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**Thesis**

**Title: AN ASSESSMENT OF THE ROLE OF PARTICIPATORY PLANNING IN  
THE ATTAINMENT OF COMMUNITY OWNED CDF PROJECTS: A CASE OF  
BUTONDO STREET LIGHTING PROJECT**

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**UMD 9**

# MASTER'S PROGRAMME IN URBAN MANAGEMENT AND DEVELOPMENT

(October 2012 – September 2013)

## AN ASSESSMENT OF THE ROLE OF PARTICIPATORY PLANNING IN THE ATTAINMENT OF COMMUNITY OWNED CDF PROJECTS: A CASE OF BUTONDO STREET LIGHTING PROJECT

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## Executive Summary

Zambia, after independence adopted a top down planning approach which saw the government of Zambia implementing a number of development programmes. However, it was observed that a number of infrastructural programmes using this approach, were not sustainable as they were vandalized after implementation. This situation made the government of Zambia to shift to a bottom up planning approach in the 1990s and used the approach to implement a number of community projects. In the same line, the government introduced funds called Constituency Development Funds (CDF), to assist in funding community projects emerging from the community themselves in order to ensure ‘community ownership’ of these projects. These funds were sought to meet the immediate social needs of local communities by allowing them to participate in the planning process by identifying the infrastructural projects to be implemented in their own communities. However, despite the CDF community projects using this approach, they have still received a number of criticisms pertaining to the number of problems associated with them, of which their failure to attain community ownership (lack of sustainability) is one of them. CDF projects in Mufulira district have not been exceptional to such criticisms, a scenario that led to the author undertaking this exploratory case study research. The main objective of this research was to explore the strategies aimed at improving the participatory planning process in the CDF decision making process in order to attain community owned projects (sustainable projects).

To execute this case study research, the author based the research on the theories of participatory planning and documented concepts such as concepts of self organization, project sustainability, community initiatives, and her acquired knowledge in CDF projects. In depth interviews were conducted with the community, local government officials, the various committees established under the local authority, the local contractor and Zambia Electricity Supply Corporation (ZESCO) to assess the manner in which they participated in the planning process, how the planning process itself allowed for changes in project’s goals and lastly the outcomes of the planning process.

The research established that, though the CDF community projects (e.g. Butondo street lighting) supposedly adopted a participatory planning approach during its planning and implementation process, it has been unable to attain community owned projects, as the planning process has been more of ‘rational planning’ in nature than ‘participatory planning’ as purported by the Zambian government. Most interesting still, the research identified a unique pattern of stakeholder’s participation during the CDF projects’ planning process; the community was just involved during the first stage (project identification) of the planning process and later on was totally excluded from the planning process leaving only the local authority in the process. This type of a planning process (rational planning) resulted into the stakeholders not building strong relationships that would have necessitated for the formation of project steering committees (to spearhead project’s activities) and collective actions/decision making. This scenario ultimately resulted into the lack of ‘community ownership’ of the implemented CDF project which was evidenced by the desertion or non participation of the community in the operation and maintenance of the project thus, leaving the entire responsibility to the local authority. The project recorded a high number of vandalism and thefts rates, just six months after its implementation, making it not sustainable. In additional, exogenous factors such as CDF guidelines (rules), resources, time and centralized power vested only in the full council committee, also adversely affected the full participation of stakeholders in the process, thus, making the participatory planning process in the form of ‘rational planning’. Arising from these findings, the author recommends a number of actions among which includes, an immediate need for revision of the CDF

guidelines to ensure a CDF participatory planning process which is more adaptive and inclusive in nature, so as to ensure the participation of a cross section of people from the community in the planning process.

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## **Dedication**

This thesis is dedicated to the almighty God ‘JEHOVAH’ who always gave me the strength and the courage to carry on especially during the time I was unwell. I dedicate this piece of work to you my God, because if not for your grace, this would have not been possible.

## **Foreword**

“Participatory planning is a process by which a community undertakes to reach a given socio-economic goal by consciously diagnosing its problems and charting a course of action to resolve those problems. Experts are needed, but only as facilitators. Moreover, no one likes to participate in something which is not of his/her own creation. Plans prepared by outside experts, irrespective of their technical soundness, cannot inspire the people to participate in their implementation.”

(FAO, 2003)

## **Abbreviations**

ACP	African, Caribbean and Pacific Group of States
ADC	Area Development Committees
CDC	Constituency Development Committee
CDF	Constituency Development Funds
DDCC	District Development Coordinating Committee
FC	Full Council
GRZ	Government of Zambia
MP	Member of Parliament
MoLGH	Ministry of Local Government and Housing
PSC	Planning Sub Committee
RDC	Residency Development Committee
ZESCO	Zambia Electricity Service Corporation



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# Chapter 1: Introduction

## 1.1 Background: Participation in Zambia

Located in south-central Africa, Zambia is a landlocked country and has an area of approximately 753,000 square kilometers and a population of about 13 million, for a total population density of approximately 13 persons per square kilometer. Zambia gained its independence from Britain in 1964 and it is today one of the most industrialized countries in Africa, renowned for its copper ore resource.

During this period, the production and export of copper led to an expansion of the urban economy which led to high levels of rural-urban migration, as citizens sought to benefit from urban-based employment opportunities and subsidized food and infrastructure.

Zambia's cities developed quickly and, from a spatial viewpoint, inefficiently. With prosperity and rapid urbanization, the republic's new government installed sophisticated and costly urban infrastructure, confident that copper export earnings would provide for its support and maintenance. In fact, however, the infrastructure soon became dilapidated, and operation and maintenance costs-let alone those for debt service-remain unrecovered (World Bank, 2002).

The years of central planning created another, perhaps more significant problem: the development of a culture of dependence on the state and the top-down provision of infrastructure services, which resulted in citizens not expecting or wanting to pay for services enjoyed and consumed. Because of the number of problems the government faced resulting from top down planning approaches; it opted for a bottom up planning (participatory planning). The birth of multiparty politics in 1991 facilitated establishment of more support for participatory approaches to development processes. Zambia's 1991 Local Government Act attempted to reverse this centralization to ensure *Participatory Planning*, giving the country's 22 city and municipal authorities greater autonomy and responsibilities. However, it did not provide concomitant resources, thus continuing the decline of urban infrastructure and services. While taking into consideration the concept of participatory planning, the Constituency Development Funds (CDF) community project was formed and approved by Parliament in 1995 and as part of their annual capital programmes, each local authority council was mandated to include CDF for community based projects in their Capital Budgets. The CDF community projects were formulated to enable participation of the local people and institutions in the choice of which local infrastructure is delivered and to allow Area Members of parliament (politicians) to respond directly to concrete demands from their constituencies (MoLGH, 2006)<sup>1</sup>.

The projects to qualify for funding under CDF are to be developmental in nature and are supposed to be beneficial to various stakeholders in the district. Monitoring and Reporting on projects funded is done by all stakeholders in the district. It should be noted that Project selection is very critical for the success of any developmental project. Projects which are financed by the CDF are preliminarily chosen by constituency development committee (CDC) and local community (MoLGH, 2006).

From that time to date, the government of Zambia has continued to be committed to participatory planning approaches. Zambia's continued commitment to participatory policy processes can partly be evidenced by the country's ratification on 22 April 2002 of the

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<sup>1</sup> See Annex 2 for the CDF Guidelines

<sup>2</sup> See full details in annex 6 and details also available at: <http://www.times.co.zm/?p=20311>

Cotonou Participation Agreement which was signed in June 2000 between the European Union and the African, Caribbean and Pacific Group of States (ACP countries) to promote development cooperation between the parties. Article 2 of the Agreement provides five fundamental principles against which the treaty was to be implemented. Article 2 of the second principle talks about participation, that is, “apart from central government as the main partner, the Partnership shall be open to different kinds of other actors to encourage the integration of all sections of society, including the private sector and civil society organizations, into the mainstream of political, economic and social life” (Ng’ombe, Keivani, et al., 2012).

### **1.1.1 Administration of Constituency Development Funds (CDF)**

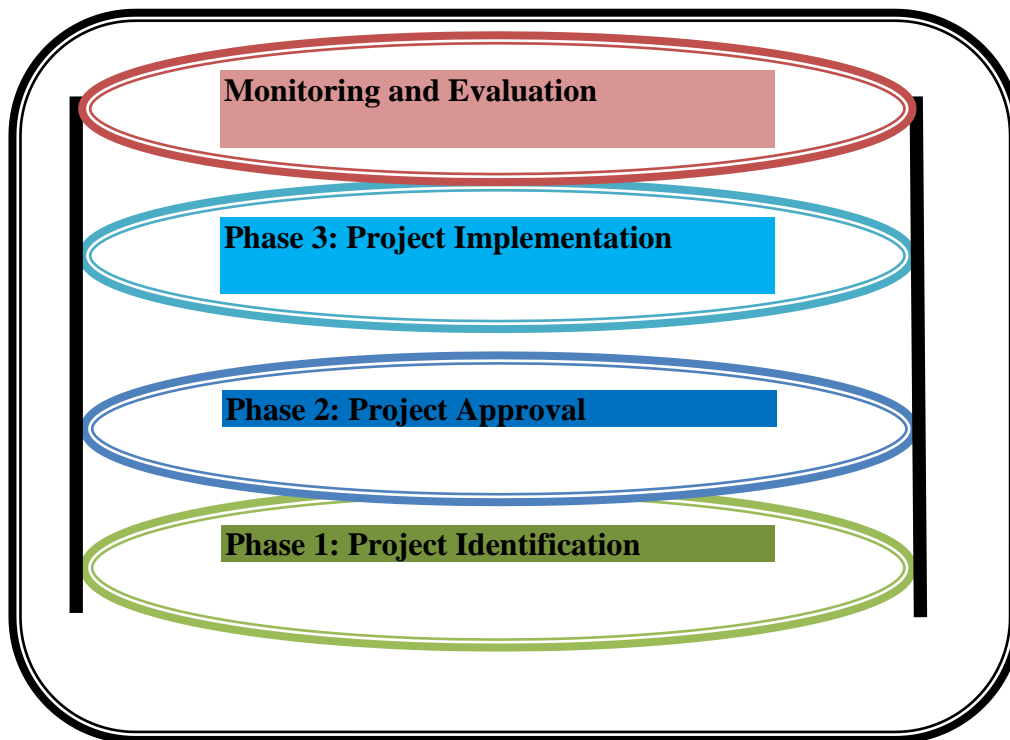
In Zambia, the central government comprises of a number of government ministries. These ministries depend on the Ministry of Finance for funding. The powers of financial allocation and control are therefore vested in the Ministry of Finance. Like any other ministries, the Ministry of Local Government and Housing is allocated funds by the Ministry of Finance for the execution of its functions. The Ministry of Local Government and Housing is comprised of various sub units at provincial level (provincial planning units) and local level (local authorities). Once allocated funds by the Ministry of Finance, the Ministry of Local government and housing is responsible for further distribution of these funds to its sub units at provincial and local level. At provincial level, the allocated funds are usually used for monitoring and evaluation activities while at local level, the funds are utilized in the provision of public services to the members of the general public.

The Ministry of Local Government and housing is responsible for how much money is allocated in the Constituency Development Fund account. The Ministry provides guidelines on how to utilize the money in all constituencies. For example, in 2012 a total of K97.5 Billion was released to 150 constituencies of Zambia, with each constituency getting K650 million (GRZ, 2012). When the Constituency Development Funds are released from the Ministry of Local Government and Housing Headquarters, the Council keeps the money in the Special Bank Account for each constituency. These accounts are called CDF accounts have four signatories. The following form the panel of bank signatories: panel A, (i) the Town Clerk/District Council Secretary, (ii) the Director of Finance/District Treasurer, panel B, (i) the Chairperson of the Constituency Development Committee (community representative), (ii) one member of the CDC (community representative). All payments due are sanctioned by the Council and are payable through Cheques. No payments are done in hard cash. The CDF Accounts are audited in accordance with the Local Government Act Cap 281 of the Laws of Zambia and the Local Authorities Financial Regulations (Statutory Instrument No. 125 of 1992). The Auditors are appointed by the Ministry of Local Government and Housing (MoLGH). Any abuse of funds under CDF can lead to the suspension of the Council. Monitoring and Reporting on projects funded is done by all stakeholders in the district.

### **1.1.2 CDF Planning Process**

Once the funds have been released from the Ministry (MoLGH) to constituencies through their respective Local Authorities, the planning process regarding the appraising of proposed CDF projects identified and developed by the community is commenced. This process follows a specific routine as shown in figure 1 below.

**Figure 1: Phases of the CDF Planning Process**



**(i) Project Identification**

During this phase, the community themselves defines the pressing problems they are facing and would want to resolve in their constituency and develop project proposals. During this stage, the project proposals are identified and prepared for submission by the community to the CDC before receipt of the funds. This CDC committee will then scrutinize all proposed projects from the community and prioritize the projects. The proposed projects which are recommended by the CDC are sent to the Planning Subcommittee (PSC). The PSC consists of actors from government line ministries and major companies (Mopani Copper Mine Plc) in the district. During the first two weeks of receipt of these project proposals the Planning Sub Committee technically appraises these proposed projects and those which they recommend for funding will be sent with recommendation to District Development Coordinating Committee (DDCC). The DDCC which is made up of different stakeholders in the district will then scrutinize the projects and allocate the amount needed and recommend to full council for final approval.

Pertaining to the case under review, in 2009 the community identified and developed ten projects proposals as shown in table 1 below which they submitted to the CDC for appraisal. After the project appraisal by the CDC, they submitted the list of the projects to PSC for technical appraisal. The PSC then appraised, prioritized and prepared bill of quantities for the projects as shown in table 1b below and submitted them to DDCC. The DDCC further scrutinized the projects and allocated the needed amount and recommended to full council for final approval.

**(ii) Project Approval**

The full council consists of the area Member of Parliament, Area Councillors, the Mayor and Council Management Staff. The full Council scrutinizes the submitted projects for final

approval. Only projects which are appraised and approved by the Council are funded. The Town Clerk/Council Secretary notifies the CDC on which projects have been approved by the Council (MoLGH, 2006). Pertaining to the case under review, in 2010 the full council appraised the submitted projects by DDCC and selected only four projects to be funded and implemented in the constituency as shown table 1c below

**Table 1: Project Proposal from the Community to PSC to DDCC to Full Council**

**Projects from the Community to PSC**

No.	Project Name
1	Construction of Chibolya Modern Market
2	Rehabilitation of fibusa Community hall and Landscaping
3	Renovation of Police Post in Chibolya
4	Rehabilitation and painting of Kankoyo Police Post
5	Procurement of tower wagon
6	Construction of 1x3 Classroom block
7	Street Lighting along Ngolo Road, Butondo Road and Luansobe Road
8	Rehabilitation in Nanduwa Road
9	Buteko Clinic Infrastructure development
10	Rehabilitation of Girls Ablution block



No.	Project Name
1	Rehabilitation of fibusa Community hall
2	Renovation of Police Post in Chibolya
3	Butondo street lighting
4	Rehabilitation of Girls Ablution block
5	Buteko Clinic Infrastructure development
6	Procurement of tower wagon



**From PSC**

**Approved Projects by Full Council**

No.	Project Name
1	Rehabilitation of fibusa Community hall
2	Butondo street lighting
3	Buteko Clinic Infrastructure development
4	Procurement of tower wagon

**(iii) Project Implementation**

The implementation of the projects involves community participation in form of labour, both skilled and unskilled, and use of locally available materials (sand, stones etc) as much as possible. For specialized works, the Tender Committee at district level use flexible tender system in the invitation of tender offers from eligible contractors/suppliers. The District Tender Committee then evaluates the bids and recommend to the council for award of contracts. The award of contracts is then communicated to the successful contractor/supplier. Preference is given to local contractors and suppliers. The chairperson of the Community Based project committee and the town clerk/Council Secretary shall be signatories to all contract agreement (MoLGH, 2006). However, for the project under review the community was not fully involved in the implementation phase, because the nature of the project involved specialized works and it required technical people to implement it. Therefore, the district tender committee used flexible tender systems to invite tender offers from eligible contractors within the district. The Committee then evaluated the bids and awarded the contract to a local contractor called KYOBAMBA Limited in 2010 for onward approval by full Council. During the same year, full council sat and approved the contract. Kyobamba

Limited commenced the works in 2010. The contractor took six months to complete the entire project and thereafter the project became operational.

#### **(iv) Monitoring and Evaluation**

It may be interesting to note that, the Council through the Director of Works/Director of Engineering Services or District Planning Officer offices from the relevant local authority monitors the project implementation monthly, or as often as necessary depending on the nature of the project stage. The monitoring team prepares progress reports on behalf of the community and submits through the provincial Local Government Officer to the Minister of Local Government and Housing who analyses the reports and advise the government on progress achieved in the implementation of the projects and programmes in constituencies. The evaluation of the project is carried out by the Council's Director of Works/Engineering Services, District Planning Officer and other officers from the appropriate government line departments. This exercise is done upon completion of the project but before the disbursement of the following CDF. The evaluation team then prepares a report for submission to the community, DDCC and Council.

However, regarding the evaluation of the Butondo street lighting project, it was discovered that barely six months after its implementation, the project was not operational, as it was highly vandalized and some fittings and cables were stolen from the project.

### **1.2 Problem Statement**

Despite the government of Zambia embracing the concept of participatory planning in the execution of CDF projects, most of these projects have attracted sharp criticisms in the recent years, for failing to achieve their intended objectives. The defining feature of these projects is that grass roots have no substantial control over the projects and they are also characterized by political manipulation and corruption (See figure 2 below). Thus, this has impacted negatively on the aspect of community ownership, accountability and local project delivery (GRZ, 2012). These projects are usually substandard, vandalized after implementation and often implemented in piece meal over a long period of time, causing the government to spend huge amount of money on projects which have limited life spans. Some MPs have been implicated and are still answering court charges concerning unaccounted amounts meant for CDF projects (Lusaka Times Newspaper, 2010)<sup>2</sup>. Stakeholders, especially ordinary residents and church based organizations who are part of the CDF project planning process have said that these projects are corruptly implemented (Post Newspaper., 2012) while technocrats have blamed external factors such as regulations, political interference and price fluctuations of project materials etc.

However, CDF projects in Mufulira are not exceptional to such criticisms. Thus, regarding to the failure of the project in question, the important factor to note from this project is that each stage of its planning process comprises of different actors or committees. It is imperative to note that the composition of different committees/actors in the planning process can influence the participatory pattern. Amongst the actors in the planning process, is the community (beneficiaries) who are involved in the early stages of the process dealing with project identification. Despite the community being involved during the project identification phase, they have still failed to safeguard their project and have continued to vandalize the project after its implementation. This leads the author to question the role participatory planning in

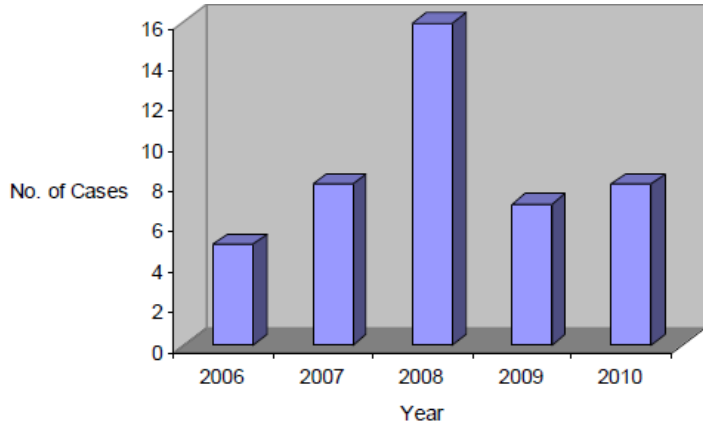
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<sup>2</sup> See full details in annex 6 and details also available at: <http://www.times.co.zm/?p=20311>



the attainment of community owned projects', if the people who are involved in the formulation and identification of projects (project design) do not own them after implementation.

**Figure 2: Number of CDF Corruption Cases Reported to Anti Corruption Commission, Zambia**



**Status of CDF Corruption Cases Reported to the ACC (2006-2010)**

Year	Cases	Open	Referred	Closed	NFA*
2006	5	3	0	1	1
2007	8	6	1	1	0
2008	16	11	3	2	0
2009	7	3	4	0	0
2010	8	4	3	0	1
<b>Total</b>	<b>44</b>	<b>27</b>	<b>11</b>	<b>4</b>	<b>2</b>

\* No further action

(Source: Caritas, 2011)

### 1.2.1 CDF Community Projects in Mufulira

Since the inception of CDF a number of community projects in Mufulira have been implemented using these funds. However, few projects have been successful while others are either uncompleted or vandalized after implementation as a result of thefts or lack of maintenance by the intended beneficiaries. For example, in 2010 four projects were approved to be funded by CDF in Butondo constituency and to date only one project which involved the renovation and extension of the clinic building was successfully implemented and is in existence. The other three that failed projects included the rehabilitation of the fibusa community hall, Procurement of the tower wagon and the Butondo street lighting project. The fibusa community hall rehabilitation failed to take off due to some ownership problems the building has been facing well as the procurement of the tower wagon failed due to some bureaucratic procurement procedures imposed on the local authority by the Zambia Procurement Agency. Butondo street lighting project is not exceptional to such failures. This project was implemented at a total cost of approximately ZMK 400, 000,000<sup>3</sup> (Zambian Kwacha). Its overall aim was to improve security and safety for the Butondo residents during the night. Though it is believed that this project was identified by the community as a priority project, it has proved to lack a sense of community ownership as it was highly vandalized barely three months after implementation. Although this project involved a range of stakeholders (community, local authority, government department and the private sector) throughout its planning and implementation process, it has proved to be a big failure. This project has recorded a number of thefts and it barely exists, hence the project failing to achieve its intended objectives. Looking at the credible composition of the stakeholders involved the entire planning and implementation process (community also involved); one wonders what would be the exact causes of the lack of ownership by these intended beneficiaries (community).

Every year CDF community projects involve the allocation of huge sums of money from the government which can otherwise be channelled to other productive ventures thus, the failures of these projects is a big setback on the community and the government of Zambia at large. It

<sup>3</sup> ZMK 400,000,000 was equivalent to £62, 000, based on 2010 exchange rates. Information available at the Bank of Zambia link - <http://www.boz.zm>

is for this reason that the failures of these projects should be taken seriously by all the stakeholders involved as they present an urgent need for solutions that will strengthen and improve local project delivery. To ensure that there is success in CDF projects, the government of Zambia developed guidelines which clearly stipulated that any project to be funded by CDF should emerge and be developed by the community themselves. These projects' decision making processes are participatory in nature involving all the key stakeholders in the planning and implementation process. However, despite all these efforts from all the key stakeholders involved, the end result of these processes is usually a non sustainable community project due to the lack of community ownership. This scenario, led to the author developing an interest in “ *assessing the role of participatory planning in the decision making processes of CDF projects*’ in order to establish how it is influencing the achievement of project’s intended objectives at different phases of the projects’ decision making process. This scenario led the author in formulating the objectives outlined below.

### 1.3 Research Objectives

Therefore, arising from the above problem statement, and in view of the critical role stakeholders participation play in attaining community owned projects (sustainable projects) the overall research objective is ‘*To explore necessary strategies to improve the participatory planning process in the CDF decision making process in order to attain community owned projects (sustainable projects).*’

From the overall research objectives, the following specific research objectives were formulated:-

- **Specific Research Objectives**

The following are the specific objectives of this research:

- To determine the nature of the participatory planning process
- To establish the extent to which the CDF planning process has succeeded in attaining a community owned project.
- To identify the factors influencing stakeholders participation in the process

### 1.4 Overall Research Question

What is the role of participatory planning in ensuring the attainment of community owned (sustainable) CDF projects?

From the overall research question, the following sub questions were formulated:-

- **Specific Research Questions**

- What is the nature of the participatory planning process?
- In how far has the participatory planning process led to the attainment of the community owned projects/sustainable projects?
- What are the factors influencing stakeholders participation in the planning process?

### 1.5 Significance of the Study

Of late, there have been a number of established arguments by different scholars and practitioners on failures of some community projects that are spearheaded by government/donors though they are conceived through participatory decision making processes. Van Den Dool (2003) argues that ‘the development landscape is littered with remains of projects that died when donor/government funding ended.’ Cadribo (1994; pp.22) in Botes and Van Rensburg (2000; 41-58) even referred to Africa as a graveyard of

development projects due to their failures resulting from externally (outside end- beneficiary community) induced development and externally managed projects decision making processes. Time and again, both the community and projects funders have shown discontentment with the end results of their efforts; hence this has left feelings of frustrations pertaining to the failures of some development community projects (Botes and Van Rensburg, 2000). Despite these arguments on the failures of some development projects, Van Den Dool (2003, pp.6) notes that the search for explanations about sustainability of development community projects dates back to the 1950s and no single theoretical approach has been developed (Van Den Dool, 2003). This argument by Van Den Dool, can clearly be seen in the case of Mufulira district of Zambia and perhaps even more on the Copperbelt province, where despite the recorded failures in some CDF community projects, no such study has been conducted. Specifically for Mufulira district, and especially arising from the recent recorded failures in some CDF community projects, this research will provide a reference point for policy and strategic intervention. Even if this is a single case study, this research might be able to extrapolate insights to a more general level. This research will therefore, contribute new ideas to the body of knowledge on the role of participatory planning in community projects' decision making process in Zambia generally. This research will explore the necessary interventions required to reinforce the participatory planning process in the CDF community projects' decision making process resulting in the attainment of sustainable community project with equitably distributed long term project benefits.

## **1.6 Scope and Limitation**

This research is limited to exploring strategies aimed at improving the CDF participatory planning process by assessing the nature of the CDF planning process, exogenous factors influencing stakeholders' participation in the CDF planning process and the outcomes of this participatory planning approach (i.e. vital actor relations, integration of power, and support structures etc). However, the research will not include the assessment of the impact and consequences of CDF community projects on the development of local communities. In terms of assessment of stakeholders involved in the planning process, this research will only be confined to the interactions between the local government, community and private sector. Due to limited time and resource constraints, this research will only focus on one project (Butondo Street lighting project) located in one constituency (Kankoyo constituency) out of the three constituencies in the Mufulira district.

## **1.7 Thesis Structure**

Having presented the purpose of the research study, the author deems it necessary to outline the structure of this thesis, which comprises of five chapters. The previous chapter (chapter 1) simply discussed the background to the participatory planning approach in Zambia and there after outlined the research objectives. The following chapter (Chapter) discusses the theories and concepts underpinning participatory planning and ends with a theoretical synthesis describing the adopted concepts in the development of the conceptual framework. The third chapter discusses the research methodology used in the study by strictly detailing the research type, research procedures used in collecting the field data and how the collected data was analysed and presented. The fourth chapter presents the research findings and analysis upon which conclusion and recommendations were drawn. Lastly, the fifth chapter summarises the research findings and gives recommendations for policy intervention.

# CHAPTER TWO: Literature Review

## 2.1 Introduction

This chapter explores the different theories and concepts by different scholars in the area of participatory planning and community projects. It starts by discussing the different theories underpinning the evolution of participatory planning on the planning scene. The chapter will then narrow down to discussing the concept of participation which distinguishes ‘participatory planning’ from other forms of planning. It will then describe different definitions of the term, ‘participation’ as defined by different scholars and will then proceed to discuss different concepts of participation and typologies. It will also look at the factors influencing stakeholders’ participation and the challenges of participation. This chapter will then discuss some critics of ‘participation’ which paves way for the discussion of the concept of self organization. The concept of sustainability in community projects will later be discussed.

From the various theories and concepts reviewed in this chapter, the theories of participatory planning by Smith (1973), the concept of community Initiatives by Bakker et al (2012), the concept of self organization by Van Meerkerk (2012) and the concept of sustainability by Van Den Dool (2003; pp. 33) were used in the development of the conceptual framework. The theories of participatory planning by Smith (1973; pp. 275-293) helped in defining the possible outcomes of a participatory planning process which included the integration of power which led to community ownership and further indicated that any participatory planning process must be adaptive in nature. Van Meerkerk (2012; pp. 1-23) in the concept of self organization indicated that any urban regeneration process (e.g. participatory planning) results from the interplay between autopoietic and dissipative interactions, in which a number of key actors are dependent on each other in reshaping urban areas whilst local stakeholders take a lead role. The concept of sustainability by Van Den Dool (2003; pp. 33) helped in identifying the key factor leading to the sustainability of community projects. This concept established that project decision making processes which are flexible and in form of a learning process lead to the emergence of support structures that plays a vital role in the innovative implementation and maintenance of community projects. This concept advocates for a form of public policy decision making process where the citizens must take a lead whilst collaborating with government as facilitators. This concept also helped in revealing the exogenous factors that shapes the interactions of stakeholders in the action arena. This chapter ends with the theoretical synthesis which explains a number of concepts that were used in the development of the conceptual framework and conclusion.

## 2.2 Theories of Planning

Hudson et al (1979; pp. 387-398), defines planning as “foresight in formulating and implementing programs and policies.” In the past, Planning was seen as the application of Scientific method –however crude to policy making. Allmendinger (2002; pp. 1-48) explains that this perspective saw planners as technocrats who focused upon procedures or process (the means) while politicians and others set the end. However, this technocratic approach was criticized for its failure to address the problems that planers and others were attempting to address. For example, Allmendinger (2002; pp. 1-48) accuses planning in its technocratic mode of being anti-democratic, race and gender-blind and culturally homogenizing. The various problems that planning were set out to address were either untouched (e.g. poverty, homelessness and wealth inequalities etc). Allmendinger (2002; pp. 1-48) explain that that they are a number of important planning traditions to illustrate the grounds on which the

major developments in planning theory and practice were based since roughly 1960. These planning developments grew up in response to recognized deficiencies in the rational comprehensive planning (synoptic) approach. Some of these traditions *include rational comprehensive planning, incremental planning, transactive planning, advocacy planning, and radical planning* (Allmendinger, 2009). These are briefly explained as follows:-

#### **(i) Rational Comprehensive Planning**

Hudson et al (1979; 387-398) explains that the rational comprehensive planning is also known as the synoptic tradition. Synoptic planning has roughly four classical elements: (1) goal-setting, (2) identification of policy alternatives, (3) evaluation of means against ends, and (4) implementation of decisions. The process is not always undertaken in this sequence, and each stage permits multiple iterations, feedback loops, and elaboration of sub-processes. He criticized this approach and argued that the synoptic approach is unrealistic, and stressed that policy decisions are better understood, and better arrived at, in terms of the push and tug of established institutions that are adept at getting things done through decentralized bargaining processes best suited to a free market and a democratic political economy. Synoptic planning is criticized for its bias toward central control-in the definition of problems and solutions, in the evaluation of alternatives, and in the implementation of decisions (Hudson, Galloway, et al., 1979).

#### **(ii) Incrementalism**

Incrementalism as a planning approach was introduced by Lindblom in 1959 in the field of political science. Hitge et al (2012) defines incrementalism as "...political change by small steps...", and it was in response to the then contemporary rational-comprehensive planning model which, he argues, consisted of "...too many possible alternatives, too many consequences to be traced through an uncertain future. Incrementalism is a strategy that acknowledges that we cannot deal with the all complexities that ought to be addressed in a once-off, rational-comprehensive policy intervention. Hence incrementalism is an approach that provides flexibility to respond to an uncertain future (Hitge and Van Dijk, 2012).

However this planning approach received a number of criticisms, for instance, Hitge et al (2012) highlighted four criticisms on the incrementalism theory, which indicated that it lacked goal orientation and it is not ambitious or proactive. Hitge et al argues that incrementalism is best-suited to a stable environment where fine-tuning is all that is needed and that incrementalism is not suited to rapidly changing conditions or to changes in policy direction. In contrast to the criticisms, it was further argued that the occurrence of small steps does not make incrementalism a slow approach, as many small interventions could be followed-up quickly by another, making it a potentially proactive and progressive. He further argued that an incremental strategy equates a risk minimising strategy, as with each step there is room for trial and error allowing for flexibility (Hitge and Van Dijk, 2012).

#### **(iii) Transactive planning**

The transactive planning approach focuses on the intact experience of people's lives revealing policy issues to be addressed. Planning consists less of field surveys and data analyses, and more of interpersonal dialogue marked by a process of mutual learning. Hudson et al (1979; pp. 387-397) refers transactive planning to the evolution of decentralized planning institutions that help people take increasing control over the social processes that govern their welfare. Planning is not seen as an operation

separated from other forms of social action, but rather as a process embedded in continual evolution of ideas validated through action. In contrast to incremental planning, more emphasis is given to processes of personal and organizational development, and not just the achievement of specific functional objectives (Hudson, Galloway, et al., 1979).

**(iv) Advocacy Planning**

Hudson et al (1979; pp. 389) explains that the advocacy planning movement grew up in the sixties, rooted in adversary procedures modelled upon the legal profession, and usually applied to defending the interests of weak against strong-community groups, environmental causes, the poor, and the disenfranchised against the established powers of business and government. Advocacy planning has proven successful as a means of blocking insensitive plans and challenging traditional views of a unitary public interest. In theory, advocacy calls for development of plural plans rather than a unit plan. In practice, however, advocacy planning has been criticized for posing stumbling blocks without being able to mobilize equally effective support for constructive alternatives. Advocacy planning has both reflected and contributed to a general trend in planning away from neutral objectivity in definition of social problems, in favour of applying more explicit principles of social justice (Hudson, Galloway, et al., 1979).

**(v) Radical Planning**

Hudson et al (1979; pp. 389) explains that radical planning is an ambiguous tradition, with two mainstreams of thinking that occasionally flow together. One version is associated with spontaneous activism, guided by an idealistic but pragmatic vision of self-reliance and mutual aid. Like transactive planning, it stresses the importance of personal growth, cooperative spirit, and freedom from manipulation by anonymous forces. More than other planning approaches, however, its point of departure consists of specific substantive ideas about collective actions that can achieve concrete results in the immediate future. It draws on varying sources of inspiration- economics and the ecological ethic, social architecture, humanistic philosophy, and historical precedents. He further argues that the focus of radical planning is less on ad hoc problem solving through resurrected community, and more on the theory of the state, which is seen to permeate the character of social and economic life at all levels, and in turn determines the structure and evolution of social problems (Hudson, Galloway, et al., 1979).

From the above developments of the various theories in planning, it can be seen that planning has been improving throughout the years from the top down planning approach to a bottom up approach. This improvement over the years led to the development of ‘participatory planning’ approach. The participatory planning approach endeavors to incorporate various stakeholders in the entire process of public policy formulation. Having looked at a number of planning approaches that have evolved over the year, this study will focus only on the participatory planning process.

## **2.3 Participatory Planning**

This term is often used by different scholars and practitioners to denote a type of planning process which is inclusive in nature. Participatory Planning plays a vital role in the formulation and implementation of public policies. Smith (1973; pp. 279) explains that in this complex society, there is no singular public interest but a multitude of often conflicting

interests. Thus, in the complex systems, such as society or planning domain, the structural behavior of the system cannot be determined from outside the system. Participation in a complex social system is necessary to develop and maintain a sense of identity by experiencing oneself as potent and directed. Participatory planning increases the effectiveness and adaptivity of the planning process and contributes adaptivity and stability to the societal system. Citizen participation is an essential element in the planning process as it leads to a strengthening of definition and role of communities in the urban system (Smith, 1973).

Smith (1973; pp. 280) explains that the fundamental legitimacy of participatory planning is based on plans and programs being endorsed, supported, and created by recipients. He further explains that, the ultimate legitimacy of participatory planning would be that the unconstrained inclusion of citizens in the planning process leads to the needed innovation and adaptiveness in urban planning and society as a whole. He further explains that the integration of the rational and consensual aspects of planning with personal and social aspects leads to the planning process called participatory planning. The different aspects of the participatory planning are discussed briefly as follows:-

#### **(i) The Rational Aspects of Planning**

The rational aspect of participatory planning is that individuals and small groups are intimately involved with environmental changes, and they can, with great immediacy and accuracy, provide a planning process with information and judgments regarding local systems. Under this aspect of participatory planning, participation enhances the managing of complex environments, facilitates the mutual adjustment of the individuals, groups, communities, agencies and institutions involved in the planning systems and leads to adaptive processes of the society (Smith, 1973).

Smith (1973; pp. 283) identifies the basic elements of the adaptive process in a societal context as follows:-

- ✚ A two-way communication network extending throughout all parts of the system.
- ✚ A decision making system that is sensitive to changes within the system, and the environment, and is capable of learning i.e. allows changes in its goals and values.
- ✚ Effective subsystems for preserving and propagating those meanings, symbols and information that have been demonstrated to be relevant-that have passed the 'reality test'.

#### **(ii) Consensual Aspects of Participatory Planning**

The consensual aspect of participatory planning is comprised of the individual, or societal units, being involved in the determination of ends and means for the planning process related to the societal unit. At community level, this may lead to a further integration of power with authority a move toward democratic society. This aspect of participatory planning also enhances the emergence of value domains in the societal whole and promotes the definition of communities and the development of identity. Under this aspect of participatory planning, participation promotes the co extensiveness of power with authority-reverses the degeneration of authority into power but requires the making of consensual process as democratic government (Smith, 1973).

The above arguments clearly indicate that planning has developed drastically throughout the years from being an application of Scientific method in policy making processes, to a more

inclusive process. This development can be evidenced in the recent development of a number of planning approaches which are participatory in nature such as strategic planning, co creation and collaborative planning etc. A participatory planning process requires not to be externally structured for it to yield its intended objectives. The failure in the performance in participatory planning can also be attributed to this factor (externally structured).

It must be noted from the various forms of planning discussed above that, the key element distinguishing participatory planning from other types of planning is the ‘concept of participation’. Different scholars define this concept differently but the key underlying element in all the definitions is the term ‘stakeholder engagement’. In the following section of this chapter, the author narrows down from the broader view of participatory planning to discuss this key element of participatory planning (i.e. concept of participation) in details.

## **2.4 Concept of Participation in International Development Context**

The term ‘participation’ first came to enter and circulate within bilateral development agencies in the 1970s – even if it took another decade for it to enter their policies. Two quite different meanings were associated with it, each of which had a particular history and politics. The first was popular participation (folkligt deltagande), which captured a set of ideals about self-reliance, empowerment and social mobilisation that had a longer history in transformative social movements. Over time, however, a number of contrasting, sometimes competing, positions on what exactly this might involve have emerged. Each has its own tracks and traces (Cornwall, 2009). Therefore, this section starts by looking at different scholars and how they define the term ‘participation’, then discusses the typologies of participation as perceived by different authors, the chronological evolution of ‘participation’, the benefits and disadvantages of ‘participation’ and ends the section by discussing ‘participation’ from a critical point of view which later on feeds into the discussion of the concept of ‘Self Organisation’ as an alternative route.

Participation is defined by the World Bank Participation Sourcebook as:

‘a process through which stakeholders influence and share control over development initiatives and the decision and resources which affect them’. It describes a process that embraces equal involvement of all stakeholders in the design, implementation, monitoring, and evaluation of development discourses’ (Ng’ombe, Keivani, et al., 2012).

Bishop and Davies (2002; pp. 14) defines participation as:

‘the expectation that citizens have a voice in policy choices.’ He further explains that such participation takes many forms, from community meetings to citizen advisory committees, administrative law and, more recently, the idea of citizens as customers. Whatever the form, though the idea of participation rests always on a sharing of power between the governed and the government. So somewhere between policy making by administrative fiat and direct democracy lies the terrain for participation (Bishop and Davis, 2002).’

Arnstein (1969; 216-17) defines citizen participation as:

‘a categorical term for citizen power’. She further explains that any process which does not transfer power is token, a manipulation of public opinion. Until democracy comes into play, no meaningful participation has occurred. Participation is only meaningful when it involves a real transfer of power from government to citizens.’

Participation for the United Nations Research Institute for Social Development team (UNRISD), was fundamentally about the redistribution of power, and was defined as:



‘the organized efforts to increase control over resources and regulative institutions in given social situations, on the part of groups and movements hitherto excluded from such control (Cornwall and Brock, 2005).’

However, Arnstein argues that participation in the UNRISD definition does not speak simply of being given information, being asked opinions, being invited to join committees and the like. Rather, participation is about

“Control over resources and regulative institutions (Cornwall and Brock, 2005)”.

However, Stiefel and Wolfe further argue that “By specifying ‘control’”; they point out, “the definition aimed to rule out evasion of the central issue of power. It excluded certain technocratic or paternalistic approaches that aim to provide access to resources and institutions while withholding control (Cornwall and Brock, 2005).’

Unlike the paternalistic top-down approaches that have had limited success in development processes. Participation is believed to offer a democratic, bottom-up approach where every stakeholder is involved in decision making so that they are empowered by way of increasing their level of knowledge, influence, and control over livelihoods and activities that affect their own lives (Ng’ombe, Keivani, et al., 2012). However it should be noted, that not all stakeholders in the participatory process equally participate. Sherry Arnstein (1969) describes these disparities in stakeholders’ participation using the ‘ladder of citizen participation’.

## **2.5 Typology of Participation**

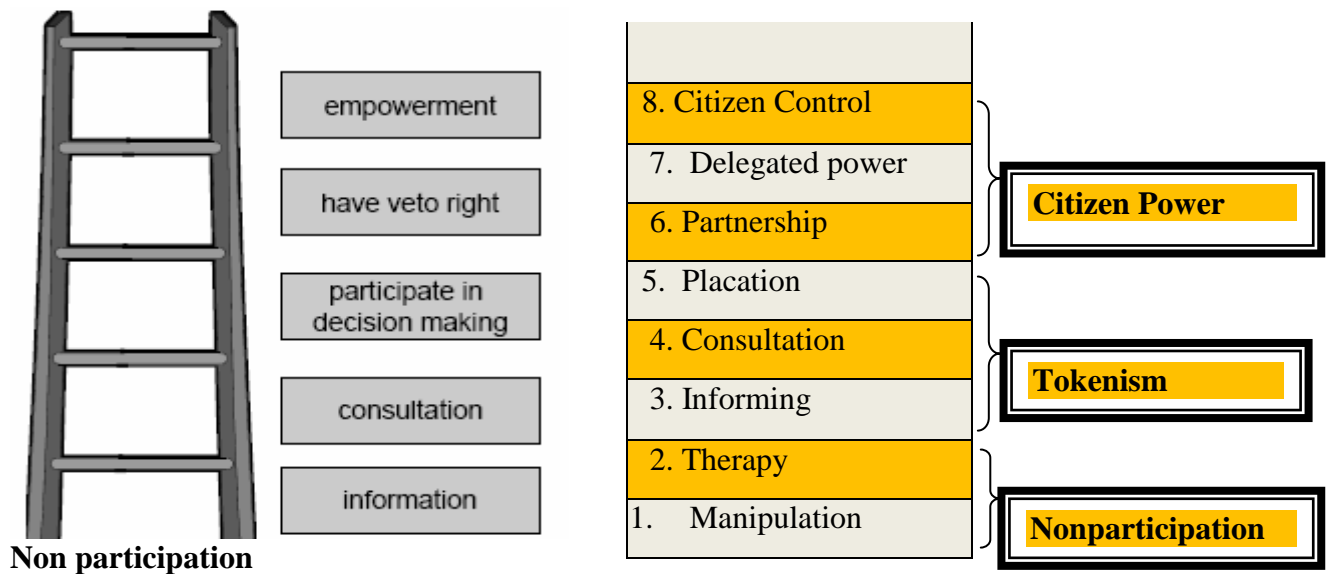
Arnstein (1969; pp. 216-224) explains that citizen participation is the categorical term for citizen power. She explains that it is the redistribution of power that enables the have-not citizens, presently excluded from the political and economic processes, to be deliberately included in the future. It is the strategy by which the have-nots join in determining how information is shared, goals and policies are set, tax resources are allocated, programs are operated and benefits like contracts and patronage are parcelled out. She further explains that there is a difference between going through the empty ritual of participation and having the real power needed to affect the outcome of the process. She explains this difference using the eight levels of participation in what she terms ‘the ladder of citizen participation’<sup>4</sup>.

She argues that the bottom rungs of the ladder are manipulation and therapy. These two rungs described levels of ‘non-participation’ that have been contrived by some to substitute for genuine participation. The real objective is not to enable people to participate in planning or conducting programmes, but to enable power holders to relate ‘educate’ or ‘cure’ the participants. Rung 3 and 4 progress to levels of ‘tokenism’ that allow the have-nots to hear and have a voice: (3) Informing and (4) Consultation. When they are preferred by power holder as the total extent of participation, citizens may indeed hear and be heard. But under these conditions they lack the power to ensure that their views will be heeded by the powerful. Rung (5) Placation is simply the higher level of tokenism because the ground rules allow have nots to advise, but retain for the power holder the continued right to decide. She suggests that further up the ladder are levels of citizen powers with increasing degrees of decision making clout. Citizens can enter into a (6) partnership and enables them to negotiate and engage in traditional power holders. At topmost rungs, (7) Delegated Power and (8) Citizen Control, have not citizens obtain the majority of decision-making seats, or full managerial power (Arnstein, 1969).

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<sup>4</sup> The ladder shows the eight rungs of citizen participation. See full details of the ladder are in figure 3 below.

**Figure 3: Eight Rungs on a Ladder of Citizen Participation**



(Source: Arnstein (1969:217))

However, in contrast with this ladder of participation, Bishop and Davies (2002) argues that defining participation as a continuum avoids difficulties of precision with a contested concept, but also misses the different reasons for participation. He further argues that a continuum assumes a constant change to the same phenomenon, so that participation moves smoothly across a plane from minimal to acceptable. In this formulation the policy problems stays constant, with only the approach taken by officials varying. Yet if policy problems are fundamentally different in character, then participation types too would be separate and discontinuous. He argues that participation may serve different ends in each case: in one seeking community feedback, in the other testing contentious expert evidence. Thus, to portray either or both as not ‘meaningful’ participation is irrelevant; here ‘form follows function’ so that the character of the policy problem whether and through what instrument, participation is possible (Bishop and Davis, 2002). He indicates that participation is not a single trend, thus it will be difficult to merge all four perspectives into a single, coherent categorization of participation types.

Having looked at the typologies of participation by Arnstein (1969; pp. 216-224), it is also imperative to discuss the advantages and disadvantages of participation as presented below:-

### 2.5.1 Advantages and Disadvantages of Participation

Irvin et al (2004; 55-65) explains that with citizen participation, we have two tier benefits to consider (process and outcome) and two beneficiaries (government and citizens) in evaluating the effectiveness of citizen-participation process as indicated in the table 3 and 4 below.

They further explain that citizen participation process also has a number of problems some of which are contextual, suggesting that some communities are poor candidates for citizen participation initiatives, and measurable outcomes may be better achieved with other decision-making methods (Irvin and Stansbury, 2004).

**Table 2: Advantages of Citizen Participation in Government Decision Making**

Decision Process	Advantages to Citizen Participants	Advantages to Government
	Education (learn from and inform government representatives)	Education (learn from and citizens)
	Persuade and enlighten government	Persuade citizens; build trust and allay anxiety or hostility
	Gain skills for activist citizenship	Build strategic alliances
		Gain legitimacy of decisions
<b>Outcomes</b>	Break gridlock; achieve outcomes	Break gridlock; achieve outcomes
	Gain some control over policy process	Avoid litigation cost
	Policy process	Better policy and implementation decision
	Better policy and implementation decisions	

(Source: Irvin et al, 2004)

**Table 3: Disadvantages of Citizen Participation in Government Decision Making**

Decision Process	Disadvantages to citizen Participant	Disadvantages to Government
	Time Consuming (even dull)	
	Pointless if decision is ignored	
<b>Outcomes</b>	Worse policy decision if heavily influenced by opposing interest groups	Loss of Decision making control
		Possibility of bad decision that is politically impossible to ignore
		Less budget for implementation of actual projects

(Source: Irvin et al, 2004)

## 2.6 A critical view on Participation-Participation in Practice

Despite a number of advantages participation has recorded; in practice participation has also received a number of criticisms by different scholars. Van Den Dool (2003; pp. 16) makes a more fundamental critique of participatory approaches. First he notes that much of the debate on participatory approaches is about ‘getting the techniques right’. This diverts attention from the fundamental issues of power and control over information and resources. Furthermore, he argues that participatory approaches tend to focus too much on institutions and their activities, overlooking loosely organized but essential activities. He points out some myths about communities that would be very instrumental to participatory approaches but in reality do not exist. These includes the non existence of unitary communities, the existence of shifting power balances in communities, and the lack of resources at community level, in particular for the poorest who will need development the most. In this regard he warns against the danger of swinging from one extreme position of ‘the local people know best’ (Van Den Dool, 2003).

From the criticisms levelled against participation by different authors, it can be clearly seen that the criticisms of participation are evolving around issues of power control and resources. Recent debates on participation have shifted towards what some scholars have called ‘post participation’, ‘participatory governance’ and ‘deliberative democracy’ or ‘empowered deliberative democracy’ and the majority of the contributors to argue that the post participation typology implores stakeholders to move away from representative democracies alone (where communities are represented by intermediary stakeholders like NGOs) to participatory models where there is a direct link between state and society (Ng’ombe, Keivani, et al., 2012). For example, Boonstra and Boelens (2011; pp. 99), in their study of community engagement in urban spatial planning in the Netherlands, have used the concept of ‘self-organization’ to argue that one of the reasons why participatory approaches to policy processes fail is that “time and again participatory planning proposals remain controlled by public government and that the public government seems not to be very adaptive to initiatives that emerge from the dynamic of civil society itself, and thus is unable to address the growing complexity of present day society” (Boonstra and Boelens, 2011). The authors argue that participation is always based on the idea of a conflict between the powerful and the powerless, in which the powerless shall participate. They referred to the ladder of participation by Sherry Arnstein in 1969 where she presented a typology of citizen participation, with each rung corresponding to citizen’s power in determining a plan or program. The authors argue that there is need for ‘self-organization’ in policy processes and this requires a focus on the networks that exists between various stakeholders. Boonstra and Boelens (2011; pp. 100) define self organization as initiatives for spatial interventions that originate in civil society itself, via autonomous community based networks of citizens outside government control.’ In the same line Van Meerkerk et al (2012; pp. 2) also argues that urban regeneration processes in which local stakeholders take the lead are interesting for realising tailor made and sustainable urban regeneration, but also faced with serious difficulties. The authors also use the concept of self organisation from the complexity theory to examine the relationship between local stakeholders’ initiatives and vital urban regeneration processes. The authors further explain that urban regeneration processes is framed as interplay of autopoietic and dissipative self-organization when these local stakeholders take initiative to come to collective and collaborative action. Dissipative self-organization is defined as ‘the openness of social systems and the exploration for (increasing) interconnection of different subsystems leading to highly dynamic and vital processes’. This type of self-organization is characterized by external orientation, wide boundary judgments and production of new structures and processes in which variety and redundancy of ideas (plans, content) and actors is aimed for. They further define autopoietic self-organization as ‘the inwards orientation of social systems that is about self maintenance, identity forming and stabilization, and reproduction’. Autopoietic self-organized systems are characterized by internal orientation, narrow boundary judgments and stability (reproduction, maintaining) in structures in which variety and redundancy of ideas (plans, content) and actors are countered. Processes of self-organization are related to vital actor relations, or more specifically it must be noted that the interplay of autopoietic and dissipative behaviours contribute to the establishment of vital actor relations in the context of urban regeneration. They further define ‘vital actor relations’ as the ‘way in which different actors develop relational capacity, jointly and collaboratively develop problem definitions and solutions in the urban area’. The processes are characterized by ongoing interaction in which mutual communication and understanding are present and high-level conflicts are absent (Van Meerkerk, Boonstra, et al., 2012).

Bakker et al (2012; pp. 395-414), in their study of ‘how municipalities use variety of instruments to mobilize citizens to participate in improving the livability and safety in neighbourhoods, uses the concept of ‘Citizen Initiative’ to also argue against the high level of

government control in stakeholder involvement and advocates for a form of citizen engagement where citizens must take the lead in improving the livability and safety in neighbourhoods whilst collaborating with public authorities (who will take the role of facilitator). By specifying appropriate rules (*facilitation by structuration*), facilitators can both mobilize citizens or create a fruitful climate for successful collaboration. Using *facilitation by process management*, the facilitator may engage in activities that might help the citizens involved in reaching goods, within the given conditions and institution framework. Process management takes the form of physical acts (e.g. a transfer of resources) or speech acts, trust building, developing interpersonal contacts, creating a sense of commitment etc. The authors argue that people do not need the state but can organize themselves for the public good through a tradition of volunteerism but only requires support by municipalities and other governmental and semi-governmental authorities, rather than abstention. The authors also identified important exogenous factors that shape action arenas and provide starting conditions for collaborative process which include rule/regulations, social conditions in the neighbourhood, physical condition in the neighbourhood, the nature of the initiatives, resources, knowledge, power, skills and motivation factors. The authors define Citizen Initiatives as:

‘Collective activities by citizens aimed at providing local ‘public goods or services’ (e.g. regarding the livability and safety) in their street, neighborhood or town, in which citizens decide themselves both about the aims and means of their project and in which local authorities have supporting or facilitating role (Bakker, Denters, et al., 2012).’

The concept of Citizen Initiatives is another concept whose arguments also revolve around the issues of power and resources control. This concept advocates for a form of participation with low level government control in which initiatives aimed at improving local ‘public goods or services’ emerges from the citizens themselves and the government only plays a role of facilitation.

Having discussed the various theories/concepts underpinning participatory planning and the criticisms levelled against them, this chapter will proceed to discuss the concept of sustainability in community project. This concept describes the necessary elements that make a community project sustainable.

## **2.7 The concept of Sustainability of Projects**

Van Den Dool (2003; pp. 33) explains that the results of development projects in Sub Sahara Africa are mixed. Some projects achieve sustainable results, other projects stop after the donor withdraws. He further notes that most of the projects do not always bring positive results despite using many technical manuals and participatory approaches. This has been a cause of concern for some decades. In many of these projects, local public organizations play an important role. One approach to overcome project sustainability and implementation problems focuses on planning, control, government responsibilities and top down flows of information and resources. Sustainability is increasingly considered the important criterion in evaluation the project success.

Goldsmith (1992: 583) defines sustainability in a similar manner as:

‘the ability of an institution to produce outputs that are sufficiently in demand for enough inputs to be supplied to continue production at a steady or growing rate, leading to long-term positive results’ (Van Den Dool, 2003).

USAID defines sustainability as:

‘the ability of a project to deliver services or sustain benefits after the investment phase.’

According to the European Union a project may be said to be sustainable when it can:

‘deliver benefits to the target group for an extended period of time after the main assistance from a donor is at an end (Van Den Dool, 2003).’

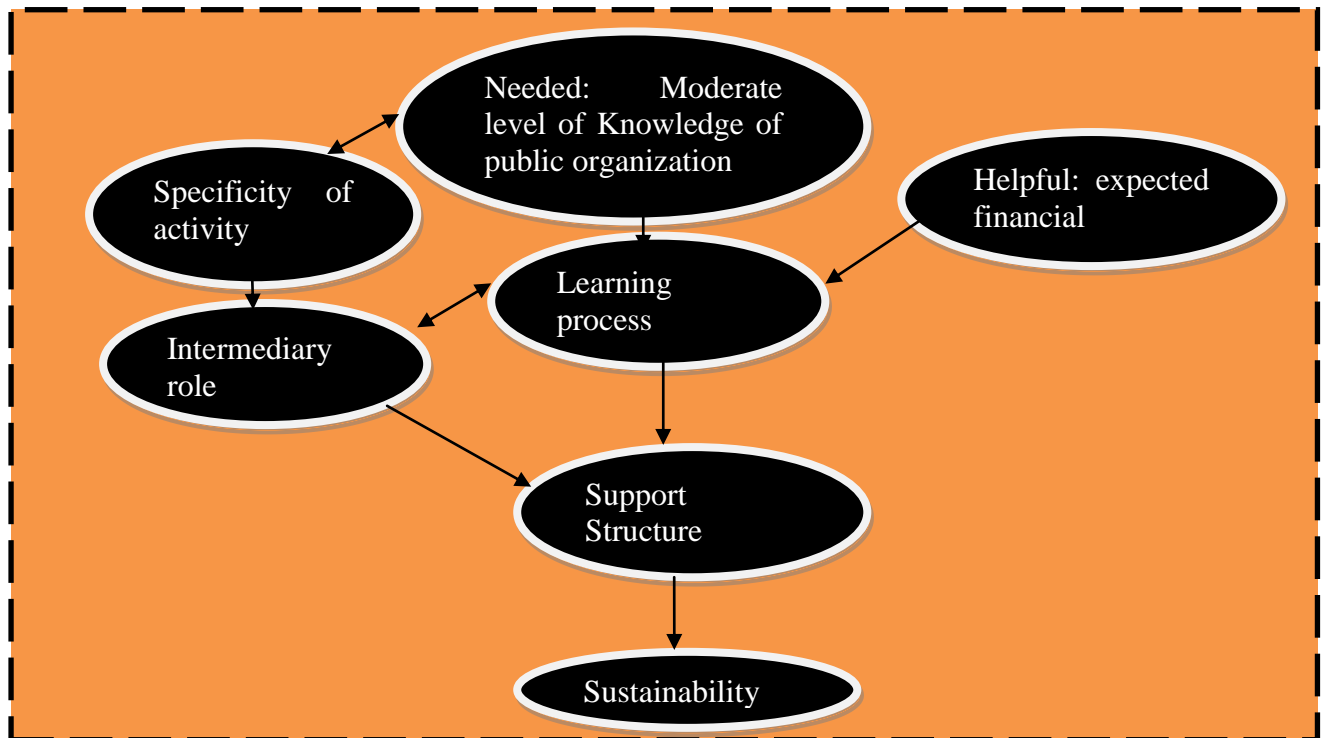
However, Van Den Dool (2003) defines sustainability as a continued benefit flows or, more precisely, as the ability of an institution to produce outputs that are sufficiently in demand for enough inputs to be supplied, to continue production at a steady or growing rate, leading to long –term positive results.

He further argues that in ensuring sustainability of community projects, the project decision making process and the role of the local public organizations such as the local authorities is of central importance. This role involves the incorporation and coordination (facilitation) of the key organization/stakeholders in the project’s activities. He argues that the projects decision making process should be a learning process for the actors involved. However, in addition to these two factors, he identified a number of factors which leads to the sustainability of a community project. To explain these factors, he developed a framework to describe the relationships between these factors and how they lead to the attainment of a sustainable community project (see figure 4 below). From the framework below, he identified three key factors (namely moderate level of knowledge, specificity of activity and intermediary role) as being necessary for the learning process (project decision making process) to take place. He argues that Moderate knowledge is needed by public local organization in order for them to have an idea on how to involve other actors/organization especially the beneficiaries in the project activities (learning process) and to understand the different roles of various actors. Intermediary roles by involved actors/organizations should not be fixed or preplanned but should allow for changes in roles of organizations/actors. Specificity is another important factor for learning, when combined with intermediary roles and at least moderate knowledge levels of public organizations. From figure 4, he argues that the process of project’s decision making process by actors should (problems and solutions definition) be a learning process encompassing all key stakeholders/organization. This process requires a good flow of information in order for all stakeholders to learn and share common understanding. Through this process, actors or organizations involved learn on how to achieve the initial objectives better or how objectives should be changed due to changes in preferences and priorities. This learning process should facilitate for exchange of ideas, learning experiences and cooperation through interactions by different actors. This result in a relatively high commitment of participants to the success of these activities hence leading to the emergence and building of inter organization structures called **support structures**. This learning process should roughly follows a three way fit pattern which should be found within this process: the fit between need and demands of the target group and the outputs of the project activity; a fit between task requirements of the project activity and the capacity of the implementing organization; and a fit among the decision making process and the means of demand expression of the target group. In no way would this fit be planned in advance.

It should be achieved through a learning process of try and error. Once the fit has been found, more attention must be given to improving production (implementation) process. By improving the ‘production process’ or trying to overcome unexpected implementation problems, other organizations get involved and support structures begin to form. During their formation, various organizations get involved in the same activity. Since the potential target-groups are so numerous, the activity spreads more rapidly and the chance of the project to be

implemented and becoming sustainable increase. While few organizations may stop their efforts, the activity would still continue because of the efforts of the remaining organizations. This results from solving various additional problems during the process. The support structures are typical for the introduction of new techniques or innovations in the project delivery, hence ensuring *project sustainability* (Van Den Dool, 2003).

**Figure 4: Concept of Project Sustainability**



(Source: Van Den Dool, 2003)

It must be noted that project planning and implementation process that is in the form of a learning process leads to the formation of support structures. From the above arguments, it can be clearly deduced that only project decision making process (e.g planning process) that is not pre planned but in form of a learning process has the ability of allowing for the formation of support structures out of the process. These structures play a vital role in ensuring the sustainability of the project.

Having set a theoretical basis for this research (i.e. an assessment of the role of participatory planning process in the attainment of community owned projects), the following section reviews different concepts and theories used in the formulation of the conceptual framework.

## 2.8 Theoretical Synthesis and Conceptual Framework

This section reviews different theories for the chapter that forms a theoretical basis for the research and the development of the conceptual framework to assist in answering the main research question (*i.e. what is the role of participatory planning in ensuring the attainment of community owned (sustainable) CDF projects?*). The formulated conceptual framework (see figure 4) shows the relationship between different variables derived from different concepts and how they link together to produce the necessary conditions to attain community owned projects (sustainable project).

This framework starts by identifying the necessary conditions termed as exogenous factors that should be in place in order to shape the interactions between actors in the participatory planning process. These exogenous factors provide conditions for the collaborative processes between actors. According to the concept of *Citizen Initiatives* by Baker et al (2012; pp. 399) these conditions include local conditions, physical conditions of a neighborhood, regulations/rules, resources, power, capacity and motivation factors.

According to the theories of participatory planning by Smith (1973; 281), a participatory planning process is the integration of the rational and consensual aspects of planning. The rational aspects of participatory planning consist of small groups of individuals or actors who are intimately involved with environmental changes in a given area, and they can, with great immediacy and accuracy provide a planning process with information and judgement to come up with goals. The consensual aspects of planning consist of individuals or various societal units in the determination of means and ends hence, this requires making the planning process open and democratic. The consensual and rational aspects of planning when looked at critically possess some traits of the autopoietic and dissipative interactions behaviors. According to Van Meerkerk et al (2012; pp. 3-4), autopoietic moments are defined as inward orientation of social systems that is about identity forming and are characterized by internal orientation and stability in structures in which variety of ideas (plans, content) and actors are encountered. In this research the rational aspects of participatory planning are likened and categorized as autopoietic moments, because they possess similar characteristics of inward orientation of the social system and involves a small group of actors in the planning process. Dissipative moments are defined as the openness of social systems and exploration for interconnection of different subsystems leading to a highly dynamic process. In this research, the consensual aspects of participatory planning are likened and categorized as dissipative moments because they possess similar traits of external orientation of the planning process involving variety of actors in the process. The continuous interplay of the autopoietic and dissipative process is therefore, categorized as the participatory planning process. This continuous interplay leads to the formation of vital actor relations. **Vital Actor relations** are defined as the way in which different actors develop relational capacity, jointly and collaboratively develop problem definitions and solutions in the urban area (Van Meerkerk, Boonstra, et al., 2012).

According to the theories of participatory planning by Smith (1973; pp. 291), a participatory planning process does not comprise of a singular actor but multitudes of actors often of conflicting interests in the process. He further explains that a 'participatory planning process' that leads to the needed innovation and societal adaptive processes, integration of power with the authority and emergence of value domains, must be in form of a learning process. He argues that this is made possible by the two way communication networks between actors extending throughout the process, in which actors (communities, agencies, groups and institutions) shares information and jointly defines their means and ends. These two way communication networks of actors' possess similar traits with the vital actor relations from the concept of self organization by Meerkerk et al (2012). In this study the two way communication system is likened and categorized as vital actor relations because they involve actors sharing ideas, visions and knowledge and jointly coming up with solutions to their problems.

Using the above discussed concepts from different authors, a conceptual framework was developed as shown from figure 4 below. The conceptual framework depicts that a participatory planning process which is adaptive in nature results into the integration of power with the authority. The integration of power with the authority, also results in the actors making collective decisions and actions in executing the various project activities. This



in turn results in community ownership of the project implemented. On the other hand, the conceptual framework also depicts that a participatory planning process that allows for the continuous inter play between autopoietic and dissipative interactions amongst actors results into the formation of vital actor relations in turn, resulting into the emergence of ‘support structures/governance structures’ and ‘integration of power with the authority’. In addition, Van Dev Dool (2003; pp. 48) also noted that a project’s decision making process which is in form of a learning process results into the formation of support structures. These structures play a vital role in the maintenance of the community project hence leading into a sustainability of the project. The emergence of ‘support structures’ and ‘integration of power with the authority’ result into a community owned project.

It must be noted that the concepts used in the Conceptual Framework above, assisted in the answering of the formulated research questions as follows:-

- **The Theories of Participatory Planning**

The theory of participatory planning by Smith (1973) helped in identifying the aspects of participatory planning (the rational, consensual and social aspects and adaptiveness) that makes it play a vital role in the attainment of a community owned project. This theory helped in establishing what makes a planning process participatory in nature and in identifying the possible outcomes of the process. The outcomes of the process include the integration of power with the authority which later on leads to a community owned project as explained earlier. This theory contributed to the defining of the scope of reasons that could possibly contribute to the failures of participatory planning processes in ensuring the attainment of a community owned project (sustainability).

- **The Concept of Self Organization**

This concept helped in shedding more light on the nature of the participatory planning in terms of its external and internal orientation. This concept pointed out that urban regeneration processes (e.g. participatory planning) are as the result of an inter play between autopoietic and dissipative interactions amongst actors. This concept further indicated that the interplay between autopoietic and dissipative interactions leads to the emergence and maintenance of governance structures, an emergence that is not imposed by a single actor, but rather as a result of multitude of complex and non linear interactions between elements. This theory assisted in understanding of the manner in which stakeholders’ interacted (participated) in the participatory planning process and the possible outcomes. This concept opened up the possibilities for the author to explain the possible reasons that could have led to the observed phenomenon-the failure of CDF community projects in Mufulira District.

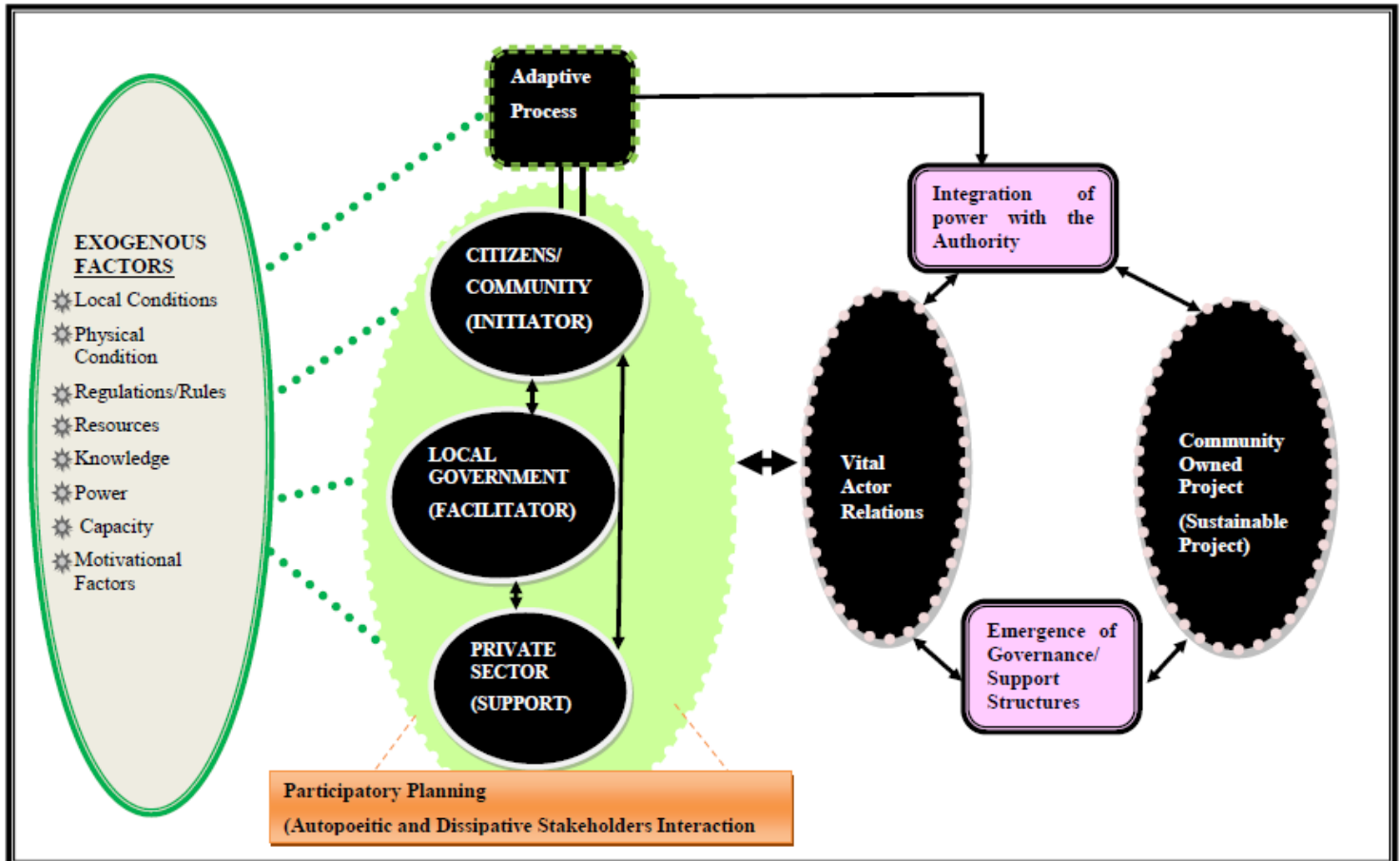
- **The Concept of Sustainability**

This concept helped in understanding the factors underpinning the sustainability of community projects. The concept pointed out that project’s decision making processes should be not be rigid but should be a learning process that gives way to the emergence of support structures. The support structures comprises of actors coming together from different institutions to form a team responsible for spear heading projects’ activities. The support structures take care of the implementation and maintenance of the project. This concept gave direction to the scope of reasons that could possibly explain the lack of sustainability in the CDF community projects.

- **The Concept of Citizen Initiative**

This concept helped in setting a direction pertaining to the role of the local government (facilitator) in planning processes. This concept also helped in revealing the exogenous factors that shapes the interactions of actors in the planning process thus, it helped in identifying the possible factors that could possibly act as hindrances to full stakeholders' participation.

**Figure 5: Conceptual Framework**



## 2.9 Conclusion

The preceding chapter reviewed the different theories and concepts underpinning participatory planning. Predictive factors influencing both participatory planning and sustainability of community projects were also reviewed to recast contemporary reasoning in explaining the failures of participatory planning in the attainment of community projects. This chapter also discussed and established a theoretical predictive link between 'participatory planning' and ownership/sustainability of a 'community project' from which the theoretical framework for this study was adopted. From the formulated conceptual framework above, it can be seen that for participatory planning to attain community owned (sustainable) projects, the process should be adaptive and should allow for continuous interplay of autopoietic (closed) and dissipative (open) interactions between actors which results into the formation of vital actor relations. Vital actor relations then lead to emergence of 'support structures' and 'integration of power with the authority' which are necessary preconditions for attainment of a community owned/sustainable project.

## CHAPTER THREE: RESEARCH METHODOLOGY

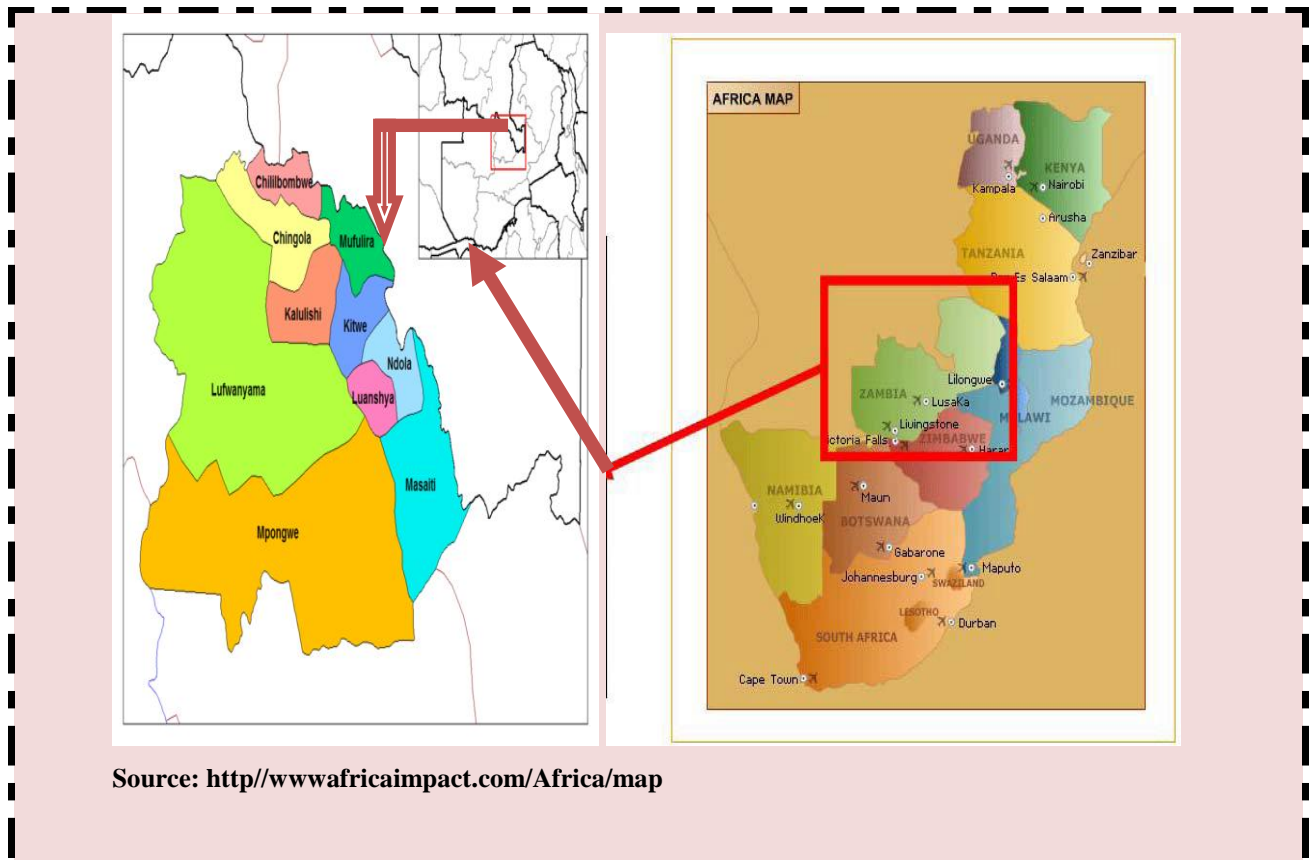
### 3.1 Introduction

This chapter discusses the research methodology used in the study aimed at ‘assessing the role of participatory planning in the attainment of community owned CDF projects). This chapter begins by giving a profile of the study area, and then it proceeds further to define the research type and the research procedures (research methods, processes and instruments) used in data collection. It also discusses the sources of data and how the collected data was analyzed and presented to arrive at the research conclusions and recommendations. This chapter also presents the sampling techniques used in sample size selection, operationalization of variables, the sampling techniques used, reliability and validity of the research as well as the research limitations.

#### 3.1.1 Profile of the Study Area

Mufulira lies on the latitude 12 degrees 32 minutes south of the equator. The district consist of three constituencies namely Kankoyo, Kantanshi and Mufulira constituency. The district is well connected to major towns and cities in Zambia through a railway network and tarred roads. Air craft services are obtained in the city of Ndola which shares district boundaries and situated 65 kilometer south east of Mufulira (Mufulira Municipal Council, 2005). The figure below shows the location of Mufulira on the Copperbelt province of Zambia and the location of Zambia in Africa.

Figure 6: Location of Mufulira



- **Demography Characteristics**

From the last population census which was conducted 2010, Mufulira had a total population of 161, 601. The distribution among the sexes was 80, 542 for males and 81, 076 for females. Mufulira district is divided in to three constituencies namely Kankoyo, Kantashi and Mufulira constituency<sup>5</sup>. The area of study Butondo ward where the Butondo street lighting project is located is found in Kankoyo constituency which has a total population of 44, 602 with 22, 361females and 22, 241males. Amongst the three constituencies, Kankoyo constituency (where the study area is located) is the least populated, mainly because this constituency is zoned as low cost area and is the least developed constituency in the district when it comes to the provision of community facilities and social services. The area of study (Butondo ward) is the biggest ward in Kankoyo Constituency with the total population of 8, 353 people (Central Statistics Office., 2010). Butondo ward has a larger population in Kankoyo constituency because it is strategically located near the biggest mine in Mufulira called Mopani Copper Mines (largest employer) and most employees of this mine opt to settle in Butondo ward. This township houses a diverse group of people coming into the township from other districts in search of employment in the mines. The settlers of this township are mostly mine employees, mine retirees and few civil servants and business men. This township comprises of dilapidated community infrastructure which was formerly maintained by the government owned mine called Zambia Consolidated Copper Mine (ZCCM) before it was privatized to the private company called Mopani Copper Mines Plc. Among the dilapidated community infrastructure is the Butondo street lighting project which was constructed in 2010 with the help of the Constituency Development Fund from the Zambian government. This project is strategically and centrally located along the busy main road called Butondo road which connects Butondo ward to other constituencies and this project was intended to cover both the residents and other people from outside the township using the road.

### **3.2 Research Questions**

Arising from the research background discussed in Chapter one, this research explores the role of participatory planning in the attainment of community owned projects. The specific research questions developed in order to address the overall research question included the following:

- **Overall Research Questions**

What is the role of participatory planning in ensuring the attainment of community owned (sustainable) CDF projects?

- **Specific Research Question**

- (i) What is the nature of the participatory planning process?
- (ii) In how far has the participatory planning process led to the attainment of the community owned projects/sustainable projects?
- (iii)What are the factors influencing stakeholders participation in the planning process?

From these formulated research questions, this research opted ultimately to conclude by identifying the strategic options that could be recommended to reinforce the participatory planning process, in order to attain community owned and sustainable community projects.

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<sup>5</sup> See full details of the population distribution per Constituency in Annex 1

### 3.3 Research Type and Technique

Stebbins (2001) describes exploration in a social science research as a broad-ranging, purposive, systematic, prearranged undertaking to maximize the discovery of generalizations leading to description and understanding of an area of social or psychological life. He further explains that this is a preferred approach to investigate a process, group or activity that has received little or no empirical scrutiny (Stebbins, 2001). In this study an **exploratory** research was undertaken in one of the eight wards of Kankoyo Constituency called Butondo Township, comprising of **1, 350** households with a total population of **8, 353** (see table 6 above). This is mainly because, this research approach allowed the author to investigate ‘the role of participatory planning in ensuring the attainment of community owned project’ in depth in order to come a clear understanding. This research also allowed for the explorations of necessary strategies to reinforce the participatory planning process in order to attain community owned projects in the Mufulira district. This was a preferred approach for this research as it allowed the researcher to collect both quantitative and qualitative data with open mindedness and flexibility.

Kombo and Tromp (2006) define a case study as an intensive description and analysis of group or individual behaviour (Kombo, Donald D., et al., 2006). Yin (2003) explains that case studies are a preferred strategy when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real life context. Case studies arises out of the desire to understand complex social phenomena and they allow the investigators to retain the holistic and meaningful characteristics of real-life events-such as individual life cycles, neighborhood change, organizational and managerial processes etc.

Therefore, a ‘**single (holistic) case study**’ was used in this research as it had set a platform for exploration of solutions to complex phenomena and issues pertaining to the role of participatory planning in CDF community projects’ decision making process. It also provided the investigator (author) with an opportunity to apply new knowledge and research skills and further provide opportunities for the author to recommend innovative solutions which helped to refocus future investigations in the entire field. The case study is holistic as different units (groups) within the CDF planning process will be studied to come up with a triangulated set of data.

### 3.4 Operationalization of Variable and Indicators

Below is the operationalization framework showing how the formulated research questions were operationalized into measurable variables and indicators in order to generate answers from the respondents as indicated in table 4 below.

**Table 4 : Research Variables and Operationalization**

QUESTION	VARIABLE	INDICATOR
What is the nature of the planning Process?	<b><u>Adaptive Process</u></b>	Two way communication between actors
	<b>Variable Definition</b> -Processes (aimed at addressing specific urban issues) which allows for two way communication between actors and allows for changes in goals in order to suit the existing conditions	Changes in project goals
		Learning process
		Changes in roles of stakeholders
	<b><u>Dissipative Interactions</u></b>	Interactions occurring in open boundaries
<b>Variable Definition:</b> Moments when the participatory	Exploration of means and ends	

	<p>planning process involves interactions amongst a large number of actors from different organisations or from outside specified neighbourhood (wide boundaries) in defining or exploring solutions to identified urban issues.</p>	<p>Intensive interactions among actors</p> <p>Large number of actors</p>
	<p><b><u>Autopoietic Interactions</u></b></p> <p><b>Variable Definition:</b> Moments when a planning process involves interactions amongst a reduced or stabilized number of actors from specific organisations (narrow boundaries) in refining or consolidating content/ideas in order to come up with solutions aimed at addressing identified urban issues.</p>	<p>Interactions occurring within closed boundaries</p> <p>Consolidation of content/ideas</p> <p>Reduced or stabilized number of actors</p> <p>Decreased interaction amongst actors</p>
<p>In how far has the participatory planning process led to the attainment of the community owned projects/sustainable projects?</p>	<p><b><u>Vital Actor Relations</u></b></p> <p><b>Variable Definition:</b> Continuous interactions amongst actors resulting into joint/collaborative problem identification and solution definition aimed at addressing identified urban issues.</p>	<p>Joint problem definition</p> <p>Joint solution findings</p> <p>Continuous interactions by actors</p> <p>Mutual understanding between actors</p> <p>Low level conflict</p>
	<p><b><u>Support Structures</u></b></p> <p><b>Variable Definition:</b> Structures or committees emerging from the participatory planning process comprising of actors from different organisations coming together to support the project activities.</p>	<p>Actors from different organizations joining the process forming teams</p> <p>Project steering Committee formed</p> <p>Group of Actors supporting project's activities</p>
	<p><b><u>Integration of Power with the Authority</u></b></p> <p><b>Variable Definition:</b> Interactions which involves actors depending on each other and through consensus they make collective decisions on specific issues.</p>	<p>Interdependent relationships amongst actors</p> <p>Collaborative efforts in the process</p> <p>Consensus built in decision making</p> <p>Collective actions in the process</p>
	<p><b><u>Community Ownership (sustainability)</u></b></p> <p><b>Variable definition:</b> This involves the intended project's beneficiaries possessing enhanced interests and competence in the project and are assuming commitments (project planning, management, operations and maintenance) aimed at sustaining the project</p>	<p>Beneficiaries sharing project planning and management tasks.</p> <p>Beneficiaries undertaking project operational and maintenance tasks</p> <p>Continued flow of project services (benefits)</p>
<p>What are the factors influencing stakeholders participation in the planning process?</p>	<p><b><u>Exogenous Factors</u></b></p> <p><b>Variable Definition:</b> Factors shaping and influencing the interactions amongst actors in the planning process.</p>	<p>Resources</p> <p>Veto Power</p> <p>Motivational Factors</p> <p>Regulations/Rules</p> <p>Knowledge</p>

	Capacity
	Local Conditions
	Physical conditions

### 3.5 Sample Size and Selection

Black (1993; pp. 1-40) explains that random sampling is that method of drawing a portion (sample) of a population, so that each member of the population has an equal chance of being selected, while non random sampling is the sampling technique that draws a sample in a non random way and provides less justifiably representative sample. One of the examples of random sampling is stratified random sampling and of non random sampling is purposive sampling. Stratified random sampling consists of taking random samples from various strata in society, such as men and women etc. Purposive sampling involves the researcher hand picking subjects on the basis of traits to give what is felt or believed to be a representative sample (Black, 1993). In this research, a sample size will be established through a combination of random sampling (stratified random sampling) and non random sampling techniques (purposive sampling). **Stratified sampling** was used to illustrate the characteristics of particular subgroups of the Butondo residents in order to facilitate comparisons. This was done by interviewing different strata of the Butondo residents categorized into adult men and women, youths categorized into male and female. A sample size of **10** respondents was randomly picked from the total population of Butondo residents using stratified sampling method, at least to cover various categories in terms of age and gender etc. **Purposive** sampling was used because it offered the researcher an opportunity to select respondents who were likely to generate useful data for the research, based on traits of respondents. Purposive sampling was used to draw respondents for in depth interviews from the various committees involved in the CDF project decision making process, such as the local authority, tender committee and the private sector in order to establish their different roles in the CDF decision making process. Using purposive sampling, the investigator selected 10 respondents from the existing Residence Development Committee (RDC) and collected primary data through conducting a focus group discussion (see table 5).

**Table 5: Sample Size Selection and Data Collection Strategy**

Target Population	Sample Size	Instrument Methods of Data Capture	Sampling Method
Butondo Residents	10	Semi structured/ In depth Interviews	Stratified Sampling
Full Council members	2	Semi structured/ In depth Interviews	Purposive Sampling
Local Authority Staff	3	Semi structured/ In depth Interviews	Purposive Sampling
DDCC	2	Semi structured/ In depth Interviews	Purposive Sampling
PSC	2	Semi structured/ In depth Interviews	Purposive Sampling
CDC	2	Semi structured/ In depth Interviews	Purposive Sampling
RDC	10	Focus Group Discussions	Purposive Sampling
Tender Committee	2	Semi structured/ In depth Interviews	Purposive Sampling
Kyobamba Contractor	1	Semi structured/ In depth Interviews	Purposive Sampling
ZESCO	1	Semi structured/ In depth Interviews	Purposive Sampling
Zambia Police	1	Semi structured/In depth Interviews	Purposive Sampling
<b>Total Sample Size</b>	<b>35</b>	-	-



### 3.6 Validity

Validity is an integrated evaluative judgment of the degree to which empirical evidence and theoretical rationales support the adequacy and appropriateness of interpretations and actions based on test scores or other modes of assessment (Messick, 1990). Whittemore et al (2001; pp. 522-537) explain that validity is simply *validity* the representation of the truthfulness of findings. They further reconceptualise validity as the demonstration of integrity, authenticity, credibility, criticality (considered as primary criteria) and more evidence of explicitness, vividness, creativity, thoroughness, congruence and sensitivity (considered as secondary criteria) in a research. **Credibility** and **authenticity** addresses the validity threats such as *distortions, biasness and inadequate portrayal of the participants/phenomenon* thus contributing to quality data in a research. Credibility involves the conscious efforts to establish confidence in the accurate interpretation of the meaning of data well as, authenticity involves the portrayal of research that reflects the meanings and experiences that are lived and perceived by participants. **Criticality** and **Integrity** addresses validity threats of *investigator bias, not paying attention to discrepant data or consider alternative understanding*. Criticality and Integrity addresses these threats through *recursive and repetitive checks of interpretations as well as humble presentation of findings*. Secondary criteria (explicitness, vividness, creativity, thoroughness, congruence and sensitivity) are additional guiding principles that contribute to the development of *validity* in a qualitative research (Whittemore, Chase, et al., 2001). In the same regard in order to ensure **validity** in this research, the researcher therefore, undertook the following actions throughout process such as checking and ensuring that the results of the research reflect the experience of respondents (stakeholders of Butondo street lighting project) and ensuring that the research process demonstrates evidence of critical appraisal. The other action that was undertaken included ensuring that the research reflects recursive and repetitive checks of interpretations, investigator biasness, distortions, discrepant data as well as clear representation of research findings.

### 3.7 Reliability

*Reliability* simply referred to the stability of findings (Whittemore, Chase, et al., 2001). Merriam (1995) explains that reliability is concerned with the question of the extent to which ones findings will be found the same again. She further argues that because human ‘behavior is not static’; reliability should focus on whether the results of a study are consistent with the data collected. Therefore, to ensure this consistency, three strategies were employed namely triangulation, peer examination and audit trial. Triangulation involved the use of multiple methods to data collection resulting into dependability or consistency. Peer examination provided a check that the investigator was plausibly interpreting the data that is; someone else was asked whether the emerging results appeared to be consistent with the data collected. The audit trial involved the investigator describing in detail how data was collected, how categories were derived, and how decisions were made through the inquiry. In view of the above arguments, in this research, the researcher ensured reliability by employing a number of data collection methods (triangulation) to investigate one phenomenon (the role of participatory planning in the attainment of community owned CDF projects). The multiple methods of data collection used included focus group discussion, in depth interviews and secondary data collection methods such as desk review and archival research.

### 3.8 Data Collection Methods

In this research, qualitative research methods of data collection were mostly used to collect data. Qualitative research seeks to reveal subjective meanings in cultures and sub-cultures



and its methods are meaning-centred and informed by the interpretivist tradition in social theory (Kelly, 2007). The research methods of qualitative research reflect five specific methodological commitments namely; depicting the social world as seen through the eyes of subjects, description in context, emphasis on process, flexibility and limited structure and concepts and theory grounded in data. Qualitative research methods allowed the researcher to discover how the social world is constructed by the people being studied. In this research qualitative methods was used as they allowed for interaction between the researcher and the respondents in order to enhance description and explanation of relationships/interactions and experiences of respondents during their participation in the CDF planning process. These methods included the use of in depth interviews, focus group discussions, archival research and desk review. In depth interviews were conducted on the basis of semi structured questionnaires mainly made up of open-ended questions defining the aspects of the research to be explored. However, quantitative research techniques will be mostly used in the content analysis of large text files during secondary data collection. **Primary Data** was collected through semi structured/in depth interviews and focus group discussions. In depth interviews were targeted at the community, members of the various committees (CDC, DDCC, PSC and tender committee) involved in the CDF participatory planning process, the private actor involved in the implementation stage (Kyobamba General Contractors) and the members of the full council. Because this research was dealing with complex problems of participation and required group efforts, focus group discussions were used to generate primary data. Focus group discussion was suitable for this research as it brought people and ideas together and it will allowed respondents to interact and build upon each other's ideas. Focus group discussion was a flexible method with high face validity and in this research was targeted at the community established structure called Residential Development Committee (RDC). **Secondary data** collection was collected through the desk review and archival research. This included the reviewing of relevant published and unpublished documents pertaining to the CDF projects with a particular focus on its participatory planning process. Desk review involved the reviewing of contextual issues such as background of the planning systems in Zambia, policy documents, legislation etc. Archival research involved the reviewing of the CDF project documents such as the CDF guidelines, policy documents, project performance reports, tender documents, MOUs for the project, full council minutes, CDF committees minutes, public notices.

### **3.9 Analysis Methods**

Qualitative data analysis techniques were used to analyze the data and to draw conclusions on the research findings. Qualitative data analysis techniques were used to analyze qualitative data from in depth interviews and focus group discussions. The researcher did this by using methods such as data reduction, data display and drawing of conclusions. By using data reduction methods the researcher coded the collected data chunks into categories coming up with a pattern that summarizes the coded data into an evolving story. The data was coded using atlas-ti (computer software for data analysis). Data display involved the researcher displaying the data into accessible, compact form to allow for a justified conclusion to be drawn. Using comparative analysis, cause effect analysis and implication analysis the researcher then drew conclusions from the data whilst paying particular attention to the patterns, explanations and the causal flows. The rounds model by Teisman (2000; pp. 217-230) on policy and decision-making processes was also used to structure the analysis. This involved the researcher demarcating the entire planning process into five rounds. Each round was defined or concluded when a crucial decision is made or crucial event happens which sees the joining of new actors in the process (Teisman, 2000).

## **CHAPTER FOUR: Data analysis**

### **4.1 Introduction**

This section generally presents the research findings and data collected from the field, in order to provide answers to the formulated research questions. This section will also discuss the data analysis methods. It begins by giving an overview of the Constituency Development Funded (CDF) projects in Zambia. CDF projects seek to enhance locally based development as a means of poverty reduction, by providing discretionally financing to constituencies through local authorities. It then proceeds to introduce the Butondo street lighting project which is one of the projects that was implemented using CDF, before discussing specific units of analysis. It then ends by discussing the data collected and its analysis upon which conclusions and recommendations are drawn.

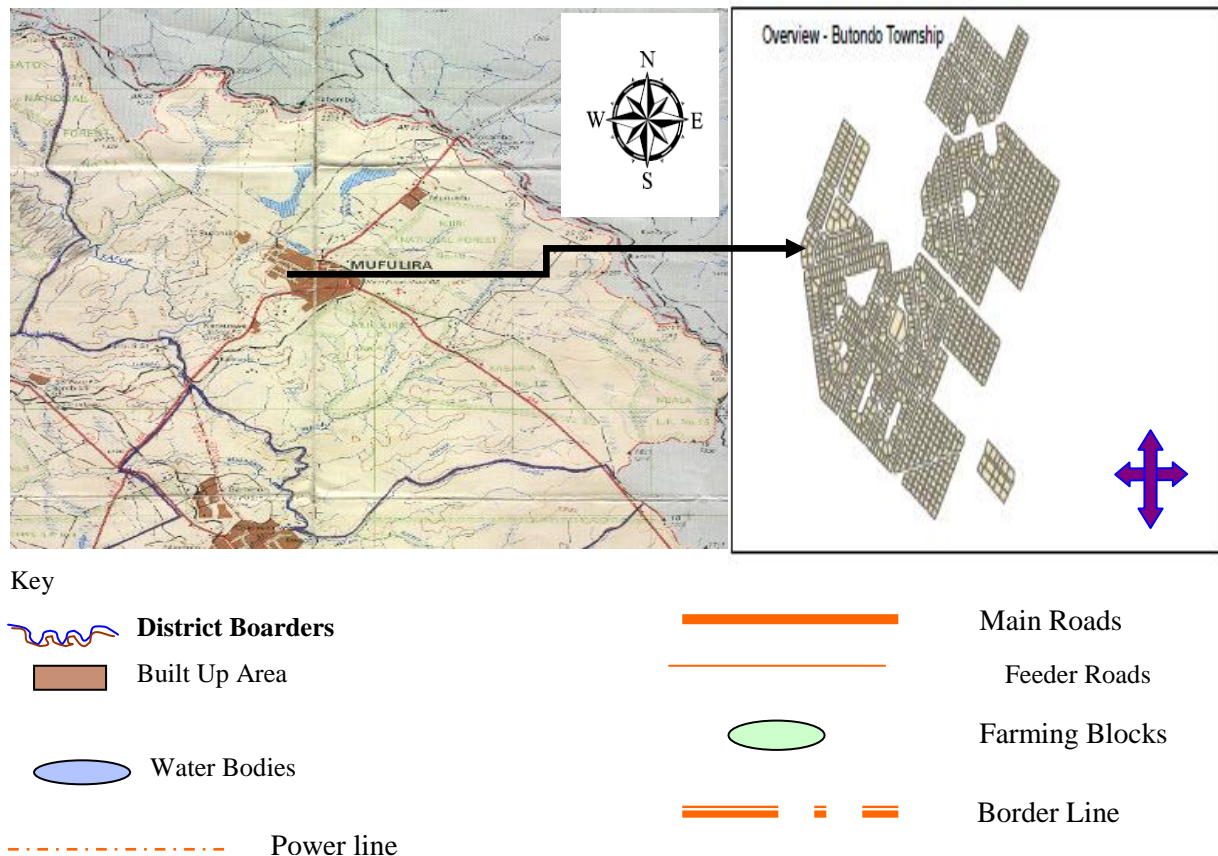
To structure the analysis, a rounds model by Teisman (2,000) on policy and decision-making processes will be used. This is because it sets a platform on which variety of actors involved in decision making processes can be assessed as well as their objectives, solutions and their interaction patterns.

#### **4.1.1 Butondo Street Lighting CDF Project**

Butondo Street lighting project located in Butondo Township, of Mufulira district is one of the community projects which were funded by the CDF in the year 2010. This project was conceived by the community as a response to the increased criminal activities (thefts, murder, drug dealing etc) in Butondo Township especially during the night time, in the year 2007. The increase in these criminal activities led to the residents mobilizing themselves in order to put their heads together in finding a lasting solution to the criminal activities. In the year 2008, through a number of meetings and consultations that the community had, they resolved that the only lasting solution was to put up street lights in all strategic roads of the township. During the same year, the community representatives (Residential Development Committee-RDC) made a number of consultations with other institution both within and outside the township, to find out about the material requirements and the costs of having such a project, implemented in their township. The institutions consulted by the community during this stage included Zambia Electricity Cooperation (ZESCO), Zambia Police, Business Houses, the Local Authority and the Association of Mufulira Local Contractors. Upon establishing the total costs and material requirements of the project, the community realized that it was a costly project and thus, decided that they develop a project proposal through which they can mobilize funds for the project. The RDC together with some community members developed a project proposal for the street lighting project and later on held a community meeting to discuss the proposal and the possible sources of funding for the project. During this meeting, the community resolved that they try to solicit for funding from the Local Authority's CDF funds. By the end of the year 2008, the Residential Development Committee (RDC) submitted this project proposal for street lights installation to the Local Authority for possible funding. Early 2009, the Local Authority, through a number of committees namely the Constituency Development Committee (CDC), Planning Sub Committee (PSC) and District Development Coordinating Committee (DDCC), technically appraised this project proposal and later on recommended it to full council for approval. By the end of the same year, the full Council approved this project for funding, with modifications made to the scope and costs of the project. The project was allocated a total sum of ZMK 400,000,000 (USD80, 000) and was to cover approximately 2.3 Km of Butondo road. Due to the technical nature of the

project, the full council also resolved that the contractor be engaged in implementing the project rather than the community. In this regard, early 2010, the Local Authority initiated an advert in the public media inviting the local contractors to bid for the construction of the street lights project in Butondo Township. During this same year, the District Tender Committee, sat and awarded a tender to construct the street lights in Butondo, to a local contractor called KYOBAMBA Company. By the end of 2010, the contractor finished the construction of the street lights and handed over the project to the Local Authority.

**Figure 7: Location of Butondo Township in Mufulira District**



#### 4.1.2 Overview of the Participatory Planning Process of the Butondo Street Lights in Rounds

In order to provide detailed insights on the role of participatory planning process in the attainment of community owned CDF project (i.e. Butondo street lighting project), the entire CDF planning process is divided into five rounds. Each round has a time period of one year. Each round is defined or concluded when a crucial decision is made or crucial event happens which sees the joining of new actors in the process. In each round, the focus is on the nature of the process (in terms of actors involved in the process, their interaction patterns etc) and the outcome of the process. Table 7 below shows the main characteristic of the Butondo street lights project.

**Figure 8: Main Characteristic of the Butondo Street Lights Project**

Butondo Street Lights Project	
<b>KEY ACTORS</b>	- Local Authority -Community -Zambia Police -Business Houses -Butondo clinic -ZESCO -Local contractors -Committees established under the Local Authority (CDC, PSC, DDCC, Full Council and Tender Committee)
<b>ISSUE</b>	The street lighting project is constructed to reduce incidences of criminal incidences in Butondo and later on vandalized by the Community
<b>TIME FRAME</b>	<b><u>Round I (2007-2008)</u></b> Increasing incidences of criminal activities in Butondo <b><u>Round II (2008-2009)</u></b> Development of a street lights project proposal <b><u>Round III (2009-2010)</u></b> Appraisal and Approval of the street light project for funding <b><u>Round III (2009-2010)</u></b> Appraisal and Approval of the street light project for funding <b><u>Round V (2011-2012)</u></b> Operating and Maintaining the Street lights along Butondo road
<b>Regulations</b>	1995 CDF Guidelines
<b>Size</b>	2.3 Km stretch of Butondo Road
<b>Budget</b>	Approximately ZMK 400, 000, 000 (£70, 000)

The first round (2007-2008) saw the increase in the incidences of criminal activities in the area and led to a number of interactions amongst actors. In these rounds, the community took the leading role in coming up with solutions. The key actors were the community, Zambia Police, business houses and Butondo clinic. By the end of the year, after a number of interactions (community meetings) amongst actors, the community realized that the police station in Butondo Township was understaffed and they could no longer depend on the police for security.

In 2009 (round II), the community initiated another set of interactions in search for an alternative lasting solution rather than just depending only on the police for security. These interactions involved a large number of actors such as the community, Zambia police, ZESCO, local contractors, business houses and local authority who met frequently to come up with a lasting solution. During this period, the actors identified a solution and developed a project proposal for the street lights construction in their area, as the lasting solution to the increased criminal incidences. By the end of the year, the community through their Residential Development Committee (RDC) submitted the project proposal to the local authority in order to source for funding.

In the year 2010 (round III), the submission of the street lights project proposal to the local authority, also saw a set of interactions amongst a new set of actors. However, this round saw the decreased and stabilized number of actors interacting throughout the process and the community was not involved. The actors included the various committees established under the local authority namely the Constituency Development Committee (CDC), Planning Sub Committee (PSC), District Development Committee (DDCC) and Full Council. These actors (committees) met to appraise the project in order to approve it for funding from the CDF



accounts. Upon making some changes to the project design, scope and cost, the full council committee approved the street lights project for funding.

In 2011 (round IV), the tender committee sat to award the tender to construct the street lights, to a local contractor. This round also involved reduced number of interactions and a reduced number of actors in the process. Upon the award of the tender, a new set of interactions amongst the local contractor, the local authority’s civil engineer and the PSC started. This round involved the actual construction of the street lights along Butondo road. By the end of the year, the contractor finished the construction works and handed over the project to the Local Authority for operation and maintenance. In the year 2012 (round V), during the first two months, the project was operational and it played a great role in the enhancement of security in the area during the night. However, four months down the line, the street lights recorded high vandalism and thefts rates. During this period, the number of actors also drastically reduced and there were no interactions amongst the actors in the process. The Local Authority was the only actor executing the operation and maintenance works, as the beneficiaries (community) decided not to participate in the operation and maintenance of the street lights. Approximately six months after implementation, the Butondo street lights project was not functional as it was highly vandalized and incurred high costs of maintenance. The local authority was greatly overwhelmed with these high costs thus; it failed to run the project.

**Figure 9: Location of Street Lights in Butondo**



## 4.2 Presentation of Research Findings and Analysis

As a recap, the following are the formulated research questions to this study.

- **Overall Research Questions**

What is the role of participatory planning in ensuring the attainment of community owned (sustainable) CDF projects?

The following are specific questions formulated from the overall research question.

- **Specific Research Questions**

(i) What is the nature of the participatory planning process?

(ii) In how far has the participatory planning process led to the attainment of the community owned projects/sustainable projects?

(iii) What are the factors influencing stakeholders participation in the planning process?

In providing answers to the formulated a number of theories and concepts identified from the theoretical chapters were used. The theories used included the theories of participatory planning by Smith (1973), concept of self organisation by Van Meerkerk et al (2012), concept of sustainability by Van Den Dool (2003) and the concept of citizen initiatives by Bakker et al (2012). According to the theories of participatory planning by Smith (1973), a participatory planning process should be in form of a learning process (adaptive). This adaptive process should allow stakeholders to change their project's goals and roles of stakeholders in the process without difficulties. He argues that this process result into the integration of power with the authority amongst actors thus, leading to collective actions/decisions amongst actors. These collective actions in executing the project's activities, results into a community owned project (sustainable). On the other hand, Van Meerkerk et al (2012) also noted that any urban regeneration process (e.g. participatory planning) is the interplay of both autopoietic and dissipative interactions amongst actors. He further argues that the interplay of autopoietic and dissipative interactions is necessary for the formation of vital actor relations (strong relationships) amongst stakeholders. Vital actor relations enable different actors to develop relational capacity and to jointly/collaboratively develop problem definitions and solutions in the urban area. Vital actor relations (strong relationships) are very cardinal in the attainment of a community owned project (sustainable project) as they lead to the formation of support structures (project steering committees) and the integration of power with the authority. In addition, Van den Dool (2003) argues that support structures play a vital role in the sustainability of community projects. He further explains that support structures ensures sustainable community projects because, they involve key actors from different institutions coming together to spearhead/support projects' activities. Van den Dool (2003) also notes that these support structures only emerges from a project decision making process (planning process) that is in form of a learning process (adaptive). In the same line Van Meerkerk et al (2012) also argues that urban regeneration processes (participatory planning process) in which local stakeholders take the lead are interesting for realising tailor made and sustainable urban regeneration.

Based on these theories and concept, the data collected for the formulated research questions has been analysed in five parts, of which each part comprise of the analysis for a single round. Each round will be analysed in terms of its nature of participatory planning process, the outcomes of the participatory planning process and lastly the factors influencing stakeholders' participation in the process. This analysis will provide a basis on which conclusions and recommendation can be drawn.

### 4.3 Nature of the Participatory Planning Process

In answering the research question which read, ‘*What is the nature of the participatory planning process?*’, the previous theoretical chapter identified two critical aspects of a participatory planning, namely ‘*adaptiveness*’ and the ‘interplay between *autopoietic and dissipative interaction*’ . Smith (1973) from the theories of participatory planning focussed on the planning process itself and noted that a participatory planning should be adaptive. This process should be in form of a learning process and should allow for the changes in goals and roles of actors. On the other hand, Van Meerkerk (2012) focussed on the stakeholders’ interactions pattern (participation pattern) within the participatory planning process and noted that a participatory planning process is the interplay between ‘autopoietic and dissipative interactions’ amongst stakeholders. He further argued that these interactions leads to the formation of vital actor relations (strong relationships) that plays a vital role in the attaining community owned projects. Thus, in answering the above research question, the data collected will be discussed in the light of these aspects of a participatory planning process as follows (see also table 8 below).

#### 4.3.1 Round I (2007-2008) –Increased Incidences of Criminal Activities

This round will be analysed in terms of the nature of its planning process by discussing the manner in which stakeholders participated in the process in terms of dissipative and autopoietic interactions. Later, the participatory planning process itself will also be assessed in terms of its flexibility in allowing for changes. Thereafter, the process will be assessed to establish how far it went in attaining a community owned project (sustainable project) by discussing its outcomes.

- **Manner of Stakeholders Participation - Dissipative Interaction Behaviour**

The first round marks the emergence of the Butondo street lighting project. Due to the increased incidences in criminal activities in the area, a participatory planning process developed involving the community members, the police and the hospital as summarised in table 11 below. The process involved the community reporting criminal incidences to the police. It also involved the community helping out the victims injured or the murdered by criminals, by taking them to the hospital or police station. Due to these incidences, the community wanted to explore the possible solutions to put an end to the criminal activities in the area occurring during the night time. In this regard, the community mobilised themselves and held meetings with the police to discuss on security issues. These meetings attracted high responses from the members of the community and the coordinating body for all these interactions were the Residential Development Committee (RDC). From a number of meetings held between the community and the police, it was established that, the Zambia police was under staffed and could not manage to guard the entire area during the night, which saw a need for the community to look for a lasting solution.

*“Because of these high incidences of crime, the RDC moved from door to door, mobilizing the community for a meeting to discuss security issues in the community. When I went to the meeting, I was very impressed because people attended in numbers and were very cooperative. We discussed the issue very well and we shared ideas with other community members plus one officer from Zambia Police. The officer indicated that the labor force at their police station is small, and they can’t manage to be guarding the entire community during the night and this led to a suggestion by all the community members that the best way to approach the issue should be found”* (In interview with Community Member, Butondo Township, 2013)

- **Manner of Stakeholders Participation - Autopoietic Interactions Behaviour**

The first round is also characterised by participation involving few numbers of stakeholders at some point in the process. From a series of meetings the community had been having, the RDC met to consolidate the ideas together to establish the possible solutions of enhancing security in the area. The RDC also held the meetings with the police to discuss with them, the security concerns from the meetings.

*“After community meetings, we the RDC held closed door meetings alone, to consolidate all the views from the community and come up with a concrete resolution from the views. We further made consultations with the Zambia Police on some issues we were not clear of and to discuss the security issue in details’.* (In interview with RDC, Butondo Township, 2013)

**Table 6: Stakeholders’ Interaction Behaviour and the Adaptivity of the Planning Process**

<b>Time Frame</b>	<b>Dissipative Behaviour</b>	<b>Interactions</b>	<b>Autopoietic Interaction Behaviour</b>	<b>Adaptive Process</b>
<p><b>Round I (2007-2008)</b> Increasing incidences of criminal activities in the area <b>ACTORS</b> Community, Zambia Police, Business Houses and Butondo clinic</p>	-Interactions connecting large number and different stakeholders in finding ways of enhancing security in the area.		-Interactions involving small number of actors e.g. (RDC) holding meetings to consolidate ideas from the community members	-Stakeholders learning from each others on ways of enhancing security
<p><b>Round II (2008-2009)</b> Development of a street lights project proposal <b>ACTORS</b> Community, Zambia Police ZESCO, Local contractors Business Houses and Local Authority</p>	-Explorative planning process connecting large number of stakeholders in finding a solution to the high incidences of criminal activities.		-Stakeholders establishing small working teams to develop the project proposal.	-Stakeholders changing the scope of the street lights project to reduce the cost and in order for it to suit the existing local conditions.
<p><b>Round III (2009-2010)</b> Appraisal and Approval of the street light project for funding <b>ACTORS</b> CDC, PSC, DDCC and Full Council</p>	-		-Stabilisation and involvement of a reduced number of stakeholders (committees)	-Few selected committees (PSC and Full Council) making changes to the project design and scope during the technical appraisal.
<p><b>ROUND IV (2010-2011)</b> Constructing the street lights along Butondo road <b>ACTORS</b> Council, Contractor and PSC</p>	-Invitation of bids from local contractors in the pubic media by the Local		-Participation involving few selected number of stakeholders (Civil Engineer, Contractor and PSC).	-
<p><b>Round V (2011-2012)</b> Operating and Maintaining the Street lights along Butondo road <b>ACTORS</b> Local Authority</p>	-		-Participation involving one stakeholder (i.e. Local Authority)	-



Having looked at the manner in which stakeholders participated in the planning process, this research also looked at the planning process itself to establish its flexibility in allowing for changes in goals and roles of actors during the process. The process will be also assessed to establish whether it facilitated for stakeholders to learn from each in the process. The process was assessed in terms of how stakeholders came up with decisions that suited the existing local conditions as discussed below:-

- **Flexibility of the Planning Process to Changes (Adaptive Process)**

The research findings revealed that, during the first round decisions were made by actors (community, Butondo Police and Butondo Clinic) during discussions in community meetings and through consensus building. These community meetings allowed for stakeholders to share ideas and learn from each other about the possible ways of enhancing security in the area. This round involved the community learning from the police on possible ways of enhancing security and the police learning from the community about the incidences of crime and the possible reasons for this. However, this round did not include any changes in goals or decisions, as this round had no major decisions made yet, since the stakeholders were participating in the form of exploratory planning. In this round, adaptivity was mainly in form a planning process that allowed stakeholders to learn from each others.

*“We had open discussions and everyone was encouraged to share ideas with the others in order to come up solutions. The police officer was usually in our midst to teach us on ways of enhancing security in the area and we shared ideas with him on the issues pertaining to criminal activities in our areas.”*(In interview with Community Member, Butondo Township, 2013)

Having assessed the nature of the planning process in the first round, the research proceeded to identify the outcomes of the planning process. This was done in order to answer the second research question which sought to determine how far the planning process had gone in attaining a community owned street lighting project as discussed below:-

- **Outcomes of the Participatory Planning Process**

In answering the research question which read, ‘In how far has the Participatory Planning Process led to the attainment of Community Owned (Sustainable Projects)?’, the previous theoretical chapter identified three main outcomes of a participatory planning process. These outcomes are ‘the formation of vital actor relations’ leading to ‘the integration of power with the authority’ and the ‘emergence of new support structures/governance structures’. According to the theories of planning by Smith (1973), a participatory planning process that is in the form of a learning process (adaptive) and incorporates citizens, results into community ownership. On the other hand, while Smith focussed on the nature of the participatory planning process itself, Van Meerkerk et al (2012) focussed on the outcomes of the stakeholders’ interactions in the planning process. In the same line he argues that the interplay between autopoietic and dissipative interactions lead to the emergence ‘vital actor relations’ and ‘governance structures’. Van Den Dool (2003) argues that a projects’ planning process that is the form of learning process leads to the formation of projects support structures that plays a key role in the maintenance of the project. The three identified outcomes are necessary preconditions in attaining a community owned project which is a sustainable project (ultimate outcome). Therefore, this research deemed necessary to find out the outcomes of the participatory planning process of the Butondo street lighting project, so as to gain insights regarding the achievements of this process. It is for this reason that the outcomes of the participatory planning process were assessed and analyzed in terms of the emergence of ‘vital actor relations’, ‘support structures’ and the ‘integration of power’ amongst the actors in the process. These three outcomes were further assessed to establish

whether they yielded the aspect of community ownership (ultimate) in the project. Regarding the issue at hand, the research revealed the following:-

- **Vital Actor Relations**

In the first round, the increased incidences of criminal activities in Butondo township, started some form of a participatory planning process amongst the actors (community, Zambia police and Butondo Clinic). This process resulted into joint strategies amongst stakeholders in order to solve problems. In this round it was discovered that, the stakeholders held a number of community meetings which resulted into the high level of understanding amongst them. This situation resulted in the stakeholders jointly finding solutions and collectively taking actions such as reporting criminal incidences to the police station, holding meetings with the police in order to find solutions together. These strong relationships amongst stakeholders were developed during the process, as the result of a good number of meetings and interactions stakeholders had. Stakeholders interacted (participated) both during community meetings and closed doors meetings (police holding meetings with community leaders - RDC). The 'vital actor relations' were mainly seen in form of good communication and high level understanding, collaborative efforts, joint problem definition and low level conflicts amongst stakeholders, during their ongoing interactions. Strong stakeholders' relationships were recorded when community held meetings with the police to jointly come up with ways of enhancing security in the area.

*".....We (the community and police) understood each other very well because we were all affected with high criminal activities in the night, so we worked as a team to alleviate the problem. We used to discuss this issue (enhancing security) many times, both formally in meetings and informally (outside the meetings) with our friends, families and neighbours. We also used to help one another, for instance if we found a person beaten, robbed or even murdered in the area, we used to help them by taking them to the clinic or police station depending on the situation"* (In Interview with the Community Member, Butondo, 2013)

*"We worked as a team with the police, and most of the times we had community meetings the police station used to assign one police officer to join us in the meetings. We had put our heads together with the police to come up with possible ways of enhancing security in the area. (In interview with the RDC, Butondo, 2013)*

- **Formation of Project Steering Committees (Support Structures)**

In this round, the emergence of support structures was mainly in form of the community members joining the RDC and forming teams responsible for mobilising other community members for meetings. This was done by assigning each team an area of operation where they moved from door to door informing other community members about the meetings. The other teams were responsible for preparing the meeting venue by cleaning and putting the venue in order. The Zambia Police also assigned an officer on board, who joined the community meetings and talked about ways of enhancing security in the area.

*"We never used notices or letters to communicate amongst ourselves because we had no capacity to do that, but instead we formed teams to do different tasks such as preparing the meeting venue, mobilising other community members and disseminating information"* (In Interview with the Community Member, Butondo, 2013)

*"We (RDC) had a number of community members joining us and volunteering to assist in undertaking a number of tasks pertaining to the mobilisation of meeting. We usually formed teams and we assigned each other tasks to execute in preparations for the meetings"* (In Interview with The RDC, Butondo, 2013)

- **Integration of Power with the Authority**

In this round, the integration of power was mainly in form of the existence of interdependent relationships, consensus building, collaborative efforts and collective actions amongst actors.

The interdependent relationships were evidenced when the community and the police were depending on each other in coming up with a lasting solution to criminal activities. The community members were also depending on each other in executing tasks pertaining to the mobilisation the entire community. The collaborative efforts were recorded when the community was collaborating with the police by reporting criminal incidences occurring in the community. The collective actions were observed when the community were forming teams to mobilise other community members, preparing the meeting venue and when the community and the police were holding meetings together to come up with the solution.

*“When it came to organising community meetings, we did everything together as one family. And during community meetings, we respected each others opinion and in times of disagreements we voted by raising hands and the majority would win and their opinion established. We usually reached a consensus when it came to making the decisions.”* (In Interview with the Community Member, Butondo, 2013)

*“During community meetings, decisions were made consensually and everyone was free to contribute ideas as everyone was equal. We had also the police in our midst and we used to make decision together with them.”* (InFocus Group Discussions with the RDC, Butondo, 2013)

Having discussed the two outcomes the participatory planning process in the first round, this research further assessed these two outcomes to establish, whether they led to the attainment of community ownership of the street lights project (ultimate outcome), as presented below.

- **Community Ownership**

This research revealed that in this round (first round), the community together with other stakeholders were willingly sharing and executing roles. These roles included preparing of meeting venues, mobilizing other community members to discuss security issues, helping out the victims of crime and reporting to the police station any suspected incidence of crime in the area. This commitment towards the undertaking of various project’s activities by the stakeholders was as a result of the number of meeting and discussion which stakeholders held, resulting into the building of relationships amongst stakeholders. These built relationships amongst stakeholders improved understanding amongst them and resulted into collective actions/decision making. Community ownership in this round was mainly in form of the community, willingly sharing and carrying out responsibilities aimed at enhancing security in their area.

*“In order to enhance security in our area, we (community) used to report criminal incidences in our community to the police. At times, we were also using our own resources to take people who were beaten or even killed in the night by thieves, to the hospital. We also used our own resources to mobilize ourselves and prepare for meetings where we used to invite a police officer, to discuss with us ways of enhancing security in our area.”* (In Focus Group Discussion with the RDC, Butondo, 2013)

- **Concluding Analysis of Findings for Round I (One)**

From the above findings, this research revealed that the nature of planning undertaken in the first round qualified to be ‘participatory planning’ according to the theories of planning by Smith (1973) as it was in form of a learning process and involved the community (beneficiaries) in spearheading various projects activities. The research findings further reviewed that there were a number of open community meetings (incorporating a number of stakeholders) and some closed meetings were the community representatives (RDC) met to consolidate community ideas into solutions. This scenario depicted the interplay of autopoietic (closed meetings) and dissipative interactions (open meetings) as argued by Meerkerk et al (2012) which further qualifies this process to be participatory planning (urban regeneration process). It must also be noted that because the planning process in this round

was participatory in nature, it resulted into strong relationships being built amongst stakeholders, this scenario depicts the emergence ‘vital actor relations’ from the planning process as argued by Meerkerk (2012). These relationships in turn led to the community together with other stakeholders (in teams) owning the process by collectively making decisions/ undertaking actions. This scenario also clearly depicts the argument by Van Den Dool (2003), that any project planning process which is in the form of learning process lead to the formation of support structures (project steering teams), which are vital in ensuring the sustainability of the project (community owned projects).

### **4.3.2 Round II: (2008-2009) Development of Street Lights Project Proposal**

Just like the previous round, the second round will also be analysed in terms of the nature of its planning process by discussing the manner in which stakeholders participated in the process. Later on, the process itself will be assessed to establish its flexibility in allowing for changes. Thereafter, the participatory planning process will be assessed to establish how far it went in attaining a community owned project (sustainable project).

- **Manner of Stakeholders Participation -Dissipative Interactions Behaviour**

In this round (II), the community together with other stakeholders started another participatory planning process, upon discovering that the police station in their area had been experiencing staffing problems and could no longer be dependable. In the same vain, the RDC started mobilizing the community members for some meetings in order to explore for a lasting solution. This resulted into a participatory planning process amongst the community, the police, business houses, local contractors, ZESCO and the Local Authority, summarised in table 8 above. During the community meetings, it was resolved that the lasting solution to the increased criminal activities, was the construction of street lights in the township. The RDC were then assigned to make a number of consultations with ZESCO, Local Contractors and business houses pertaining to the costs of materials and material requirements for a street lighting project.

*“In 2008, we as the community started holding meetings to discuss how to improve security in the area since the police were overwhelmed with these incidences. Through a number of meetings, we agreed to pursue the Butondo street lighting project and source for funding. We had support from the police, local contractors and the business houses as they were also affected especially during the night. We agreed during the meetings that the RDC pursue this issue further by developing a project proposal for street lighting which was to be used in sourcing for funding for this project.”* (In Interview with Community Member, Butondo Township, 2013)

*“We visited the Mufulira Contractors Association, to find out about the material requirements for the streetlights project. They also helped us in developing a material schedule for the project. We consulted hard ware shops to find out on the costs of materials. We also consulted ZESCO, to find out the costs of electricity installation on street lights”.* (In Interview with RDC, Butondo Township, 2013)

- **Manner of Stakeholders Participation -Autopoeitic Interactions Behaviour**

After a number of consultations made by the RDC with other institutions, the RDC together with few community members (with project proposal writing skills) met to consolidate the ideas from the community and developed the project proposal in details. This led to the division of responsibilities amongst the RDC and the few community members. The most important autopoeitic characteristic in this round is the sudden reduction in the number of actors in the process and the consolidation of the contents into a project proposal. Upon completion of the project proposal writing, the RDC made the process more open again by

calling for a community meeting were the project proposal was presented, for public scrutinise. After this meeting the RDC again closed the process and met as RDC, to make final changes to the project proposal before making a submission to the Local Authority.

*“We agreed during the meetings that the RDC pursue this issue further by developing a project proposal which can be used to source for funding for this project. During the meetings, other community members with project proposal writing skills were also urged to feel free to join the RDC in developing the proposal. Around the year 2008, the RDC finished developing the proposal and informed the community during the meeting, that they are proceeding to submitting the proposal to Council in order to mobilize the funds for the project.”* (In Interview with Community Member, Butondo Township, 2013)

Having discussed the manner in which stakeholders participated during the planning process of the second round, this research will further assess the planning process itself in terms of its flexibility in allowing for changes to be made in the process. The process will be also assessed to establish whether it facilitated for stakeholders to learn from each in the process.

- **Flexibility of the Planning process to Changes (Adaptive Process)**

The research discovered that in this round (round II), the planning process was characterised by a two way communication pattern amongst actors and involved the stakeholders making changes to their decisions after learning or consulting from each other, in order to come up with a project that would suit their existing conditions. In this round, the RDC and the community were seen making some changes to the scope of the street lights project after consultations with ZESCO. The changes to the project’s scope were made, in order to reduce the project construction costs and in order to make it more viable. The planning process in the second round allowed for changes in roles of actors and had a two way flow of information amongst actors extending through out the process. Due to the flexibility of the process in terms of allowing for changes in decisions, the actors managed to come up with the project (street lights) proposal that suited the local existing conditions.

*“At first we proposed in our meetings that we put up street lights along Butondo road and around the entire community but when the RDC went to consult ZESCO, we were told that it was very expensive and unrealistic because the settlement was too big. Thus, we met again as a community and changed our decision to only putting up street lights along Butondo road and few strategic streets that we identified.”* (In Interview with Community Member, Butondo Township, 2013)

*“Changes in decisions were welcome if there was need for a change to a better option. We had changed the project goals once, when we discovered that the costs of our first project proposal were too high. We changed the scope of the project upon agreeing with the members of the community.”* (In Interview with RDC, Butondo Township, 2013)

Upon assessing the nature of the planning process, this research proceeded to determine how far the planning process in the second round, had gone in attaining a community owned street lighting project. Attention was paid particularly to the expected outcomes of a participatory planning approach based on the theories of planning by Smith (1973), concept of self organisation by Meerkerk et al (2012) and concept of sustainability by Van den Dool (2003) as discussed earlier on, in the previous section.

- **Outcomes of a Participatory Planning Process**

This section seeks to find out the outcomes of the participatory planning process of the Butondo street lighting project particularly in the second round, so as to gain insights regarding the achievements of this process. This is in order to generate answers to the second research question which read; In how far has the participatory planning process led to the

attainment of the community owned projects/sustainable projects? The outcomes of the participatory planning process were assessed and analyzed in terms of the emergence of ‘vital actor relations’, ‘support structures’ and the ‘integration of power amongst actors’ as detailed discussed below. These three outcomes were further assessed to establish whether they yielded the aspect of community ownership (ultimate) in the project.

- **Vital Actor Relations**

This round recorded the formation of strong relationships amongst the actors. This research likens these relationships to ‘vital actor relations’ as argued by Merkerk et al (2013). In this round (round II), vital actor relations were mainly in form of joint problem and solution definition, continuous stakeholder’s participation in community meetings/discussions, mutual understanding and low level conflicts amongst stakeholders. This round involved the largest number of stakeholders namely ZESCO, Local Contractor, Police, Business Houses, and Local Authority, participating in the planning process. The community held a number of meetings with other stakeholders during the development of a project (street lights) proposal, which was later on submitted to the Local Authority. During this process, there was mutual understanding and no major differences (low level conflicts) amongst all the stakeholders and every stakeholder was committed to the process. Stakeholders outside the settlement, such as the association of local contractors were helpful in the process and interacted frequently with the community when coming up with the bill of quantities for the project. Local business houses also participated in the planning process, by providing the community with information as well as resources such as stationery, water etc. The community consulted ZESCO on the total costs of electrification of street lights and the Local Authority on how to access funding for community projects. These institutions were also understanding in the process and provided the community with the much needed information.

*We had a number of community meetings and consultative meetings before we developed the proposal. During community meetings, we had harmony because we were all working to attain one goal that was to enhance security in the area. We had institutions such as the Zambia Police helping out in defining the solution. Other institutions such as the association for local contractors were very helpful in the process, as they assisted us to develop the bill of quantities for the project and the business houses from Butondo market also used to help out in the development of the proposal and sometimes also assisted us with materials such as papers, pens and water for the meetings. We also consulted the local authority at some point and they were also very understanding and helpful, as they provided us with the information on how to access funding. (In Focus Group Discussion with RDC, Butondo, 2013)*

*The interactions were smooth and it was also fun, because we got to make new friends during the process and we got to know our neighbours better. Though there were people who were trying to dominate the meeting, the chairman tried to control them and requested them to also allow others to talk. In short, there were no confusions and everyone behaved very well in the meetings and that’s why we were able to develop the proposal as one team. (In Interview with the Community Member, Butondo, 2013)*

- **Integration of Power**

This round recorded the highest form of integration of power through out the process, as the stakeholders had equal decision making power in the planning process. The integration of power was mainly in form all the actors jointly and collectively making decisions through consensus building. The decisions were made openly through community meetings by building consensus amongst the members. In this round, interdependent relationships were more evident amongst the actors; these relationships involved the Zambia Police depending on the community in addressing the issues of increased incidences of criminal activities and the community also depending on the Zambia Police for support. The community was also

seen depending on ZESCO and the local authority for information. This round saw the community members together with other actors holding meetings and making decisions jointly.

*“We worked together as a team with other actors such as the police, local contractors and business houses when it came to the definition of the solution (developing a project proposal) to our problem. The goals were set consensually and we used to vote if there exists divergent views. The meetings were very open and everyone was free to talk, which was good thing.”* (In Interview with the Community Member, Butondo, 2013)

*“.....We jointly developed and made decisions pertaining to the development of the project proposal with other actors such as the association for local contractors, business houses and the sometimes the police. We also consulted other institutions such as ZESCO and the Local Authority, to acquire more information on the costs and possible sources of funding”* (In Focus Group Discussion with the RDC, Butondo, 2013)

- **Formation of Project Steering Committee (Support Structures)**

The second round also saw the emergency of support structures from the ongoing stakeholder’s participation in the planning process. The support structures were mainly in form of “formation of working groups or project steering committees” and “the changing roles of actors.” During the project proposal writing stage, a number of actors with project proposal writing skills were seen forming groups and were assigned with different tasks pertaining to project proposal writing. For instance, some groups were responsible for going to other institutions to fetch the required information, some were responsible for resources mobilisation and the other groups were responsible for the actual consolidation of data to into a project proposal. During this process, there were actors from other institutions both from within and outside the settlement, such as the association of local contractors, Zambia police and business house who later on joined the community in executing the tasks pertaining to project proposal development. This research likens the formation of working groups or project steering committees to the ‘support structures’ as indicated by Van Den Dool (2003) from the concept of sustainability, as indicated in the previous theoretical chapter.

*“When it came to the development of the project proposal, we formed small teams comprising of the RDC and the community members, and each team was assigned a specific task. For instance, some teams were responsible for gathering data needed for the project proposal from other institutions, others were responsible for mobilising resources and others were responsible for consolidating the data into a project proposal. We were joined by other members from other institutions such as the association of local contractors, business houses who used to assist us with technical data of the project.”* (In Interview with the Community Member, Butondo, 2013)

- **Community Ownership**

The second round recorded the highest form of community ownership, as the community owned the entire planning process. Community ownership was mainly in form of the community initiating and spearheading the entire process, sharing and carrying out the responsibilities pertaining to the development of the project proposal. The community spearheaded the entire process and they even indentified and invited other actors on board during the process. During this round, the community was also seen willingly contributing their own resources (financial and material), information, skills, knowledge, and time towards the development of the project proposal. Thus, the community owned the product of the process which was the project proposal. It was defined and developed by them, without any external influence.

*“The project proposal was community achieved because it was the product of our own labour and sweat. We (community) worked as one family and we all sacrificed our own resources and time in ensuring that the project proposal was developed. No one forced us to come up*

*with this project, but we had put our heads together and decided that we come up with this project to put an end to criminal activities in the area* (In Focus Group Discussion with the RDC, Butondo, 2013).

- **Concluding Analysis of Findings for Round II (Two)**

The research findings clearly revealed that in the second round, the entire planning process was spearheaded by the community and it recorded the highest number of participation of stakeholders. The planning process was in form of stakeholders learning from each other before making decisions. These stakeholders adopted a two way communication pattern (discussions and meetings) through out the process. During this round, stakeholders were seen making changes to the scope and the costing of the proposed project, in order for it to suit the existing conditions. Based on these findings and the arguments by Smith (1973), that citizen participation is an essential element of any participatory planning process and that a participatory planning process that is adaptive is in form of a learning process, this research likens the planning process in the second round to 'participatory planning'. The findings further reviewed that because of the nature of the planning process (participatory) in this round, there were strong relationships built amongst stakeholders. These relationships resulted in stakeholders understanding each other better hence; they collectively made decisions and executed projects' activities. These strong relationships also resulted in the stakeholder's forming working groups or project steering committees to willingly execute various projects activities. The community owned the entire planning process in this round hence; they took responsibility of every project's activities. Based on these findings and on the theories of participatory planning, self organisation and sustainability this research, observes that in this round, the participatory planning process led to the formation of vital actor relation (strong relationships), support structures (project steering committees) and the integration of power amongst stakeholders'. This resulted in the community owning various projects activities to do with project proposal development.

### **4.3.3 Round III: (2009-2010) Appraisal and Approval of the street light**

#### **Project for funding**

Just like the previous rounds, this round was also be analysed in terms of the nature of the planning process undertaken by stakeholders, by paying particular attention to the manner in which stakeholders participated in the planning process. This research also assessed the flexibility of the planning process in allowing for changes, in order to establish its adaptivity. Thereafter, the planning process was also assessed to establish how far it went in attaining a community owned project (sustainable project) as follows:-

- **Manner of Stakeholders Participation -Dissipative Interaction Behaviour**

After the submission of the project proposal to the Local Authority by the community, another participatory planning process involving committees established under the local was triggered. The research established that this round neither recorded a large number nor different categories of stakeholders as compared to the two previous rounds spearheaded by the community themselves. Thus, this round did not yield any dissipative behaviour in the participation pattern of stakeholders. This is mainly because this round was strictly guided by the CDF guidelines which strictly stipulated the actors to be involved in the process and when to be involved. According to the CDF guidelines, only committees of the local authority (CDC, PSC, DDCC and full council) were supposed to participate in the planning process during this period. The committees consisted of a small number of stakeholders (10 -15



people) who only interacted few times (at most 2 times) within their individual committees. The community was not part of this process.

- **Manner of Stakeholders Participation -Autopoietic Interactions Behaviour**

Another form of participation involving few and predetermined stakeholders (committees) was initiated during the third round. The research revealed that the planning process was characterised by closed door committee meetings where non members were not allowed to attend. The stakeholders participated in the planning process in order to execute sequential pre planned tasks. These tasks included the appraisal, selection and approval of the project, as stipulated by the CDF guidelines. This planning process only consisted of the committees (according to the CDF guidelines) established under the local Authority namely the CDC, PSC and the DDCC. These actors' interactions were guided by the CDF guidelines. The main autopoietic characteristic of this round is the reduced number of actors, who participated within the process and the reduced intensity/frequency of stakeholders' interaction. Stakeholders only interacted within their individual committees and were not interacting with other stakeholders outside their committees. The first stakeholder to participate in the planning process was the CDC Committee (consisting of ten individuals), which appraised the project in terms of sense of urgency and later prioritised the project. They further submitted their prioritised list of projects to another committee called PSC for technical appraisal. The PSC also sat and technically appraised the project and later came up with their own list of prioritised projects, which was totally different from the CDC's list. They further, also submitted their prioritised list of projects, to the DDCC for further scrutiny. The DDCC adopted the list the same way it was and recommended it to full Council for approval. The full Council committee also sat and made some changes to the project by reducing the scope of the project and the cost of the project before approving it. The project was further approved by full council who recommended that the project be executed by a contractor and not the community themselves, due the technical a nature of the project. Thus, it was further referred to the District Tender Committee for the selection of the contractor to execute the project. The planning process in this round was sequential as all the stages were pre planned in the CDF guidelines and every committee was supposed to adhere to them.

*“As the CDC, we never interacted with other actors from other committees in the process as it was not stipulated in the guidelines. We only met once as a committee to appraise the project according to their urgency” (In Interview with CDC Chairman, 2013)*

*“During the planning process, we only met once as the DDCC Committee to scrutinise the project technically, before making a final submission to the full council for approval. We never interacted with actors outside our committees during this period as the CDF guidelines does not provide for that” (In interview with DDCC Chairperson)*

Having assessed the nature of the planning process in terms of stakeholders' participation, this research further proceeded to assess the planning process itself. This was done in order to establish the flexibility (adaptiveness) of the process in allowing for changes to the project's activity to be made by stakeholders.

- **Flexibility of the Planning process to Changes (Adaptive Process)**

Decisions pertaining to the goals of the project were made in each individual committee according to their specific prescribed roles, from the CDF guidelines. The changes in the decisions pertaining to projects' goals were made during the technical appraisal stage by the PSC and during the project approval stage by the full Council. The full Council was also seen making their changes pertaining to the scope of the project, during approval. However, these changes were made by individual committees and without consultation and/or consideration of other committees' (actors) decisions within the process. The CDC did not make any

changes to the projects' goals because the CDF guidelines did not allow them to do so. However, there was no two-way communication amongst actors in the process except within individual committees. It must be noted that even though changes were made to project's goals, there were no changes made to the roles of the actors within the process because the CDF guidelines defined the actors to be involved at each stage of the process and the type of activities to be undertaken at each stage in a sequential manner. It must be noted that the planning process in this round was not in form of a learning process and was guided by the CDF guidelines.

*“Our committee (CDC) did not make any changes to the project's goals, scopes or design because we were not permitted to do so by the CDF guidelines. Even when need arose, no changes were made by us, as we were supposed to adhere to the CDF guidelines, to avoid audit queries. (In interview with CDC Chairperson, 2013)*

*“We neither interacted nor communicated with other committees during this process. Each committee was expected to just carry out their prescribed tasks and move out of the process. We were not even aware of the decisions made pertaining to the project by other committees, because there was no proper flow of information or communication. (In interview with the CDC Member, 2013)*

- **Outcomes of the Participatory Planning Process**

The third round was also assessed to find out the outcomes of the planning process, in order to establish the achievements of this process regarding the attainment of a community owned CDF project (sustainable project). Just like the previous rounds, the outcomes of the participatory planning process were assessed and analyzed in terms of the emergence of 'vital actor relations', 'support structures' and the 'integration of power amongst actors' as detailed discussed below. These three outcomes were further assessed to establish whether they yielded the aspect of community ownership (ultimate) in the project. This assessment was made in order to generate answers to the second research question, which read; In how far has the participatory planning process led to the attainment of the community owned projects/sustainable projects?

- **Vital Actor Relations**

The third round involved participation of the various committees under the local Authority namely the CDC, PSC, DDCC and the full Council. These committees only met at most twice, to appraise and approve the project respectively. The participation by these stakeholders in the planning process was initiated by the local Authorities as they usually met upon invitation from them (the local authority). The research revealed that, this round did not record any strong relationships (vital actor relations) amongst the stakeholders as they only held few number of meetings (two times at most) and did not meet frequently. The committees (actors) neither consulted nor communicated with each other when it came to decision making. This scenario resulted into and no joint problem and solution identification amongst stakeholders and no mutual understanding amongst them. In this round, individual committees were seen working independently from the others and each committee was carrying out specific tasks in the process independent from the other. This round also recorded high level misunderstanding amongst committees due to committees working independently from each other and the lack of two way communications amongst them in the process.

*“With our committee (CDC), we only interacted once or twice in form of a meeting. We did not interact that frequent, as we were only invited once or twice. We were invited to desk appraise the projects and after that we never knew what followed. We had no opportunity to interact with other committees in the process and most of the time we were left in the dark*

*pertaining to other committees' decisions.*" (In Interview with the Constituency Development Committee (CDC) Chairperson, Butondo, 2013)

*"Our committee only met to appraise the projects technically and after we appraised the project we submitted the project to DDCC for further scrutiny. Whatever, was decided concerning the project later on in the process, I really don't know because we were not communicated to by the DDCC.* (In Interview with the PSC Member, Butondo, 2013)

*"Pertaining to the project at hand, we (DDCC) scrutinised the project and submitted it to the Full Council for approval. However, the full Council also decided to reduce the scope of the project and the costs, and I don't know why they decided to do that, because we were not part of the meetings and we were not consulted or communicated to.* (In Interview with the DDCC Member, Butondo, 2013)

- **Integration of Power**

This round did not record any form of integration of power as the decision making power was only vested in one committee called the full council. This research revealed that, this round did not also record interdependent relationships amongst actors (committees), as each committee had a specific task to perform and did not depend on the other to perform such tasks. In this round, the committees were not jointly or collectively executing their tasks or consensually making decisions as each committee was independent from the other. Moreover, none of the committee had decision making power except for the Full Council, who had ultimate power to make decisions. The full Council was the supreme decision making body, and it made its own decisions independently without seeking consensus from other committees or consulting them.

*"Apart from just appraising the project, we (CDC) didn't make any decisions as regards to the project, because we had no decision making power"* (In Interview with the Constituency Development Committee (CDC) Chairperson, Butondo, 2013)

*"After technically appraising the project, the full Council ignored our proposed costs and scopes of the project, and came up with their own decisions (scopes and costs). It's very unfortunate that we have no decision making power, and that's why sometimes our ideas are just thrown out of the window like that."*(In Interview with the PSC Chairperson, Butondo, 2013)

- **Formation of Projects Steering Committees (Support Structures)**

This round (round III) did not record any formation of working groups or project steering committees amongst the stakeholders. During the planning process there was no evidence of changing roles of actors, no formation of project steering committee and no evidence of stakeholders from other institutions joining the process to support project's activities. During this period, the entire process was guided by the CDF guidelines which stipulated the stakeholders to be involved at each stage and did not allow for stakeholders from either different committees or institutions to come together and form project steering committees.

*"We had no instances when we changed roles as actors or formed teams/project steering committees, to support the project's activities because the CDF guidelines does not provide for that."* (In Interview with the PSC Member, Butondo, 2013)

- **Community Ownership**

This round did not record any form of community ownership. The community did not play any role in the whole process as the process was strictly guided by the CDF guidelines. These guidelines strictly stipulated that only committees should play specific prescribed roles. The entire planning process in this round was not even known to the community as there was no form of communication between the committees and the community. The entire process in this round was owned by the Local Government and their committees thus, the entire planning process of this round was not owned by the community.

*“After we submitted our street lighting project proposal to the Local Authority for funding, we didn’t know what followed next in the process as the Local Authority did not have a courtesy of even informing us what was next and what they doing to our proposal. The Local Authority completely left us out of the process as the community and as the result; we also lost focus and concentration. After two years, that’s when we saw a contractor installing the street lights along Butondo road” (In Interview with the RDC, Butondo, 2013)*

- **Concluding Analysis of Findings for Round III (Three)**

The research findings clearly reviewed that the planning process in the third round, was spearheaded by the local government and its committee. The entire planning process was sequential and pre planned by the CDF guidelines, which also stipulated the stakeholders to be involved and at what stage to be involved. According to the CDF guidelines, the community were not supposed to be involved at this stage and this resulted into the planning process being more closed and not inclusive. This process excluded the community entirely and there was no form of communication between the community and the local authority. In this round the planning process was also not in form of a learning process thus not adaptive according to the theories of participatory planning by Smith (1973). This because the planning process did not also allow certain committees (CDC) to make changes to project’s goals and did not also allow for changes in the roles of stakeholders. Based on the theories of participatory planning, this planning process was not participatory in nature but was more of ‘rational planning’. This type of planning possessed similar traits with rational planning as indicated by Hudson et al (1979) who explained that rational planning is an end oriented planning process which is sequential and lead to the fixation of masters plans, programmes, projects etc by a small group of people without exposing the process to consesuality.

The findings further revealed that because the nature of the planning in this round was more of rational planning and not participatory, there were no strong relationships (vital actor relationships) formed amongst stakeholders in the planning process. This resulted into the lack of integration of power amongst actors and formation of project steering committees (support structures). This process did not record any aspect of community ownership, as the community was not part of the process.

#### **4.3.4 Round IV (2010-2011): Constructing the street lights along Butondo road**

Just like the previous rounds, the nature of the planning process in this round will be assessed in terms of dissipative and autopoietic interactions behaviour by stakeholders in the process. This research will then assess the planning process itself in terms of its flexibility in allowing for changes, in order to establish its adaptivity. Thereafter, the process will be also assessed in terms of its outcomes in order to establish how far the participatory planning process went in attaining a community owned project (sustainable project) as follows:-

- **Manner of Stakeholders Participation -Dissipative Interaction Behaviour**

After the full Council approved the Butondo street lighting project and recommended the project to the tender committee for them (tender committee) to select a contractor. The planning process begun when the Local Authority put up an advert in the public media inviting local contractors to bid for the construction of the Butondo street lighting project. Direct physical interactions between the local authority and the members of the general public were not recorded in this round except through this advert which made the process open to the members of the general public. The advert only ran for a week and after that, the

process was closed again and the participation in this process was mostly seen amongst the tender committee, Contractor and the Local Authority's civil engineer.

*"I came to know about the project from the advert made by the Local Authority, in which Local Contractors were invited to bid for the construction of the street lights in Butondo"* (In Interview with the Contractors, 2013)

- **Manner of Stakeholders Participation -Autopoietic Interaction Behavior**

After an advert in the public media, the tender committee sat to select the successful bidder. The tender committee held one meeting and evaluated the bids to come up with one successful bidder who was to execute the project. After selection of the successful bidder, a contractor known as Kyobamba Contractors was awarded the tender. The contractor then moved on site with his staff and commenced the construction works. During the construction process, the only stakeholders participating in the implementation process was the contractor, the local authority and the PSC. During the construction, the contractor only interacted with the Local Authority's civil engineer who used to inspect the project from time to time. The PSC also conducted monitoring visits to the site twice, to see the progress of the project. Upon completion of construction, the contractor handed over the project to the Local Authority. It must be noted that the interactions in this round were not initiated by any other stakeholder, but were initiated by the Local Authority and they were guided by the CDF guidelines. The main autopoietic characteristic of this round is the reduced number of actors in the process and the reduced intensity of interactions amongst actors as summarized in table 8 above

*"I don't know much about the project because I was only involved once and it was during the tendering meeting and after that I don't know, what followed. I have never been to the site of the project both before and after the tendering process and I have never met the contractor."* (In Interview with Tender Committee Member, 2013)

*I didn't interact with a lot of stakeholders during the implementation stage except for the Council Civil engineer who was coming to conduct his physical inspection from time to time and the PSC who visited the project site about two times. (In Interview with the Contractors, 2013)*

Having discussed the manner in which the stakeholders participated in the implementation process of the project, this research went further to assess the nature of the planning (project implementation) process in terms of its flexibility in allowing for changes in project's goals and roles of stakeholders, in order to determine its adaptivity as follows:-.

- **Flexibility of the Planning Process to Change (Adaptive Process)**

During this round, the three stakeholders (Contractor, Civil Engineer and the PSC) involved had no power to make changes to decisions in this process. This was because this process was guided by the CDF guidelines and the guidelines strictly stipulated that the only body with power to make changes to the decisions pertaining to the project was the full Council. This scenario affected the adaptivity of the project, as making of changes to the project's scope when need arose was made difficult. This situation was evidenced when the Contractor's recommendation for changes to be made to the project's scope of works, was turned down by the Council's Civil Engineer. However, the Civil Engineer indicated to him that, he had no powers to make changes to the scope of project. The Contractor later made the same recommendations to the PSC, who also informed him that, at that stage of the project, it was very difficult to make changes, as only the full Council had powers to change what was approved. They added that, the contractor was supposed to apply to the Council about the proposed changes and that would take a long period of time, as it is a long process. This

scenario resulted into a project which was not adaptive in order to match with the local existing conditions.

*“During implementation, I noticed that some youths were stoning the bulbs (vandalising) thus, I recommended to the Local Authority through their Civil Engineer that, I make some changes to the design (i.e. covering the bulbs with a wire mesh) and costs of the project in order for it to suit the hostile environment in Butondo. However, I was informed by the Civil Engineer that I was not allowed to make any changes to the scope and costs of the project as it was against the guidelines. Therefore, during the implementation of the project, I did not make any changes in the project’s costs or the scope of the project even when need arose.”* (In Interview with the Contractor, 2013)

*“Definitely, this project does not fit our local conditions. I think the Council Civil Engineers did not do their homework properly and they didn’t conduct a proper consultation with the grassroots here. They were not even aware about the type of a community; Butondo was but just sat in their offices and produced a design which was meant for other areas where they have disciplined youths.”* (In Interview with Area Councillor, Butondo, 2013).

Having discussed the nature of the participatory planning process in the fourth round, the research further went to identify the outcomes of the process in terms of how far the process had gone in the attainment of a community owned project.

- **Outcomes of the Planning Process**

The fourth round was also assessed to establish the outcomes of the planning process. The outcomes of the participatory planning process were assessed and analyzed in terms of the emergence of ‘vital actor relations’, ‘support structures’ and the ‘integration of power amongst actors’ as detailed discussed below. These three outcomes were further assessed to establish whether they yielded the aspect of community ownership (ultimate) in the project as follows:-

- **Vital Actor Relations**

This round involved the actual construction of the street lighting project by the contractor. Just like the previous round (round III), this round also involved stakeholders working independently from each other and carrying out specific prescribed tasks at a particular stage in the process. The community were not involved during this process. In this round, there was high level conflict and misunderstandings between the contractor and the community as the community kept on vandalising whatever the contractor was constructing. There was no evidence of mutual communication and understanding amongst the stakeholders within the process, no continuous interactions amongst the stakeholder and no evidence of joint participation of stakeholders during the implementation of the project. There were misunderstandings between the contractor and the Council Civil Engineer, pertaining to the design of the project as the contractor kept on recommending for a modification to the design but the Council Civil Engineer was not in agreement with the proposal.

*“I had problems with the community because; they kept on vandalising the poles I was installing. After I observed these vandalisms, I proposed that I change the project’s design a bit (to cover the bulbs with wire mesh) in order to protect the bulbs from the stones. The Civil Engineer did not understand as he kept on insisting that I let the design be the way it was, as I was not required to make changes on site. I had misunderstanding with the Council Civil Engineer because he never took my concerns seriously but rather he insisted that I worked according to contract terms.”* (In Interview with the Contractor, 2013)

- **Integration of Power**

The fourth round did not record any integration of power as the full council was the supreme decision making body. Even if certain stakeholders (contractor and PSC) saw the need to change certain things pertaining to the design and the scope of the project, they had no

ultimate power to influence decisions and to effect the changes in the process. During the project implementation process, there were no collective actions, no interdependent relationships and no consensus built on decisions amongst the stakeholders, as each stakeholder had specific prescribed tasks to undertake in the process.

*“During the site visits, we (PSC) monitored the works on site, and after some discussions with the contractor, we discovered that there was need to change the scope of the project but we didn’t make any changes because only the full Council had powers to do that. We let everything be because we realised that if we recommended for such changes, it would have taken a long period of time due to bureaucratic procedures. (In Interview with the PSC Chairperson, 2013)*

- **Formation of the Project Steering Committees (Support Structures)**

This research revealed that, there was no formation of project steering committees (support structures) at this stage as there was no evidence of changing roles of stakeholders. There were also no incidences of stakeholders from other institution joining the process to support the project’s activities or stakeholders forming teams to support the projects’ activities. There was no project steering committee in place, as the CDF guidelines did not provide for that. In this round, the contractor was solely responsible for the implementation of the project and the Civil Engineer from the local authority was there from time to time, to offer technical advice. During this stage, no other stakeholder was rendering any form support to the contractor.

*“I had no form of support from any person from the community or committee during the implementation of the project. My company did all the works pertaining to the construction of the street lights. (In interview with the Contractor, 2013)*

- **Community Ownership**

During this round, the aspect of community ownership was not evident amongst the beneficiaries (community) as no community member was executing any responsibility pertaining to the construction of the project. During this period, the contractor was solely responsible for executing the construction works, without involving community members. Even though some community members wanted to participate in the implementation process, they had no opportunity to as the contractor claimed the works were technical and he had his own qualified staffs that were responsible for executing such works. During this period, the community were completely left out of the process thus; there was no sense of ownership on the part of the community.

*“I had a number of community members who came looking for jobs but I couldn’t employ them because I had no vacancies in my company. I have permanent and qualified staff in the Company executing the works thus, it became difficult for me to employ some more when there no vacancies, because that would have meant that I looked for salaries for the excess labour force and I would have be ran my company at a loss. (In interview with the Contractor, 2013)*

**Figure 10: Butondo Residential Development Committee (RDC) Members**



- **Concluding Analysis of Findings for Round IV (four)**

The research findings reviewed that during the project implementation process, the process was not participatory in nature as the essential stakeholders (community) were not involved in the implementation process. Coupled with this problem was the lack of communication (no information flow) between the local authority and the community, which left the community completely unaware of the various project's activities which were undertaken during this period. This scenario resulted in the increased misunderstandings between the contractor and the community. The implementation process was not in form of a learning process hence, did not allow for changes in the project's goals even when need arose. Based on the arguments by Smith(1973), from the theories of participatory planning this round had no traits of a participatory planning process but rather was more of rational planning as it was rigid, sequential, goal oriented and not adaptive.

Due to the nature of the planning process (rational) in this round, there were no strong relationships (vital actor relationships) built amongst the stakeholders as they never held meetings together (interacted) and each stakeholder was participating in the process by undertaking a particular prescribed task. This scenario resulted into the lack of stakeholders coming together to form project steering committee (support structures) and to collectively make decisions (integration of power). In line with Van Den Dool's (2003) arguments, that support structures are essential to attaining a sustainable project (community owned project), this round recorded no form of community ownership (sustainability of the project) because they was no project steering committee in place. This scenario resulted in the community vandalizing the project during its implementation process.

#### **4.3.5 ROUND V (2011-2012): Operation and Maintenance of Street Lights**

Just like the previous rounds, this round will also be analysed in terms of the nature of the planning process by paying particular attention to the manner in which stakeholders participated in the process. This section also discusses the flexibility of the planning process in allowing for changes, in order to establish its adaptivity. Thereafter, the process will be also assessed to establish how far it went in attaining a community owned project (sustainable project) by discussing its outcomes.

- **Manner of Stakeholders Participation - Dissipative Interaction Behavior**

This round involved the operation and maintenance of the project. This round commenced, immediately after the project was handed over to the Local Authority by the Contractor. However, this round did not record any participation involving a large number or different categories of stakeholders (dissipative interactions amongst the actors) in the process, as the task of operating and maintaining the project was entirely left to one stakeholder (local Authority).

- **Manner of Stakeholders Participation - Autopoietic Interaction Behavior**

This round did not record any form of participation amongst the stakeholders as there was only the Local Authority carrying out the entire repair and maintenance works as shown in table above. Even if the community initiated this project, they decided not to work together with the Local Authority in operating and maintaining the project. During this period, the project recorded a number of vandalisms and thefts, two to six months after completion. This resulted into high maintenance and operational costs on the part of the Local Authority. The Local Authority failed to maintain the project due to these high costs of maintenance and operations and the project stopped functioning after six months.

*“The Butondo Street Lighting has costed the local authority huge amounts of money and it has proven costly for us to maintain because they is no one to partner with. Imagine even the*



*beneficiaries themselves are not willing to work together with the Local Authority in taking care of the project. .” (In Interview with Local Authority Civil Engineer, 2013)*

Having discussed, the nature of the planning process in terms of the manner in which stakeholders participated in the process, the planning process itself was also assessed to establish its flexibility (adaptivity) in allowing for changes in projects goals.

- **Flexibility of the Process to Change (Adaptive Process)**

During the project operation and maintenance process, there was no form of interaction and communication on the part of the local authority and the community/other stakeholders. The process did not also allow for changes in the roles of actors when it came to the operation and maintenance of the project. The Local Authority was carrying out the sole responsibility of project operation and maintenance. The entire planning process in this round was not adaptive and as a result the end product of the process (street lights) did not suit the local conditions. The street lights project was criticised by a number stakeholders stating that it was not adaptive and it did not suit the existing local conditions and this resulted in the project being easily vandalised.

*“In this community, for the sake of durability, we needed street lights made up of long poles, bulbs covered with wire mesh and cables made from aluminium or solar powered and not this type of streetlights, the contractor constructed in our community. The type of street lights the contractor had put up in our community, are not very durable, as they can be easily vandalised. (In an Interview with the RDC, Butondo 2013)*

*“As the Local Authority, according to some consultations that we have had with few members of the community, it has been discovered that the project is not very suitable for the local conditions because of its design. I think, they need a project with long pole, with overhead cables or solar powered lights to avoid thefts.” (In Interview with the Director of Engineering Services, 2013)*

The following section discusses the outcomes of the planning process during this round (operation and maintenance), in order to establish the furthest this round went in attaining a community owned project.

- **Outcomes of the Planning Process**

The fifth round was also assessed and analyzed in terms of the emergence of ‘vital actor relations’, ‘support structures’ and the ‘integration of power amongst actors’ as detailed discussed below. These three outcomes were further assessed to establish whether they yielded the aspect of community ownership (ultimate) in the project as follows:-

- **Vital Actor Relations**

This round involved the actual operation and maintenance of the street lights. This round didn’t record any form of strong relationships (vital actor relations) amongst stakeholders as there wasn’t any form of participation during this period. The level of misunderstanding was high amongst the actors (especially between the community and the Local Authority) because there was no form of communication amongst them. The Local Authority expected the community to assist in carrying out the maintenance and operation tasks, while the community felt it was not their responsibility but the contractor’s. The Contractor accused the community of being ungrateful and that they were vandalising the project on purpose. The community also accused the contractor, of implementing a project which did not suit the local conditions and hence, not durable.

*“We were left out during implementation and the contractor even refused to give us simple jobs. We had nothing to do with the project during the construction period, why should the*

*Local Authority, all of the sudden expect us to be involved in the maintenance of the project when they never wanted us to be part of the project in the first place? And also during the handing over of the project, they never communicated to us and never involved us at any point. However, one day we only saw the contractor handing over the project to the Mayor during the handing over ceremony” (In an Interview with the Community Member, 2013)*

*“I don’t really understand why the community were busy vandalising the street lights which costed the government huge amounts of money. I think that community is hostile and ungrateful to some extent.” (In an Interview with the Contractor, 2013)*

- **Integration of Power**

This round did not record any form of integration of power amongst stakeholders because they did not participate in the process except for the local authority. This resulted into the lack of collective actions, interdependent relationships, consensus building amongst the actors during the operation and maintenance of the project. In this round, only the Local Authority was the actor and all the decisions and actions pertaining to the operation and maintenance of the project were taken by the Local Authority.

*“The community and all other actors left all the tasks pertaining to the operation and maintenance of the street lights to us (Local Authority), thus every task or decision to do with the operation and maintenance was made by us. We had no other actors willing to work with us in maintaining that project. (In an Interview with the Director Engineering Services, Mufulira Municipal Council, 2013)*

- **Formation of Project Steering Committee (Support Structures)**

In this round, there was no evidence of changing roles of stakeholder or stakeholders coming together to form teams in order to spearhead the operation and maintenance of the project. During this period, there was no project steering committee formed to assist in the maintenance and operation of the project. This scenario this resulted in the Local Authority carrying out all the tasks without support from other actors in the process.

*“We have never heard of or seen the project steering committee for the street lights. As far as we know, the Local Authority did not facilitate for the formation of such a committee in our community, thus its not in place. The Local Authority were carrying out all the maintenance of the street lights during the time, the street lights were functional” (In Focus Group Discussion with RDC, Butondo, 2013)*

- **Community Ownership**

This round did not record any form of community ownership of the project. Though the community had people with competence in electrical and construction works, they had no enhanced interest in carrying out any task pertaining to the operation and maintenance of the project. Only the Local Authority was carrying out operation and maintenance works in this project. During this period, the community didn’t assist the Local Authority in taking care of the project hence, the project was highly vandalised and recorded a number of thefts. The project was not sustainable as it stopped functioning two to six months after construction.

*“This project was not community achieved because, apart from identifying the project, we were not involved during the critical stage (implementation) of the project and we were not even communicated to by the Local Authority about any progress in the process. We lost focus in the process and we feel the Local Authority dominated too much in the entire planning and implementation process of the project. Thus, this project didn’t work because we the beneficiaries were left out (In an Interview with the RDC, Butondo, 2013)*

*“This project did not work out because the community was irresponsible and instead of taking care of it, they were in the fore front in destroying it. I think they were not interested in the project, and that’s why so they resorted to vandalizing it and stealing fittings from the project. (In interview with the Contractor, 2013)*

**Figure 11: Vandalised Street Lights along Butondo Road**



- **Concluding Analysis of Findings for Round V (five)**

The research findings revealed that the operational and maintenance phase did not record any stakeholder's participation as only the local authority was executing all the works during this process. There was no flow of information amongst stakeholders in this process. The implemented project itself did not suit the existing local conditions. Based on the research findings and on the theories of participatory planning by Smith (1973), in this round the planning process possessed no traits of a participatory planning process, but was rather more of rational planning. As the result of this type of a planning process, there were no relationships built amongst the stakeholders (vital actor relations) and there were misunderstandings amongst the stakeholders pertaining to the collective execution of maintenance works. The scenario also led to stakeholders not coming together to form project steering committees in order to spearhead activities pertaining to the maintenance of the project. There was also lack of community ownership during this process, as the community did not take part in any of the project's activities during this period. In line with Van Den Dool (2003) arguments from the concept of project sustainability, the lack of formation of a project steering committee in this round also resulted in high vandalism and theft rates which resulted into a non sustainable community project.

Having assessed the nature of the participatory planning process and its outcomes, this research deemed it necessary to look at conditions outside the process in order to establish the factors influencing stakeholders' participation in the planning process.

#### **4.4 Factor Influencing Stakeholders in their Participation Process**

In order to generate answers to the third research question which read 'what are the factors influencing stakeholders' participation in the planning process?' this section discusses the factors influencing stakeholders participation in terms of exogenous factors. These are factors

shaping stakeholders interaction in action arenas (round) namely local conditions, physical conditions, rules/regulations, knowledge, power, capacity and motivational factors as identified by Bakker et al (2012). Each round will be assessed in terms of these factors as follows:-

### **Round I (2007-2008): Increased Incidences of Criminal Activities**

This round was initiated and spearheaded by the community. The research findings reviewed that the factors positively influencing the stakeholders' participation included the availability of vibrant residents who were committed to put an end to increased criminal activities in the area and the availability of open spaces which were used as meeting venues. These factors motivated the stakeholders to participate in the process. The factors that negatively influenced stakeholders' participation in this round included the non availability of resources, skills, knowledge and time. This factor led to the low participation of stakeholders in the process.

*'Finances to buy materials (flip charts, paper, Markers) for the community meetings was a big challenge because most of our community members are low-income earners and if it was difficult for them to even feed their families, it was not even worse for them to afford to contribute to the process. (In Focus Group Discussion with the RDC, Butondo, 2013)*

### **Round II (2008 – 2009): Development of Street Lights Project Proposal**

This round was also initiated and spearheaded by the community. The research findings reviewed that the factors that positively influenced stakeholders to participate in this process included the availability of a youthful and vibrant population and availability of open spaces in the area. During the development of the project proposal, stakeholders' participation was negatively influenced by the non availability of resources, lack of basic civic skills (e.g. project proposal writing, communication and negotiations skills), knowledge and time. These factors hindered the full participation of stakeholders, as stakeholders who were adversely affected by these factors were reluctant in participating in the process.

*'In developing a project proposal the factors that negatively influenced our participation included finances, time, knowledge, skills and office equipments. We needed money and time to move from one institution to another during our consultations, organise meetings and also needed to eat something during our lengthy meetings. We usually used our own money to do all this and if someone had no money, they usually choose to keep away from undertaking these activities, so these factors negatively affected the participation of many stakeholders. Some of our members were in employment, and they had no time to participate fully by undertaking these activities. We also had neither office equipment nor stationery, and this made it even more difficult to make notices of meetings, compile the minutes of meetings and develop project proposal. This affected the information dissemination in our community, in turn affecting negatively stakeholders' participation in the planning process. Some of our members lacked communication and negotiation skills, so the time we used to go to consult with other institutions, they used to remain behind and this also affected their full participation during this process ' (In Focus Group Discussion with RDC, Butondo, 2013)*

### **Round III (2009 -2010): Appraisal and Approval of Street Lights Project for Funding**

This round was spearheaded by the local authority and its various committees. The findings indicated that the factors that positively influenced the stakeholder's participation during this process included availability of funds from the CDF accounts, technical personnel (skilled manpower) from the local authority and other government institutions and the availability of the meeting venue. The main factor that negatively affected the participation of the stakeholders in the process was the CDF guidelines, which restricted stakeholder's participation in the process by strictly stipulating which stakeholders to participate and at what stage to participate. The CDF guidelines also planned the sequence of activities in stages and stakeholders were obliged to adhere to them. Other factors that negatively

influenced the participation of stakeholders included time and centralized power vested only in the full council committee. The centralized decision making system in this round demotivated stakeholders in other committees from fully contributing to the process, as they had no ultimate power to influence decisions.

*'It was sometimes frustrating during the process when you make recommendations based on technical grounds and they were not considered by the Full Council without proper reasons. I feel that we (technical committees) must also be delegated some **form of power** to make decisions as this will motivate stakeholders to participate fully in the process.'* (In interview with the PSC Chairman, 2013)

*'In this project, only few members of our committee participated fully during the technical appraisal of the project, as the project was technical and some members had no **knowledge** in electrical engineering issues.'* (In interview with the PSC Chairman, 2013)

#### **Round IV (2010-2011): Constructing the Street Lights along Butondo road**

This round was spearheaded by the local authority and involved the implementation of the project by the contractor. The research findings reviewed the factors that positively influenced the participation of the stakeholders in the process was availability of funds from the CDF accounts and availability of man power. However, the factors that negatively influenced stakeholders' participation in this round included CDF guidelines, Contractual Documents and decision making power. CDF guidelines (Rules/regulations) were cited as one of the major factors which negatively affected the participation of the stakeholders in the process. The guidelines were stiff and did not allow for changes in decisions or roles of actors in the process. The guidelines restricted stakeholders to only participating by undertaking specific prescribed roles and did not allow actors to go an extra mile even if need arose. The vesting of all the decision making power in one committee (full council) was also cited as one of the major challenges that adversely affected the participation of stakeholders in the process. Stakeholders were not allowed to make decisions even when need arose and had to wait on the full council to make decision on their behalf. This whole scenario hampered the full participation of stakeholders.

*'CDF guidelines were one of the factors that negatively affected my fruitful participation during the implementation stage. At times, I would notice scopes of work that needed urgent changes to be made to them, and the Local Authority would tell me that, such changes would not be possible. They always explained that, the proposal for changes would be required to go through a number of committees before approval by the full council thus, taking a long time. This bureaucracy was de motivating and it really affected my performance in the street lights project'.* (In interview with the Contractor, Butondo, 2013)

#### **Round V (2011-2012): Operation and Maintenance of Street Lights**

This round involved the operation and maintenance of the project and the local authority was the only stakeholder in this process. This round did not record any factors positively influencing stakeholders' participation in the process. The factors negatively influencing stakeholders' participation in this process included resources, motivational factors and capacity. The community cited the lack of 'motivation' from the Local Authority as the factor that discouraged them from participating in this round. They cited the 'Local Authority's actions' such as the lack of communication, lack of information dissemination and their slowness in responding to matters as the major factors that totally demotivated them from participating fully in the process. This resulted, in the Local Authority carrying out all the tasks pertaining to the operation and maintenance of the project without any assistance from other stakeholders in this process. The factors that negatively influenced the local authority's participation in the process also included resources, motivational factors and capacity. Due to the high rates of vandalism and thefts the project recorded during this period, resources need

to carry out repair and maintenance works became a major challenge for the Local Authority. The lack of resources to cope up with the high vandalism and theft rates resulted in the Local Authority performing poorly in the operation and maintenance of the project. The Local Authority also had no capacity in terms of machinery and skilled manpower to carry out repair and maintenance works, in order cope up with the fast rate of vandalism and thefts. The high rates of vandalisms de motivated the local authority to continue operating and maintaining the project. These challenges resulted in the Local Authority totally failing to maintain the street lights project hence, the street lights stopped functioning completely.

*'The Butondo street lights project is one of the projects that the Local Authority found costly to operate and maintain. This project recorded one of the highest rates of vandalisms and thefts within a short period of time after implementation, and we had no **financial resources**, to cover the huge operation and maintenance works. We also had no shortages in **skilled manpower** and **machinery** to carry out the repair works on time.'* (In interviews with the Director of Engineering Services, Local Authority, 2013)

- **Concluding Analysis of Findings for all the Rounds (I to V) - Factors Influencing Stakeholders Participation**

From the research findings presented above, it can be seen that the factors influencing stakeholder's participation in the first two rounds spearheaded by the community, were somehow different from the factors that influenced stakeholder's participation in the last three rounds spearheaded by the Local Authority. In the first two rounds (I and II) spearheaded by the community the factors which positively influenced stakeholders participation in the process included the availability of vibrant residents who were willing to make a change and the availability of open spaces in the township, which were used as meeting venues. However, the factors that negatively influenced their participation included resources, time, knowledge and basic civic skills. It must be noted that in the rounds spear headed by the community, rules were not cited as one of the factors influencing stakeholders' participation as the planning process in these rounds was in form of a learning process and was not guided by the rules and contributed to the adaptivity of the planning process (flexible to changes). The lack of rules to guide the process during this period, also contributed to the process being more participatory (inclusive) as it incorporated every stakeholder without restrictions and exclusions. In the last three rounds (round III, IV and V) spearheaded by the Local Authority the factors that positively influenced stakeholders participation included the availability of funds from the CDF accounts, availability of technical personnel, man power and meeting venue. However, the factors negatively influencing stakeholders' participation included the rules/regulations (CDF guidelines), decision making power and motivational factors. The community cited motivation factors such as lack of communication and information dissemination by the Local Authority, as the major factor that demotivated them from participating fully in the process. CDF guidelines (Regulation/rules) were the major negative factor cited because they guided these rounds by clearly stipulating which actor to participate and when to participate. These CDF guidelines tilted the participatory planning process in these rounds into a more of rational planning process, thereby making the planning process sequential and rigid to changes (not adaptive). The CDF guidelines also made the process into more of 'top down planning approach' in terms of decision making power by ultimately placing the decision making power in one committee (Full Council Committee). This scenario resulted into no strong relationships (vital actor relationships) being formed amongst stakeholders in the process leading into the lack of collective decision making (integration of power). This scenario also led to stakeholders not coming together to form project steering committees (support structures) thus, negatively affecting the aspect of community ownership of the project (sustainability of the project). The lack of community ownership resulted into a 'non sustainable community project.'

## Chapter 5: Research Conclusions

### 5.1 Introduction: Recapitulations of the Study

This research set out to explore strategies to improve the participatory planning process of the CDF projects in order to attain community owned projects (sustainable projects). The foundation laid in chapter one, brought out the fact that despite the Zambian government in the 1990s, adopting a bottom up planning approach aimed at bringing the government closer to the people (by providing citizens with greater control over the decision making process through their direct participation in public infrastructure provision), a number of challenges pertaining to the ownership of these projects are still encountered. In the same regard, the Zambian government initiated funds called ‘Constituency Development Fund (CDF)’ whose purpose was to provide local authorities with discretionary funds to fund projects emerging from the community in order to ensure ‘community ownership’ of these projects. These funds sought to meet the immediate social needs of local communities by allowing them to participate in the planning process, by identifying the infrastructural projects to be implemented in their communities. Respectively, Smith (1973) argues that citizen participation is an essential element in making the planning process a learning system and this leads to the strengthening of the definition of the role of communities in the urban system. Van Den Dool (2003) also argues that the project planning and implementation process that is in the form of a learning process incorporating key stakeholders/organization leads to the formation of support structures which are typical for the introduction of new techniques or innovations in the project delivery, hence enhancing *project sustainability*. Though these arguments in favor of participatory planning are appealing, in Zambia there are many critics of CDF projects which are implemented using this same approach (participatory planning process). Recently, CDF community projects have made the headlines largely because of their ‘lack of sustainability’, and CDF projects in Mufulira has been no exception to this trend, a situation which prompted the undertaking of this exploratory case study research, whose objective was *to explore strategies to improve the participatory planning process in the CDF decision making process in order to attain community owned projects (sustainable projects)*. This chapter therefore, presents summaries of research findings and their implications. Based on the summaries of research findings, it concludes by giving recommendations for policy intervention and directions for future research. The results and conclusion presented are based on the main questions and sub questions which the research sought to answer; what is the role of participatory planning in the attainment of community owned CDF projects? , What is the nature of the participatory planning process? In how far has the participatory planning process led to the attainment of the community owned projects/sustainable projects? What are the factors influencing stakeholders participation in the planning process?

### 5.2 Key Research Answers and Implications

This section seeks to provide a summary of key research findings and their respective theoretical links as presented in the previous theoretical chapter (Chapter 2). It seeks to provide answers to the posed research questions as presented below.

#### 5.2.1 Nature of the Participatory Planning process

In presenting the key findings pertaining to the nature of the planning process, this research will look into the planning process itself by focussing at the manner in which the stakeholders

participated in the planning process. It will end by assessing the process itself in terms of its adaptivity (flexibility) when it comes to allowing for changes in decisions and project's goal.

- **Manner of Participation by Stakeholders in the Planning Process**

The key findings for this research show that, the nature of the planning process differed at different stages of the process, in terms of the stakeholder's participation. This research revealed that the first two rounds were more participatory in nature (inclusive) whilst the last three rounds were more of rational planning (restrictive). In the first two rounds (problem and solution identification stage), the community were fully involved and were spearheading the entire planning process. During this period, the planning process recorded the highest number of stakeholders' participation, with stakeholders coming from both within and outside the settlement. This result confirms the argument by Smith (1973) that participatory planning is the involvement of broad range of people representing a variety of interest into the planning process. In these rounds, the community themselves, defined their own problems and identified the solution (developed their own street lights project proposal). This result further confirms the argument by Smith (1973) that the legitimacy of a participatory planning process is based on the plans and programmes being endorsed, supported and created by the recipients themselves. On the other hand, it must also be noted that in these rounds (round I & II), the planning process was the interplay between open interactions (e.g. community meetings-connecting large number of stakeholders etc) and closed interactions (e.g. closed door RDC meeting –connecting a small group of stakeholders). This is more alike to what Van Meerkerk (2012) refers to as 'autopoietic' and 'dissipative' interactions. The research findings further revealed that this interplay between autopoietic (closed) and dissipative (open) interactions led to the formation of strong relationships amongst stakeholders. Conceptually, this research likened these strong relationships to 'vital actor relations'. This result also confirms arguments by Van Meerkerk et al (2012) that the interplay between 'autopoietic' and 'dissipative' interaction behaviours contribute to the establishment of vital actor relations. The research further reviewed that, the formation of vital actor relations amongst stakeholders played an important role in the attainment of the community owned projects as detailed discussed in the next section. These results are also in line with arguments by Van Meerkerk's et al (2012) that any urban regeneration process (e.g. participatory planning) is the interplay of autopoietic (closed) and dissipative (open) interactions by stakeholders. Thus, based on the research findings and arguments by Smith (1973) and Van Meerkerk et al (2012), this research concludes that the nature of the planning process in the first two rounds spearheaded by the community was "participatory planning' as it possessed traits of participatory planning. This is because; the planning process was inclusive and was the interplay between 'autopoietic' and 'dissipative interactions' amongst stakeholders (which resulted into the formation of vital networks). However, the research findings further revealed that the nature of the planning process in the last three rounds was totally different from the first two rounds. These rounds involved project appraisal, approval and implementation. The last three rounds of the planning process involved a small numbers of stakeholders who were mainly the committees (CDC, PSC, DDCC, Tender Committee and Full Council) established under the local authority. The research revealed that the last three rounds were spearheaded by the local authority and the entire planning process was governed by the CDF guidelines (regulations). As opposed to Smith's argument (1973) that citizen participation is an essential element in making a planning process participatory, the planning process in these rounds excluded the community from the process. Also as opposed to arguments by Meerkerk et al (2012), these rounds did not record any meaningful interplay between autopoietic and dissipative interactions amongst stakeholders. The process was mostly autopoietic in nature (closed door meetings involving few members). The



stakeholders only met once or twice at most within their respective committees to execute prescribed tasks hence, no strong relationships amongst actors (vital actor relations) were formed. Thus, this research concluded that the planning process in the last three rounds was more of rational planning and less participatory in nature as it involved a small group of stakeholders (excluding the community), was end oriented and did not take into consideration the concerns (values) of the community. This research concludes that the planning process in the last three round was more of ‘rational planning’ and not participatory planning as purported by the government of Zambia. It possessed more traits of rational planning as indicated by Hudson et al (1979). He indicated that rational planning is an end oriented planning process which leads to the fixation of masters plans programmes, projects etc by a small group of people without exposing the process to consensuality.

- **Flexibility to Changes (Adaptivity) of the Process**

It was clear from the findings that adaptivity of the planning process also differed at different stages of the planning process depending on the stakeholders spearheading the process. The research revealed that in the first two rounds when the community were spearheading the planning process, it was more of a learning process. It followed no predetermined sequence of activities. It made it easy for decisions pertaining to project’s goals to be made or changed by the stakeholders in the process through an interactive manner (two communication pattern). This research revealed that in the first two rounds of the street lighting project, the planning process involved the community themselves (together with other stakeholders) making changes to the project’s goals. This result confirms the arguments by Smith (1973) that adaptivity of a system originates at the boundary of the system where the lower units are in contact with the environment. Based on the findings and arguments by Smith (1973), this research concluded that the planning process spearheaded by the community themselves (in the first two rounds) was adaptive in nature, thus participatory in nature. However, the research findings further revealed that the planning process spearheaded by the Local Authority (last three rounds) followed a predefined sequence of activities and was not in form of a learning process. The Local authority together with its committees was required to adhere to the CDF guidelines, in administering the project’s activities. As opposed to the argument by Smith (1973), the entire planning process in the last three rounds did not involve the community in the planning process and was not in form of a learning process. In addition to this, the stakeholders (CDC, PSC, DDCC, Tender Committee and Contractor) were not allowed to make changes to the approved decisions pertaining to the project, except for one committee called the full Council. This scenario resulted in the implementation of the project which did not suit the local conditions. Based on these findings and the arguments by Smith (1973), this research concluded that the planning process in the last three rounds spearheaded by the local authority was not adaptive thus, not participatory in nature.

### **5.2.2 Outcomes of the Planning Process**

In presenting the key research findings pertaining to how far the CDF participatory planning process had gone in attaining a community owned project (sustainable projects), the findings will be presented in terms of the three expected outcomes of the process. These include the ‘integration of power’ and the formation of the ‘support structures’ (project steering committee) as the immediate outcomes of the process. Lastly these two immediate outcomes will be assessed to find out whether they had succeeded in attaining a ‘community owned project (sustainable project)’ as the ultimate outcome of the participatory planning process.

- **Integration of Decision Making Power amongst Stakeholder**

The research findings also revealed that the level of decision making power amongst stakeholders recorded two distinct patterns between the first two rounds initiated by the community and the last three rounds spearheaded by the Local authority. It was clear from the research findings that in the first two rounds spearheaded by the community, the stakeholders had equal level of decision making power. This was evidenced when stakeholders were making decisions pertaining to the project collectively through consensus building. During this process stakeholders were also seen depending on each other when executing various projects activities. This scenario led to this research concluding that, the planning process spearheaded by the community in the first two rounds, led to the integration of power amongst stakeholders. It must also be interesting to note that these two rounds were participatory in nature as indicated in the previous section (5.2.1). These results confirm the argument by Smith (1973) that the consensual aspect of participatory planning leads to a further integration of power. Therefore, this research concludes that because the planning process in the first two rounds was participatory in nature, it led the integration of power amongst stakeholders. This resulted into the community collectively developing and submitting the project proposal to the Local Authority for approval. However, this research further revealed that the level of decision making power differed amongst the stakeholders, during the planning process (last three rounds) spearheaded by the Local Authority. It was clear from the findings that all the stakeholders (Committees) in the planning process that was spearheaded by the Local Authority had no decision making power, except for the full council committee. The Full Council Committee was the supreme decision making body thus, decisions were made in a centralised manner during this process. It must also be noted that, the nature of the planning process in these last three rounds (spearheaded by the Local Authority), was more of rational planning as indicated earlier (Section 5.2.1). These results further confirm the arguments by Hudson et al (1979) that rational planning is biased toward central control in the definition of problem and solutions, in the evaluation of alternatives and implementation of decisions and does not promote decentralised decision making. Based on the research findings and arguments by Hudson et al and Smith (1973), the research concludes that the planning process spearheaded by the Local Authority did not attain the integration of power amongst stakeholders. This was mainly because it was not participatory in nature but rather rational thus, promoted the centralised way of decision making.

- **Formation of Project steering Committee (Support Structures) out of the Process**

This research also revealed that results pertaining to the formation of project structures also followed a similar trend with the previous results. The research results of the planning process spearheaded by the community were totally different from the results of the planning process that was spearheaded by the local authority. The planning process (round I and II) which was spearheaded by the community showed that out of the planning process, stakeholders started to form project steering committees (teams) which were responsible for spearheading various projects activities. This resulted in the community owning and collectively executing various project's activities. It may also be interesting to note that the planning process in these rounds was found to be in form of a learning process This research notes that because the planning process was in form of a learning process, the formation of support structures out of the process was made possible. This result is in line with the arguments by Van Den Dool (2003). Based on the research findings and arguments by Van Den Dool (2003), this research concluded that because the planning process spearheaded by the community was in form of a learning process (participatory in nature) it succeeded in attaining the formation of project steering committees (support structures). These committees were responsible for spearheading projects activities. However, in contrast to these results

and arguments by Van Den Dool (2003), it was clear from the research findings that the planning process (project appraisal, approval and implementation) spearheaded by the local government did not go any further in attaining the formation of project steering committees. This was mainly because the planning process was not in form of a learning process as it did not allow for changes in the roles of actors. This scenario resulted in the stakeholders not forming project steering committees to spearhead the various projects' activities. This led to the lack of ownership of project's activities by the stakeholders involved, a situation that negatively affected the sustainability of the project.

Having discussed the expected immediate outcomes of the participatory planning process, this research goes further to assess whether these immediate outcomes succeeded in attaining the ultimate outcome (i.e. community owned project).

- **Ultimate Outcome - Community Ownership of the Project (Sustainable Project)**

This research concludes that the first two rounds of the planning process which were initiated and spearheaded by the community were participatory in nature thus, succeeded in attaining the strong relationships amongst the actors (vital actor relations). The formation of vital actor relations amongst actors resulted into the collective decision making (integration of power), and the formation of project steering committees (support structures). The 'collective decision making' amongst actors and the formation of 'project steering committees' played a vital role in ensuring community ownership of the project's activities, especially during the development of the project proposal. Thus, this research concluded that during the first two rounds spearheaded by the community (problem and solution identification stage); the planning process was participatory in nature hence, succeeded in attaining the aspect of community ownership of project's activities (development of project proposal). However, upon the community submitting the developed project proposal to the local authority, the participation patterns amongst stakeholders changed drastically in the last three rounds. The planning process (project appraisal, approval and implementation) was now spearheaded by the Local government and the community were excluded from the process. The process became more closed (autopoietic), rigid and sequential in nature, and provided for no formation of vital actor relations. This planning process became more of rational planning in nature rather than participatory as purported thus; it did not go any further in attaining any of the expected outcomes of a participatory planning process. This scenario resulted into the lack of community ownership of the street lights project. This lack of community ownership of the street light project resulted into the community vandalising and stealing project's fittings immediately after its implementation by the contractor. This situation made the project non sustainable.

Having discussed the nature of the planning process and its outcomes, it was imperative for this research to further determine the factors influencing the stakeholders' participation outside the planning process, as presented below.

### **5.2.3 Factors Influencing Stakeholders Participation**

It was clear from the research findings that the factors influencing stakeholders' participation also differed at different stages of the planning process. This research revealed that during the first two rounds of the planning process spearheaded by the community, the factors that positively influenced stakeholders' participation included the availability of vibrant residents who were willing to make a change and the availability of open spaces which were used as meeting venues. These research findings were in line with the arguments by Baker et al (2012) that the physical and social conditions of the neighborhood and the nature of the initiative are the starting conditions influencing the planning process and thus the outcome.

However, during this process stakeholders' participation in the process was also negatively influenced by the non availability of resources, skills, knowledge and time. This meant that if these factors were in place, stakeholder's participation would have performed better. It must be noted that the research revealed that from the exogenous factors Bakker et al (2012) identified, only the rules/regulations were singled out as the only factors not influencing stakeholder's participation during this process. This was mainly because there were no rules governing stakeholder's participation at this point. However, this research further revealed that as soon as the community submitted the project proposal to the local authority, the factors influencing stakeholders also changed. The findings indicated that the factors that positively influenced the stakeholder's participation included availability of resources, technical personnel (skilled manpower) and meeting venue. However, the stakeholders cited the factors such as CDF guidelines (rules), time and centralized decision making power (vested only in the full council committee) as the major factors adversely affecting their full participation in the process. It must be noted that the CDF guidelines and centralized power greatly contributed to making the participatory planning process which was spearheaded by the Local Authority, in some form of rational planning. This is mainly because the CDF guidelines spelt out the rules that made the planning process sequential, rigid and not inclusive (as detailed discussed above). These results further confirms the arguments by Bakker et al (2012) that by specifying appropriate rules, public authorities can create a fruitful climate for collaboration (stakeholders participation). Therefore, this implies that external factors also have an influence on a participatory planning approach, and must be taken care of, if a participatory planning process has to attain community ownership.

### **5.3 General Conclusion**

Having discussed the key research findings, this research concludes that the CDF participatory planning process does not play any role in the attainment of the community owned projects. Its lack of performance can be attributed to the nature of the CDF planning process itself and other external factors negatively influencing the process. The CDF participatory planning process first starts by being more participatory in nature, and then ends in form of rational planning. During the first stages spearheaded by the community, the planning process allows for the interplay between 'autopoietic' and 'dissipative' interactions amongst stakeholders. During this period, the planning process yields positive results in attaining vital actor relations. Thus, this scenario ultimately results into the community owning various project's activities. During this period, factors such as lack of basic civic skills, resources and time hampers stakeholders' participation in the planning process. However, as soon as the community hands over their identified project to the local authority for approval, the participatory planning process becomes more of rational planning (too closed). This is because during this period, the planning process does not allow for the interplay between 'autopoietic' and 'dissipative' interactions amongst stakeholders. During this period, the planning process only allows for autopoietic interactions (closed door committee meetings) amongst stakeholders throughout the process. This type of planning, leads to the exclusion of the community from the process and thus, the failure to attain vital actor relations amongst stakeholders. The failure to attain these relationships amongst stakeholders also results into the non attainment of a community owned project (sustainable project). It may be also interesting to note that at the point when the CDF guidelines starts governing the planning process (appraisal, approval and implementation stage), the process becomes more of rational planning than participatory planning. The CDF guidelines can be said to be the major external factor that contributes to the CDF participatory planning process being more of rational planning. This is because the guidelines pre plans the project activities

(project cycle), in a sequential and rigid manner. In addition to this, it stipulates specific groups of people (stakeholders) to participate in the process regardless of the nature of the project, whilst excluding the community from the certain projects' activities. These guidelines also vests decision making power in one committee called the full Council, hence making the process more centralized. Lastly, the guidelines do not allow for a 'two way communication' between actors (committees) and also for the flow of information from the local authority to the community. Therefore, these research findings reflect the need for the government of Zambia, to have a closer look at the nature of the CDF participatory planning process and other external factors influencing the process (e.g. CDF guidelines), if community owned projects are to be attained.

## **5.4 Recommendations**

Arising from the above conclusion, the author recommends the following:-

- (i) The CDF guidelines to be revised to ensure the following:-
  - CDF guidelines to ensure a more participatory planning process that is more adaptive and inclusive in nature.
  - CDF guidelines to ensure a decentralized and collective decision making amongst stakeholders in the planning process not just in the early stages of exploration and solution definition, but also in further developments of the project (prioritisation, implementation, operation and maintenance), in order to protect the genuine public interest.
  - CDF guidelines to ensure changes in the roles of actors and formation of project steering committees in the planning process.
  - CDF guidelines to ensure the elected Members of Parliament (MPs) are excluded from participating in the project approval stage to avoid political biasness. The role of MPs is to provide policy and oversight and this cannot be done, if they are part of the process.
- (ii) Improve communication and information dissemination during the planning process and after the implementation of the projects, in order to increase the level of awareness and commitment amongst all stakeholders. There is need to translate the CDF information into local language so that it can highly be comprehended and accessible to people.
- (iii) The technical committees (PSC&DDCC) to work with the community in developing of architectural designs (plans) and specifications for the proposed projects.
- (iv) The central government to allocate a provision budget to support project's activities emerging from the community during the project identification stage.
- (v) Review the procurement rules and regulations to ensure transparency and accountability in the awards of tender to the local contractors.

## **5.5 Directions for Future area of study**

There is a clear need for a sound research to document the impact and consequences of CDF community projects on the development of local communities especially in the area of provision of social services. As it can be seen from this research, there are a number of problems associated with the administration of these projects and the nature of its participatory process is just one of them. This research may be of help to civil society groups in Zambia (e.g. church based organisation-Caritas Zambia) currently undertaking advocacy campaigns for CDF projects reform.

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## ANNEXES

### Annex 1

#### Households and population distribution by ward in Mufulira District, Zambia

Ward	House-holds	2010 population			Percent distribution		
		Males	Females	Total	Males %	Females %	Total %
<b>KANKOYO CONSTITUENCY</b>							
Buntungwa	817	2, 155	2, 245	4, 400	49	51	100
John Kampengele	1, 174	2, 786	2, 879	5, 665	49.2	50.8	100
Kwacha	874	2, 612	2, 598	5, 210	50.1	49.9	100
Butondo	1,350	4, 182	4, 171	8, 353	50.1	49.9	100
Fibusa	1, 037	2, 921	2, 953	5, 874	49.7	50.3	100
Mpelembe	1, 527	3, 820	3, 648	7, 469	51.2	48.8	100
Luansobe	1, 306	3, 355	3, 335	6, 690	50.1	49.9	100
Kangwa Nsuluka	251	530	411	941	56.3	43.7	100
<b>Total Population</b>	<b>8, 436</b>	<b>22, 361</b>	<b>22, 241</b>	<b>44, 602</b>	<b>50.1</b>	<b>49.9</b>	<b>100</b>
<b>KANTANSHI CONSTITUENCY</b>							
Leya Mukutu	827	2, 158	2, 122	4, 280	50.4	49.6	100
Minambe	737	1, 734	1, 864	3,598	48.2	51.8	100
Maina Soko	1, 030	2, 236	2, 501	4, 737	47.2	52.8	100
David Kaunda	328	861	806	1, 667	51.6	48.4	100
Bwafwano	780	1, 981	2, 065	4, 046	49.0	51.0	100
Francis Mukuka	1, 510	3, 841	3, 755	7, 596	50.6	49.4	100
Mulungushi	1, 421	4, 314	4, 211	8, 525	50.6	49.4	100
Shinde	1, 757	5, 041	4, 953	9, 994	50.4	49.6	100
Bwembya Silwizya	567	1, 750	1, 735	3, 495	50.1	49.9	100
Murundu	1, 507	4, 626	4, 480	9, 106	50.2	49.2	100



<b>Total Population</b>	<b>10,364</b>	<b>28,551</b>	<b>28,483</b>	<b>57,044</b>	<b>50.1</b>	<b>49.9</b>	<b>100</b>
<b>Mufulira Constituency</b>							
Hanky Kalanga	1,451	3,809	3,752	7,621	50.8	49.2	100
Mutundu	1,129	2,258	2,050	4,308	52.2	47.8	100
Kafue	203	480	446	926	51.8	48.2	100
Kamuchanga	762	2,014	2,267	4,281	47.1	52.9	100
Chachacha	1,801	4,854	5,284	10,148	47.9	52.1	100
Bwananyina	2,388	5,512	5,474	10,986	50.2	49.8	100
Kawama	1,507	3,370	3,413	6,783	49.7	50.3	100
David Lunda	568	2,241	2,458	4,699	47.3	52.3	100
Kasempa	812	2,153	2,238	4,301	48	52	100
Kansuswa	1,157	2,862	2,950	5,812	49.3	50.7	100
<b>Mufulira Constituency</b>	<b>12,168</b>	<b>29,613</b>	<b>30,342</b>	<b>59,955</b>	<b>49.4</b>	<b>50.6</b>	<b>100</b>
<b>Mufulira District</b>	<b>30,967</b>	<b>80,525</b>	<b>81,676</b>	<b>161,601</b>	<b>49.5</b>	<b>50.5</b>	<b>100</b>

(Source: CSO, 2010)

### Population by Gender per Constituency in Mufulira District

NO.	Constituency	No. of Women	No. of Men	total
1	Kankoyo	22,361	22,241	44,602
2	Mufulira	29,613	30,342	59,955
3	Kantanshi	28,561	28,483	57,044
Total		81,076	80,525	161,601

(Source: CSO, 2010)

## **Annex 2:**

### **REVISED GUIDELINES ON THE MANAGEMENT AND UTILIZATION OF THE CONSTITUENCY DEVELOPMENT FUND (CDF)**

#### **1. INTRODUCTION**

The Constituency Development Fund (CDF) was approved by Parliament in 1995 to finance micro-community projects for poverty reduction. As part of their annual capital programmes, each Council is mandated to include Constituency Development Funds for community based projects in the Capital Budgets. The Council shall be required to account for the funds in accordance with the law. The Constituency Development Committee (CDC) shall receive project proposals from sub-district development structures such as Area Development Committees (ADCs), Resident Development Committees (RDCs) and representatives of stakeholders from the townships on behalf of communities as the case may be and refer them to the Planning Sub Committee of the District Development Coordinating Committee (DDCC) for appraisal before recommending to the Council for adoption.

#### **2. MEMBERSHIP OF THE CONSTITUENCY DEVELOPMENT COMMITTEE AND TERM OF OFFICE.**

The proposed membership of the CDC shall be nine (9) and shall comprise the following:

##### **Number Committee Membership**

- (a) Area Members of Parliament
- (b) 2 Councillors nominated by all Councillors in the Constituency
- (c) 1 Chiefs representative nominated by all Chiefs in the Constituency
- (d) 1 Director of Works in the case of a District Council or Director of Engineering Services in the case of Municipal and City Councils
- (e) 4 Community Leaders from Civil Society and NGOs, Churches, Community Based Organisations (CBOs) identified by the Area Member of Parliament and Councillors in the Constituency.

The Council shall submit the names of the above nominees together with their CVs and record of their participation in community development work to the Minister of Local Government and Housing for approval within 60 days of submission.

After approval the members of the Constituency Development Committee (CDC) will elect their Chairperson and the Vice Chairperson annually on a rotational basis limited to one year. The Area MP and the Councillors shall not be eligible to be Chairperson or Secretary to the CDC. In the absence of the Chairperson, the Vice Chairperson shall preside over the meeting of the CDC. However, in the absence of both, the members shall select amongst themselves a person to preside over the meeting.

The Secretariat for the CDC shall be provided by the Council which shall prepare notices and minutes of the CDC proceedings. These shall be submitted on a quarterly basis to the Provincial Local Government Officer and to the Ministry.

The tenure of office for the members of the CDC shall be three years, unless removed by the Council in Consultation with the Provincial Local Government Officer and subject to ratification by the Minister of Local Government and Housing.

#### **3. Modalities and Administration of the Constituency Development Fund**

- a) The Council (Local Authority) shall administer the channelling and utilization of the Constituency Development Fund.
- b) The authority to decide on the utilization of the Constituency Development Fund (CDF) shall be vested in the Council in accordance with Section 45(1) of the Local Government Act Chapter 281 of the Laws of Zambia. The District Development Coordinating Committee (DDCC) through the Planning Sub Committee shall receive project proposals from the CDC and advise the Council on their suitability for funding. The purpose of submitting project proposals to the Planning Sub Committee is to avoid duplication of funding the same project from other sources.
- c) All payments to Contractors executing constituency projects shall be paid by Bank Cheques and no payments in cash shall be allowed.
- d) Duties performed in connection with the administration of the Constituency Development Fund by members shall be part of community contribution. No allowances whatsoever shall be paid from the Constituency Development Fund.

#### **4. Beneficiaries**

Beneficiaries such as Clubs, Associations and Societies must be registered with the Local Council within their Constituency to benefit from the Fund.

#### **5. Types of Projects**

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The types of projects to be financed under Constituency Development Fund shall be developmental in nature and be beneficial to various stakeholders in the Community (Appendix A).

#### 6. Notification for Submission of Project Proposals

The Council shall invite project proposals from the communities during the first quarter of every year by way of advertisements, open meetings and fixing of posters in conspicuous locations such as Notice Boards of schools, clinics, and churches including notifications through letters to Chiefs and Village Headmen.

#### 7. Project Identification and Selection

a. Project proposals shall be identified and prepared for submission by Communities to the Constituency Development Committee (CDC) before receipt of the funds.

b. These projects shall be reconciled with those already received by the District Development Coordinating Committee to avoid duplication of efforts.

c. The CDC shall within two weeks make its decision on the approved project proposals.

d. In the next two weeks of receipt of these project proposals the Planning Sub Committee of the District Development Coordinating Committee shall submit its appraisal report to the District Development Coordinating Committee (DDCC) for onward submission to the Council for approval and implementation.

Only projects which have been appraised and approved by the Council shall be funded. The Council shall inform the CDC of its decision.

Implementation of Projects shall be completed within one year.

#### 8. Notification of Approved Projects by the Council

The Town Clerk/Council Secretary shall notify the Constituency Development Committee (CDC) on which projects have been approved by the Council for funding and implementation.

#### 9. Project Implementation

The implementation of the projects shall involve community participation in form of labour, both skilled and unskilled, and use locally available materials (stones, sand etc) as much as possible.

For specialized works, the Tender Committee at District Level shall use flexible tender system in the invitation of tender offers from eligible contractors/suppliers. The District Tender Committee shall evaluate the bids and recommend to the Council for award of contracts which shall be communicated to the successful contractor/supplier. Preference shall be given to local contractors and suppliers.

The Chairperson of the Community Based Organization Project Committee and the Town Clerk/Council Secretary shall be signatories to all Contract Agreements. All contracts shall be in writing and sealed as prescribed in the Contract Agreement Form (Appendix B).

10. Disbursement of Constituency Development Funds The Ministry of Local Government and Housing (MLGH) shall disburse the funds either by Bank Transfer or by Cheques to Constituency Development Fund Accounts maintained by Councils accompanied by a list of beneficiary constituencies and reflecting the allocation to each Constituency in the District.

#### 11. Bank Accounts and Signatories

The Council shall open Special Bank Accounts in the name of each Constituency and shall immediately inform sub-district structures such as Area Development Committees (ADCs), Resident Development Committees (RDCs) and Community Based Organisations CBOs, representatives as the case may be in each Constituency, and bank such funds on receipt in such Accounts.

There shall be four signatories to the Constituency Development Fund Bank Account. The following shall form the panel of bank signatories on the Constituency Development Fund Account:

#### **Panel A**

- i) The Town Clerk/District Council Secretary
- ii) The Director of Finance/District Treasurer

#### **Panel B**

- i) Chairperson of Constituency Development Committee



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ii) One member of the CDC at 2(e)

A Cheque drawn of the Constituency Development Fund Account or any instructions to the Bank shall be signed by two (2) Bank signatories comprising one signatory from Panel (A) and one from Panel (B)

## 12. Release of Funds for approved Projects (Specialised Works)

### a) Advance Payment

The advance payment shall be a maximum of 15% of the Contract sum and shall be paid to the Contractor within 30 days after award of Contract.

### b) Mode of Payment

Payment for certified work shall be in Zambian Kwacha only. The client shall pay the Contractor the certified sum within 30 days of receipt of the Progress Payment Certificate (PPC) by the Council's Works Department. The evaluations shall take place at the end of each month by both the Contractor and Council. However, the minimum claim for any interim certificate by the Contractor shall be set at 10% of the contract sum.

### c) Liquidated Damages

In the event of the Contract not being completed by the completion date, liquidated damages shall be applied up to a maximum of 15% of the contract sum. This amount shall be deducted from the final account. If the overrun is due to unforeseeable or unpredictable events beyond the control of the Contractor, then a reasonable extension of time may be granted on application by the Contractor. These shall be included in the Contract.

### e) Valuation of Works Done

At the time of evaluation for Progress Payment Certificate claims, the percentage of each activity completed is to be assessed and agreed between the supervisor/Council and the Contractor. This percentage shall be used to calculate the amount due for that activity. If liquidated damages are due, then these should be deducted from the total sum.

All payments due shall be sanctioned by the Council and shall be payable by Cheque in the name of the authorized Contractor or Supplier and NOT a third party or individual.

## 13. Accountability and Transparency

In accordance with the Local Government Act Cap 281 of the Laws of Zambia and the Local Authorities Financial Regulations (Statutory Instrument No. 125 of 1992) auditing of Constituency Development Fund shall be carried out regularly by the Local Government Auditors of the Ministry of Local Government and Housing. The District Treasurer/Director of Finance of the Council shall maintain separate Books of Accounts for the Constituency Development Fund in each District. They shall prepare monthly Receipts and Payments Accounts supported by the Bank reconciliation statements for each account to be submitted to the Office of the Provincial Local Government Officer with copies to the Permanent Secretary, Ministry of Local Government and Housing.

## 14. Penalty

Any abuse of the funds under the Constituency Development Fund by way of misapplication or misappropriation by the Council shall result in the suspension of the Council or forfeiture of the Council grants until the reimbursement of the affected Constituency Development Fund is effected. Further, any abuse of the Constituency Development Fund by any member of the Constituency Development Committee or Community Based Organisation shall result in legal action against the culprit. Any Council Official involved in abusing, mismanaging, defrauding or stealing any money from this Fund shall be prosecuted.

## 15. Minutes

The Council shall cause to be maintained records of the proceedings of all CDF meetings (prepared by an Officer from the District Planning Unit of the Council who shall be Secretary of the Committee. Quarterly copies of such minutes shall be submitted to the Minister of Local Government and Housing without fail and progress reports shall be availed to the community. Subsequent funding of CDF shall be withheld for Constituencies, which do not comply with these guidelines.

## 16. Reporting and Monitoring

The Council through the Director of Works/Director of Engineering Services or District Planning Officer/Directors of Socio Economic Planning Offices from relevant Government Line Departments and the beneficiary Community shall monitor the project implementation monthly or as often as necessary depending on the nature and stage of the project. The Community shall be involved during monitoring. The monitoring team shall prepare progress reports on behalf of the community supported by the accounts for the quarter and submit through the Provincial Local Government Officer to the Minister of Local Government on Housing who shall analyse the reports and advise the Government on progress achieved in the implementation of micro-community projects and programmes in constituencies.

#### 17. Administrative Costs

Twenty Million Kwacha (K20,000,000.00) of the Constituency Development Fund shall be retained in the Account of the Constituency to meet administrative costs of administering the Constituency Development Committee (CDC) auditing, monitoring and evaluation by the District Development Coordinating Committee (DDCC). These costs will include transport, stationery, per diem to cover food and accommodation for the technical staff and Committee Members.

#### 18. Project Evaluation

The evaluation of the project shall be carried out by the Council's Director of Works/Director of Engineering Services, District Planning Officer and officers from the appropriate Government line departments. The evaluation exercise shall be done upon completion of the project but before the disbursement of the following year's Constituency Development Fund. The Evaluation team shall prepare a report for submission to the community, DDCC and Council for action, if any.

#### 19. Funding for Production of Annual Report on the Constituency Development Fund

The Ministry of Local Government and Housing carry-out regular audit inspections in accordance with the Local Government Act Chapter 281 of the Laws of Zambia, the Guidelines on the Management and Utilization of Constituency Development Fund and physical verification of completed projects in all 150 Constituencies in Zambia. This is for the production of an Annual Report on the performance of the Constituency Development Fund for submission to Cabinet Office and Parliament.

#### 20. Annual Report to Cabinet and Parliament

The Minister of Local Government and Housing shall submit to Cabinet and subsequently to Parliament an annual report on the operations of the Constituency Development Fund.

## Appendix 'A'. Examples of Projects eligible for Constituency Development Fund

- (a) Water Supply and Sanitation -
  - (i) Construction and rehabilitation of wells;
  - (ii) Construction and rehabilitation of small scale dams;
  - (iii) Construction and rehabilitation of boreholes;
  - (iv) Piped water supply systems;
  - (v) Construction and rehabilitation of pit latrines, toilets or water borne sanitation system; and,
  - (vi) Drainage systems.
  
- (b) Roads -
  - (i) Construction, rehabilitation and maintenance of roads (feeder and community roads inclusive) especially by labour-based methods;
  - (ii) Bridge construction and maintenance;
  - (iii) Culvert installation;
  - (iv) Causeway construction; and,
  - (v) Canals, waterways embankments.
  
- (c) Agriculture Projects -
  - (i) Livestock and poultry rearing, piggeries;
  - (ii) Irrigation;
  - (iii) Marketing activities;
  - (iv) Basic farming Machinery; and,
  - (v) Agricultural inputs seeds, fertilizers, pesticides, etc.
  
- (d) Other Social Amenities -
  - Markets and Bus shelters:
    - (i) Construction and rehabilitation of markets; and,
    - (ii) Construction and rehabilitation of bus shelters.
  
  - Education and Health Programmes:
    - (i) Rehabilitation of Education facilities, desks inclusive;
    - (ii) Rehabilitation of Health facilities;
    - (iii) Health programmes such as nutrition, etc;
    - (iv) Education programmes such as literacy programmes; and,
    - (v) Educational Sponsorship for the vulnerable.
  
- (e) Sport and Recreation -
  - Rehabilitation and Construction of:

## Annex 3

### Disbursement of the Constituency Development Funds to Councils

MINISTRY OF LOCAL GOVERNMENT AND HOUSING  
**2010 CDF DISBURSEMENT TO CONSTITUENCIES AND COUNCILS**

Disbursed to MLGH ZMK 30 billion on 26th August and ZMK 20 billion on 18th November

(Currency: ZMK)

Province	No.	Council	Category	No. of Constituencies/ District	Constituency No.	Constituency	Total Actually Disbursed Amount to Constituency	Gaps (Not Disbursed Amount) per Constituency	Total Actually Disburse Amount to Council	Gaps (Not Disbursed Amount) per Council
Central	1	Chibombo	District	3	1	Chisamba	665,000,000.00	0.00	1,995,000,000.00	0.00
					2	Katuba	665,000,000.00	0.00		
					3	Keembe	665,000,000.00	0.00		
	2	Kabwe	Municipal	2	4	Bwacha	665,000,000.00	0.00	1,330,000,000.00	0.00
					5	Kabwe Central	665,000,000.00	0.00		
	3	Kapiri Mposhi	District	1	6	Kapiri Mposhi	665,000,000.00	0.00	665,000,000.00	0.00
	4	Mkushi	District	2	7	Mkushi North	665,000,000.00	0.00	1,330,000,000.00	0.00
					8	Mkushi South	665,000,000.00	0.00		
	5	Mumbwa	District	3	9	Mwembembezi	665,000,000.00	0.00	1,995,000,000.00	0.00
					10	Mumbwa	665,000,000.00	0.00		
					11	Nangoma	665,000,000.00	0.00		
	6	Serenje	District	3	12	Chitambo	665,000,000.00	0.00	1,995,000,000.00	0.00
					13	Muchinga	665,000,000.00	0.00		
					14	Serenje	665,000,000.00	0.00		
<b>Sub-total</b>				<b>14</b>		<b>9,310,000,000.00</b>	<b>0.00</b>	<b>9,310,000,000.00</b>	<b>0.00</b>	
Copperbelt	7	Chillilabombwe	Municipal	1	15	Chillilabombwe	665,000,000.00	0.00	665,000,000.00	0.00
	8	Chingola	Municipal	2	16	Chingola	665,000,000.00	0.00	1,330,000,000.00	0.00
					17	Nchanga	665,000,000.00	0.00		
	9	Kalulushi	Municipal	1	18	Kalulushi	665,000,000.00	0.00	665,000,000.00	0.00
	10	Kitwe	City	5	19	Chimwemwe	665,000,000.00	0.00	3,325,000,000.00	0.00
					20	Kamfinsa	665,000,000.00	0.00		
					21	Kwacha	665,000,000.00	0.00		
					22	Nkana	665,000,000.00	0.00		
					23	Wusakile	665,000,000.00	0.00		
	11	Mufulira	Municipal	3	26	Kankoyo	665,000,000.00	0.00	1,995,000,000.00	0.00
					27	Kantanshi	665,000,000.00	0.00		
					28	Mufulira	665,000,000.00	0.00		
	12	Luanshya	Municipal	2	24	Luanshya	665,000,000.00	0.00	1,330,000,000.00	0.00
25					Roan	665,000,000.00	0.00			
13	Ndola	City	4	33	Bwanankubwa	665,000,000.00	0.00	2,660,000,000.00	0.00	
				34	Chifubu	665,000,000.00	0.00			
					35	Kabushi	665,000,000.00	0.00		

### CDF Disbursements in Zambia 2006 - 2010 Year

Year	Amount (in ZMK Million)	% Change
2006	9,000	
2007	30,000	70.00
2008	60,000	50.00
2009	88,800	32.43
2010	99,750	10.98



## Annex 4

### PHOTOS SHOWING THE GENERAL CONDITIONS OF STREET LIGHTS IN BUTONDO

#### A Stretch of Non Functional Street Lights along Butondo Road



#### Vandalised Street Lights along Butondo Road



#### Stolen Fittings from Street Lights along Butondo Road



(Source: Fieldwork Surveys, 2013)

## Annex 5

Photos showing the quality of other CDF projects implemented in different parts of Zambia



Renovated Toilet at Chikalabwamba Market in Mufulira



Building materials meant for a clinic construction project in Chipata



Bridge constructed at Mponda in Katete.



ACP Bridge constructed in Solwezi



Market Shelter constructed in Luanshya  
(Source: CARITAS Zambia, 2011)



Bridge under construction in Mponda



## Annex 6

### Newspaper Cutting for one of CDF Corruption Cases Involving a Minister

#### Lusaka Times Newspaper: I didn't steal Says Moses Muteteka

Available at: (<http://www.times.co.zm/?p=20311>)

Posted June 26, 2013 by Mitia



By PERPETUAL SICHIKWENKWE - MMD Chisamba Member of Parliament (MP) Moses Muteteka has denied stealing a Mitsubishi Fuso truck belonging to Chibombo Constituency, saying the charge was unfair and meant to embarrass him. Opening his defence before Lusaka principal magistrate Aridah Chuulu yesterday, Muteteka admitted swapping his personal truck with the one belonging to Chibombo Constituency. He said he made a loss of KR17, 000. This is in a matter in which Muteteka is charged with theft of a motor vehicle. It is alleged that Muteteka on May 24, 2010 in Lusaka stole a Mitsubishi Fuso light truck registration number ABX 3529, valued at KR75, 000. The truck, which he allegedly registered in his name, belonged to Chibombo District. But Muteteka, who is former Local Government deputy minister in the MMD regime, said he was petitioned by the people from his constituency to swap the vehicles because the people, especially women, had difficulties in getting on the constituency vehicle compared to his personal vehicle which they had previously been using. Muteteka, who began by outlining his duties as MP, explained that in 2007, he discovered that people in his constituency were facing transport challenges during funeral and distribution of building materials in schools. He said he decided to buy a Fuso truck marked "Chibombo One" to help solve the problems but it got damaged the following year. Muteteka said in 2009, he bought another truck from God Provides Car Sales and Parts at the cost of KR92, 000 but people again started using his vehicle for funerals and developmental projects in the constituency. He said during one of the **Constituency Development Fund (CDF)** committee meetings, it was agreed that a truck be bought at the price of KR75, 000 for use in the constituency. Muteteka said after the truck was bought, people, especially women, started complaining that it was difficult for them to get on it and petitioned him to swap the vehicles with his personal one which they were used to. He said he was reluctant to swap his beautiful vehicle because the constituency vehicle was an old one, while his vehicle was expensive and that the move resulted in a loss of KR17, 000. Trial continues.

## Annex 7

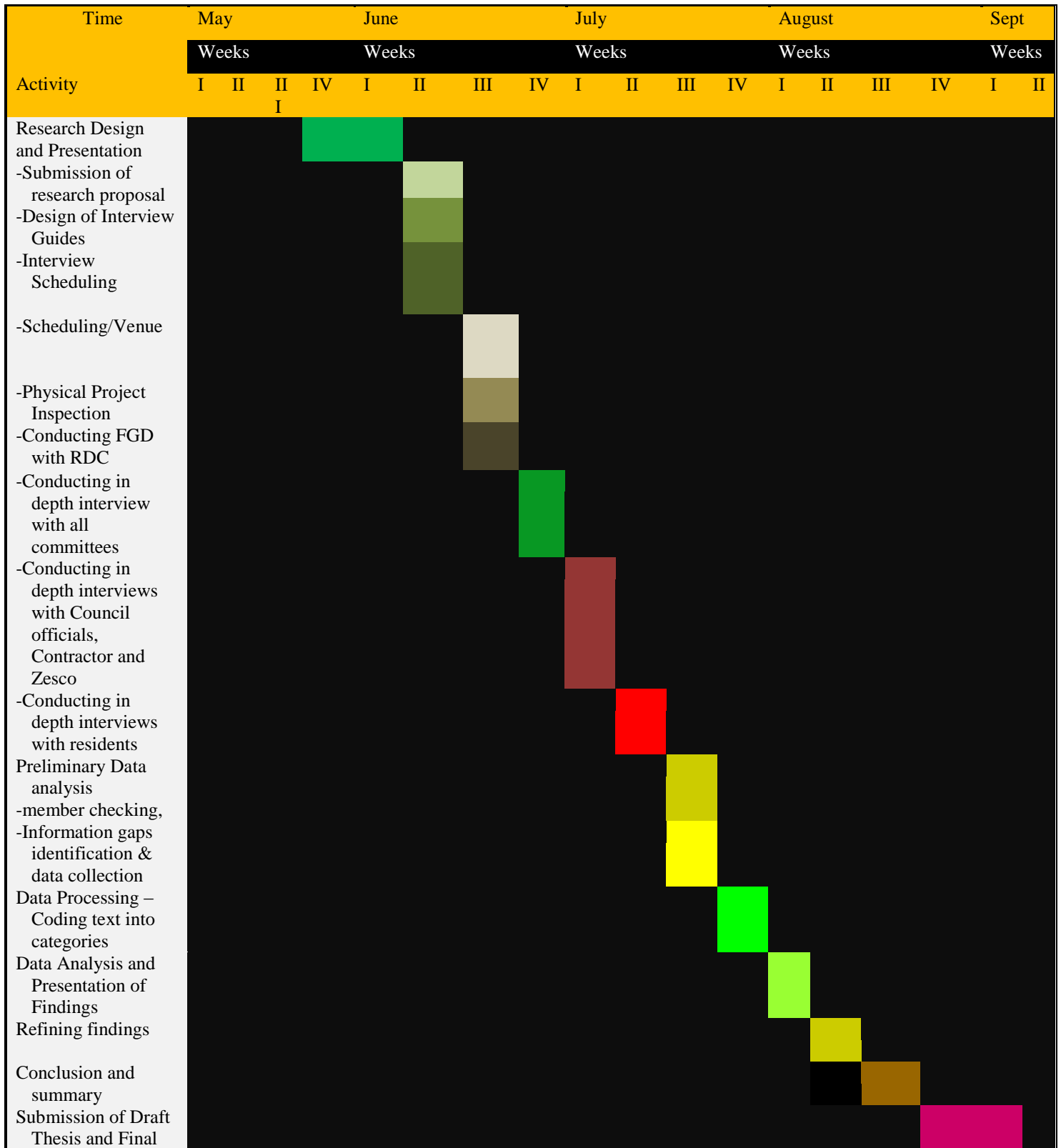
### Summary of the Research Design

	<b>STAGE I Project Site Selection</b>	<b>STAGE II Data Collection</b>	<b>STAGE III Data Analysis</b>	<b>STAGE IV Presentation of Data</b>
<b>STEPS TO BE TAKEN</b>	<ul style="list-style-type: none"> <li>-Background of the CDF projects in Mufulira</li> <li>-Selection of the project based on the following criteria:               <ul style="list-style-type: none"> <li><b><u>Characteristics of the project site</u></b></li> <li>-Physical State of the project</li> <li>-Social behaviour/attitudes of the intended project beneficiaries</li> <li>-Political orientation of the intended beneficiaries</li> <li>-Strategic location of the project</li> <li>-Population size covered by project</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><b>Data Gathering on Stakeholder participation and Outcomes of CDF project's decision making process</b></li> <li>Resident Development <u>Committee (RDC)</u> <ul style="list-style-type: none"> <li>-Purposive selection of respondents</li> <li>-Preparation of interview guides and venue</li> <li>-Focus Group Discussion</li> </ul> </li> <li><u>CDC, PSC, DDCC FC and TC</u> <ul style="list-style-type: none"> <li>-Purposive selection of respondents from each committee</li> <li>-Preparations of Interview guides</li> <li>-In depth interviews with committee members</li> </ul> </li> <li><u>Butondo Residents</u> <ul style="list-style-type: none"> <li>-Stratified Sampling</li> <li>-Identification of sample size</li> <li>-In depth interviews with residents</li> </ul> </li> <li><b>Data about operation and maintenance of Butondo Street lighting Project</b></li> <li>-Physical Project Inspection</li> <li>-Purposive selection</li> </ul>	<ul style="list-style-type: none"> <li><b>Data processing</b> <ul style="list-style-type: none"> <li>-Member checking</li> <li>-Coding text to categories</li> </ul> </li> <li><b>Data Analysis</b> <ul style="list-style-type: none"> <li>-Estimating descriptions and associations for inferential statistics</li> </ul> </li> <li><b>From analysis derive:</b> <ul style="list-style-type: none"> <li>-Level of stakeholder participation in the CDF decision making process</li> <li>-Outcomes of participatory process</li> <li>-Challenges hindering stakeholder participation</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>-Presentation of provision of evidence that support the interpretation</li> <li>-Conclusion and summary findings</li> </ul>

		<ul style="list-style-type: none"> <li>of respondents</li> <li>-In depth interviews with Local authority technical staff</li> <li>-In depth interviews with ZESCO staff</li> <li>-In depth interviews with the Contractor</li> </ul>		
Methods Of Data Collection	<ul style="list-style-type: none"> <li>Secondary Data Collection- Documentary review(project performance reports, newspapers, policy documents etc)</li> <li>-Interview with residents representatives and Local Government officials</li> <li>-Literature review</li> </ul>	<ul style="list-style-type: none"> <li>Focus Group Discussion with residents representatives (RDC)</li> <li>-In depth Interviews with residents, CDC, PSC, DDCC, TC, FC, ZESCO, Contractor and Local authority.</li> <li>-Site visit- Physical Project inspection</li> <li>-Secondary Data Collection</li> <li>-Literature review</li> </ul>	<ul style="list-style-type: none"> <li>-Correlation Analysis</li> <li>-Data reduction - pie charts, histograms, frequency tables</li> <li>-Cause effect analysis</li> <li>-Implication analysis</li> <li>-Comparative analysis</li> <li>-Literature review</li> </ul>	<ul style="list-style-type: none"> <li>-Literature review</li> </ul>

# Annex 8

## Research Activity Schedule



## Annex 9

### RESEARCH ON THE ROLE OF PARTICIPATORY PLANNING IN ENSURING THE ATTAINMENT OF COMMUNITY OWNED PROJECTS

#### INTERVIEW GUIDES FOR MUFULIRA COUNCIL AND ALL CDF COMMITTEES

*General note: This guide is strictly for research purposes to generate knowledge on the role participatory planning in ensuring the attainment of community owned project. All the information to be captured shall be kept confidential, only to be used in this research: Researcher's address; Doroth Musenge, C/O P.O Box 40798, Mufulira*

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#### A. GENERAL INFORMATION

Name of the Respondent.....  
Position.....  
Department / Committee Name.....  
Date.....

#### BRIEF PROJECT BACKGROUND INFORMATION

1. Kindly briefly explain about the way in which the Butondo Street Lighting project came into existence and what led to the emergence of the project?

#### RESEARCH QUESTION 1: NATURE OF THE PARTICIPATORY PLANNING PROCESS

##### Adaptive Process (Assessing the flexibility of the Planning Process Itself)

2. Briefly explain the whole planning process for the Butondo street lighting project?
3. What were the important moments in the process?
4. How do you perceive the results of such moments and what were their effects?
5. What were the decisive actions and changes made in the process and causes for the changes?
6. How do you perceive the suitability of the results of the process to the existing local conditions?

##### Dissipative Moments

7. Explain about moments when you interacted with other actors coming from outside your organization/committee during the process and what was the essence of the interactions?
8. How do you perceive the results of such moments?

##### Autopoeitic Moments

9. Explain about the moments in the process when you interacted with a small number of actors or stabilized number of actors (from within your organizations or committee)?
10. How do you perceive the results of such moments?

### **Contributions of Stakeholders in the Process**

11. Explain about the contributions you made to the project?

### **RESEARCH QUESTION2: OUTCOMES OF THE PARTICIPATORY PLANNING PROCESS**

#### **Vital Actor Relations**

12. Explain about the manner in which actors interacted through out the process from problem identification to solution definition and later on implementation.
13. Explain about the level of mutual understanding and conflicts amongst actors before and after the process.

#### **Support Structures**

14. Explain about the project steering committees responsible for spearheading the project activities and how they came together to assume this responsibility?

#### **Integration of Power**

15. Explain how changes were made, how goals were defined and projects activities defined by actors in the process?

#### **Community Ownership/Sustainability:**

16. Do you feel the street lights are a community achieved project? Explain why/why not.
17. Are you proud of the achievements? Why/Why not.
18. What has caused the vandalism of the street light?
19. Explain the role you play pertaining to the operations and the maintenance of the project and if not explain why you are not taking part in the operations and the maintenance of the project.

### **RESEARCH QUESTION 3: GENERAL CHALLENGES FACED BY STAKEHOLDERS**

#### **Exogenous Factors**

20. Explain the overall challenges you faced in the entire planning process of this project and explain how?
21. In your opinion, what should be done to improve the participatory planning process and its outcomes?

## Annex 10

### RESEARCH ON THE ROLE OF PARTICIPATORY PLANNING IN ENSURING THE ATTAINMENT OF COMMUNITY OWNED PROJECTS

#### INTERVIEW GUIDES FOR THE BUTONDO RESIDENTS

*General note: This guide is strictly for research purposes to generate knowledge on the role participatory planning in ensuring the attainment of community owned project. All the information to be captured shall be kept confidential, only to be used in this research: Researcher's address; Dorothea Musenge, C/O P.O Box 40798, Mufulira*

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#### **B. GENERAL INFORMATION**

Name of the Respondent.....

Household Number.....

Date.....

#### **BRIEF PROJECT BACKGROUND INFORMATION**

1. Kindly briefly explain about the way in which the Butondo Street Lighting project came into existence and what led to the emergence of the project?

#### **RESEARCH QUESTION 1: NATURE OF THE PARTICIPATORY PLANNING PROCESS**

##### **Adaptive Process (Assessing the flexibility of the Planning Process Itself)**

2. Briefly explain the whole planning process for the Butondo street lighting project?
3. What were the important moments in the process?
4. How do you perceive the results of such moments and what were their effects?
5. What were the decisive actions and changes made in the process and causes for the changes?
6. How do you perceive the suitability of the results of the process to the existing local conditions?

##### **Dissipative Moments**

7. Explain about moments when you interacted with other actors coming from outside your community during the process and what was the essence of the interactions?
8. How do you perceive the results of such moments?

##### **Autopoietic Moments**

9. Explain about the moments in the process when you interacted with a small number of actors or stabilized number of actors (from your community)?
10. How do you perceive the results of such moments?

##### **Contributions of Stakeholders in the Process**

11. Explain about the contributions you made to the project?

## **RESEARCH QUESTION2: OUTCOMES OF THE PARTICIPATORY PLANNING PROCESS**

### **Vital Actor Relations**

12. Explain about the manner in which actors interacted through out the process from problem identification to solution definition and later on implementation.
13. Explain about the level of mutual understanding and conflicts amongst actors before and after the process.

### **Support Structures**

14. Explain about the project steering committees responsible for spearheading the project activities and how they came together to assume this responsibility?

### **Integration of Power**

15. Explain how changes were made, how goals were defined and projects activities defined by actors in the process?

### **Community Ownership/Sustainability:**

16. Do you feel the street lights are a community achieved project? Explain why/why not.
17. Are you proud of the achievements? Why/Why not.
18. What has caused the vandalism of the street light?
19. Explain the role you play pertaining to the operations and the maintenance of the project and if not explain why you are not taking part in the operations and the maintenance of the project.

## **RESEARCH QUESTION 3: GENERAL CHALLENGES FACED BY STAKEHOLDERS**

### **Exogenous Factors**

20. Explain the overall challenges you faced in the process of this project and explain how?
21. In your opinion, what should be done to improve the participatory planning process and its outcomes?