideration; communities are informed

of progress of projects; employment is managed properly in order to benefit local communities.

6.1.4 An ISD approach requires that;

- Communities participate in decision-making and are actively involved in all the phases of the project cycle, and where appropriate, in the ongoing operations and maintenance of the service
- Partnerships are developed between communities and local government
- Development initiatives are driven by bottom-up approaches.
- There is community buy-in, participation and ownership that will lead to long- term sustainability of development initiatives.
- Project-related community structures are established
- Communication channels are developed
- Skills are developed and local capacity built
- Employment is created and poverty alleviation promoted
- Participatory approaches are used
- Local economic development is promoted.

Development projects should, therefore, be sustainable and communities should feel that they have a real voice in matters that directly concern them. Therefore ISD is about empowering people, local organizations and institutions through participation, capacity building and training. ISD is also about ensuring that communities and local services institutions have access to ongoing support.

6.1.5 The ISD Practitioner

The important role of ISD in community development projects is now widely accepted. ISD facilitation is about helping people take ownership of a development project so that it will continue to function for a long time. It is important to be a patient listener and to be diplomatic. You need to build good relationships of mutual trust and respect with the community. It is essential that you speak the local language.

There is a very wide range of tasks required within the scope of ISD work as listed below;

- Planning, budgeting, managing, and reporting on the ISD components of the project.
- Ensuring that ISD components are included at all stages.
- Ensuring that ISD components are monitored

7.1.1 Organizational facilitation and capacity building;

- Interacting with the various stakeholders so that ISD components are facilitated throughout the duration of the project.
- Ensuring that links between the Project Steering Committee (PSC), community members, technical contractors and Water Services Authority are established and maintained.
- Providing ongoing support, advice and facilitation.

7.1.2 Community Facilitation

- Community mobilization, awareness creation, communication and liaison.
- Facilitating meaningful community participation decision-making.
- Collecting information from the community through meetings, surveys or participatory methods.

7.1.3 Training

- Conduct training needs assessments.
- Facilitate training of beneficiaries during implementation of the project
- Training of committees requires proper training of all established structures
- Develop training materials (or adapting existing materials) to meet these needs.
- Transferring skills and knowledge to PSC members.
- Monitoring and evaluating training and assessing the competence of PSC members.

7.1.4 Gender and designated groups

Poverty and inequality have co-existed both in the developing and developed countries and in spite of the multiple interventions, the progress in eliminating this

problem remains rather illusive. Since the genesis of the democratic dispensation, the South African government has developed policies which have focused on poverty alleviation and improving economic growth. In spite of the pro-poor policies, South Africa still remains one of the highest in the world in terms of economic growth. Redressing inequality has been one of the greatest challenges that the government has encountered. South Africa remains to be one of the most unequal societies, inequalities that are a legacy of the apartheid and colonial systems. Gender inequality remains a critical issue in attaining what is generally known as gender equality. Historically women and people living with disabilities have often been oppressed. The apartheid and colonial systems have deprived women and disabled people of their rights to politics, social and economic rights. South African communities have for a long time being dominated by males; hence males continue to have economic advantage over their female counterparts. High levels of unemployment has also manifested as a development issue with the highest rates being amongst women and people living with disabilities.

Gender and designated groups are an important factor to be considered in ISD work. As part of institutional and social development, municipalities are required to collect information that is meant to detail the socioeconomic status of the communities being serviced by the municipality and to fill in the gaps that are slowing the pace development. This will also allow for the ISD Practitioner to make informed decision on employment opportunities and to identify individuals that require more assistance such as those people living below the poverty line. People living with disabilities must always be considered to be part of decision making processes in all development initiatives. ISD must ensure that employment opportunities are driven towards redressing issues of inequality.

8.1 ISD AND THE PROJECT LIFE CYCLE

8.1.1 ISD in the Project Cycle

Projects have definite start dates and end dates. But life in a particular community

continues, regardless. It is important to bear this in mind during planning and implementation. Community members are important stakeholders in the project so they need to be part of all the project phases. Time and resources must be provided for community participation. This must start at the beginning of the cycle and their involvement during project design and implementation must be managed all the way along. This is an important ISD role.

The project life cycle consists of the following stages;

8.1.2 Pre- Planning Phase

Before a project is implemented in a community, it must be part of a municipality's Integrated Development Plan (IDP). An IDP is prepared for a five year period and is reviewed annually. The Role of the ISD practitioner is to enhance the IDP process and product in making sure that their priorities are part of the IDP.

The Municipal ISD practitioner facilitates development of Local Area Plans (LAP) using Participatory Development Approaches (PDA). The Participatory Development Approaches are always preferred in community based planning because;

- Their methodology promotes participation by everyone (influential and marginalized).
- Its techniques build support and elicit information and participation of people in their own development.
- It brings greater degree of ownership and responsibility for better results and social acceptance of the program.
- Provides baseline information on the socio economic status of the beneficiaries and the locality at large.

The information is then fed into the municipal IDP and feasibility studies are

completed (with same information). The Local Area Planning will tell what the community needs most (in relation to infrastructure) in order of priority. It is important for ISD practitioner to work hand glove with the IDP office.

At this stage the ISD practitioner must ensure that:

- Community needs are identified
- Ward Councilors and Ward Committees are on board
- Surveys (baseline) and opinion polls conducted
- Projects are prioritized

ISD Practitioner should be part of the **relevant SCM Committees** so as to ensure that Social aspects are captures in the tender documents.

8.1.3 Planning Phase

The ISD practitioners need to play a major role in the identification of needs and their listing in the Integrated Development Plan. Communities must be consulted and care must be taken to ensure that the more vulnerable community members are included in the consultation.

Ward committees and councilors are the institutions closest to people on the ground and obviously they would be the starting point for engaging communities. At this stage, the ISD practitioner needs to facilitate for the following

- Preparing communities for implementation
- Observing the correct protocol
- Create community awareness
- Identify stakeholders
- Establishing Committees and facilitate for CLO appoint, Health Workers
- Conduct necessary skills audit (work with HRD)
- Training of committees in preps for implementation

8.1.4 Design Phase

Assisting with the establishment of a project steering committee is a task for the social facilitator and should be done at the start of the design phase. The committee members will be trained by the facilitator so that they will be able fulfil their roles.

- Design must be done in conjunction with communities
- A project team should work together
- Technical options to be done by community guided by the experts
- Must be informed of their choice as it will impact in the future O&M
- Evidence of participation by community is critical

8.1.5 Implementation -Process leading to construction (Actual project execution)

The social facilitator will continue to update the community throughout this stage. The facilitator will also assist the community to participate in the appointment of the contractor's community liaison officer. Ensuring that local labour is employed especially if labour intensive construction techniques are used. During this stage, the following must be done;

- PSC has regular meetings
- Community monitoring
- PSC attends progress report site meetings
- Promoting of health and hygiene
- User education
- Project hand over to community

ISD Practitioner must inform the PSC about the contractor's implementation plan. This is the plan that the contractor will use on how the construction will take place. It spells out:

- what the contractor is going to do

- when the contractor will do this
- How the contractor will do this
- Where and how the community will play a role during the construction phase.

The PSC will then be able to;

- Understand exactly what is going to happen
- Identify aspects that they do not understand so that they may be clarified
- Identify problems that the community and the contractor might encounter during construction
- Be able to explain to the community what is going to happen
- Assist with the employment of community members on the project

8.1.6 Labour

In community development program, it is preferable that as much of the project budget remains within the community as possible. This mainly happens through labour-intensive construction techniques. This way the project will create as many jobs as possible, even though most will only last for a short time. ISD must also encourage that projects implemented by both local and District inter-link to open more job opportunities and ensure sustainability.

It is mandatory to keep project funds and economic benefits within the local community for as long as possible by employing and buying materials locally.

The PSC should facilitate registration of people interested in working in the project. In many projects unskilled work is shared between community members with each person working for a limited time and then making way for someone else. Whatever system is used it is important that a fair and equitable selection procedure should be established, based on criteria that have been agreed to by the community. Managing the labour is a task which can also be done by the PSC. Payment can be per task completed instead of a daily rate. The ISD Practitioner must ensure that labour rate

is in line with gazetted rates. The ISD practitioner must facilitate signing of the contract between CLO and contractor. The CLO must control the workers time sheets, monitor the progress and any delays and can pay the wages.

8.1.7 Tools

A tool that can be used to establish what roles community members can play in the construction, operating and maintenance and monitoring phases is Roles and responsibilities analysis

8.1.8 Procurement

If materials can be produced and procured locally, so much the better. The most common locally made materials are bricks, and brick making can be a good example of local economic development. In sanitation programs there are other components which community members can learn to make. These include slabs and pedestals.

It is usually cheaper to procure other materials in bulk, but there is an argument to be made for getting as much as possible from a local supplier. A good relationship can be established, transport is managed by the supplier and much of the money remains in the community.

8.1.9 Health and hygiene promotion and user education

If the project is a water or sanitation one then there needs to be health and hygiene promotion. There are many books and guides on how to do this promotion. One of the best is *Breaking the Rules* by Soul City. Water and sanitation and some other projects might need user education on how to use the infrastructure that is being built. Some of this information will come from the technical contractors but more might be necessary. It is not within the scope of this guide to provide training material.

8.1.10 Handover

When projects are completed they are handed over to the community.

8.2 Monitoring, Reporting & Evaluation -Mainly about progress

Monitoring should be a function that is integral to a project's operation, and it should happen throughout the project. It is the systematic collection and analysis of information about a project as it progresses. It is aimed at improving efficiency and effectiveness of a project. It is based on targets set and activities planned at the start of the project. It helps to keep the work on track and can let people know when things are going wrong. Unless action is taken to rectify problems that are identified, monitoring serves little purpose.

Monitoring is a task that is very suited to being undertaken by community members.

- Meetings: PSC Meetings and Site meetings must be held regularly
- ISD should identify a monitoring plan that;
- identifies areas to be monitored
- clarifies monitoring tools
- Reports on progress

8.3 Operations and Maintenance Phase

This stage is to ensure long term sustainability of a service. Once a project has been handed over it enters what we call the Operations and Maintenance phase (O&M). This is really the start of the provision of the service to the community.

A development project needs to continue functioning as it was designed to, long after the support of engineers and consultants has ended. The easiest way to do this is to ensure that there are skilled people in the community who can manage the project. There are two main areas of skills required. These are:

- Technical operations and maintenance of the project: systems maintenance, overseeing technical performance and monitoring and solving technical problems
- Management of the project: Customer relations, revenue collection (if applicable), relations with authorities and conflict resolution.

The ISD practitioner is not always expected to be part of this phase but it is important that during the earlier phases the basis for respecting the project has been laid, and the community has taken ownership of the project. If a community

service provider (CSP) is going to manage the O & M of the scheme then the ISD practitioner will need to facilitate this process.

Tools

A **Logbook** can be used by the CSP to enable community monitoring

8.4 Evaluation stage

While monitoring is meant to keep track of developments to allow for remedial action as needed, evaluation focuses on the impact of the project or its activities. Evaluation means looking back and comparing what was intended with what was achieved. Usually an evaluation is done by an external agent as this will ensure an unbiased result. Funders or governments might want such an evaluation, but there could be a role for community members here too, particularly when they have participated in the project. It is important that people realize that an evaluation is not meant to pull them down and cast blame where mistakes were made. An evaluation is mainly so that all can learn from the experience. If people feel threatened by the evaluation then they are likely to present the situation as better than it actually is. The evaluator must take enough time to explain the purpose of the evaluation. An evaluation is meaningful only if the outcome is used to learn how to do things better

Possible ISD tasks at evaluation stage

- Site visits
- Impact assessment
- Assessment of infrastructure
- Assessment of training

Currently ISD practitioners submit a closeout report when the construction of the project is completed and the project has been handed over, and they are not expected to play a further role. This does not mean that an evaluation of the ISD component should not be done. However, the evaluation report should be provided to the ISD practitioner, even if they are no longer on site. In this way the ISD sector will gain valuable insights and learning.

9.1 APPOINTMENT OF SERVICE PROVIDERS FOR SOCIAL FACILITATION

9.1.1 Qualification

The service provider will be required to have the relevant qualifications for social facilitation such as the following qualifications; Diploma or Bachelor's Degree in Social Sciences/Development Studies/ Rural development/ Developmental Management/ Community Development/ Public Management and experience in social facilitation.

9.1.2 When outsourcing Social facilitation;

Social Consultant

Social Consultants are people employed to provide the necessary support for the communities so that they can participate meaningfully in the development programs. They will provide training and capacity-building to communities. They are expected to help mobilize communities to participate in and contribute to the public participation processes. They should be employed by the authority responsible for the program and have an equal status with the technical consultants.

9.1.3 Social Facilitation Scope of Works

These are people employed to provide the necessary support for the communities so that they can participate meaningfully in the development programs. They will provide training and capacity-building to communities. They are expected to help mobilize communities to participate in and contribute to the public participation processes. They should be employed by the authority responsible for the program and have an equal status with the technical consultants.

Social consultants basically conduct intensive studies relating to the needs of the communities. These studies are normally conducted through door to door exercise at the cost **per household**. Nominations of the village based structure take place.

These are done through community meetings to establish the PSC's and village Health Workers, taking care of the proper training done on health and hygiene issues and other related training methods for the PSC's.

Social Consultants are also responsible for proper monitoring of the village health workers and PSCs there by assessing progress of their activities. They also monitor monthly meetings to assist with the development of the exit strategies for operations and maintenance. They also play a comprehensive role in the establishment of the community operations and maintenance for the submissions of the close out project report. Funding of ISD activities will be allocated within the direct costs under the Provisional Sums item of the BOQ meaning that it will be a fixed amount within the contractor's bill. The total budget for social facilitation is calculated at a maximum of 4% of the direct costs (contractor budget). Upon appointment of the contractor, the Winnie Madikizela Mandela Local Municipality ISD Officer, will request for quotations and will make recommendations from the submitted quotes. The recommendations will be forwarded to the contractor where the contractor will issue the consultant with an appointment letter. This is not limited to the contractor bill as well, in the case the consulting engineer has included the ISD Item under their bill, the same process as of that of the contractor will be applied.

- First preference will always be given to Service Providers hailing from and residing with the Winnie Madikizela-Mandela Local Municipality
- Second preference will be given to those from those residing within the Alfred Nzo District Municipality
- Service Providers outside the Province will only be considered when the first two categories have been found not meeting the requirements of the Scope of the scopes of work in question.

10. Conclusion

Integral to ISD work are the participatory methods that should be employed. These methods have been developed in response to challenges of sustainability. They involve using processes and tools that allow ISD Facilitators to work with communities to arrive at sustainable and acceptable solutions. Participatory methodologies recognize that people within communities should be involved in decisions that affect their live. Participatory approaches inherently believe in and build on skills, knowledge, experience and culture of community groupings, in order to engage them in designing, implementing, managing and monitoring development programs.

Through full community participation, trust can be built between communities and municipal officials so that problems can be addressed in a more constructive way. With buy-in from both the authorities and the people the process can be effective in ensuring better service delivery.

This guideline document sets out the context and rationale for ISD and to provide guidance in the institutionalization of ISD within the Winnie Madikizela-Mandela Local Municipality. It is inform by the Constitution of South Africa, the relevant legislature pertaining to participatory methods and by the Eastern Cape

Institutional and Social Development (ISD) Framework developed by the Eastern Cape Local Government and Traditional Affairs.

Signed on the 20th day of June 2022



Municipal Manager