

**A MICRO LEVEL MODEL FOR ASSESSING COMMUNITY  
DEVELOPMENT TOWARDS IMPROVED WELLBEING**

by

CORNELIA SUSANNA HART

submitted in accordance with the requirements  
for the degree of

DOCTOR OF PHILOSOPHY

in the subject

DEVELOPMENT STUDIES

at the

UNIVERSITY OF SOUTH AFRICA

SUPERVISOR: PROF F C DE BEER

APRIL 2018

## DECLARATION

Name: Cornelia S. Hart  
Student Number: 31643124  
Degree: Doctor of Philosophy In the subject of Development Studies

### **A MICRO LEVEL MODEL FOR ASSESSING COMMUNITY DEVELOPMENT TOWARDS IMPROVED WELLBEING**

I declare that the above dissertation/thesis is my own, original work, and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete reference.

Signature:  .....

Date: 15 April 2018 .....

**Copyright © 2018 Cornel Hart; University of South Africa (UNISA)**

**All rights reserved**

## **ACKNOWLEDGEMENTS**

This study would never have reached completion without the help and support of many people. I wish to thank, with the deepest appreciation, all who have contributed in any way.

There are, however, some to whom particular thanks are due:-

To my study leader Prof Frik de Beer for his guidance, critical support and thoroughness in advising my research. His expertise and passion for community development were my reason for embarking on my PhD journey. I first met him as an undergraduate student in Development Studies, more than 27 years ago, and it was then already that he laid the foundation for what became my lifelong commitment and passion, to work in communities.

To Prof De Wet Schutte for assisting me in that critical moment when I wanted to 'uncomplicate' the complicated statistics needed to ensure that the purpose of this study would be achieved in every way, so that communities (the 'insiders' of community development) could drive their own wellbeing assessment and development processes.

To Mr. Hewu and his team at the Western Cape Department of Social Development who, in the true sense of 'community spirit', offered to assist with my study in testing the applicability of my model in the public-sector (the 'outsiders of community development) and, to date, for not having stopped using it as a tool to empower staff and communities alike.

To my language editor, Bryan de Robeck who has done a crucial job under great pressure. I am grateful for the professional and friendly way in which you have contributed to this thesis. We have done both Masters and PhD 'together', and I will be forever grateful to you for your skill and guidance, during all these years, in developing my academic writing skills.

To my family and friends for their understanding and loving support and, more often than not, for their patience and constant willingness to encourage me to reach completion.

Lastly but not least, to my friend and lifetime partner, Luan Lausberg for his moral support and encouragement to always believe in myself and to finish my studies, irrespective of what I have had to give up in order to achieve this degree. We share almost two decades of community development drive and passion together; once again you have succeeded in developing an electronic tool which is now available to assist communities with having the 'power' to drive their own community development processes.

***“If there is no struggle there is no progress”***  
*(Frederick Douglass; 1870 – An American slave)*

This thesis is dedicated to the communities (my actual university of study) who have taught me and shaped me to become the person and community development practitioner that I am today. I learned early on the importance of “...Do not judge me by my successes, judge me by how many times I fell down and got back up again...” (Nelson Mandela). I honour, too, the endurance, patience, courageous efforts and unconditional sacrifices made by communities and community development practitioners in seeking to fulfil a vision towards an improved quality of life in a sustainable wellbeing for all.

## **ABSTRACT**

Developments since the 20<sup>th</sup> century indicate that the wellbeing of communities makes for healthy national welfare in strong countries. Community wellbeing is thus a priority for policy makers and service providers. Conceptualization of a meaningful, holistic multidimensional measurement of community wellbeing at micro (community) level has been lacking. Such a concept and its measurement are essential when addressing social exclusion and development issues in the enhancement of community wellbeing is to produce worthwhile results. There is growing recognition that earlier understanding of community wellbeing failed to address development needs and processes at community level. Outsider stakeholder driven top-down one-dimensional community wellbeing ('silo') measurements did not address human development needs at community level. Meaningful measurement requires integrated frameworks addressing multi-dimensional issues conceptualizing wellbeing measurement at community level. Such measurement needs to be combined with the integrated inclusion of social capital influence through 'insider-outsider' partnerships.

The research study purpose was to develop a community driven holistic, integrative wellbeing assessment model. This model could assist 'insiders' (community members) and 'outsiders' (policy makers, service providers and community development practitioners) in developing and implementing community driven initiatives towards improved wellbeing. The two main research questions were: 1) which macro level wellbeing assessment factors to consider in an aligned micro level wellbeing assessment? and 2) what is the associative relationship between wellbeing and social capital?

Two descriptive sample surveys were conducted utilizing a structured questionnaire. Primary data findings contributed to finalization of a community level wellbeing assessment model. This model would enable estimation of the potential (push and pull) factors that influence the targeted success of suggested community development processes. The assessment model is community driven and owned, with spider and quadrant diagram graph tools indicating first the status of community wellbeing and social capital, then the associative relationships of wellbeing and social capital in 'insider-outsider' initiatives for wellbeing enhancement.

**Key Terms:** Community Wellbeing; Social Capital; Socio-ecological Systems Theory; Wellbeing Assessment Model; Community Development; Insider-Outsider Partnerships; Wellbeing Measurement; Wellbeing Dimensions; Social Capital Dimensions; Quality of Life.

## TABLE OF CONTENTS

<b>LIST OF ABBREVIATIONS.....</b>	<b>.....</b>
<b>LIST OF CONCEPTS.....</b>	<b>1</b>
<b>CHAPTER ONE .....</b>	<b>1</b>
<b>INTRODUCING THE STUDY.....</b>	<b>1</b>
1.1.    INTRODUCTION .....	1
1.2.    PROBLEM STATEMENT AND PURPOSE.....	2
1.3.    OBJECTIVES OF THE STUDY .....	4
1.4.    RESEARCH QUESTIONS .....	5
1.4.1. <i>Part One: Research Question</i> .....	5
1.4.2. <i>Part Two: Research Question</i> .....	6
1.5.    OPERATIONALIZATION .....	6
1.5.1. <i>Part One</i> .....	6
1.5.2. <i>Part Two</i> .....	7
1.5.3. <i>Part Three</i> .....	9
1.6.    SIGNIFICANCE OF THE STUDY .....	9
1.7.    DELIMITATIONS AND LIMITATIONS OF THE STUDY .....	10
1.8.    CHAPTERS OUTLINES .....	10
1.9.    CONCLUSION.....	12
<b>CHAPTER TWO.....</b>	<b>13</b>
<b>WELLBEING MEASUREMENT: A LITERATURE REVIEW.....</b>	<b>13</b>
2.1.    INTRODUCTION .....	13
2.2.    DEVELOPMENT THEORY AND PRACTICE .....	14
2.3.    MODERNIZATION THEORY .....	17
2.4.    DEPENDENCY THEORY.....	18
2.5.    COMMUNITY DEVELOPMENT THEORY.....	21
2.5.1. <i>Systems Theory</i> .....	22
2.5.2. <i>Socio-Ecological Systems Theory</i> .....	24
2.5.2.1. Micro Ecosystem .....	25
2.5.2.2. Meso Ecosystem .....	26
2.5.2.3. Exo Ecosystem.....	26
2.5.2.4. Macro Ecosystem.....	27
2.5.2.5. Chrono Ecosystem .....	28
2.6.    DEFINING COMMUNITY AND COMMUNITY DEVELOPMENT.....	31
2.7.    COMMUNITY DEVELOPMENT APPROACHES.....	34
2.8.    CONCEPTUALISING WELLBEING .....	38
2.9.    CONCEPTUALISING SOCIAL CAPITAL .....	39
2.10.   SOCIAL AND COMMUNITY INDICATORS .....	43
2.11.   INDEXES AND MODELS TO MEASURE COMMUNITY WELLBEING.....	48
2.12.   CONCLUSION.....	50
<b>CHAPTER THREE.....</b>	<b>52</b>
<b>THEORETICAL AND CONCEPTUAL DISCOURSE FOR A PROPOSED COMMUNITY LEVEL WELLBEING MEASUREMENT MODEL .....</b>	<b>52</b>
3.1.    INTRODUCTION .....	52
3.2.    ASSET BASED COMMUNITY DEVELOPMENT .....	53
3.3.    SUSTAINABLE LIVELIHOODS FRAMEWORK .....	56
3.3.1. <i>Types of Livelihoods Frameworks</i> .....	58

3.3.1.1.	International and National Livelihoods Frameworks .....	58
3.3.2.	<i>Benefits of Livelihoods Frameworks</i> .....	62
3.3.3.	<i>Critique of Livelihoods Frameworks</i> .....	63
3.4.	INTEGRATING THE ABCD AND SLA APPROACHES .....	63
3.5.	SOCIAL CAPITAL .....	65
3.6.	MANIFESTATIONS OF SOCIAL CAPITAL .....	67
3.6.1.	<i>Structural and cognitive appearance of social capital</i> .....	68
3.6.2.	<i>Bonding and bridging appearance of social capital</i> .....	68
3.7.	WELLBEING DIMENSIONS AND INDICATORS .....	69
3.7.1.	<i>Dimensions of the OECD wellbeing framework</i> .....	71
3.8.	INTERNATIONAL AND NATIONAL DEVELOPMENT INITIATIVES.....	77
3.8.1.	<i>UN Sustainable Development Goals (SDGs)</i> .....	77
3.8.2.	<i>Agenda 2063</i> .....	79
3.8.3.	<i>The National Development Plan (NDP): Vision 2030 of South Africa</i> .....	81
3.8.4.	<i>South Africa's country objectives and government clusters</i> .....	83
3.9.	CONCEPTUALIZATION OF THE PROPOSED COMMUNITY LEVEL WELLBEING ASSESSMENT MODEL .....	85
3.9.1.	<i>Purpose of the proposed wellbeing model</i> .....	87
3.9.2.	<i>Linking national priorities, plans and clusters</i> .....	88
3.9.3.	<i>Proposed community level wellbeing dimensions</i> .....	89
3.9.4.	<i>The community level wellbeing model conceptual aspects</i> .....	90
3.10.	OPERATIONALIZATION OF THE PROPOSED COMMUNITY LEVEL WELLBEING ASSESSMENT MODEL .....	92
3.10.1.	<i>Stage 1: Community organizing</i> .....	93
3.10.2.	<i>Stage 2: Data collection and capturing training</i> .....	94
3.10.3.	<i>Stage 3: Data results conceptualization</i> .....	94
3.10.4.	<i>Stage 4: 'Insider-outsider' partnership formation</i> .....	96
3.11.	CONCLUSION.....	96
<b>CHAPTER FOUR .....</b>		<b>98</b>
<b>RESEARCH STUDY METHODOLOGY: CONDUCTING A COMMUNITY LEVEL WELLBEING ASSESSMENT SURVEY .....</b>		<b>98</b>
4.1.	INTRODUCTION .....	98
4.2.	RESEARCH METHODOLOGY.....	98
4.3.	RESEARCH SETTING .....	99
4.4.	STUDY POPULATION AND SAMPLING PROCESS.....	100
	<i>Figure 1: Wazimaps Landing Page</i> .....	100
4.4.1.	<i>Urban Community Sample</i> .....	102
4.4.2.	<i>Rural Community Sample</i> .....	104
4.5.	STUDY DESIGN.....	106
4.6.	RESEARCH QUESTION (PART 1) .....	108
4.7.	PART 2: RESEARCH QUESTION.....	109
4.8.	DATA COLLECTION INSTRUMENT AND FIELDWORKER TRAINING .....	109
4.9.	DATA PROCESSING AND ANALYSES .....	112
4.10.	ETHICAL CONSIDERATIONS .....	114
4.11.	CONCLUSION.....	115
<b>CHAPTER FIVE .....</b>		<b>117</b>
<b>SURVEY DATA FINDINGS: PRESENTING COMMUNITY WELLBEING AND SOCIAL CAPITAL LEVELS.....</b>		<b>117</b>
5.1.	WELLBEING AND ITS ASSESSMENT DIMENSIONS .....	118

5.1.1.	<i>Health</i> .....	119
5.1.2.	<i>Food</i> .....	119
5.1.3.	<i>Education</i> .....	119
5.1.4.	<i>Transport</i> .....	119
5.1.5.	<i>Communication</i> .....	120
5.1.6.	<i>Income</i> .....	120
5.1.7.	<i>Security</i> .....	120
5.1.8.	<i>Recreation</i> .....	120
5.1.9.	<i>Housing</i> .....	121
5.1.10.	<i>Energy</i> .....	121
5.1.11.	<i>Water and Sanitation</i> .....	121
5.1.12.	<i>Environment</i> .....	121
5.2.	URBAN AND RURAL COMMUNITY WELLBEING PROFILES.....	122
5.3.	SOCIAL CAPITAL AND ITS ASSESSMENT DIMENSIONS .....	134
5.3.1.	<i>Groups and Networks</i> .....	135
5.3.2.	<i>Trust and Solidarity</i> .....	135
5.3.3.	<i>Collective Action and Cooperation</i> .....	135
5.3.4.	<i>Information Sharing and Communication</i> .....	135
5.3.5.	<i>Social Cohesion and Inclusion</i> .....	136
5.3.6.	<i>Empowerment and Political Action</i> .....	136
5.4.	URBAN AND RURAL COMMUNITY SOCIAL CAPITAL PROFILES.....	136
5.5.	INTEGRATED WELLBEING AND SOCIAL CAPITAL LEVELS.....	146
5.6.	SUMMARY OF RESULTS.....	150
5.7.	CONCLUSION.....	151
<b>CHAPTER SIX .....</b>		<b>153</b>
<b>STUDY CONCLUSIONS AND RECOMMENDATIONS FOR FURTHER RESEARCH.....</b>		<b>153</b>
6.1.	INTRODUCTION .....	153
6.2.	REVISITING THE STUDY OBJECTIVES: KEY OBSERVATIONS AND CONCLUSIONS.....	154
6.2.1.	<i>Study Problem Statement and Purpose</i> .....	154
6.2.2.	<i>Study Objective 1: A literature review of wellbeing measurement conceptualization</i> .....	155
6.2.2.1.	Theoretical discourse for an 'insider-outsider' development approach to wellbeing enhancement .....	156
6.2.2.2.	Socio-ecological systems theory and wellbeing measurement.....	158
6.2.2.3.	Community development and its approaches to wellbeing enhancement .....	160
6.2.2.4.	Wellbeing measurement and participatory assessment approaches.....	161
6.2.2.5.	The relational influence between social capital and wellbeing .....	163
6.2.3.	<i>Study Objective 2: A descriptive sample survey for integrative community level wellbeing and social capital contextualization</i> .....	165
6.2.3.1.	Study research methodology.....	166
6.2.4.	<i>Study Objective 3: Community level wellbeing assessment model finalization: Lessons learned and recommendations for further research</i> .....	169
6.2.4.1.	Wellbeing and social capital dimensional assessment .....	170
6.2.4.2.	Relational association between social capital and wellbeing.....	170
6.3.	CONCLUDING STATEMENT .....	172
6.4.	RECOMMENDATIONS FOR FURTHER RESEARCH .....	172
<b>BIBLIOGRAPHY .....</b>		<b>173</b>
<b>ANNEXURES</b>		
Annexure 1: Community Wellbeing Questionnaire .....		194



## DIAGRAMS

Diagram 1: Schematic Changing Development Trends and Themes Summary .....	15
Diagram 2: Interdependent Ecological Systems Shaping Human Development both Directly and Indirectly.....	29
Diagram 3: The OECD Wellbeing Conceptual Framework .....	72
Diagram 4: A SA example community level wellbeing assessment model .....	91

## TABLES

Table 1: ABCD Principles of Practice .....	55
Table 2: Contemporary authors' level of study of social capital. ....	66
Table 3: A Wellbeing Framework for Developing and Emerging Countries. ....	73
Table 4: Linking National Priorities, NDP Chapters and Government Clusters.....	88
Table 5: CCT Region, Metro East: Urban Community Example Sample Composition .....	102
Table 6: Urban Community Groups Composition .....	104
Table 7: Rural Community Groups Composition .....	105
Table 8: Survey Questionnaire Content .....	113

## SPIDER GRAPHS

Spider Graph 1: Urban Female Youth Community Wellbeing Profile.....	123
Spider Graph 2: Rural Female Youth Community Wellbeing Profile.....	123
Spider Graph 3: Urban Female Adult Age Community Wellbeing Profile.....	124
Spider Graph 4: Rural Female Adult Age Community Wellbeing Profile.....	125
Spider Graph 5: Urban Female Senior Age Community Wellbeing Profile .....	126
Spider Graph 6: Rural Female Senior Age Community Wellbeing Profile.....	127
Spider Graph 7: Male Urban Youth Community Wellbeing Profile.....	128
Spider Graph 8: Male Rural Youth Community Wellbeing Profile.....	128
Spider Graph 9: Male Urban Adult Age Community Wellbeing Profile.....	129
Spider Graph 10: Male Rural Adult Age Community Wellbeing Profile .....	130
Spider Graph 11: Male Urban Senior Age Community Wellbeing Profile.....	131
Spider Graph 12: Male Rural Senior Age Community Wellbeing Profile.....	131
Spider Graph 13: Overall Urban Community Wellbeing Profile .....	132
Spider Graph 14: Overall Rural Community Wellbeing Profile.....	133
Spider Graph 15: Urban Female Youth Age Social Capital Profile .....	137
Spider Graph 16: Rural Female Youth Age Social Capital Profile .....	137
Spider Graph 17: Urban Female Adult Age Social Capital Profile .....	138
Spider Graph 18: Rural Female Adult Age Social Capital Profile .....	138
Spider Graph 19: Urban Female Senior Age Social Capital Profile .....	139
Spider Graph 20: Rural Female Senior Age Social Capital Profile .....	140
Spider Graph 21: Male Urban Youth Social Capital Profile.....	141
Spider Graph 22: Male Rural Youth Social Capital Profile.....	141
Spider Graph 23: Male Urban Adult Age Social Capital Profile .....	142
Spider Graph 24: Male Rural Adult Age Social Capital Profile.....	142
Spider Graph 25: Male Urban Senior Age Social Capital Profile .....	143
Spider Graph 26: Male Rural Senior Age Social Capital Profile .....	143
Spider Graph 27: Overall Urban Community Social Capital Profile .....	144

Spider Graph 28: Overall Rural Community Social Capital Profile..... 145

**QUADRANT DIAGRAM GRAPHS**

Quadrant Diagram Graph 1: Urban Community Quadrant Diagram ..... 147  
Quadrant Diagram Graph 2: Rural Community Quadrant Diagram ..... 149

## List of Abbreviations

ABCD	: Asset Based Community Development
AU	: African Union
CARE	: Cooperative for Assistance and Relief Everywhere
CCT	: City of Cape Town
CLD	: Citizen Led Development
CPI	: Consumer Price Indices
DFID	: Department for International Development
EU	: European Union
GDP	: Gross Domestic Product
GPI	: Genuine Progress Indicator
GST	: General Systems Theory; better known as 'Systems Theory'
HDI	: Human Development Index
IACD	: International Association of Community Development
IMF	: International Monetary Fund
IRDP	: Integrated Rural Development Planning
ISH	: Fordham Index of Social Health
LAL	: Learning About Livelihoods
LSMS	: Living Standards Measurement Surveys
NDP:2030	: National Development Plan: Vision 2030 of South Africa
NGO	: Non-Governmental Organization
NPO	: Not-for-Profit Organization
OECD	: Organization for Economic and Cooperation Development
OSS	: Open Source Software
OXFAM	: Oxford Committee for Famine Relief
PGIEP	: Policy Guidelines for Integrating Environmental Planning
PM	: Participatory methods
PRA	: Participatory Rural Appraisal
QOL	: Quality of Life (also Social Quality of Life (SQL))
RDP	: Reconstruction and Development Plan
RRA	: Rapid Rural Appraisal

SC-IQ	: Social Capital Integrated Questionnaire
SCS	: Social Capital Surveys
SDGs	: Sustainable Development Goals
SID	: Society for International Development
SLF	: Sustainable Livelihoods Framework
SLP	: Sustainable Livelihoods Project
SQL	: Social Quality of Life (also Quality of Life (QOL))
UK	: United Kingdom
UN	: United Nations
UNDP	: United Nations Development Programme
UNISA	: University of South Africa
WISP	: Weighted Index of Social Progress

## List of Concepts

**Asset Based Community Development (ABCD)** emphasizes the building of existing assets in the community. It is also known as Citizen Led Development, and forms part of the participatory methodologies that are people-centred or people-driven development. ABCD favours a bottom-up approach, with an empowerment perspective that values collaboration and partnerships (derived from Mathie, Cameron & Gibson, 2017:54; Nel, 2015:512; MacLeod & Emejulu, 2014:435; Pretorius & Nel, 2012:9; O’Leary, 2005:3; Mathie & Cunningham, 2003:474; Chambers & Conway, 1991:37).

**Community Development** is defined by the community development practice policy framework of South Africa (2014) as “...an active long-term and holistic citizenry empowerment practice with set values and practices which plays a special role in addressing inequality in society to bring about change and deepening democracy that are founded on social justice, equality, and inclusion towards improved wellbeing for members of society...”.

**Community Indicators**, also referred to as community Quality of Life indicators, assist communities in developing a better understanding of where they are with regard to their own ability and capacity for wellbeing achievement, as well as in relation to other communities and their levels of wellbeing achievement. If they are formulated and applied correctly, they could not only monitor change and progress but could also contribute towards making change happen in communities (derived from Davern, et.al. 2017:568-569; Miles, et.al., 2008:77; Greenwood, 2001:5-7; Norris & Adkisson, 1997:i-ii).

**Community Wellbeing** is a state of being measured against a set of wellbeing indicators that assesses the financial, socio-ecological, physical, and infrastructural status of a community (derived from Miles, et.al., 2008:75; Swanepoel & De Beer, 2016:12).

**Community Wellbeing Dimensions** are clustered into the physical (i.e. natural capital), social, economic (i.e. financial capital), political (i.e. social and human capital), and psychological (i.e. also social and human capital) environments. There are 12 wellbeing dimensions for community wellbeing assessment namely: i) health; ii) income; iii) education; iv) housing; v) energy; vi) sanitation; vii) environment; viii) transport; ix) security; x) food; xi) recreation; and xii) communication (derived from Boarini, Kolev & McGregor, 2014:43-44; ABS, 2002:12-18; Graczyk, 2002:12-18).

**Quality of Life (QOL)** is a measurement concept which includes happiness, life satisfaction and social capital. This measurement is based on four conditions: 1) socio-economic security, 2) social inclusion, 3) social cohesion and solidarity between generations, and 4) autonomy and empowerment level of citizens (Miles, et.al., 2008:75). Ribova (2000:2) defines QOL (also SQL) as: "...a concept focused on understanding the contribution of the economic, social, cultural and political components of a community in maintaining itself and fulfilling the various needs of local residents...".

**Social Capital** generally refers to the reliable network upon which one can 'draw' during difficult times and/or for improvement of wellbeing. Social Capital is thus the extent to which one has 'control' over access to participating in and depending upon the influence of system level networks. The Social Capital network is founded on a basis of norms and values which require trust and equal sharing. This sharing takes on the form of a barter exchange system towards common goals by all who are participating and contributing to the system in different ways at different levels (derived from Tzanakis, 2013:2; Gauntlett, 2011:132-333; Vermaak, 2009:401; Woolcock & Narayan, 2000:226; Claridge, 2004:24; Mansuri & Rao, 2004:8 Falk & Kilpatrick, 2000:88; Portes, 2000:3; Putnam, 1995; Putnam, 1993).

**Social Capital Dimensions** are used to measure the networks and associations that exists within communities. There are 6 overall dimensions for social capital assessment: 1) groups and networks; 2) trust and solidarity; 3)

collective action and cooperation; 4) information sharing and communication; 5) social cohesion and inclusion; and 6) empowerment and political action (derived from Grootaert et al. 2004:2).

**Social Indicators** contribute to a significant measurement of the quality of life (Sirgy, Michalos, Ferriss, et.al, 2006: 344). Raymond Bauer invented the basic conceptualization for the term 'social indicators', defining them as: "...statistics, statistical series, and all other forms of evidence that enable us to assess where we stand and are going with respect to our values and goals... (Bauer, 1966:1).

**Socio-ecological Systems Theory** is a human development theory that applies socio-ecological models postulated to understand human development, as well as the entire ecological system in which growth occurs. It emphasises the nature of the transactional relations between the human environment (individuals, families, communities, societies) and the greater environment. It indicates that human development cannot be taken in isolation from the environment in which it occurs. It therefore needs to be within the context of the relationships which exist between and within each of the units within a system. Socio-ecological models therefore incorporate the following system levels within the human environment: 1) micro; 2) meso; 3) exo; 4) macro; and 5) chrono. (derived from Neal & Neal, 2013: 722-723; Friedman & Allen, 2011:9-10; Walker, Holling, Carpenter & Kinzig, 2004:6; Stanger, 2011:169).

**Sustainable Livelihoods Framework (SLF)** focuses on livelihoods instead of household assessments. The SLF aims to increase the effectiveness of communities and community based organisations in addressing poverty issues. The framework assists with the conceptualization of the capabilities and assets which households can apply (activate) to develop a strategy for sustaining their livelihoods. It provides clarity with regard to the factors (assets, capabilities, threats and vulnerabilities) within the different dimensions of society (social, political, economic and physical). It provides this at all levels (micro to macro) which impact positively or negatively on the sustainable wellbeing of the

households (derived from Morse & McNamara, 2013:18; De Haan, 2012:347-349; De Haan & Zoomers, 2006:122; De Satgé, 2002:3; Hussein, 2002:48).

**Wellbeing Measurement** is the empirical measurement of community wellbeing, in both its economic status and in its quality of life status of people. It incorporates 5 dimensions for measurement, identified by Narayan et al. (2002): 1) "...material wellbeing, 2) bodily wellbeing, 3) social wellbeing, 4) security, and 5) freedom of choice and action...".



# CHAPTER ONE

## **Introducing the Study**

### **1.1. Introduction**

Community wellbeing has become a priority for policy makers and service providers around the world. A central aim of contemporary public policies is to focus more than previously on community wellbeing. This focus requires human centred holistic and integrated approaches which address the multi-dimensional character issues of community wellbeing: physical, social, economic, political, and psychological. The wellbeing of a community depends on the balanced and vigorous functioning of these characteristics, applied in a holistic and integrated manner (Elson & Cagatay, 1999:1; Christakopoulou, Dawson & Gari, 2001:321,323; Duxbury, 2003:3,4).

These holistic and integrated approaches to community wellbeing require policies that are linked to comprehensive regeneration strategies, in order to regenerate the provision of community service. This, in turn, requires analytical tools that communities can use to assess their own wellbeing status in an integrated and comprehensive manner. Community profiles which identify all the wellbeing categories of communities in detail, in order to establish a comprehensive data baseline, are of the utmost importance if service providers are in future to make relevant and meaningful contributions in processes designed to improve community wellbeing. Detailed community wellbeing profiles are the best tools for providing a clear picture of the strengths and weaknesses in a community that could affect the measurement of prospects when identifying interventions and their impacts. More specifically, if community members themselves collect and apply the baseline data, then they could take the lead during community development planning and development interactions with service providers (Christakopoulou, Dawson & Gari, 2001:321-322; Duxbury, 2003:4).

Interventions impacts relate to the challenges in communities which have a multiple and interrelated nature. These challenges comprise a mixture of interrelated environmental, social and economic problems, such that public policy initiatives in one sphere can have unanticipated consequences in another sphere if they are not based on a holistic and integrative approach (Christakopoulou, Dawson & Gari, 2001:322). Policy makers and service providers both need to comprehend the multidimensional character of communities from the perspectives of those communities. Service providers, as well as community members, need to realise the influence of social capital on the multidimensional character of communities. This in turn requires holistic and integrative community development approaches, in partnership with communities, to move towards improved community wellbeing.

## **1.2. Problem Statement and Purpose**

Developments from the 20<sup>th</sup> and 21<sup>st</sup> centuries indicate that the wellbeing of strong and vibrant communities makes for the healthy wellbeing and national welfare of strong countries. However, until fairly recent times, there has been a lack of conceptualization of meaningful, integrated and multidimensional measurement of community wellbeing at micro (community) level. Such a concept and its measurement are essential in addressing development issues, service delivery and the enhancement of community wellbeing. Whilst other countries, such as Australia, the Netherlands, the United Kingdom (UK) and Canada, are now showing evidence of starting to address this need, there has so far been a lack of any such evidence of conceptualization in South Africa.

Governments are increasingly coming to recognize that both political and socio-economic necessities dictate the need to make community wellbeing a worldwide priority. With this recognition has come the realisation that earlier attempts to understand the wellbeing of communities have failed (Duxbury 2003:4; Blair & Greene, 2007). For example, simply using Gross Domestic Product (GDP) as a measurement tool by which to gauge community wellbeing is to use a relatively one-dimensional statistic to measure a multidimensional concern. Thus, the time has come to start conceptualising the measurement of

community wellbeing at a community level in a community led multi-dimensional manner which incorporates the influence of social capital on the achievement of improved community wellbeing. These multi-dimensional character factors are: 1) physical, 2) socio-ecological, 3) economical, and 4) political (Elson & Cagatay, 1999:1; Christakopoulou, Dawson & Gari, 2001:321,323; Duxbury, 2003:3,4).

Another facet of the problem is that community wellbeing has so far been measured mostly from a liberal perspective by the 'outsider expert' using means of quantitative measurement (Fraser, 2005:286). This approach has been shown to be inadequate in dealing with the strong relationship of wellbeing to the levels of social capital (networks) within communities. This relationship is, in turn, linked to the formulation of partnerships within and between communities, which collectively influence community development processes. Although integrative multi-dimensional measurement of wellbeing has started in recent years, in countries such as Australia, the Netherlands, the UK and Canada, this has not yet happened in a micro community led manner (Sigry, Michalos, Ferriss, Easterlin, et.al. 2006:344-345; Noll, 2004:154; Veenhoven, 2001:3).

The measurement of community development processes towards improved wellbeing therefore needs to follow a more radical approach. 'Insider' and 'outsider' perspectives in the conceptualization of community wellbeing both need to be utilised at their different levels. However, just as a liberal community development approach can have too much of an 'outsider' perspective, caution is needed in using a too radical 'insider' approach; this could result in communities being seen as capable of addressing and improving their levels of wellbeing by themselves for themselves, without 'outsider' support (Fraser, 2005:286). A combined 'insider-outsider' partnership is therefore required for an integrative and holistic measurement of a community development approach towards improved wellbeing. This approach needs to be quantitatively justified and measured in an aligned manner from micro level community wellbeing assessment to national macro level and international chrono levels. Such a

systems level assessment and alignment should also be cognizant of the comprehensive influence of social capital on wellbeing achievement.

A further problem is that community development initiatives are mainly designed and implemented in isolation and without base-line data. Integrative community wellbeing status profiles, conducted in partnership with, and driven by, communities, are needed. Such profiles should include the social capital status of communities in relation to wellbeing indicators. It is thus essential for analytical wellbeing measurement to look both 'outside-in' and 'inside-out', taking into account a range of data sets relating to financial-, physical-, human-, natural- and social capital. The data collection method and findings should be both acceptable to and usable by communities, community development practitioners, and service providers.

There is thus a need for a community driven, comprehensive, scientific and acceptable measurement tool which builds on international developments whilst factoring in social capital and human diversity. The purpose of this study was therefore to develop an integrative community level wellbeing assessment model, (with aligned potentials to national, regional and international development drivers). The wellbeing profiles within this model are: a) it is community owned; and b) it could inform and assist policy makers, service providers and community development practitioners alike. The model aim is to establish 'insider-outsider' design, implementation and evaluation partnerships for integrative community development processes.

### **1.3. Objectives of the Study**

The objectives of this study are to:

- 1) conceptualise wellbeing measurement based on a literature review;
- 2) conduct a survey in communities to contextualize wellbeing and its relationship with social capital levels for the purpose of community wellbeing profiling with alignment potentials to national, regional and international drivers for wellbeing improvement; and

- 3) based on the literature review and field research; develop an integrated community level wellbeing model, based on an 'insider-outsider' partnership approach, for the design, implementation and evaluation of community led processes towards improved wellbeing.

#### **1.4. Research Questions**

The study research questions stem from the significance of the study and its stated objectives, which in turn indicated the requirement for a study in two parts.

##### **1.4.1. Part One: Research Question**

The part one research question was exploratory in nature: *“What are the macro level wellbeing assessment factors to be considered for an aligned micro level wellbeing assessment?”* A structured community wellbeing questionnaire was designed from the thematic literature review data gathered in part one of the study. The questionnaire was based on the validated World Bank questionnaire templates for measuring social capital and living standards (i.e. wellbeing). The reason for utilizing existing validated meso-macro level assessment questionnaires was to further address the second objective. This objective was aimed at the probable alignment between community level wellbeing assessment profiles and the profiles of national (meso level) and international (macro level) wellbeing. The structured questionnaire was used to attain the wellbeing and social capital level profiles from the two participating communities in the study. This was done in order to finalize an integrated community level and led wellbeing assessment model. This model would indicate the wellbeing levels, as well as the extent of social capital influence on wellbeing achievement. The model would also indicate the prospective alignment relevant to the dimensions and indicators of national, regional and international development drivers.

### **1.4.2. Part Two: Research Question**

The descriptive question of part two of the study was: *“What is the status of community wellbeing and its relationship with social capital levels when measured from a community led perspective?”* A structured community wellbeing questionnaire was designed from the thematic literature review data gathered in part one of the study. The questionnaire was based on the validated World Bank questionnaire templates for measuring social capital and living standards (i.e. wellbeing). The reason for utilizing existing validated meso-macro level assessment questionnaires was to further address the second objective of the study. This objective related to the probable alignment between community level wellbeing assessment profiles and the profiles of national (meso level) and international (macro level) wellbeing. The structured questionnaire was used to attain the wellbeing and social capital level profiles from the two participating communities in the study. This was done in order to finalize an integrated community level and led wellbeing assessment model which would be both associated with the level of social capital influence as well as relevant to the dimensions and indicators of national, regional and international development drivers.

### **1.5. Operationalization**

Data collection and analysis were done in a logical three-part process relating to the three stated objectives of the study. The first objective relates to part one of the study and is addressed in chapters two and three. The second and third objectives relate to parts two and three of the study. These two parts are discussed in chapter three, which proposes a community level wellbeing model, in chapter four, which provides the study methodology, and in chapter five which presents the survey findings. Collectively, chapters three to five contributed towards the finalization of the proposed wellbeing model set forth in chapter three.

#### **1.5.1. Part One**

In this first phase a thematic review of the literature was conducted to inform the development of the proposed community level wellbeing assessment model to

be applied in the design of the structured wellbeing and social capital assessment survey questionnaire. The literature review consisted of publications in the field, ranging between economical-, socio-ecological- and community development and the manner in which these are related to, and influenced by, social capital towards improved community wellbeing. The literature review furthermore investigated relevant articles related to the means and scales of wellbeing measurement. This was done to conceptualize the wellbeing descriptions for these existing quantitative wellbeing assessment approaches and methods. The aforementioned provided the data for a comparison analysis of the different macro level wellbeing instruments, their dimensions and respective indicators. These data results were then used for the viability inclusion assessment in designing the community micro level wellbeing assessment instrument for this study.

### **1.5.2. Part Two**

Data gathered from the first part of the study was analysed to design the survey questionnaire for the second part of the study. These data findings informed the design of the questionnaire to determine the overall community wellbeing levels and social capital status within the sampled communities. The two most significant sets of wellbeing and social capital instruments analysed were the Living Standards Measurement Surveys (LSMS) from the World Bank, and the framework for measuring wellbeing by the Organisation for Economic and Cooperation Development (OECD) [<http://www.oecd.org/>]; [<http://econ.worldbank.org>]. These instruments were selected due to their relevance to developing a community (micro) level wellbeing model that could be aligned to national (meso) level and international (macro) level wellbeing assessment models. The survey instrument was translated into the three official languages of the Western Cape (English, Afrikaans and Xhosa) and piloted by the researcher to ensure content validity and reliability. The questionnaire data was analysed by means of descriptive statistical analyses, using Microsoft Office Excel (Babbie & Mouton, 2008). The reason for making use of Microsoft Office Excel for the statistical analyses was so that in future community members could not only capture their wellbeing and social capital data but also

interpret (describe) their community profile statistics. This would furthermore empower them to lead during community development planning and design discussions with service providers, such as Government.

The University of South Africa (UNISA) code of ethical conduct was applied in this study, implemented through: a) prior written permission from all relevant stakeholders and community members; b) voluntary participation on the part of all involved in the research, without financial inducement or coercion; c) complete anonymity for all data providers and sources; d) effective security over all data gathered; and e) full disclosure of information and findings to all participants. Use of data and resultant findings derived in and from this study, and in any future publication, is not and will not be attributable to any person or source other than the author of this study. To this end, all necessary permissions were obtained, all participants were necessarily informed of the reason, purpose and method for and of this study, data and its sources were held confidential, and there was full exchange and disclosure of information. As a result, this study both achieved its aims and purposes and provided perceived benefit to its community member participants. Implementation of the UNISA code of ethics is set out in chapter four, which shows the contribution made by this code.

The results of the statistical analysis enabled the researcher to finalize the proposed community level wellbeing assessment model that illustrated probable alignment with national, regional and international wellbeing development drivers (part three of the study). This model serves as a contribution to the 'world of science' for: a) future profiling of community level wellbeing and social capital influence assessment; and b) characterized by an 'insider-outsider' partnership approach for community wellbeing development processes. Thus, the model presents the wellbeing status and the influence of social capital from a community ('insider') perspective for communities to take the lead in community development processes with 'outsider' (e.g. government) partners.



### **1.5.3. Part Three**

Data findings from parts one and two were applied to develop an integrative community level wellbeing assessment and social capital status model. This model serves as a contribution to future planning of community development processes that require community wellbeing assessment, and the influence of social capital data from an 'insider-outsider' led perspective. The model could, in other words, contribute to 'insider-outsider' partnership approaches for the design, implementation and evaluation of integrative citizen driven community development processes towards improved community wellbeing.

### **1.6. Significance of the Study**

International evidence suggests that holistic solutions and integrated approaches can be measured in relation to the improvement of community wellbeing (Christakopoulou, Dawson & Gari, 2001:347; Duxbury, 2003:4-5). However, there is little evidence of research in South Africa on such solutions and approaches. There is no integrative wellbeing assessment model for South African communities, with alignment potential to national, regional and international development drivers. The study therefore aimed to present a community level wellbeing assessment model that could be applied in community development. Developing multi-dimensional and integrative community development processes towards improved community wellbeing should thereby become much more effective.

The study was conducted within two communities, one urban and one rural, in the Western Cape. Responses from participants were confined to the personal reflections and conceptualizations of both the indicators and the levels of their social capital and wellbeing. The study provided a primary data perspective for wellbeing indicators and levels from the sampled communities. This data was then compared with existing (secondary data) perspectives collected from the literature review (content analysis phase) of international research. Commonalities and dissimilarities in wellbeing conceptualization were established, with indicators for community wellbeing profiling between the two communities (urban and rural), and the influence of social capital on wellbeing

improvement. The study then proposed a model for community level wellbeing measurement which could contribute to integrated community development processes towards improved community wellbeing. This proposed model included the comprehensive measurement and influence of social capital, based on common input standards and output measurements, in a simplistic and participatory (partnership) manner between the relevant communities and service providers.

### **1.7. Delimitations and Limitations of the Study**

As the study was confined to two communities in the Western Cape, one urban and one rural, its findings may not be generalizable to all communities in South Africa and further afield. The descriptive sample survey purpose was to collect data with which to assess the discriminatory ability, but not yet the reliability, of the model when applied to a population proportionate sample. Participant responses were reflections of personal conceptualizations, providing a primary data perspective for comparison with existing (secondary data) perspectives collected from the thematic literature review. Using the primary data, the study highlighted commonalities in social capital status, wellbeing conceptualization and the indicators for profiling between the two participating communities.

### **1.8. Chapters Outlines**

**Chapter 1: Introducing the Study** provides a statement of the problem linked to the study purpose. It includes the study rationale, significance, objectives and related research questions. In this chapter the two phases of the study are indicated, together with its three-part operationalization.

**Chapter 2: Wellbeing Measurement: A Literature Review** covers pertinent literature on community development and its approaches, socio-ecological systems theory, community wellbeing and social capital. The review also dealt with literature related to community wellbeing indicators and its models and measurement indexes. In the literature review a new form of wellbeing profiling and measurement is proposed, based on participatory 'insider-outsider' partnership wellbeing measurement at community level.

**Chapter 3: Theoretical and Conceptual Discourse for a Proposed Community Level Wellbeing Measurement Model** describes the components required for inclusion in a community level wellbeing assessment model. This model could support insider-outsider partnerships in developing, implementing and evaluating community development processes, based on community led and owned partnership principles. Elaboration is provided on the micro level assessment proposed with this model in relation to its alignment with the exo and macro level assessments of socio-ecological systems theory discussed in chapter two. The dimensions for wellbeing and social capital assessment are integrated and presented in a proposed model that could be applied in participatory ‘insider-outsider’ processes towards improved community wellbeing.

**Chapter 4: Research Study Methodology: Conducting a Community Level Wellbeing Assessment Survey** delineates the empirical part of the study. This chapter presents the research methodology and design used to obtain and analyse the data for this research and the study results. The study methodology is discussed in relation to a description of the instruments used for each part of the study; i.e. the sample population as well as the data analysis procedures. Specific detail is provided on the sampling technique, data collection and the conceptualization methods followed, as they form an integral part of the proposed community level model in chapter three.

**Chapter 5: Survey Data Findings: Presenting Community Wellbeing and Social Capital Levels** describes the data results of the descriptive sample survey, specifically with regard to the relational influence between wellbeing and social capital. It provides the final conceptualization of community wellbeing and social capital. This conceptualization is presented in spider graphs showing the summative wellbeing status and social capital levels for each of the two participating communities. This adheres to the study purpose on ‘insider-outsider’ partnership driven community development towards wellbeing enhancement. The chapter concludes with a quadrant diagram graph

integration of the wellbeing and social capital levels (profiles). This graph presents the relational association between wellbeing and social capital in each of the respective communities. The relationship status is important for prospective processes to be taken up for community wellbeing improvement. This integration ensured for the finalization of the proposed model, in chapter three.

**Chapter 6: Study Conclusions and Recommendations for Further Research** summatively describes the study conclusions in relation to the problem statement and objectives of the study. Any limitations in the study and recommendations for further research are reported, specifically with regard to the model application and its reliability.

### **1.9. Conclusion**

Chapter one has established the need for the measurement of community wellbeing. The need for a measurement tool that is easy to use and understand at community level has also been established. This tool is designed for use by community members ('insiders') in partnership with service providers ('outsiders'). The purpose of the tool is to ensure that there is equal community participation in 'insider-outsider' partnerships during collective planning and implementation of community development processes.

In this study the model framework has been verified in the context of the history of community development, as it relates to both developed and developing countries. This context lies in the realms of country, regional and international citizenry (i.e. democratic participation) wellbeing. The problem and purpose of the study have thus been established, together with its significance, scope and limitations. All these aspects come together in the following chapters, to show how members of communities could become empowered 'leaders' in partnership development of their own communities in sustainable wellbeing enhancement in a better life for all.

## CHAPTER TWO

### **Wellbeing Measurement: A Literature Review**

#### **2.1. Introduction**

The objective of this study was to develop a community level wellbeing assessment model which could assist community members, together with policy makers, service providers and community development practitioners, to establish 'insider-outsider' partnerships. These partnerships would be characterized by their integrative and multi-level design, implementation and evaluation approach for community development. Drawing on the lessons and developments identified in the relevant literature, this proposed model is community-based in both origin and focus. It highlights the reason for, and the significance of, developing and following a more radical approach to the harnessing of social capital. Such an approach would harnesses active community member participation in, and ownership of, community wellbeing development and enhancement processes.

The ever-changing development needs and circumstances of people are why community development theories and approaches are constantly evolving, so that they remain appropriate when applied during the design, implementation and evaluation of development policies and processes. The wellbeing status of a community provides its policy and decision makers with critical information as to what development interventions are required for community regeneration. The recent global trend towards developing tools that measure community wellbeing in a holistic and integrative manner is a move away from the traditional 'silo' and other assessment models of community wellbeing. These earlier assessments had an economic focus and were reliant (perhaps over-reliant) on complex statistical modelling measurements, such as Gross Domestic Product (GDP) data and Consumer Price Indices (CPI) (Miles, et.al., 2008; Kusago & Kiya, 2009; Blair & Greene, 2007; Duxbury, 2003). The narrow 'silo' focus was found to have poor regional applicability, leading to errors of interpretation in comparative feedback information. Economic wellbeing measurement needs to focus on economic prosperity and market participation.

Social wellbeing measurement needs to focus on the 'Social Quality of Life' (SQL), described below and in chapter three, as evidenced in happiness and social capital. Both measurements are largely influenced by the notion of diversity. Thus, an integrative and multi-level model should base its community wellbeing measurement on economic, environmental, infrastructural and social community indicators that are both reliable and statistically robust. The model should furthermore explain SQL accurately and completely, irrespective of the multidimensional economic and social status of a community (Davern, et.al. 2017:568; Miles, et.al., 2008:73-75; Duxbury, 2003).

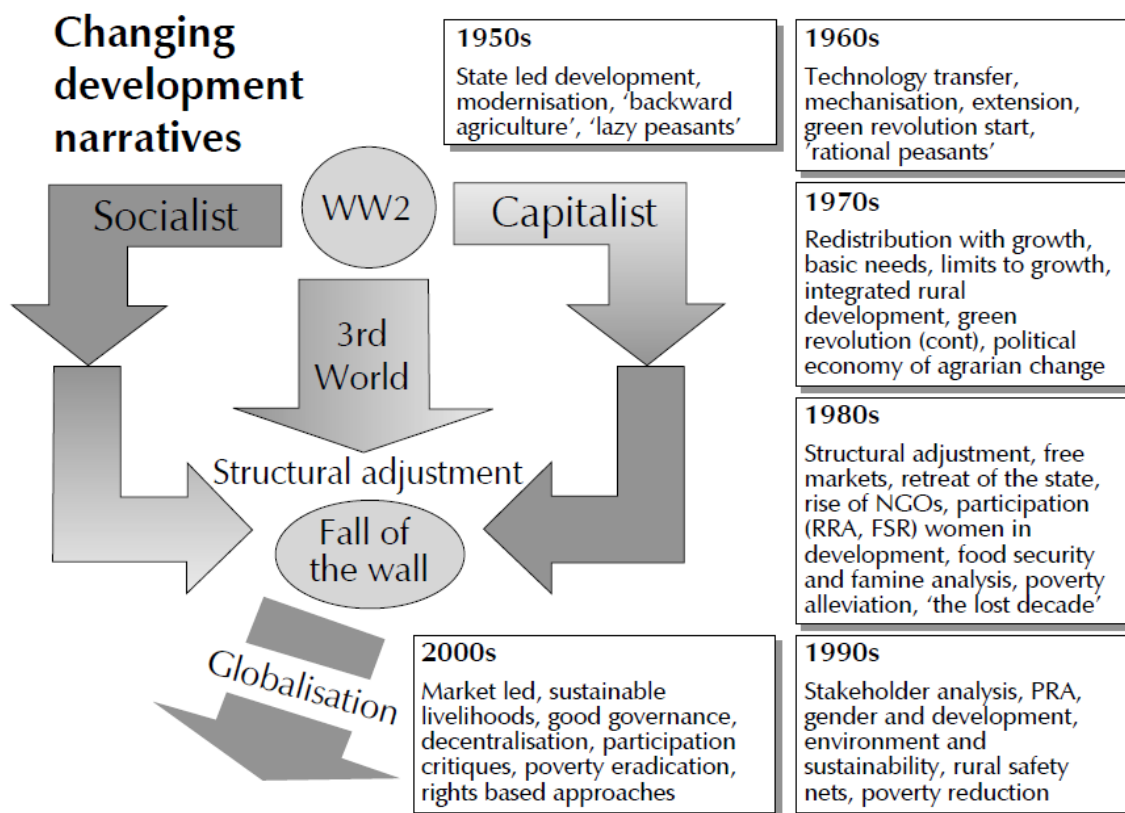
This chapter addresses the first objective of this study (as stated in Chapter one), namely to conceptualize the notion of integrative and multi-level wellbeing measurement, based on a literature review. Development theory is discussed and community development defined. This discussion is followed by a description of related community development approaches and concepts of participation, citizenship and empowerment. Wellbeing, social capital and current wellbeing indicators are then conceptualized, together with models and indexes for their profiling measurement.

## **2.2. Development Theory and Practice**

There can be no one final development theory, for they come and go as needs and circumstances change. Some theories become popular for a time, just to be critiqued and replaced by new or alternative more popular theories. These new theories then influence policy and practice for their time. Two such theories, discussed further below, are: i) modernization theory; and ii) dependency theory. Both are macro theories which have had a huge influence on development, leading to several new development approaches for development practice.

De Satgé (2004:24-28) provides the most fitting schematic theory summary (see Diagram 1), adapted from Ellis and Biggs (2001), of the changing development trends and themes that took place between the 1950s and 2000s. This schematic is derived from the macro theories that then existed.

**Diagram 1: Schematic of Changing Development Trends and Themes Summary**



De Satgé (2004:25)

Diagram 1 above indicates that a major period of modernization and technology transfer took place after World War II. This was inspired by the post war US Marshall Plan, which from 1948 to 1952 provided reconstructive economic aid for Western Europe. During the 1950s, in both the 'capitalist bloc' and the 'socialist bloc', the emphasis was on the need for a strong state. Economic policies dominated, with much confidence placed on the benefits of modernization and development planning, dominated by a positivist paradigm. This era was also characterized by top-down or blueprint approaches, with 'development' something done *by* the state *for* the people, measured against centrally determined economic growth ratings. Whilst it was a time when the modernization theory emerged, very little priority was given to how poor people actually lived, or to their priorities in life (De Satgé, 2004:25-26).

The 1960s were increasingly characterized by liberation struggles, resulting in the emergence of more radical social agendas. This was a period of 'questioning' the existing norms and standards, which led to a shift in mainstream thinking and ideas on factors such as basic needs and how redistribution of growth came about. This 'shift' gave rise, in the 1970s, to integrated rural development by national governments and international agencies, with integrated initiatives in sectors such as health, education, infrastructure, water supply, job creation and agricultural production (Veltmeyer & Delgado Wise, 2018:8; Protopsaltis, 2017:1735-1377; De Satgé, 2004:26-27; Haines, 2000: 31-50).

The 1980s, labelled also as 'the lost decade', saw the signs of the soon-to-follow collapse of the hitherto prevalent socialist project. This was followed by a renewed prominence of the World Bank and the International Monetary Fund (IMF). In essence, it was a period of economic liberation and free trade, where subsidies on food, health and education were removed, followed by currency devaluation, lower wages and the privatisation of services. Domestic economies were opened up to international trade, with diminution of the power of the state. Consequently, in this period the developing countries suffered increasing poverty, exclusion and inequality, giving rise to the contemporary narratives from the 1990s. The focus shifted to participatory, human centred, integrative and sustainable development, from poverty alleviation to poverty reduction, then to the current poverty eradication approach (Veltmeyer & Delgado Wise, 2018:5; Protopsaltis, 2017:1735-1377; De Satgé, 2004:26-27; Haines, 2000: 31-50). This focus on poverty eradication has resulted in a more comprehensive understanding of the meaning and nature of poverty. The result is that poor people are no longer regarded as mere 'consumers of services', but rather as citizens with social and economic rights (De Satgé, 2004:27-28). This focus on the social and economic rights of citizens has triggered the current focus on wellbeing and social capital. Both are discussed in the second half of this chapter.



### **2.3. Modernization Theory**

The founding fathers of the social sciences are Karl Marx, Emile Durkheim, Ferdinand Tönnies and, to some extent, Max Weber. As sociologists they provided the classical examples of how modernization theories follow the premise that all societies develop from a traditional civilisation to a modern civilisation (La Placa & Knight, 2017:2-3; Anderson & Taylor, 2004:16-18). Within the macro theoretical paradigm, modernization theory first originated amongst economists. To this day the terms 'development' and 'economic development' are often used interchangeably by politicians, civil society organisations and groups (Veltmeyer & Delgado Wise, 2018:3-4; Klinger, 2017: 696-697; Protopsaltis, 2017:1733; Adjibodou, 2012:491; Mckay, 2008:50; Anderson & Taylor, 2004: 296-297; Goulet, 1996:2).

Modernization theory emerged in the climate of the Cold War fought between Communism and the West; by the 1960s it was recognised as an alternative to the Marxist account of social development. This theory was later expanded by contributions from the sociological, psychological and political discourses, each with its own emphasis variant within the modernization tradition (Klinger, 2017: 694-697; La Placa & Knight, 2017:2-3; Pieterse, 2010: 7, 22, 23, 24; Crewe & Harrison, 2004:27; Haines, 2000:31-36). The theory underpinned a three-pronged approach to change, namely: 1) infrastructural change (e.g. dams and highways; 2) social change (e.g. improved education and welfare); and 3) political change (e.g. efficient and accountable governance by the state bureaucracy). This followed on from the developments of the 1960s, seen as the first 'development decade', which emphasised sectoral and regional development planning (Joshi, 2005:1-3).

Most modernization theories assume that societies progress naturally from a traditional state to a modern state. This progression is best described in the following 'stages of economic growth' by Rostow in 1960: i) the traditional society, ii) the preconditions for take-off, iii) the take-off, iv) the drive to maturity, and v) the age of high mass-consumption (Klinger, 2017: 692-694, 706; La Placa & Knight, 2017:3-4; Protopsaltis, 2017:1733-1734; Rostow, 1990:4; Browett, 1985:793). Modernization theory views traditional societies as a

series of negatives or deficiencies. This theory sees poorer countries as stagnant and unchanging, not innovative, not focused on profit-making and not progressing or growing. Modernization theorists are of the opinion that the so-called Third World (the underdeveloped world) needs to undergo both the political and economic transformations that the West underwent 500 years ago, following the example set by the West (Klinger, 2017: 691-692; Haines, 2000:36-37; Adelman & Morris, n.d.:1; Joshi, 2005:1-3). Modernization theory placed a strong emphasis on values, with a change in values seen as leading to the growth and expansion of a middle class (Protopsaltis, 2017:1735; Haines, 2000:37).

The theory is however not homogeneous, as there are disagreements on several key features amongst its proponents. A major criticism of the modernization theory relates to its inability to take the overall global picture into account; for example: 1) it does not consider the possibility that the resources of the world might be limited, so that the accumulation of wealth by some might actually reduce the development chances of others; and 2) the processes of western industrialised societies could therefore not be duplicated in the Third World as they stand (Klinger, 2017: 692-698; Protopsaltis, 2017:1735-1736; Haines, 2000:36-37, 39; Crewe & Harrison, 2004:27; Joshi, 2005:1-3). A formalised critique on modernization theory is that of dependency theory.

#### **2.4. Dependency Theory**

Dependency theory was formulated alongside modernization theory, as a critical response by the South, first emerging in Latin America amongst social scientists. Dependency theorists, strongly influenced by neo-Marxism, argued that development and underdevelopment are intertwined. They held that, as a result, some parts of the world are underdeveloped because others are developed (Veltmeyer & Delgado Wise, 2018:3-4; Protopsaltis, 2017:1733; Ziai, 2017:2727; Adjibodou, 2012:497; Joshi, 2005:2; Vercillo, 2012:2; Browett, 1985:790; Grosfoguel, 2000:357, 367; Cardoso, 1976:7). Dependency theorists do not see underdevelopment as a product of internal deficiencies, as do modernization theorists. Dependency theorists see underdevelopment as

something created within a pre-capitalist society, which then begins to have economic and political relations with one or more capitalist societies (Veltmeyer & Delgado Wise, 2018:3-4; Haines, 2000:41; Palma, 1978:898).

In essence, dependency theorists argue that the origins of global poverty should be understood within the context of an entire international economic system. They contend that underdevelopment is not a condition but rather an active process of impoverishment due to development, and the global market system of the First World. They argue that the international system is the result of modern economic growth, because around 500 years ago the major world regions were not so densely inter-connected in their extensive trade networks. The spreading of capitalism, with its search for profit, sparked the sourcing of raw materials from the Third World. In seeking to produce value added commodities in the First World it fundamentally changed the social structures of the Third World. Assumption of a 'trickle down' effect from the 'core' (First World) to the 'periphery' (Third World) actually resulted in First World exploitation of raw materials from the Third World for value-added commodities. This created a dependency of the 'periphery' on the 'core' instead of a 'trickle down' benefit (McKay, 2008:47, 52). The term 'dependency' comes from this First World exploitation link with the Third World supply of raw materials and cheap labour. Some theorists argue that exploitation was what impoverished the Third World, making it dependent on the First World for development. Poverty in the Third World is not seen as 'traditional', as is underdevelopment, at the cost of development (Veltmeyer & Delgado Wise, 2018:3-4; Protopsaltis, 2017:1734; Ziai, 2017:2726-2727; Leys, 1996:10-11; Joshi, 2005:2-3; McKay, 2008:54; Vercillo, 2012:2; Browett, 1985:790; Cardoso, 1976:7).

Meanwhile, as in the case of modernization theory; dependency theory has not been without criticism. Dependency theory is also not a homogeneous theory, as several serious analytical differences exist amongst dependency theorists (Veltmeyer & Delgado Wise, 2018:3-4; Protopsaltis, 2017:1737; Ziai, 2017:2727-2728; Leys, 1996:14-15; Joshi, 2005:2; Browett, 1985:789; Palma, 1978:881, 898). Those who oppose dependency theory argue that the Third

World has benefited from its industrialised First World contacts, and that inequality is a precondition for economic progress. On the one hand there are the theorists who state that dependency theorists have oversimplified the pre-capitalist history of society. On the other hand there are the dependency theorists who, it is claimed, have over-generalised the contemporary Third World. In the eyes of their opponents, dependency theorists: a) are seen as too pessimistic about Third World economic development possibilities; and b) do not comprehend that the central policy recommendation of a socialist revolution has been unhelpful to those countries which opted for it (Protosaltis, 2017:1737; Haines, 2000:44; Leys, 1996:14-16; Browett, 1985:790; Palma, 1978:881).

Modernization theory can therefore be said to see capitalism as a force which causes growth and progress by development from centre to periphery. Dependency theory, meanwhile, sees capitalism as the ruin of the Third World through stripping out its resources and holding it in thrall. Modernization theory holds that rich countries are the helpers of poor countries. Whereas dependency theory is premised on the belief that it is the main obstacle to the wellbeing of poorer countries. Thus, the macro theoretical paradigms started as early as 1930 within the structuralist tradition, followed by modernization theory in the 1950s. This led to the neo-liberalism of the 1970s that has since influenced our development practice by different approaches developed in response to the earlier theories. These different approaches all claim to be similar in purpose: 'to ensure development'. However, it is the dichotomy between modernization and development theories which has brought about the 'split' in liberal and radical approaches.

In this study it is argued that the importance of following a radical approach is due to its emphasis on the importance of community member (citizen) participation in community development. The influence of social capital is thus pertinent for successful achievement of improved community wellbeing. However, it is also argued that an extreme radical approach will not be successful, due to: a) the importance of partnerships; and b) a need to follow an

‘insider-outsider’ development perspective. All stakeholders at all levels are collectively required to be involved in community development initiatives towards improved wellbeing. A community development theory, such as the socio-ecological systems theory, is necessary as a theory that includes stakeholders from all the micro-, meso-, exo- and macro levels. In the following section this theory is identified as the most appropriate theory for community development.

## **2.5. Community Development Theory**

Community development continued for decades without a comprehensive theory, mainly because ad hoc practice preceded theory. Early community development practitioners operated without a well-articulated paradigm. These early practitioners had only a few favourite general principles, supplemented by models and theories borrowed from the social sciences and philosophy disciplines. By the 1950s the United Nations (UN) felt obligated to attempt to describe and implement community development as a global approach (Cook, 1994:1). Agencies, associations and scholars have since been actively proposing and promoting a variety of definitions for community development, as discussed earlier. Community development is a very complex activity, which involves so many elements, that it seems almost impossible to define and describe it. The difficulty in formulating a theory of community development is the result.

The core elements of community development present an outline of the present fundamental elements which could contribute to formulating a theory for community development. Cook (1994:4-5) suggests the following distinguishing elements of community development: 1) it is focused on a unit called “community”; 2) it consciously attempts to induce *non-reversible* (i.e. sustainable) structural change; 3) it is supported by trained professionals and workers; 4) it is initiated by collaboration between groups and agencies or institutions, both within and outside the community unit; 5) it emphasises public participation; 6) it is organised for the purpose of self-help (i.e. empowerment); 7) it shows increasing dependence on participatory democracy as a mode for

community (public) decision-making; and 8) it uses a holistic approach. Contemporary community development involves all of these elements, as well as having a very strong public participation emphasis. It is this citizen participation aspect and mode that separates community development approaches from the other planned or 'top-down' interventions, which started as early as the 1950s (Cook, 1994:1-4). Community development therefore needs to be integrative and holistic rather than sector specific, both in theory and in practice. Numerous authors suggest that such a holistic and integrative process should consist of economic, political, social, psychological and physical environmental components (Elson & Cagatay, 1999:1; Christakopoulou, Dawson & Gari, 2001:321,323; Duxbury, 2003:3,4; Perkins, et.al. 2004:325). Each component or sector specializes in attempting to explain a particular class of phenomena in relation to its own sectoral theories; e.g. political-, economic-, natural- or sociological theories. It is the integration of all these sectoral theories in community development which has resulted in its alignment with systems theories (generic to most disciplines) for several decades.

### **2.5.1. Systems Theory**

Systems theory, better known as 'General Systems Theory' (GST), was developed as early as 1928, when it was most comprehensively described by von Bertalanffy (Kramer & de Smit, 1977:2). World systems theory followed much later, when Wallerstein developed it as an offshoot of dependency theory during the 1970s (Spruill, Kenney & Kaplan, 2001:106-107; Tamas, 2000:1). GST provides an analytical framework with which to best describe the many factors and sectors involved in community development. Key factors include: 1) assessing power and influence; 2) understanding the dynamics in inter-group relationships; and 3) the changes involved in planning development activities (Tamas, 2000:1). These key factors are particularly important for consideration during any wellbeing assessment. The extent to which these factors exist could influence the wellbeing improvement prospects of the community. It is for this reason that this study incorporated the influence of social capital in wellbeing improvement in impoverished communities.

GST is seen as the sum of the interactions of its parts. Spruill, Kenney & Kaplan (2001:105-106) explain that the purpose of a systems approach is to 'understand' the complex interactions which occur amongst the key factors, as well as to provide 'learning' experience with regard to the complex systems which are the central components for effective community development. Thus, the quest for systems theory is to understand and gain knowledge of how the parts of a system function as a whole, as well as how they interrelate with each other. Each of the parts within the system must be known, but not independently assessed. It is these understanding and learning processes, when practiced as an approach, which in turn result in highly participatory community development. Furthermore, it is this involvement of the community, when using GST, which ensures that community participants shift from being reactors to becoming active participants in creating their own future (Tamas, 2000:1-2; Spruill, Kenney & Kaplan, 2001:106-109). GST also allows for the inclusion of multidisciplinary and transdisciplinary sectors, resulting in the claim to be a "theory of everything" (Spruill, Kenney & Kaplan, 2001:107). One of the strengths of GST is that it includes the environmental factor, which in turn makes it a truly holistic and integrated theory.

The application of GST concepts can help with the organisation of information and assist with the identification of the patterns within a complex community development process. Meanwhile, planning and implementation takes place towards the achievement of set goals. Thus, GST both contributes to and supports an 'insider-outsider' partnership (i.e. a collective/participatory approach) to community development. This involves a partnership between the community members ('insiders') and the community developer ('outsider') to achieve improved wellbeing within the community. The earlier mentioned *collective thinking* and *harnessing of social capital* will further increase when carried out in collaboration with 'outsider' service providers and community developers. This 'insider-outsider' partnership approach will be described in more detail later in this chapter.

Although the discussion of GST indicates its general appropriateness for community development, it is *socio-ecological systems theory* which tends to be much more descriptive and appropriate. Although GST enables understanding of the components and dynamics of complex systems (i.e. as an organizing conceptual framework), it does not specify particular theoretical frameworks for understanding specific problems within the conceptual framework. Socio-ecological theory, however, provides a framework that enables users to draw on theories from different disciplines in order to analyse the complex nature of human interactions and socialization (Friedman & Allen, 2011:3; (Walker, Holling, Carpenter & Kinzig, 2004:6, 9). It is thus that socio-ecological theory can take GST into a more specific theoretical framework relevant to holistic and integrative community development, by ensuring an equal balance between all the community development sectors and their related discipline theories.

### **2.5.2. Socio-Ecological Systems Theory**

Socio-ecological systems theory, developed by Bronfenbrenner, was formalised as a 'theory' in the 1980s (Friedman & Allen, 2011:9-10). This human development theory applies socio-ecological models postulated to understand human development and the entire ecological system in which growth occurs. Socio-ecological systems theory emphasises that human development cannot be undertaken in isolation from the environment in which it occurs; it needs to be within the context of the 'relationships' which exist between and within each of the units within a system. When socio-ecological theory is applied to human development analyses, it provides a complex matrix for measurement. In this matrix not only, the current circumstances can be understood but also the past circumstances which contributed to the current status (Neal & Neal, 2013: 722-723; Friedman & Allen, 2011:9-10; Stanger, 2011:169). This is of exceptional value for measuring community development wellbeing, as it could indicate the factors contributing towards the current wellbeing status of a community. These are the factors needed to predict the extent to which wellbeing improvement is achievable. The measurement could thus provide insight into the 'push and pull' factors which affect community development. It needs to be remembered that social capital can be both a 'push' and a 'pull' factor at the same time,



depending on the 'structural' and 'cognitive' type of social capital that exists in the community (Claridge, 2004:34).

Socio-ecological systems theory is particularly geared towards the nature of the transactional relations between the human environment (individuals, families, communities, societies) and the greater environment (Friedman & Allen, 2011:11; (Walker, Holling, Carpenter & Kinzig, 2004:6; Stanger, 2011:169). This then results in the development of ecological models for assessing human development. Socio-ecological models therefore incorporate the following system levels within the human environment: 1) micro; 2) meso; 3) exo; 4) macro; and 5) chrono. It is these system levels (described below) that contribute to the context conceptualization of human development; each structure is nested one inside the other, moving from the innermost level to the outermost (Neal & Neal, 2013:723, 725; Stanger, 2011:171-172; Bronfenbrenner, 1994:39-41). For this study, the 5 system levels were integrated in the proposed community wellbeing measurement model, to indicate the extent to which 'insider' or 'outsider' involvement is required at their respective levels in the socio-ecological system. This integration is indicated in Chapter three, which describes a proposed wellbeing measurement model that suggests community led level participation with an 'insider-outsider' approach.

#### **2.5.2.1. *Micro Ecosystem***

A micro ecosystem refers to the immediate natural surroundings relating to the needs of a group or community. It reflects the pattern of activities, social roles and interpersonal relations experienced within the physical, social and symbolic features of a group, such as a family, friends or enemies, or a workplace. All could be influenced by factors such as weather, neighbourhoods and local food systems. It is within this environment that proximal processes function to produce and sustain development, although this depends on the content and structure of the micro ecosystem (Neal & Neal, 2013:724; Stanger, 2011:171; Bronfenbrenner, 1994:39;). The Sustainable Livelihoods Framework (SLF), for example, has a specific focus on these elements, which will be discussed in more detail in the next chapter.

### **2.5.2.2. Meso Ecosystem**

A meso ecosystem consists of the linkages and processes taking place between two or more settings (i.e. 'bridges' in social capital). This occurs in the relationship between home and the workplace, so that the meso ecosystem is a nest of micro ecosystems. The functioning of community level ecosystems influences our emotional and physical ways of life. This makes it important, at this level, to also understand community level access and relations between these meso ecosystems (Neal & Neal, 2013:724; Stanger, 2011:171; Bronfenbrenner, 1994:40). Thus, when considering the indicators for wellbeing that are collectively required for community development, it is important to understand the access of community members to these wellbeing aspects and the relationship between these aspects. For example, access to food is interrelated with money to purchase it, which depends on access to an income-earning job; this in turn depends on access to education and work skills. Alternatively, access to food can depend on access to water, land and the skills needed to produce food. This is further influenced by the 'structural' social capital strengths which relate to established roles and social networks that are linked to rules, procedures and precedents, all based upon beliefs, norms, values and attitudes (Hitt et al. 2002; Krishna & Uphoff, 2002).

### **2.5.2.3. Exo Ecosystem**

An exo ecosystem consists of the linkages and processes taking place between two or more settings, but over which there is no direct control. In an exo ecosystem the influences on community members can involve governmental and political systems, economic and religious (i.e. norms and values in structural social capital) systems (Neal & Neal, 2013: 724; Stanger, 2011:171; Bronfenbrenner, 1994:40). In this context, the next chapter incorporates a discussion of the South African National Development Plan (NDP): Vision 2030, linked to the Sustainable Development Goals (SDGs) of the UN for 2030, as a means of indicating the overarching policies in South Africa that are linked to community development (SA-NDP, 2014; UN-SDGs, 2015).

#### **2.5.2.4. Macro Ecosystem**

A macro ecosystem comprises the overarching pattern of the micro-, meso-, and exo ecosystems characteristic of a given culture. This occurs in belief systems, bodies of knowledge, customs, hazards and life course options, all of which are embedded in each level. These ecosystems are all directly linked to structural and cognitive manifestations of social capital, further described in the next chapter. The identification of more specific factors of influence, as well as their relationships with each other, contribute to a deeper understanding of the conditions and processes occurring in the micro ecosystem (Neal & Neal, 2013:724; Bronfenbrenner, 1994:40). This has been taken into consideration in measuring progress towards improved community wellbeing from an 'outsider' perspective – i.e. national subjective and objective wellbeing measurement by those countries referred to earlier in this chapter. It is, however, at the 'insider' (micro and meso) community level that wellbeing measurement needs to be linked to the 'outsider' measurement. This is in turn linked to the influence of social capital that this study incorporated in the development of a suggested community level 'insider-outsider community development wellbeing measurement model. The influence of social capital in the relationship between the community wellbeing indicators and how they are influenced by the macro ecosystem cultures and sub-cultures has, however, not yet been measured comprehensively. This measurement requires the establishment of community member participation as the priority call for assessing wellbeing in community development.

The importance of including a comprehensive measurement of social capital with relevant meaning and influence at community level is described later on in this chapter. In addition, the notion of social capital and the wellbeing models and indexes developed thus far is also described. These developments attempted a measurement of objective and subjective wellbeing, mostly from 'outsider' perspectives; this is still lacking in the extent to which such measurement is comprehensively influenced by social capital when following a community led 'insider' perspective measurement. It is this lack of both a community led level and a comprehensive measurement of social capital in previous integrative scientific measurements which has resulted in the

development of the purpose of this study. As stated above, this purpose is to develop a community level model for integrative community development wellbeing measurement from an 'insider-outsider' perspective.

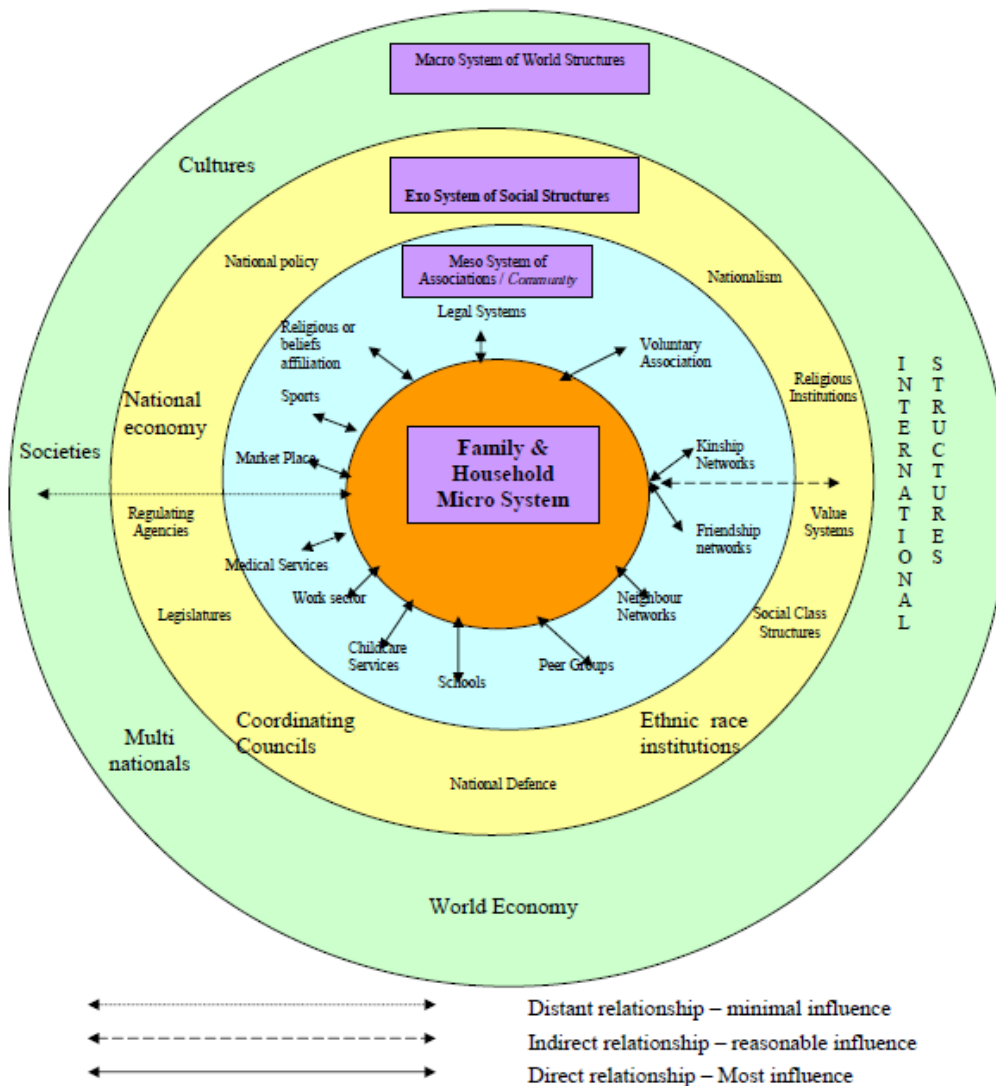
#### **2.5.2.5. Chrono Ecosystem**

The chrono ecosystem consists of consistency or change over time, both in their characteristics and within the environment in which they take place. It therefore relates to the course of life in relation with its structures and environments (family, community, work and society). This is especially relevant when comparing change and development in relation to the so called 'haves and have nots' within society. The chrono ecosystem level also assists with the 'coping' mechanisms and adjustments made at the other ecosystem levels in relation to the changes that are being effected, whether or not, deliberately via an intervention (Neal & Neal, 2013:724; Stanger, 2011:171-172; Bronfenbrenner, 1994:40). This in turn relates to the juxtaposition between developed and developmental states. In South Africa there is a disjuncture between the communities of extreme wealth and extreme poverty, with the result that South Africa is classified as a developmental country. Yet the poor communities manage generally to survive or cope, irrespective of the challenges they face. It is these 'coping mechanisms' that require deeper conceptualization, by means of a socio-ecological analysis.

Thus, the chrono ecosystem can assist with determining over time (past and future) the wellbeing status quo of communities in relation to all the other system levels which influence it. Furthermore, the chrono ecosystem could also assist with the conceptualization of wellbeing amongst community members by assessing the interpretation of a concept in relation to the aspect of time. Measurements at this level are therefore linked to assessment over longer periods of time; they are not directly linked to the measurement of the proposed model in this study.

Diagram 2 below indicates, from the inside out, the varying different transactional relationships that could be incorporated in the ecosystem levels.

**Diagram 2: Interdependent Ecological Systems Shaping Human Development both Directly and Indirectly**



(Academic rationale from the Division of Human Ecology, 2008)

It is important to differentiate between a community driven system and other classifications of social systems (see Cook (1994:12)). Why this is so is because: 1) people involved in the community system have a sense of recognition of relationships and areas of common concern with other members, relating to the ethical principles of community development – linked with the micro level; 2) the ‘system’ has longevity, continuity and persistence relating to sustainable and holistic practical principles of community development – linked to the meso level; 3) its existence depends on voluntary cooperation with minimal use of sanctions and threats – linked to the exo level; 4) it is a multi-

functional system expected to produce many things in many dimensions of interactions – linked to the multi-disciplinary basis at macro level; 5) it is a system that is complex, dynamic and large, so that instrumental relationships predominate – relating to the group, network, organizations and citizen participation elements of community development – linked also to the macro level; and 6) the system has a geographic element associated with it relating to basic boundaries and areas (e.g. urban, peri-urban and rural) – linked to the micro and meso levels.

An effective theory for community development should therefore be responsive to the proposition that *conceptually* there is not a most, or even a relatively more, important sector (i.e. dimension) within the community wellbeing composition. Economics, politics, culture, psychology and physical environment are all *separate but functionally equal, interactive and interdependent* sectors of importance (Goulet, 1996:2; Grosfoguel, 2000:348). For example, in community development, ‘democracy’ is valued as a ‘*means*’ not as ‘*an end*’, as it ultimately serves the purpose of broadening inputs and participation by all sectors and at all system levels in human development.

True community development, derived from a socio-ecological perspective, should look at the process of wellbeing improvement from all facets and dimensions of community life. This is so that they can be made to work together and reinforce one another. Thus, the everyday life of a community must be conceptualized critically by looking at which relationships are functional and which are not. The extent to which there is mutualism (cohesion/bonding) and cooperation between all sectors, levels and stakeholders needs to be recognized (Clark, 1990:3-4). Once this happens, a theory of change can be collectively developed towards improved wellbeing, which can be monitored and evaluated in a qualitative and quantitative manner. This theory of change will be described in detail in chapters three and six, which deal with the operationalization and recommendations for application of the wellbeing model for community development.

The overall aim of socio-ecological theory for community development should be to achieve integrated social unity and wellbeing, with collaboration and coordination from all stakeholders at all levels. It is important to note that socio-ecology does not propose an abstract ideal society or utopia, but rather an evolving process of change by a community of and for themselves as to how and when they are willing and able to do so – i.e. community empowerment. Empowerment is only possible via real community forums for planning and policy making that are decentralized, participatory and democratic, with equity amongst all stakeholders including the community members (Cook, 1994; Clark, 1990).

At the same time, it is also important to note the trends in power relations with stakeholder (outsider) involvement. Decision making and budget control, as indicated by De Beer (2013), are examples where the community ('insider') partner often only has a 'token' decision making role and power. Littrell & Littrell, (2006:66-71) pinpoint this factor by stating the importance of 'free and open' participation, especially in the context of equality. De Beer (2013) suggests that this community ('insider') token role will only change if the 'management role' (i.e. the community driven or 'insider' led role) of communities is based on actual ownership and decision-making powers. This is contrary to the current way in which a community is often defined, where: "...outsiders fail to fully recognize the place of social networks [e.g. social capital] and dispersed and dependent power relations..." (De Beer, 2013:6) The purposes of the theories discussed in this section, together with the different definitions for community development, led to the development of several community development approaches. Each approach is relevant and specific to the theory and decade or stage which it supports.

## **2.6. Defining Community and Community Development**

Community development by definition, as indicated in the various approaches to it, has for decades been influenced by the varied manner in which the term 'community' has been defined. Gone are the days when people were defined as a 'community' due to their "shared geographical space" and, later on, with

the addition of “people with a common purpose”. The contemporary manner in which the term ‘community’ is being defined strongly relates to the realisation of the integrative and holistic manner in which people coexist and their social networks that link or bind them. The common denominator within defining ‘community’ over the last few decades has been that of a ‘group’ or rather ‘group identity’; i.e. various associations of similarities and networks amongst people. Bhattacharyya, (2004:6-9) assessed and critiqued definitions of community development for four decades (1960-2000) in an attempt to: a) find the common denominator required for a contemporary definition; and b) in a pursuit of suggesting what needs to be included for a more rigorous definition. Such a rigorous definition must include solidarity (required for sustainable democracy) and the strengthening of social networks across economic, social, political, cultural and ecological sectors (Bradshaw, 2008:6 & 9; Bhattacharyya, 2004:9 & 14).

Today the term ‘community’ is associated with the physical, social and moral aspects of people and their collective lives (Chile, 2012:43; Maistry, 2012:33; Fraser, 2005:286-287; Bhattacharyya, 2004:9 & 14; Fiol & O’Connor, 2002:532; Wise, 1998:1-3). This realisation of ‘community’ association is a move towards addressing the manner in which different stakeholders define and approach communities. This is because the manner in which one interprets community development affects one’s orientation when initiating development programmes and initiatives towards improved wellbeing (Maistry, 2012:33-34; Bhattacharyya, 2004:9; Fiol & O’Connor, 2002:538). Fiol and O’Connor (2002:538) give the examples of politicians who may define a community by its political boundaries and the number of votes needed for an election, whilst housing or welfare government officials may define a community in terms of the socio-economic measures it needs.

The literature related to definitions for community development indicates that comprehensive definitions tend to be interpreted in a too rigid manner. Such interpretations do not allow for the definition to be suitable for the multi-disciplinary character of community development. It also does not allow for



descriptive elaborations of norms and standards for community development approaches that are to be applied by all stakeholders working with, and in, communities. The aforementioned has contributed to the international and national 'identity crisis' from which community development has been suffering for many years, as too many stakeholders refer to it in terms of an all-encompassing and comprehensive 'concept', rather than as an explicit and brief definition (Chile, 2012:43; Bhattacharyya, 2004:7, 9 & 14; Wise, 1998:1-3). However, irrespective of the debate on a standard definition for community development, all scholars are in agreement that 'the community' is the key to understanding social wellbeing and development change towards improved wellbeing (Brennan & Brown, 2008:1).

The Budapest Declaration (2004:2) definition, referred to as the 'essence' of community development and subscribed to by the International Association of Community Development (IACD), provides a comprehensive definition of community development as:

...a way of strengthening civil society by prioritising the actions of communities and their perspectives in the development of ... policies. It seeks the empowerment of communities of interest or identity and communities organising around specific themes or policy initiatives. It strengthens the capacity of people as active citizens through their community groups, organisations and networks; and the capacity of institutions and agencies (public, private & non-governmental) to work in dialogue with citizens to shape and determine change in their communities. It plays a crucial role in supporting active democratic life... It has a set of core values/social principles covering human rights, social inclusion, equality and respect for diversity; and a specific skills and knowledge base...

This definition can be related to the overall South African context, as it supports and underwrites what is required to achieve South Africa's NDP: Vision 2030 (SA-NDP, 2014). This Plan re-emphasizes the approach of the Reconstruction

and Development Plan (RDP) in promoting: 1) the movement of people from being passive citizens to becoming active citizenry; 2) social and economic inclusion; 3) development of the capabilities of people in order to become active champions of their own development; and 4) effective partnerships between government and people working towards elimination of poverty and reduction of inequalities. A further link is seen between the definition descriptions of development in the RDP and NDP. The RDP (1994:8) definition of development was reflected in its second principle where it stated that "...Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment..." and the NDP (SA-NDP, 2014). It describes development as a process of continuously raising the capabilities of all citizens, particularly those who were previously disadvantaged, as well as enabling them to become competitive. The capabilities referred to in the NDP definition include human capital; physical infrastructure; technology management skills and social institutions that could enable people to live decent lives (NDP (SA-NDP, 2014).

What also stands out from the discussion above and the quoted definitions is the focus of community development on *groups, networks and organisations*, all of which inter-relate with the suggested socio-ecological systems theory, to which integrative and holistic contemporary community development subscribes.

## **2.7. Community Development Approaches**

This literature review shows that there is now a demonstrable global need to develop, analyse and disseminate comparative evidence on regional and community wellbeing. Analysis of the wellbeing status of a community provides critical information to the community, and its policy and decision makers, as to what development interventions are required for community regeneration. Community development theory, and the question of whether or not an explicit theory does exist for community development, were dealt with in section 2.5. The need to answer this question of an explicit theory existence has become more and more apparent over the past twenty-five years, due to the global trend

in community development professionalization. This trend is due to democratic governments seeking to maximise socio-economic development with their progressive social development policies, which indicates the transformed role of the state from a 'needs satisfying' state to that of a 'facilitating state' (Hart, 2012:55). This state role transformation is but one example of the influence of the earlier described macro theories and the influence which they have had on the role, approach and policies of the state in development and sustainable community wellbeing.

Over the past 70 years development theory and practice have moved far, from a liberal 'top-down' to a radical 'bottom-up' approach. During this shift in approach, the notion of 'participation' has become more and more prominent as an explicitly key factor within the radical approach to community development. A direct and interlinked relationship has developed over the past 35 years between participation and its claims of 'empowerment' and 'transformation', both in turn strongly influenced by democracy, equality and social justice (Veltmeyer & Delgado Wise, 2018:7-9; Gaynor, 2013: 296-298; Emejulu, 2011:229; Littrell & Littrell, 2006: 28-31; Hickey & Mohan, 2005:237; Cooke & Kothari, 2001).

Hickey & Mohan (2005:239-240) indicate how 'participation', as a factor in development, has moved from a citizen obligation during the 1940s to that of a primary right of citizenship today. This has resulted in the current development theory focus of social and political participation linked to participatory governance and social capital. These approaches are being collectively promoted as the basis for growth and democratisation (Veltmeyer & Delgado Wise, 2018:7-9). However, this "promise of empowerment and appropriate development", to be achieved with community participation, has been met with challenging critique due to the risk of participation becoming the "new tyranny" of communities (Veltmeyer & Delgado Wise, 2018:7-9; Gaynor, 2013 & Cooke & Kothari, 2001).

The community level and the community led wellbeing model proposed in this study aims to ensure an 'insider' community development in equal partnership with 'outsider' stakeholders. The proposed model (described in chapter three)

aims to provide an integrative and holistic profile of community wellbeing. This profile is derived from data provided by community members themselves, in order to initiate processes towards improved wellbeing. The initiation process can be done with participatory methods (PM) (i.e. the proponents for 'participation') in the 'real sense of the word'. This is due to the community being able to lead with the wellbeing and/or social capital factors they want to prioritize, as well as those which could be negotiated in collaboration with the required service provider stakeholders (i.e. 'insider-outsider' community development).

Community participation is central to community development and its radical approaches. Fraser (2005:286) mentions the following four approaches to community participation, arguing that the change agents, i.e. community members ('insiders') and community development practitioners ('outsiders'), should select their preferred approaches relative to which end of the political spectrum they are on: e.g. extreme liberal ('outsider expert') or extreme radical ('emotional insider'). Selection should be on the basis of: 1) anti-communitarians and economic conservatism; 2) technical functionalist communitarian with managerialism; 3) progressive communitarian and empowerment; and 4) radical/activist communitarian and transformation. Fraser (2005:296) is of the opinion that this selection of a preferred approach is largely influenced by the values held (e.g. at micro and meso levels) by the change agent. Those agents who hold liberal values will prioritise the individual over the body of the community, maintaining faith in hierarchy and capitalism. Those who subscribe to progressive forms of development, but who do not require a radical restructuring of the global social order, will side with the progressive/empowerment approach (e.g. at meso level). However, agents of change who favour notions of participatory justice and democracy over individual interest, and who "long for a fairer world", (e.g. macro level) are more likely to support a radical-transformative approach (Fraser, 2005:297).

Of importance is not so much the preferred approach selected, but rather the capacity and willingness of 'insiders' and 'outsiders' to engage in a joint activity

towards improved community wellbeing. Such an approach would spark the change that could then allow for disparate beliefs to co-evolve into alignment over time (e.g. at chrono level) (Fiol & O'Connor, 2002:532).

Community development, as an 'approach' towards wellbeing, is best defined in The Milton Keynes Community Strategy for 2004-2034 (2004:2), which indicates that community development as an approach:

...seeks to develop people's skills to enable them to influence what happens where they live...It is about affecting power structures and building capacity to remove the barriers that prevent people from acting on the issues that affect their lives...

People are affected at different levels and by different factors, thereby making community development a multidimensional process, divisible into three strands: 1) *primary or generic community development*, with a focus on creating social capital by developing social networks in communities; 2) *purposive community development* seeking to support the community in acquiring the capacity to address their community challenges; and 3) *governance community development* focusing on community engagement to get community members involved in service delivery, service monitoring, local structures and governance (Milton Keynes Community Strategy for 2004-2034, 2004:2). Policy makers, service providers, communities, groups and individuals collectively need to entwine these three strands together into an integrative participatory rope that can assist communities to "climb to the top" of community wellbeing achievement.

The level of community wellbeing achievement has not been measured effectively for decades. This is mainly due to the lack of objective and subjective systems for community level measurement that are community driven, inexpensive, consistent and which measure community wellbeing in an integrated manner. The non-integrative manner in which community wellbeing has often been measured has been due to community development being assessed in a 'block-by-block manner'. Areas of concentration by policy makers and different service providers, functioning at different levels of society, are

what has led to 'silo' development approaches towards community wellbeing by the different stakeholders (Proscio, n.d.:1). The challenge of community development design, implementation and evaluation lies in the application of an integrative participatory ('insider' and 'outsider' partnership) approach. Generic objective and subjective Quality of Life (QOL) measurements are needed in communities, which can be measured at community level by community members. When comparing wellbeing between different communities in similar as well as different regions, this approach must take into account the different stakeholder sources. These sources are: a) the participants (e.g. the community and role-players such as programmes staff from public-, private- and community-based sectors); and b) the physical, social, political and economic sectors, with their patterns and challenges (Davern, et.al. 2017:568-569; Proscio, n.d.:4; Blair & Green, 2007).

The application of an integrative participatory approach is therefore dependent on partnership between the 'insider' and 'outsider' agents of change, as one cannot operate effectively without the other. The success of such a partnership would largely depend on participatory democracy ('openness, fairness and equality), in turn linked to 'citizenship' and 'social capital'. Social capital should not, however, be seen as an alternative to poverty alleviation, but as a 'supplement' to participatory efforts between state and community (Emejulu, 2011:232; Hickey & Mohan (2005:238; Littrell & Littrell, 2006:66-71; Midgley & Livermore, 1998:39). An integrative participatory community development approach towards wellbeing achievement necessitates a thorough conceptualization of community wellbeing and social capital. Cooperation is needed in this between community members ('insiders') and service providers ('outsiders'), by measuring the level of community wellbeing in relation to the levels of social capital within communities.

## **2.8. Conceptualising Wellbeing**

Community wellbeing has been measured for many years in terms of mental health and economic status. Many of the early definitions for community wellbeing still relate to these two disciplines: Psychology and Economics (Keys,

1998:121-122). Recently, integration of these two disciplines has been applied when defining the largely subjective concept of community wellbeing. Hence the complexity and challenges faced by stakeholders when attempting the measurement of community wellbeing, whereby "...Wellbeing is normatively seen as a state of being for individuals or groups, and one that is often evaluated against a set of socially determined ideals..." (Miles, et.al., 2008:75). Swanepoel & De Beer (2016:12) highlight the fact that: "...wellbeing is not the same as having money...poverty and development have many more than simple material definitions..."

In the past, wellbeing has been associated predominantly with factors of economic prosperity and market participation. However, the European Union (EU) has subsequently adopted a SQL concept which includes happiness, life satisfaction and social capital. This concept is based on the following four conditions: 1) socio-economic security, 2) social inclusion, 3) social cohesion and solidarity between generations, and 4) autonomy and empowerment level of citizens (Miles, et.al., 2008:75). Ribova (2000:2) defines QOL as:

...a concept focused on understanding the contribution of the economic, social, cultural and political components of a community in maintaining itself and fulfilling the various needs of local residents...

Empirical measurement of community wellbeing should therefore measure both economic status (mostly quantitative in nature) and SQL status (mostly qualitative in nature), both of which are influenced by social capital.

## **2.9. Conceptualising Social Capital**

Social capital is commonly used to suggest the importance of community networks and association in society. The scholarly origin of social capital in 1986 is owed to the French sociologist Pierre Bourdieu, followed by the American sociologist James Coleman. Yet, it was Putnam, a political scientist, who popularised it as a notion (Ganapati, 2008:385; Midgley & Livermore, 1998:29).

Bourdieu was interested in the *social structure* of society. This was not a new concept, having been studied for many years by theorists such as Durkheim, Marx, Weber and Tönnies (Bourdieu, 2011; Tzanakis, 2013:2). However, Bourdieu's main focus of social structure was the manner in which dominant classes (elite groups) retain their position, other than just by means of economics alone, by adding the notion of cultural capital. This additional view contributed to his explanation of *social inequality*, instead of only looking at social capital as a 'heart-warming network' (Tzanakis, 2013:2; Gauntlett, 2011:131; Bourdieu, 2011; Vermaak, 2009:400). The Bourdieu model highlights the fact that social capital can be a nasty exclusionary device. It was this exclusionary approach that led to other scholars, such as Coleman, expanding on the notion of social capital towards having a more 'inclusive' and positive approach. (Tzanakis, 2013:2; Gauntlett, 2011:131-333; Coleman, 1988). Coleman's approach leads to a broader view of social capital which not only has value for the 'powerful elites' but also value for the powerless and marginalised communities (Gauntlett, 2011:132). Coleman looks at social capital as being 'productive' and 'useable' by the collective to achieve things which would otherwise not be possible if done individually. He therefore sees social capital as the *relationships* and the *integration* thereof within the social structure (Tzanakis, 2013:2; Gauntlett, 2011:132-333; Vermaak, 2009:401; Falk & Kilpatrick, 2000:88; Midgley & Livermore, 1998:31; Coleman, 1988). Social capital is therefore added by Coleman as a capital resource additional to *human capital* (skills and expertise), *physical capital* (tools) and *economic capital* (money) harnessed and used by members of society in the form of exchange (i.e. barter system) towards advancement and improvement of their circumstances. This form of exchange led to the inclusion of 'trust' and 'equal sharing' as important components within the notion of social capital (Tzanakis, 2013:2; Gauntlett, 2011:132-333; Vermaak, 2009:401; Falk & Kilpatrick, 2000:88; Portes, 2000:3; Coleman, 1988).

The theoretical principles suggested by Coleman led to Putnam's formulation of social capital as 'features of social organizations, such as networks, norms and



trust that facilitate action for mutual benefit' (Tzanakis, 2013:6 Putnam, 1995). Putnam's model of social capital strongly emphasises the *amount of trust* and the reciprocity thereof to *civic engagement* (Tzanakis, 2013:6; Midgley & Livermore, 1998:30; Putnam, 1995). Putnam and Feldstein (cited in Ganapati, 2008:385) define social capital as: "...social networks, norms of reciprocity, mutual assistance, and trustworthiness..." Woolcock & Narayan (2000:225) define social capital as "...the norms and networks that enable people to act collectively..."

Putnam (cited in Ganapati, 2008:385) identified different forms of social capital: 1) *formal-* (clubs & associations membership) versus *informal social capital* (church members); 2) *thick-* (doing things together as friends frequently) versus *thin social capital* (acquaintances from similar friendship groups); 3) *inward-* (material, social and political interests of members; e.g. golf clubs) versus *outward looking social capital* (seeking public good, e.g. environmental groups); and 4) *bonding-* (networks connecting people who are similar) versus *bridging social capital* (networks bringing people together with different interests (e.g. different mothers with children at the same day care centre). Thus, social capital is the ability of people, through networking and by association, to build "bonds" within their own group and "bridges" to other groups, all based on trust and norms (Mansuri & Rao, 2004:8; Midgley & Livermore, 1998:30; Putnam, 1995).

Social capital is an asset that can be called on for beneficial sake as well as during a crisis. Communities with a high level of social capital are generally better equipped to address their needs by taking advantage of opportunities and in resolving disputes. Overall, communities are in a stronger position to confront the challenges of poverty and vulnerability (Woolcock & Narayan, 2000:226; Putnam, 1995; Putnam, 1993). Note however the earlier mentioned 'supplementary' status of social capital towards poverty alleviation in participatory efforts between 'insiders' and 'outsiders'. Communities with a high level of social capital should therefore not be seen as not needing participatory (partnerships with 'outsiders') processes towards poverty alleviation.

Social capital, as an important notion within community development, has not gone without being criticized. Bourdieu, whose ideas precede those of Putnam by ten years, cautioned against the simplification of social capital and its networks. His ideas were especially with regard to class distinction and the division of power. It is this caution by Bourdieu that cannot be overlooked when conducting research in community development (Mansuri & Rao, 2004:8-9; DeFilippis, 2001:781). The influence of class and power provides networks with both a positive (e.g. friends) and a negative (e.g. gangs) character within the community. This influence applies as well as between communities (e.g. poor communities having less powerful networks than rich communities) which could contribute to further inequality (Mansuri & Rao, 2004:8-9). Mansuri & Rao (2004:9) also highlight, as do the scholars referred to above, that social capital is influenced by notions such as 'trust' and 'norms'. Social capital should therefore be understood within its cultural as well as its political context when applied to community development research.

Miles, et.al. (2008:76) list eight factors with which social capital is associated for community development research: 1) "...participation in local community, 2) pro-activity in a social context, 3) feelings of trust and safety, 4) neighbourhood connections, 5) family and friends connections, 6) tolerance of diversity, 7) value of life, and 8) work connections...". These eight factors, together with the earlier mentioned four forms of social capital listed by Putnam (1993), collectively contribute to the extent to which a community could identify and harness available opportunities for the improvement of their wellbeing. Measurement of a community's wellbeing status should thus also include a measurement of the status of social capital, as the one is interconnected with the other. One benefit of simultaneous measurement is that the data could indicate some reasons (measures) why certain communities perform better than others in making progress towards an improved wellbeing status.

Two main approaches have been followed in studies of community wellbeing: 1) subjective assessment; and 2) objective assessment. In essence, subjective assessment studies are more focused on 'human' wellbeing; objective

assessment studies focus more on 'economic and infrastructural' wellbeing (Ribova, 2000; Hulme & Toye, 2006; Blair & Greene, 2007; Miles, et.al., 2008; Kusago & Kiya, 2009; Proscio, n.d). There is thus a need to have a combined measurement approach, with community and social indicators that reflect both subjective and objective qualities in relation to the levels of social capital. Put differently, this is best stated by Portes (1998:7):

...economic capital is in people's bank accounts and human capital is inside their heads, social capital inheres in the structure of their relationships...

This study aims at providing a model with which to measure and integrate both the subjective ('human capital') and objective ('economic capital') qualities of wellbeing in communities. Measurement that is inclusive of a social capital ('structure of human relationships') influence is where the indicators for measurement are described by the community members themselves.

## **2.10. Social and Community Indicators**

The term 'social indicator' refers to an indicator which would contribute to a significant measurement of the quality of life (Sirgy, Michalos, Ferriss, et.al, 2006: 344). 'Social indicators', as a means of social science research, originated in America during the mid-1960s (Armstrong & Francis, 2003:17; Noll, 2002:47). Raymond Bauer invented the basic conceptualization for the term of social indicators, defining them as:

...statistics, statistical series, and all other forms of evidence that enable us to assess where we stand and are going with respect to our values and goals... (Bauer, 1966:1).

Since the 1960s there have been several successors to Bauer in research on modern social indicators. Niceforo is considered as the inventor of comprehensive welfare, also known as QOL measurement. This approach is still being followed to a large extent in modern 'QOL' social indicator research (Noll, 2002:48). The Organisation for Economic Cooperation and Development (OECD) started its programme of social indicators measurement in 1970. At the same time the UN Social and Economic Council started the System of Social and Demographic Statistics project, as well as the 'Quality of Life in Australian

Cities Report'. The UN initiative resulted in what became known as the 'Social Indicators Movement', with more countries following suit (Davern, et.al. 2017:568-569; Noll, 2002:48). The OECD uses social indicators to: 1) describe social development in a country; and 2) to determine how effective society and government are in altering social outcomes. These indicators, used at society level, are termed 'social indicators', whilst 'performance indicators' is the term used at project level (Noll, 2002:48). Social indicators are focused on larger social 'goals' (i.e. constructs) such as health, education, employment, safety and security, and recreation, to assess social condition changes. It is these social change results that influence policy formulation (Armstrong & Francis, 2003:18). Note, however, that whilst social indicators are not used to evaluate the effectiveness of a specific programme, they can provide data on the extent to which a policy thrust is addressing important social issues (Armstrong & Francis, 2003:18-19).

Initially there were two contrary approaches to QOL measurement: the Scandinavian and the American. The Scandinavian approach focused almost exclusively on resources as an *objective measurement* (measuring 'hard facts' such as income and living conditions). These 'hard facts' are relatively easy to observe and measure to which some scholars refer synonymously as 'social indicators' (Davern, et.al. 2017:568-570; Sigry, et.al. 2006:345; Noll, 2004:154; Veenhoven, 2001:3). Meanwhile, the American approach had a *subjective measurement* (measuring 'soft' matters such as satisfaction and happiness, relating to the measurement of personal feelings, attitudes, preferences and feelings). 'Soft matters' focus on the wellbeing of people as an outcome of processes, synonymously referred to by some as QOL indicators (Davern, et.al. 2017:568-570; Sirgy, et.al. 2006:344; Noll, 2004:154; Veenhoven, 2001:3).

Nowadays there are broader conceptions of QOL measurement which include both objective and subjective measurements (Davern, et.al. 2017:568, 575; Noll, 2004:154). Objective indicators are based on the assumption that QOL can be judged as 'favourable' or 'unfavourable' when compared to real condition criteria such as values, goals or objectives. Subjective indicators are based on

the premise that QOL must be perceived and judged by citizens as to their level of satisfaction and happiness relative to income and living conditions (Davern, et.al. 2017:575; Noll, 2002:58-59). Note, however, that both these forms of measurement follow predominantly a quantitative approach to research by means of statistical modelling analyses.

Compiling subjective and objective social and community indicators is both complex and difficult. Complexity involves addressing several indicators simultaneously, whilst difficulty involves community development taking place at different country national, regional and local levels. This combination links back to the earlier described socio-ecological systems theory levels. Communities and their members do not all begin or maintain their quest for wellbeing with the same assets (Keyes, 1998:123; Blair & Greene, 2007; Thornley, 2007:1). This is a direct result of differing levels of poverty, due to the levels of deprivation in which communities find themselves (Swanepoel & De Beer, 2011:5-6). These factors are taken into consideration with the description of the proposed wellbeing model in the next chapter, specifically with regard to the reasons for having incorporated the capital pentagon from the Sustainable Livelihoods Approach (SLA). For many years, since the start of the QOL 'movement' in 1970, political leaders and economists worldwide have relied predominantly on the GDP related QOL measurement: i.e. the 'traditional economic measures' of QOL. Since the 1990s QOL measurement has gone beyond the traditional economic measurement to that of a broader concept which links QOL also to "sustainable and healthy communities" (Davern, et.al. 2017:568-569, 575; Noll, 2002:57&58; Greenwood, 2001:3&4; Norris & Atkisson, 1997:i).

According to Norris and Atkisson (1997:4) sustainable development consists of three dimensions for measurement, namely: environmental, social and economic dimensions in relation to a subjective measurement of wellbeing. As a 'new' concept in QOL measurement, sustainable development was best conceptualised and operationalized by the World Bank's Multiple Capital Model of 1997 and it is still one of the most popular approaches being followed (Noll, 2004:159; Noll, 2002: 59). Although social indicators provide a national and

even global measurement (i.e. at macro and chrono levels) for QOL, many changes towards improving QOL are required at local community level (Greenwood, 2001:4). Community wellbeing indicators (i.e. community QOL indicators) could assist communities both in developing a better understanding of where they are with regard to their own ability and in their capacity for wellbeing achievement, as well as in relation to other communities and their levels of wellbeing achievement. This could then ensure that communities achieve a level of wellbeing related to their actual context and not to that of a perceived context based on an 'outsider' measurement (Miles, et.al., 2008:77, Greenwood, 2001:4).

Community indicators are defined as:

...tools for translating broad community goals into clear, tangible and commonly understood outcomes and for assessing and communicating progress in achieving these goals... (Bullen, 2008:5).

Meanwhile, Norris & Adkisson (1997:i) describe community indicators as:

...measuring systems, designed, developed, and researched by the community members themselves...that provide citizens with clear and honest information about...realities and assist them in steering their communities on their desired course...The impact is then reflected in the indicator designed to measure it, and the feedback inspires the community to continue striving for a better tomorrow...

Therefore, if community wellbeing indicators are formulated and applied correctly, they could not only monitor change and progress but could also contribute towards making change happen. By getting citizens to consider how to measure their overall wellbeing, they can contribute both to their future community vision and relationship development and to the identification and measurement of their assets, challenges and opportunities towards achieving improved wellbeing (Norris & Adkisson, 1997:i). Such a comprehensive view of wellbeing indicator progress takes into account economic, social, environmental

and political concerns specific to their (community) context (Davern, et.al. 2017:568-569; Miles, et.al., 2008:77; Greenwood, 2001:5-7; Norris & Adkisson, 1997:i-ii). This democratic ownership (citizenship) of community level indicator measurement enjoins them as citizen owners in becoming equal participants who could influence: a) policy development; b) results reporting; and c) evaluation of development process, providing a comprehensive view of progress (Miles, et.al., 2008:77). Community development wellbeing indicators also link strongly with communities taking up and owning their democracy (citizenship). Community QOL measurement indicators are concerned with equality, equity, solidarity, citizenship and democracy, thereby interlinking with broader concepts such as social cohesion, social exclusion and social capital (Noll, 2002:58; Greenwood, 2001:4). However, the development of community wellbeing indicators is not straightforward – in that:

- 1) ...wellbeing indicators require grounding within a construct, a model or a framework that can be theoretically defined and...accepted, and 2) ...the underlying goal of developing a suite of indicators is not to arrive at a 'certain' conclusion...but rather indicating the evidence that guides in-depth examination...(Miles, et.al., 2008:77-78).

It is important not to confuse community wellbeing indicators with those of government departmental or programme accountability measures; these government indicators will not assist with generic tools in measuring community wellbeing (Bullen, 2008:5 & 11).

Good quality community wellbeing indicators need to be developed together with all stakeholders, from an 'inside-out' perspective (i.e. community indicating to 'outsiders'). Such indicators should: 1) be relevant; 2) focus on outcomes; 3) be time sensitive; 4) show a "good direction"; 5) be supported by timely data of good quality; 6) use time series and be consistent over time; 7) be sensitive to change and summary in nature; 8) be valid and reliable; 9) be clear, realistic and measurable; 10) be able to be disaggregated and easily interpreted; 11) identify with key policy and research linkages; and 12) be publishable (Davern, et.al. 2017:568-570; Bullen, 2008:9,11; Blair & Greene, 2007; Armstrong &

Francis, 2003; Duxbury, 2003). Compiling good quality wellbeing indicator suites can, therefore, face a number of challenges in: 1) measuring only what matters (bias prevention); 2) spotlighting only relevant issues and not the whole story; 3) correctly identifying causation and responsibility; 4) determining policy linkages; 5) measuring population diversity; 6) identifying governance and sustainable resourcing; 7) not being used as part of a “political point scoring” contest; 8) becoming too static and not evolving and changing over time with the community; and 9) quantifying cultural diversity (Davern, et.al. 2017:568-570; Bullen, 2008:6; Blair & Greene, 2007; Armstrong & Francis, 2003; Duxbury, 2003).

### **2.11. Indexes and Models to measure community wellbeing**

Both multi-disciplinary and inter-disciplinary approaches are required for the research of wellbeing due to the “...blind spots and methodological limitations that arise from the high degree of specialisation...” of individual disciplines (Hulme & Toye, 2006:1088). Many economists dealing with poverty assessment tend to operate as if the poor could be defined exclusively to a “...level of consumption or income, and sociologists...operate as if income and consumption surveys were redundant and all that was needed to identify or assess the poor or poverty was...qualitative information...” (Hulme & Toye, 2006:1089).

Swanepoel & De Beer (2011:10) mention the five dimensions identified by Narayan et al. (2002) against which wellbeing can be measured: 1) “...material wellbeing, 2) bodily wellbeing, 3) social wellbeing, 4) security, and 5) freedom of choice and action...”. These 5 dimensions relate to the suggestion by Miles, et.al. (2008:79) for extending the working definition of wellbeing, so that it can include non-material aspects of community wellbeing. This extension would also build on the existing understandings of quality of life, social capital and public policy. A number of different indexes have been used over the past decades to measure community wellbeing, most of which are secondary data sets applied to statistical generalisation of wellbeing. Cook (2005:2-5) lists: 1) the Human Development Index (HDI) of the UN Development Programme in 1990; 2) the



Weighted Index of Social Progress (WISP) by Estes in 1997; 3) the QOL Index by Diener & Suh in 1995, which included subjective as well as objective measures; 4) Indices of the Wellbeing of Nations by Prescott-Allen in 2001, with a strong sustainability focus; 5) the QOL Scorecard produced by the Conference Board of Canada in 2002; 6) the Genuine Progress Indicator (GPI) by the San Francisco Research and Policy Organization; 7) the Fordham Index of Social Health (ISH) by Fordham University; 8) the Fraser Institute Index of Living Standards, by Sarlo for the Fraser Institute; 9) the Ontario Social Development QOL Index, by Shookner in 1998; and 10) the Index of Relative Indigenous Socio-economic Disadvantage, by Gray & Auld in 2000. These ten indexes relate to the weighted quantitative measurement of wellbeing at micro and meso levels for projections and comparison at macro and chrono levels. This study therefore proposes a model that will incorporate primary measures at micro level (where community development takes place) derived from and driven by the community members themselves. These measurements can then be linked to the quantitative secondary data at macro and chrono levels of wellbeing measurement.

This study therefore aims at developing a community level wellbeing assessment model which will: a) collect primary data to measure wellbeing (instead of only secondary data sets); and b) apply micro level descriptions of wellbeing indicators in communities related to psycho-social dimensions (especially with relevance to social capital), not just political and economic dimensions. Whilst it will be a wellbeing model that takes the above factors and indexes into consideration, it will be a model based primarily on an 'insider perspective'. Albeit, the model will be related and compared to an extent with the 'outsider perspective: i.e. a model which includes 'bottom-up' indicators (community at micro- to exo-levels) as well as 'top-down' indicators (stakeholders at macro to chrono levels).

This chapter described the concepts of wellbeing and social capital. Socio-ecological theory was examined as providing the most important constructs and applicable theory. These constructs and theory formed the base from which to

engage in a participatory approach with community members towards the assessment of community wellbeing indicators. The future aim is for the wellbeing concepts to be aligned with country, regional and international wellbeing indicators.

This literature review has provided the developing definitions and descriptions of community development and the quantitative indexes and models so far applied to wellbeing measurement. This has been done in order to gain insight into the requirements for the development of a micro level model for assessing integrative community development towards improved wellbeing status. The model is intended to be one that incorporates a quantitative measurement linked to the influence measure of social capital towards the extent to which improved wellbeing will be possible.

This review of pertinent literature provided the framework needed to define a meaningful approach to a model by which to achieve a measurement of community development interrelated with social capital levels. This link produced the results required upon which to base community led processes towards wellbeing enhancement. In the next chapter, the literature review findings are linked to the overall research question (exploratory in nature) of part one for the study: i.e. to conceptualize what is needed for effective wellbeing measurement in community development. The literature review findings are incorporated in presenting a proposed model for community level wellbeing assessment. This proposed model has contributed to the design of the survey instrument (the primary data empirical part of the study) which addresses the overall research question (descriptive in nature) for part two of the study.

## **2.12. Conclusion**

Chapter two interrogated the literature on the evolution and proposals of development theories and practices. This interrogation started in the early days of the 1930s, then progressed through the major evolutionary phase post World War II (kick-started by the Marshall Plan). Interrogation then traversed the

centralised planning phase and moved on to the current esteem for the value of citizen wellbeing in community, country, regional and international wellbeing, in a better life for all. The progress of development theory and practice, through the five systems levels, to the 'in/out' benefit flow of modernization theory vs the Third World deprivation of dependency theory, were brought together in determining the feasibility and value of community member ownership. Feasibility and value were assessed in the development of partnerships with government institutions and service suppliers. Establishing this feasibility and value involved also establishing the need to conceptualise wellbeing, the importance of social capital input, and how best to measure their effectiveness.

Chapter three therefore investigates feasibility and practicalities of measuring assets based community development. The next chapter determines how best to empower community members themselves to assess, measure and implement their own community development processes, in an 'insider-outsider' partnership with service suppliers and within the priorities of national, regional and international frameworks.

## CHAPTER THREE

### **Theoretical and Conceptual Discourse for a Proposed Community Level Wellbeing Measurement Model**

#### **3.1. Introduction**

This chapter describes components derived from the literature review (chapter two) for inclusion in a participatory ‘insider-outsider’ community level wellbeing measurement model. A theoretical framework for community development, suggested in the literature review, will be used as the framework in which the indicators for wellbeing measurement could be clustered. These clusters (i.e. wellbeing dimensions) will be related to the influence of social capital in achieving improved wellbeing. In a way, this relational assessment of social capital and community level wellbeing is best illustrated against Asset Based Community Development (ABCD) and the Sustainable Livelihoods Framework (SLF), both of which speak to the different types of capital or assets that exist within communities. This chapter then integrates the aforementioned description with the dimensions and indicators for wellbeing assessment of the current international, regional and national development drivers. Lastly, the chapter presents: i) a diagram for a proposed community level wellbeing assessment model and ii) the spider graph and quadrant diagram graph tools.

The assessment model represents socio-ecological systems theory, as a discourse to indicate the ‘insider-outsider’ (e.g. community members and the State) partnership that is required for community development. The spider and quadrant graphs enable stakeholders (e.g. communities, public and private sectors) to access integrative community wellbeing profiles of the association between wellbeing and social capital that influences the processes towards enhanced wellbeing.

The descriptive suggestions in this chapter contribute towards the preparation of the second study objective: to conduct a survey to assess the wellbeing levels of communities in relation to their social capital status. Preparation of the

descriptive survey is discussed in chapter four, which deals with the research study methodology and operationalization.

### **3.2. Asset Based Community Development**

The origin of ABCD has been traced back by Hipwell (2009:291) to the thinking of the nineteenth century German philosopher, Friedrich Nietzsche, who argued for building upon the existing assets of people. Since the 1990s ABCD has spread from USA and Canada to Australia, New Zealand, the UK and some parts of Europe, followed by the global south countries such as Ethiopia, the Philippines and South Africa (Mathie, Cameron & Gibson, 2017:4). ABCD, also known as Citizen Led Development (CLD), is being used in an array of development contexts as an innovative strategy and, more recently, also for urban community driven development (Mathie, Cameron & Gibson, 2017:54; Mathie & Cunningham, 2003:474). It is part of the Participatory Methodologies (PMs) for people-centred or people-driven development (Chambers & Conway, 1991:37; O'Leary, 2005:3). ABCD is a Western concept, starting first in America during the late 1980s and followed in England during the 1990s. ABCD aimed to counter the then predominant needs based approach to development with an alternative focus on the capacities of communities and their associations (networks and partners). This new focus related specifically to the change from a social welfare service access and delivery model to that of the role, purpose and function of the services in their relationship with communities. This switch concerned the development that had to take place in community building (increased social capital) as a basic necessity for community development to be successful (Nel, 2015:512; MacLeod & Emejulu, 2014:435; Fuimao, 2012:25; Pretorius & Nel, 2012:9; Mathie & Cunningham, 2003:475-476).

Central to ABCD is the supposition that 'systems' (e.g. the welfare state) rely on deficiency and inadequacy in people, which in turn disempowers individuals and communities. ABCD therefore challenged the State and its ability to function for the benefit of society. Assets within the community are not only resources for economic value. These assets provide community members with the potential

and capacity to take action for their own development and the development of meaningful relationships and linkages with the 'rest of the world. ABCD is therefore the base from which people take action, with power to challenge structures for development and the manner in which resources are allocated. However, caution is needed to not shift all State responsibility for addressing social problems to communities and individuals who can be already in deficit. First and foremost, communities need to have access to assets, in order to allocate them effectively for development (Nel, 2015:512; MacLeod & Emejulu, 2014:436-437; Fuimao, 2012:27, 31; Pretorius & Nel, 2012:10). It is this access to assets that links ABCD well with the SLA. In this context, the following five categories of assets (capitals) are identified: i) natural; ii) physical; iii) social; iv) human; and v) financial (DFID, 2000:5). With access to assets the most important factor; social capital is the most critical resource, to have because it relates to the networks and relationships that exist between members of society (Mathie & Cunningham, 2005:4).

McKnight and Kretzmann (1993), the pioneers of ABCD, challenged the needs and problems based approaches which followed a top-down outsider expert approach. The ABCD approach favours a bottom-up approach, with an empowerment perspective which values collaboration and partnerships. It is therefore a relationship driven approach which indicates that communities can drive their own development process. Communities can do this if they identify and mobilize their existing assets towards future harnessing of external assets in partnership with the State (Mathie, Cameron & Gibson, 2017:2; Nel, 2015:512; MacLeod & Emejulu, 2014:437; Pretorius & Nel, 2012:10-11; Eloff & Eborsohn, 2001:151). These existing assets are not only personal attributes and skills, but also relationships among people that could fuel local associations and informal networks that link to social capital. These links can later be extended to formal relationships with, for example, local government and the private sector. Such links could become community-led ('insider-outsider') partnerships (Mathie & Cunningham, 2005:1). This approach is, of course, dependent on trust between the community development practitioner and the community members. This trust is fundamental to the enhancement of networks

and partnerships within the community (micro level), followed by the meso-, exo- and macro-levels relationships with the State and other institutions.

ABCD follows a distinctive set of principles linked to field-based participatory methods for practice, in order to assess relationships and networks within and outside the community (Mathie, Cameron & Gibson, 2017:2; Mathie, Cameron & Gibson, 2017:2; Nel, 2015:514-515; Fuimao, 2012:27; Mathie & Cunningham, 2005:3). The principles of ABCD practice are purely community ('insider') driven; hence the proposal for an integration of the ABCD and SLF ('insider-outsider' driven) by some scholars, discussed later in this chapter. The six principles of practice for ABCD are best illustrated in the following table by Fuimao, (2012:28):

**Table 1: ABCD Principles of Practice**

1.	Appreciating and mobilising individual and community skills, knowledge and assets.
2.	Community-driven development rather than being externally driven.
3.	Recognition of social capital (stresses key role played by formal and informal associations and networks and extended families at community level).
4.	Participatory approaches to development based on the principles of empowerment and ownership of the development process.
5.	Community development models which place priority on collaborative efforts for economic development.
6.	Efforts to strengthen civil society.

Sources: Own compilation

The emphasis of these principles, being purely community driven, relates to the historical evidence of community development only being successful when local community members are committed and when development efforts are identified by the community (Fuimao, 2012:28).

ABCD has not gone without critique. Ennis & West (2010:477) mention the inconsistency between the potential linkages within communities (e.g. assets mapping and mobilizing) and those of macro structures (e.g. political and economic) Such inconsistencies could result in a lack of impact from the macro structures to the communities, as well as from the communities, with regard to

influencing policy. ABCD offers some dialogue possibilities between external entities and communities. However, ABCD does not really undertake macro issues, such as globalisation and capitalism, which affect communities and the progress towards community wellbeing improvement.

Additional critique relates to other macro level issues, such as gender, social and racial inequalities and power oppression relations, all of which directly affect communities, but which are not addressed by ABCD (Mathie, Cameron & Gibson, 2017:1-2; Mathie & Cunningham, 2003:475; Green & Goetting, 2010:8). One of the strongest critiques, by Mathie, Cameron & Gibson (2017), DeFilippis et al. (2010), Hyatt (2011) and Veltmeyer (2011), relates to ABCD 'undermining' progressive social change, as it appears to only assist communities to maintain or 'survive' in a capitalist system of power elitism, instead of challenging the political and economic elite. However, it is important to note that ABCD is not an end in itself, but rather a progressive evolution from ambitious activities in the beginning that could evolve towards more ambitious initiatives to include NGOs, private sector and government (Mathie, Cameron & Gibson, 2017:3). The role of the community development practitioner is thus to facilitate the harnessing of the different community capitals (assets) available amongst community members ('insiders') together with the 'bridging of assets' offered by private sector, government and/or NGOs ('outsiders'). It is therefore a process that builds on successful mobilization by communities of their capitals (assets). As such, the process relies a great deal on community readiness levels and accessibility (social capital) to the other capitals, as explained in the SLA framework.

### **3.3. Sustainable Livelihoods Framework**

The Sustainable Livelihoods Framework (SLF) is built on earlier Participatory Methods (PMs) development theory and aspects of Integrated Rural Development Planning (IRDP) of the 1970s. SLF is built also on food security initiatives of the 1980s, Rapid and Participatory Rural Appraisal (RRA & PRA) and gender analysis, as well as on the new understandings of poverty and wellbeing relative to risk and vulnerability assessment (De Haan & Zoomers,



2006:122-123; De Satgé, 2002:3; Hussein, 2002:42). These risks and vulnerabilities correlate with the wellbeing dimensions, discussed later, which form part of the model proposed from this study. The focus on livelihoods, as an approach to household assessments, started in the early 1990s as a direct response to former approaches, such as the basic needs approach. The main aim of the SLA is to increase the effectiveness of communities and community based organisations to address poverty issues. Thus, the emphasis is on community members being able to conceptualize their development factors and processes, instead of being dependent upon the actions of outsiders (Morse & McNamara, 2013:18; De Haan & Zoomers, 2006:125-126). The model proposed in this chapter is an attempt at providing a tool with which communities can gather the primary data that could be presented in an integrative baseline data format (see chapter four, which presents the spider graphs for wellbeing and social capital levels). From this baseline communities can then collectively plan, in partnership with 'outsiders', the processes towards improved community wellbeing. The SLF gained momentum from 1992 onwards, with the United Nations Development Programme (UNDP), followed by the Sustainable Livelihoods Project (SLP) by the Society for International Development (SID) in Rome, then by the Department for International Development (DFID) in the UK in 1997. (Morse & McNamara, 2013:22-25; De Haan, 2012:346; De Haan & Zoomers, 2006:122-123; Small, 2007:27; Hussain, 2002:14).

The framework assists with the conceptualization of the capabilities and assets which households can apply (activate) to develop a strategy for sustaining their livelihoods. It therefore provides clarity with regard to the factors (assets, capabilities, threats and vulnerabilities) within the different dimensions of society (social, political, economic and physical) at all levels (micro to macro) which impact positively and negatively on the sustainable wellbeing of the households (Morse & McNamara, 2013:18; De Haan, 2012:347-349; De Haan & Zoomers, 2006:122; De Satgé, 2002:3; Hussein, 2002:48). The framework furthermore highlights the different elements and their inter-relatedness on a continuum scale of refinement and adaptation, due to human wellbeing not being stagnant.

Since the shift in approaches in recent decades to integration and holism for the achievement of human wellbeing, a number of basic livelihoods frameworks have been developed to put livelihoods analysis into practice (Morse & McNamar, 2013:18-20; De Satgé, 2002:3).

### **3.3.1. Types of Livelihoods Frameworks**

The different types of livelihoods frameworks are predominantly based on the 1992 definition of Chambers and Conway, which defines livelihoods and the factors that make them sustainable as follows:

...A livelihood comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living: a livelihood is sustainable which can cope with and recover from stress and shocks, maintain and enhance its capabilities and assets, and provide sustainable livelihood opportunities for the next generation; and which contributes net benefits to other livelihoods at the local and global levels in the long and short term... (Chambers & Conway, 1992:6).

The different types of livelihood frameworks all aim to be analytical tools geared towards supporting poverty eradication (De Haan, 2012:346; De Haan & Zoomers, 2005:44; Small, 2007:29; Hussein, 2002:48). The SLA provides six basic principles with which to conceptualize poverty-focused initiatives: 1) people-centeredness; 2) participatory and responsive; 3) dynamic; 4) multi-level; 5) holistic; and 6) sustainability (Mazibuko, 2013:178-179). Existing livelihoods frameworks can be categorised as: 1) International, for which there are four primary frameworks; and 2) Southern African, for which there are currently two primary frameworks.

#### **3.3.1.1. International and National Livelihoods Frameworks**

The four foremost international frameworks are from DFID, Cooperative for Assistance and Relief Everywhere (CARE), Oxfam and the UNDP. The DFID framework is the most widely used, with a people centred, holistic and dynamic focus. DFID has a strong emphasis on the different forms of 'capital' (human,

physical, social, financial and natural), referred to as 'livelihood assets'. DFID indicates the 'capital' strengths and linkages between micro and macro levels within the sustainability dimensions (social, economic, institutional and ecological), thereby linking well with the socio-ecological discussion in chapter two.

The CARE framework is based upon possession of capabilities, access to assets and existence of economic activities as the three fundamental attributes of livelihoods. It distinguishes between assets, capabilities and activities, instead of the five 'capital' dimensions, with less emphasis on macro-micro links. Oxfam argues that existing frameworks are too abstract for field-level staff, although very valuable at programme and policy levels. At these levels emphasis is placed on the sustainability of economic, social, institutional and ecological dimensions, together with the 'right' to a sustainable livelihood. In the UNDP framework, livelihoods are conceptualised as the means, activities, entitlements and assets through which people make a living. UNDP defines sustainability as the ability to cope with shocks and stresses, be economically effective, ecologically sound and socially equitable all of which are strongly interrelated on micro-macro levels (Vaneekhaute, 2017:5-9; Morse & McNamara, 2013:22-25; De Haan, 2012:346; De Haan & Zoomers, 2005:30-31; De Haan & Zoomers, 2005:126.127; Small, 2007:27-28; De Satgé, 2002:3-8; Hussein, 2002:31-41).

The two Southern African primary frameworks are the Policy Guidelines for Integrating Environmental Planning (PGIEP) livelihoods framework, and the Learning About Livelihoods (LAL) framework. PGIEP brought in the notion of 'empowerment' as an addition to that of the other frameworks above. This was an attempt to address the issue of the abstract nature of the livelihoods frameworks at fieldworker level, in order to mobilise a process towards human security, i.e. sustainable wellbeing by participatory approach to community development practice. People are at centre stage, and their relationships and assets are at the core of the PGIEP framework. This framework places an increased focus on the micro (local) level and macro (district, provincial,

national and international) level environments and the interrelated impact which they could have on each other, either positive or negative. Thus, the application of assets and the manner in which application is done relates directly to the strategies applied at both micro and macro levels to achieve sustainable wellbeing/livelihoods: i.e. the outcome of the strategies applied (Mazibuko, 2013:178; De Satgé 2002:9 &18).

Positive outcomes can be the direct result of diversified strategies by the household not choosing to be dependent on a limited number of strategies for survival. The diversification of strategies therefore improves household ability to withstand the outside impacts (shocks and stresses) which collectively make up the household vulnerability context (De Satgé, 2002:9-13). This driving force behind the framework, and the manner in which it is packaged and applied, is best summarised by De Satgé (2002:13) in stating that:

...people are not passive victims of structures and processes over which they have no control. The way...it is put into practice through participatory planning and appreciative enquiry can build the capacity of local people to lobby for appropriate policy and institutional support...

The PGIEP framework therefore conceptualises a process that enhances the natural asset base of people. This is for them to both have increased access and ability to diversify their strategies towards an improved vulnerability context, thereby limiting negative impacts on their livelihoods (De Satgé, 2002:13).

The LAL framework is a derived extension of the PGIEP framework. It also places people at the centre and is cognizant of the different shapes and sizes of households. This in turn affects the asset base and strategies towards achieving wellbeing at different levels due to the differentiation factors of households (De Satgé, 2002:14). The comparative difference in the LAL framework is the issue of 'inequality', specifically gender and age, as this affects the relationships of the household (micro level) with the 'outside' world (macro level). By looking at the 'inequality' factor within households, improved conceptualization is gained with regard to strategies and their outcomes

towards achieving improved sustainable wellbeing. The framework also highlights that a household could achieve a positive outcome which could have a simultaneous negative impact on something else in the external environment (exo- and/or macro-levels) surrounding the household. The LAL framework is holistic and integrative, analysing both micro and macro environments in relation to the key factors, especially inequality, which brings about differentiated levels of wellbeing within households. This holistic integrative approach also ensures the assessment of change over time, history and seasons, to gain a more accurate conceptualization of progress towards sustainable wellbeing in a qualitative and quantitative manner (De Satgé, 2002:14). The LAL framework and its principles are therefore the most relevant in the context of this study and its proposed model.

The LAL framework is guided by the following five main principles which: 1) is participatory and people-centred, using participatory methods to understand how people make a living; 2) supports differentiation by acknowledging the differences between households and communities relating to the complexity and diversity of wellbeing levels, both for different households and between communities; 3) applies holistic micro and macro identification analyses of factors that affect the household on both the inside and the outside, allowing for the most strategic interventions to be selected to achieve the best results; 4) ensures targeted interventions (e.g. by using spider graph dimensions, as discussed in chapter five), to be developed towards achieving the strongest impact for sustainable wellbeing (e.g. through the quadrant diagram graph cross-over point discussed in chapter five), whilst utilising the least resources; and 5) applies reflective practice (e.g. with the second survey results comparison of the spider graphs and quadrant graph cross-over point level changes). Application of these principles improves the quality of analysis and interventions of both the 'implementing agent' and the community/household involved when assessing progress towards sustainable wellbeing (Mazibuko, 2013:178; De Satgé, 2002:15-16).

Both the PGIEP and LAL frameworks are under-subscribed by South African researchers, a shortfall which is evidential in the Department of Social Development operations. Although it has adopted a sustainable livelihoods approach, departmental operations mostly represent the DFID framework.

### **3.3.2. Benefits of Livelihoods Frameworks**

The benefits of livelihoods frameworks can be clustered under the distinguishing categories of the different contributors to wellbeing, which is the overall purpose of achieving a sustainable livelihood. The framework, therefore, provides clarity as to 'who' must contribute 'what' by 'when' and at 'which' level, in order to progress towards sustainable wellbeing (Morse & McNamar, 2013:18; De Haan, 2012:347-349; De Haan & Zoomers, 2006:122; De Satgé, 2002:3; Hussein, 2002:48). This clarity is especially evident in the PGIEP framework, which provides the means of conceptualization through the following key issues: a) the manner in which people live, inclusive of the strategies that they apply; b) people are the central point in planning, in order to assess their assets, capabilities and existing activities in the improvement of wellbeing and the attainment of sustainable livelihoods; c) the vulnerability context analysis which enables thought on the impact of the different dimensions on achieving sustainability; and d) exploration of the micro-macro linkages that could provide opportunities between different sectors within society (De Satgé, 2002:9-10; Hussein, 2002:48).

The livelihoods frameworks have the following seven key benefits: 1) improved internal coherence and analytical strength of programmes as they help conceptualise the situation, as well as the connections and linkages relationships within the household context in relation to the environment; 2) increased impact, due to understanding, targeting and the use of resources in a holistic manner, thereby yielding better results towards wellbeing; 3) support of specific skills and expertise development, as it helps staff to identify the knowledge and skills requirements and see that they are in line with community requirements; 4) integration of participatory methods, in order to gather large amounts of information which best describe the situation in consultation and

participation with the community; 5) increasing opportunities for collaboration and partnerships due to the frameworks ability to provide clear conceptualization; 6) increased access to donor funding due to well-designed monitoring and impact assessment indicators and their measurement; and 7) complementing existing approaches, as the framework takes all other approaches into consideration in order to add value, instead of replacing them (Morse & McNamar, 2013:18; De Haan, 2012:347-349; De Haan & Zoomers, 2006:122; De Satgé, 2002:3,17-18; Hussein, 2002:48).

### **3.3.3. Critique of Livelihoods Frameworks**

Critique of the livelihoods frameworks ranges from the substantive aspects of practice to that of politics, none of which should be ignored. The critique is best clustered under the following three key issues: 1) underplaying structural constraints by encouraging the poor to use what they have in a better way, instead of acknowledging the uncontrollable extraneous factors (stresses and shocks) over which they have no control; 2) romanticising the poor by arguing that they are in fact 'richer' than they seem to be in taking action against their circumstances; and 3) the complexity of livelihoods enquiry that relates to quality and skill to operationalize a livelihoods framework (i.e. 'outsider' dependent, contrary to the proposed model in this study) for interventions towards sustainable wellbeing (Mazibuko, 2013:184-185; Morse & McNamar, 2013:43-44; De Haan, 2012:348; De Haan & Zoomers, 2005:33, 2012:348; De Satgé, 2002:19-20). The proposed model, presented later in this chapter, took into consideration the critique when the data collection instrument, spider graph and quadrant graph tools were developed.

### **3.4. Integrating the ABCD and SLA Approaches**

ABCD and SLA are similar in their emphasis on 'capitals' (assets) and 'participation', both of which depend on 'access'. They differ however in that SLA can be seen as a 'top-down', 'outsider', meso-exo level mostly quantitative approach to development, whereas ABCD is driven by the community members themselves at 'insider' micro level in a mostly qualitative approach (Smyth & Vanclay, 2017:69; Nel, 2015:512). The need for an 'insider-outsider' approach

to development was established in chapter two. This study therefore proposes the five (pentagon) categories of livelihood assets/capitals (human, physical, social, financial and natural), as the internal inputs from the community (insider), with the transforming structures and processes seen as the external inputs (outsider), required for achieving the livelihood outcomes (Smith & Vanclay, 2017:69; Mazibuko, 2013:184-185; Morse & McNamar, 2013:43-44; De Haan, 2012:348; Fuimao, 2012:36; De Haan & Zoomers, 2005:33, 2012:348; De Satgé, 2002:19-20). This 'insider-outsider' approach could thus address the main shortcomings of the ABCD approach (e.g. it does not explicitly indicate the role and responsibility of the State (exo-macro levels). It also addresses the SLA (e.g. it does not pay much attention to the role of community members (micro-meso levels) in development (Nel, 2017:5; Nel, 2015:512; Pretorius & Nel, 2012:13). The proposed model in this chapter (section 3.9) could contribute quantitative data regarding wellbeing dimensions and community assets that could act as base-line data from which to operationalize 'insider-outsider' community development processes, from planning to implementation and evaluation, geared towards improving community wellbeing.

The asset-based approach emphasises sustained collective action towards 'access' to assets, resulting in a fundamental link with the SLA. All the definitions for livelihoods emphasise 'access to assets', which in turn is dependent upon the 'relationships' between institutions, associations and individuals as per the ABCD approach (Fuimao, 2012:32). A detailed discussion about the application of a socio-ecological systems approach for sustainable community wellbeing was presented in chapter two. This indicated that community development can be explained and approached from a systems perspective. Communities are seen as systems with interrelated sub-systems (Nel, 2017:2), similar to the wellbeing dimensions mentioned in the previous chapter. These interrelated sub-systems (wellbeing dimensions) can be associated with the SLA pentagon for capitals measurement, together with the 'relations' of the ABCD approach discussed above.



This study proposes the integration of the most critical components of the ABCD approach and the SLA (e.g. capitals pentagon and the push pull relationship between the assets/capitals). The study addresses, to some extent, the two main ABCD and SLA 'shortcomings: i) the ABCD approach not being linked to impact at the exo-macro levels (see the section 3.8 discussion of the proposed alignment national to international development drivers); and ii) the SLA not being micro level 'friendly' due to its complexity in application (see chapters four and five on the simplification of the model and its tools so that communities can manage their own surveys and data conceptualization).

This study furthermore suggests a more participatory quantitative measurement, further contributing to more manageable data results provided by the community members themselves. Lastly, the study suggests a greater focus on human capital, linked to the extent to which social capital impacts on 'access to assets'. Social capital should therefore not only be measured with regard to 'what' networks exist, but also to their 'capacity' (dependent on human capital and the extent to which it exists) to achieve successful community development towards improved wellbeing.

### **3.5. Social Capital**

Social capital has received exponential attention during the past two decades, both in academic literature and in its application as a single concept in research. A detailed description of social capital and its origin was undertaken in chapter two, indicating that social capital is not a new concept (Vermaak, 2009; Ganapati, 2008; Mansuri & Rao, 2004; Falk & Kilpatrick, 2000; Portes, 2000; Midgley & Livermore, 1998; Putnam, 1993). In fact, some authors link its intellectual history to the eighteenth and nineteenth century theorists, of whom the most relevant to community development were Toennies, Durkheim, Marx and Weber (Tzanakis, 2013:2; Claridge, 2004:16-17). The three contemporary authors writing of social capital, Pierre Bourdieu, James Coleman and Robert Putnam, were discussed also in chapter two. A useful table by Claridge (2004:19) is adapted and included below, to indicate this social capital author's

meaningful socio-ecological systems level of study, for further conceptual clarity on the integration of social capital with socio-ecological systems theory levels.

**Table 2: Contemporary authors' level of study of social capital.**

Levels of analysis	Systems Theory Level	Bourdieu	Coleman	Putnam
Individual / class faction	Micro	<ul style="list-style-type: none"> <li>• Titles / names</li> <li>• Friendships / associations</li> <li>• Memberships</li> <li>• Citizenship</li> </ul>		
Family / community	Micro / Meso		<ul style="list-style-type: none"> <li>• Family size</li> <li>• Parents' presence in the home</li> <li>• Mother's expectations of child's education</li> <li>• Family mobility</li> <li>• Church affiliation</li> </ul>	
Community / region	Meso / Exo / Macro			<ul style="list-style-type: none"> <li>• Membership in voluntary organizations</li> <li>• Voting participation</li> <li>• Newspaper readership</li> </ul>

Source: Adapted from Claridge, 2004:19

This table indicates the predominant focus area, as well as the systems level/s focus of each author. This study took into consideration the levels of analyses presented in Table 2 during the design assortment of its structured questionnaire. The structured questionnaire therefore included micro level questions which related to friendship, association memberships and citizenry. It also included some micro/meso level questions about education and community mobility. Lastly, the questionnaire attended to the exo/macro levels by including questions to assess voluntary participation and communication. The levels of social capital are discussed further below, to indicate the levels of control and influence that community members have at each level. Reference was made in the previous chapter to levels of 'control' in the socio-ecological systems

framework. These levels indicated community members' complete control and/or influence at the micro and meso levels, with much less control at the exo level, almost no control at the macro level and only long-term influence at the chrono level.

Generally speaking, the term 'social capital' refers to the reliable network upon which one can 'draw' during difficult times and/or for improvement of wellbeing. Thus, the extent to which one has 'control' over access to participate, depends upon the influence of those system level networks. The social capital network is founded on a basis of norms and values which require trust and equal sharing. This takes on the form of a barter exchange system towards a common goal by those participating and contributing (i.e. community members) to the system in different ways at different levels (Tzanakis, 2013:2; Gauntlett, 2011:132-333; Vermaak, 2009:401; Claridge, 2004:24; Mansuri & Rao, 2004:8 Falk & Kilpatrick, 2000:88; Portes, 2000:3). It is the 'value' of the network and the 'bonding' between its similar, as well as its diverse, members that requires closer investigation in community wellbeing research studies. Thus, the value and bonding intensities became important constructs for inclusion in the proposed community level wellbeing measurement model discussed in this chapter. The most important factors of social capital described in the previous chapter will be integrated in the next section. This is specifically in the context of the 'structural' and 'cognitive' appearance, together with the 'bonding' and 'bridging' manifestations of social capital located in the socio-ecological levels and wellbeing dimensions (i.e. wellbeing capitals pentagon) entrenched in proposing a model for wellbeing assessment (i.e. QOL profiling).

### **3.6. Manifestations of Social Capital**

Social Capital is different from the other capitals because of its dependence on social relations, whereas the other forms of capital reside internally with the individual. This has resulted in several authors, notably Tzanakis (2013), Gauntlett (2011), Vermaak (2009), Claridge (2004), Mansuri & Rao (2004), Falk & Kilpatrick (2000, Portes (2000), Woolcock & Narayan (2000), Midgley & Livermore (1998), presenting different types of related characteristics of social

capital providing a more detailed conceptualization of social capital. The net result is the classification of 'structural' and 'cognitive' social capital, together with 'bonding' and 'bridging' social capital. This is important for conceptualizing a community level wellbeing assessment model in that they take on different functions at the different micro to macro levels of society.

### **3.6.1. Structural and cognitive appearance of social capital**

The structural and cognitive appearance of social capital highlights the 'socialization' aspect of people. The structural component relates to the 'collective action' by people towards mutual benefit of the 'group'. This group nature requires a deeper understanding and focus on the roles, rules and procedures that group members take on, especially in community development processes towards improved wellbeing (Claridge, 2004:24). These collective actions, roles, rules and procedures were included in sections 10 to 13 of the survey questionnaire for assessment, whilst the variables for measurement are indicated in the next chapter, which deals with the empirical part of the study and its survey instrument.

The cognitive aspect of social capital focuses on the norms, values and attitudes of the group members. This in turn influences, and is influenced by, the structural aspects of social capital; i.e. its collective action towards a common goal or purpose and the extent to which the group can remain 'united' towards achieving improved wellbeing as a collective (Claridge, 2004:34).

### **3.6.2. Bonding and bridging appearance of social capital**

The bonding and bridging appearance of social capital highlights the 'networks' that exist amongst groups and within communities. A critical component in this manifestation is the aspect of 'trust'. Trust is, further distinguished by authors as 'thick' and 'thin' trust levels, with 'thick trust' linked to bonding and 'thin trust' to bridging. This is due to the bonding aspect of social capital taking place in a horizontal manner (i.e. within and amongst neighbouring communities or groups) because they are more 'familiar' between each other. Meanwhile, the bridging aspect of social capital relates to its vertical relationships, with an

emphasis on relations between communities not being so 'familiar' with each other. Thus, the structure or order of a group or community is more formal and hierarchical in a vertical form (i.e. bridging) versus a horizontal form (i.e. bonding) that represents a more decentralized approach to order, participation and membership (Tzanakis, 2013:2; Gauntlett, 2011:132-333; Vermaak, 2009:401; Falk & Kilpatrick, 2000:88; Portes, 2000:3). The bonding and bridging aspects of social capital were included in sections 8, 9 and 12 of the survey questionnaire, whilst the specific variables for measurement are indicated in the next chapter and presented in Table 8.

Thus, the real importance and benefit of social capital would lie in its ability to bring the meso-exo-macro (outsider) and micro (insider) levels of sociological structures together when working towards improved wellbeing of society. The proposed model in this study, presented later on in this chapter in section 3.9, attempts to indicate the chrono to micro levels and their related structural and cognitive appearance of social capital within the wellbeing dimensions; discussed in the previous chapter. The social capital scholars referred to in this section, and in the previous chapter, distinguished between the following forms of capitals: human, physical, social, financial and natural. This classification is similar to the conceptual ideas of wellbeing scholars, Elson & Cagatay (1999), Christakopoulou, Dawson & Gari, (2001), and Duxbury (2003), mentioned in the previous chapter. They indicated the community wellbeing dimensions as: physical (i.e. natural capital), social, economic (i.e. financial capital), political (i.e. social and human capital), and psychological (i.e. also social and human capital). The wellbeing of a community depends on the balanced and vigorous functioning of these dimensions or capitals; hence the importance of communities being able to assess the levels of their wellbeing dimensions (i.e. their wellbeing and social capital status profiles).

### **3.7. Wellbeing Dimensions and Indicators**

Macro-chrono level wellbeing measurement is linked to 5 dimensions for subjective and objective wellbeing assessment, which have been discussed in chapter two. This section aims to simplify subjective and objective wellbeing

measurement, in an attempt to develop a community driven and micro level measurement model. The evidence garnered in this study indicates that macro-chrono level wellbeing measurement involves advanced statistical analyses, thereby placing it within the 'outsider' domain of community development assessment. This study therefore proposes an 'insider-outsider' combined approach to community development in a model for wellbeing measurement that can be 'insider' (community) and locally (micro level) driven. This approach would, however, require simplification of the quantitative measurement of wellbeing, but in a manner ultimately still providing 'usable' (base-line) data contributing to macro (national) level and chrono (national-international) level comparative assessment of wellbeing in the long term. Success in such an approach would require a closer assessment of one of the international macro-chrono level wellbeing assessment frameworks, such as the one from the OECD, established in 1961. More than 30 countries participate in the OECD via their respective national departments of statistics, to conceptualize and assess what drives their environmental, economic and social change. The OECD is one of the original entities which started to assess QOL with social indicators as early as the 1960s, as discussed in the previous chapter. The OECD launched the 'better life initiative' in 2011 to assess wellbeing by means of 11 dimensions which are discussed in more detail below [<http://www.oecd.org/about/>].

The community level wellbeing assessment model proposed in this chapter aims to provide a model that could in the long-term link with the OECD wellbeing framework (see sections 3.7.1 and 3.9 below). This OECD (macro-chrono) link or alignment between the proposed micro level model for wellbeing assessment could be beneficial for both 'insiders and outsiders'. Different community driven wellbeing assessments can be consolidated into local, regional/provincial and national measurements. This consolidation would ultimately be related to the OECD global country comparison wellbeing framework, thus representing a bottom-up and community led approach towards the wellbeing improvement of society. This proposal would require that communities are enabled to measure their wellbeing status in a quantitative manner that is locally (insider) manageable (see chapters four and five

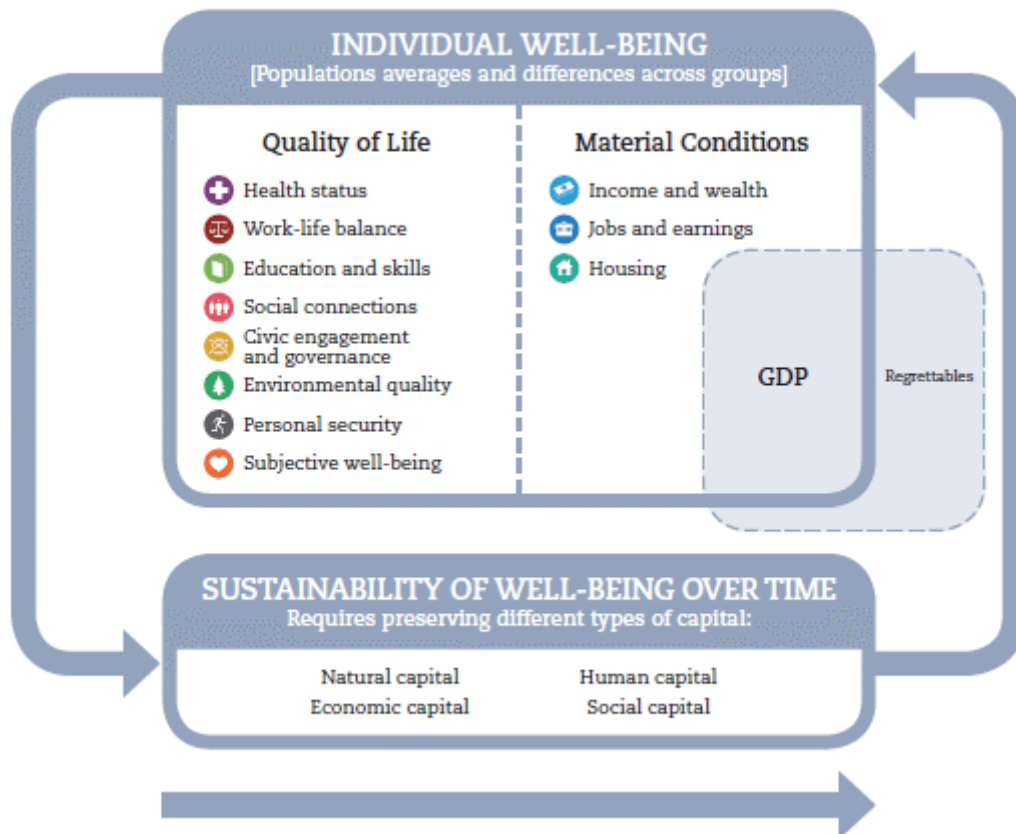
regarding the survey operationalization and its data collection and analyses tools). This measurement could align with the macro-exo (country/international) measurements of national statistical departments which submit statistics to the OECD and other international entities, such as the World Bank. Locally aligned with national, regional and international statistics, this measurement should enable communities to drive their processes towards community wellbeing achievement by taking the lead in what services should be delivered by service providers from the community's perspective. These processes, now based on community led primary data, should then also be comparable to national and international secondary wellbeing indicator measurements (normally obtained via national surveys such as census data and other indexes such as the GDP and HDI discussed in chapter two). This consolidation process of the wellbeing data will be described in the last part of this chapter. Suggested operationalization of the community level wellbeing assessment model is covered, wherein existing wellbeing indicators and assessment tools can be utilized at community level instead of designing yet another measurement tool for wellbeing. The aim is to harness data collection methods and indicators from existing surveys (i.e. census data) and translate them into community level manageable interpretations that are both relevant and significant to those who represent community led development towards improved wellbeing.

### **3.7.1. Dimensions of the OECD wellbeing framework**

The OECD wellbeing framework has 11 dimensions, each with respective indicator sets that are based on global standards for wellbeing measurement (Durand & Smith, 2013:1). The framework was developed as part of the 'Better Life Initiative' launched in 2011. This is the most recent social indicator research development, which started in the 1960s with the QOL assessments discussed in the previous chapter. The dimensions of the OECD framework assess both the 'material' conditions (objective) wellbeing measurement and QOL (subjective) wellbeing measurement (Durand & Smith, 2013:1-2). More importantly, this framework considers the sustainability aspects of wellbeing relating to the four types of capital (human, social, financial and natural) described further above and in the previous chapter. Diagram 3 below

presents the 11 dimensions, clustered in the two domains of 'QOL' and 'material wellbeing, together with the four capitals that are the drivers for sustainable wellbeing over time.

**Diagram 3: The OECD Wellbeing Conceptual Framework**



Source: Durand & Smith, 2013:3.

The QOL dimension in the OECD framework assesses: 1) *health status*, which relates to longevity, morbidity, access to health care, malnutrition and disability; 2) *work-life balance*, which covers employment opportunities, hours of paid and unpaid work, job satisfaction, free time and wages; 3) *education and skills*, which are linked to literacy, school enrolment and graduation, child, adolescent and adult competencies and access to education; 4) *social connections*, which involve social inclusion, connectedness (researcher note: this should get more attention in relation to social capital as proposed in the previous chapter and further above); 5) *civic engagement and governance* (i.e. *empowerment and*



*participation*), which lies in civil and political rights, discrimination, sense of empowerment, cultural identity, access to accurate information, responsive and accountable institutions, tax morale and having a ‘voice’; 6) *personal security (i.e. vulnerability)*, which relates to violence and criminal victimisation, protection against social and economic risks, living in or near disaster prone areas, accidental injuries and risky behaviours; and 7) *subjective wellbeing (i.e. life evaluation)*, which involves the sense of meaning and purpose in life and attachment or connection to the spirit (Durant & Smith, 2013:4-5).

The material conditions dimension assesses: 1) *income and wealth (i.e. consumption possibilities)*, which measures the available economic resources, household income and consumption, ownership of assets and self reported life satisfaction living standards; 2) *jobs and earnings*, which cover the ‘work life balance’ dimension, employment opportunities, hours of paid and unpaid work, job satisfaction, free time and wages; and 3) *housing*, which is linked to quality of housing, access to and occupational space and connection to services such as running water and electricity (Durant & Smith, 2013:4-5).

The OECD Development Centre proposed the following wellbeing framework for developing and emerging countries with some amendments to the original dimensions for the “How is Life” assessment.

**Table 3: A Wellbeing Framework for Developing and Emerging Countries.**

<i>How is Life? Framework</i>		<b>Framework put forward in this paper #325</b>	
<b>Dimensions</b>	<b>Dimensions (2014 amended)</b>	<b>Issues</b>	
<b>Human Wellbeing (today)</b>	Income	Consumption possibilities	Household income/consumption, poverty, ownership of assets and durables, self-reported satisfaction of living standards
	Jobs	Work	Lack of employment, informality, hours of paid and unpaid work, free time, wages, job satisfaction
	Work-life balance		
	Housing	Housing and infrastructure	Quality of housing, occupation density, indoor pollution,

<i>How is Life? Framework</i>		<b>Framework put forward in this paper #325</b>
<b>Dimensions</b>	<b>Dimensions (2014 amended)</b>	<b>Issues</b>
		access, use and distance from water and sanitation services, connection to electricity grids, transport
Environment	Environmental conditions	Pollution of air, water contamination, noise, green space
Education and skills	Education and skills	Illiteracy, school enrolment and graduation, measure of child, adolescents and adults competencies, access to education
Health	Health	Longevity, morbidity (infectious and chronic diseases) disability, malnutrition, access to health care
Personal security	Vulnerability	Risky behaviours, violence and criminal victimisation, accidental injuries, protection against social and economic risks, living in disaster prone areas (coastal areas, flooding, seismic areas. And industrial hazard, etc.)
Social connections	Social connections	Quantity and quality of social interactions, social and economic support social isolation
Civic engagement	Empowerment and participation	Civil and political rights (e.g. minority, access to accurate information, responsive and accountable institutions, discrimination, voice, sense of empowerment, cultural identity (language), tax morale
Subjective wellbeing	Life evaluation, feelings and meaning	Life evaluations and affective states sense of meaning and purpose in life; attachment to or regard for things of the spirit
<b>ility of wellbeing (tomorro</b>	Economic capital	The Economic System
		Economic capital, macroeconomic imbalances, foreign indebtedness, transparency and stability of

<i>How is Life? Framework</i>		<b>Framework put forward in this paper #325</b>
<b>Dimensions</b>	<b>Dimensions (2014 amended)</b>	<b>Issues</b>
		the financial system, tax mobilisation
Natural capital	Ecosystems	Deforestation, desertification, loss of biodiversity, natural landscapes and heritage
Human capital		Human capital, preserving cultural heritage (e.g. languages, traditions), social norms, cultural and language diversity, rule of law, effective open and inclusive institutions
Social capital	Social and Cultural Systems	

Source: Boarini, Kolev & McGregor, 2014:39.

The dimensions presented in Table 3 above were further elaborated upon in 2014 by the Development Centre, to present example indicators and suggested data sources for wellbeing assessment of developing and emerging countries. This assessment is done at a macro level, predominantly using data from different national surveys conducted by national statistics departments for their countries to report: a) to structures such as the World Bank and the United Nations (UN); and b) at national country specific level, on wellbeing status in relation to development progress and prospects (Boarini, Kolev & McGregor, 2014:39). It is important to note at this point that the suggested 2014 amended dimensions by Boarini, Kolev & McGregor (2014:39) suggest ‘systems’ instead of ‘capitals’ for the sustainability measurement of wellbeing in developing and emerging countries. This amendment has some merit in that the capitals are in fact ‘systems’ that exist based on the ‘issues’ for assessment in each dimension, as indicated in the table above. However, the joining of human and social capital into a single system raises some concern with regard to the possibility of a now even ‘weaker’ measurement regarding the influence of social capital on wellbeing improvement and sustainability. The ‘issues’ for measurement of social capital, listed in the table above, do not seem to explicitly suggest ‘bonding’ and ‘bridging’ factors (as described further above) for measurement of social capital. Yet, in developing and emerging countries

the issue of 'trust' (the main factor in 'bonding' and 'bridging') is of critical importance towards successful and improved wellbeing.

The importance of all these elements involved in measuring social capital is one of the reasons why this study proposed a closer investigation of the influence of social capital on wellbeing improvement. Otherwise it would be difficult to fully understand the strengths and limitation factors that influence wellbeing improvement. This is not only so for developing and emerging countries; it should also be taken into consideration for developed countries. Boarini, Kolev & McGregor, (2014:42-44) describe the manner in which their suggested framework, inclusive of indicators for measurement, can be used for wellbeing assessment in developing countries. These authors are of the opinion that the framework can assist with improvement of national policy development. The next chapter describes the survey questionnaire for this study, derived from existing wellbeing measurement and social capital questionnaires from the World Bank, to ensure a comprehensive measurement of wellbeing and social capital levels. It is important to note that even though this study presents a community level wellbeing measurement, it also proposes an alignment with national and international (macro level) wellbeing frameworks.

The indicators and data sources indicated by Boarini, Kolev & McGregor, (2014:43-44) represent macro and chrono wellbeing measurement levels achieved by the 'expert outsider' making use of secondary statistical data sources. The previous chapter provided the motivation for an 'insider-outsider' approach to community development, hence the proposed community level wellbeing assessment model to both: a) take into consideration the dimensions and indicators for macro and chrono wellbeing assessment; and b) simplify it for a micro and perhaps even meso level assessment. This is so that it can be community ('insider') driven and consist of primary data sources. A further distinguishing factor with this approach to wellbeing measurement is that no standardized weighting system with secondary factors will be applied to the indicator measurement, nor will data assessment be based on an 'outsider' perspective. This means that indicators in wellbeing dimensions should be

assessed based on the respective communities' 'primary' opinion and their level of satisfaction with the indicators for measurement of the different dimensions. This is instead of making use of standardised medians provided by 'outsiders' who apply advanced statistical approaches to existing data sets for wellbeing assessment. The community level wellbeing measurement model, proposed in section 3.9 of this chapter, therefore presents a different approach with slightly different and/or amended dimensions and respective indicators for wellbeing assessment. This is done with the aim of ensuring a community driven wellbeing assessment which could in future be aligned to national, regional and international development drivers. It is therefore also important to assess the alignment ability of the 11 OECD wellbeing dimensions with the South African National Development Plan: Vision 2030, the African Union Vision 2063 and the UN Sustainable Development Goals.

### **3.8. International and National Development Initiatives**

The current global population of 7 billion is expected to increase to 8.5 billion by 2030 and in excess of 11 billion by 2100 (UN-DESA, 2015). Over 700 million of these people live in extreme poverty in Sub-Saharan Africa and South East Asia. As a result, innovative processes are required at international, regional and national levels to reach the ambitious targets of the UN Sustainable Development Goals (SDGs), realizing Agenda 2063 of the African Union, and as well meeting the objectives set out in the National Development Plan: Vision 2030 for South Africa (UN-SDG, 2015; AU-Agenda 2063, 2014; SA-NDP, 2014). These international, regional and national strategies all aspire towards improved wellbeing for mankind; achieving their goal becomes increasingly problematic with the exponential growth in world populations.

#### **3.8.1. UN Sustainable Development Goals (SDGs)**

The UN SDGs, also known as Agenda 2030, comprise 17 goals and 169 targets (sub-goals) to be achieved by 2030, measured against 230 indicators. These goals and indicators aim to: 1) address poverty and gender inequality; 2) achieve food security and sustainable agriculture; 3) improve health conditions and education opportunities; 4) ensure sustainable access to water, sanitation

and energy; 5) promote sustainable economic growth and job creation; 6) build resilient infrastructure and secure human settlements; 7) improve safety and security as well as sustainable environmental development and conservation; and 8) promote and enhance global partnerships for improved, collective and sustainable development (Economic, U.N. & Council, S. 2014).

International wellbeing development drivers, such as the SDGs, result in having many indicator indices put forward by development agencies and research scholars, in their attempts to provide the most comprehensive assessment framework. However, having a single most comprehensive framework is not feasible, due to different countries being at different stages of development. This results in an array of varying national policies and approaches by which to achieve national targets and goals that just might ultimately align with achieving international goals and targets (Costanza, ed al., 2016:350; Gupta & Vegelin, 2016: 440; Hák et al., 2016:565; UN, 2015; UNGA, 2014). For the purpose of this study, the aims and endeavours of the SDGs could be clustered in accordance with the proposed 12 wellbeing dimensions of the community level model proposed for this study; these dimensions are presented and discussed in section 3.9. This was done in an attempt to show the alignment possibilities of wellbeing assessment indicators. These indicators were derived by means of a 'commonality' (generic) assessment of wellbeing clusters, which also appeared across the national (country – NDP), regional (continental – Agenda 2063) and international (global – SDGs) strategies for wellbeing improvement discussed in this chapter.

Furthermore, the targets set for the SDGs provide enough scope against which to start developing some base-line conceptualization upon which communities can set their respective community level targets. These targets could then contribute to national targets, as suggested in the proposed community level wellbeing model in section 3.9 of this chapter (Economic, U.N. & Council, S. 2014). Such national targets could expectantly also contribute to conceptual understanding towards regional targets to be achieved with, for example, Agenda 2063 of the African Union.

### **3.8.2. Agenda 2063**

Agenda 2063 of the African Union (AU) was launched in 2013 as a: "...call for action to all segments of African society to work together to build a prosperous and united Africa..." to be celebrated in 2063, when the AU celebrates its 100-year centenary (AUC, 2015a:13). Agenda 2063 is thus a call on all Africans to take the lead with regard to ownership and to chart new directions for poverty alleviation and development of Africa (Turner, Cilliers & Hughes. 2014:1). This call to the African continent would require communities to participate and, more importantly, to lead from the community (micro) level with, for example, wellbeing assessments that could then be aligned to national (macro) level 'per country assessments'. It is important to note that whilst macro level assessments are needed for benchmarking, they are based on estimates that came from statistical methodologies that were applied earlier.

This study proposes that whilst these macro level estimates should be taken into consideration, it is the micro level primary data that will provide an actual indication of the extent to which communities will be able to improve their wellbeing levels relevant to their respective contexts. Turner, Cilliers & Hughes. (2014:8) highlight the importance of micro level assessment for the development and influence of national policy that would contribute towards achieving Agenda 2063. Thus, data sets from different communities, in different geographical country regions, could provide regional contexts from which the regional contexts can be consolidated into a country context, to then be compared to the macro data sets. This is further elaborated on in section 3.9, which deals with the proposed wellbeing assessment model.

In 2013, the African heads of state pledged their commitment towards positioning Africa for growth over a 50-year period, in order to ultimately achieve unity, prosperity and peace for all citizens through Agenda 2063 (DeGhetto, Gray & Kiggundu. 2016: 94-95). Agenda 2063 is an action plan, as well as a Pan-African people-centred vision, that is broken up in short (10 years), medium (10 to 25 years) and long-term (50 years) results based strategies and

implementation plans. The following seven aspirations are in the vision for Agenda 2063: 1) a prosperous Africa based on inclusive growth and sustainable development; 2) an integrated continent, politically united and based on the ideals of Pan-Africanism and the vision of Africa's Renaissance; 3) an Africa of good governance, democracy, respect for human rights, justice and the rule of law; 4) a peaceful and secure Africa; 5) an Africa with a strong cultural identity, common heritage, values and ethics; 6) an Africa where development is people-driven, unleashing the potential of its women and youth; and 7) Africa as a strong united and influential global player and partner (AUC, 2015a). These seven aspirations were further translated into goals, with priority areas that are linked to respective targets.

In due course, Agenda 2063 will consist of three action parts: 1) a strategic plan, indicating the goals (approved in 2014); 2) the short, medium and long-term implementation plans, linked to targets, time-frames and budgets (the first 10-year plan was approved in 2015); and 3) monitoring and evaluation frameworks, to provide feedback on progress, the outcomes and impacts of the respective implementation plans (DeGhetto, Gray & Kiggundu. 2016:96). The first 10-year implementation plan of Agenda 2063 consists of 20 goals and 38 priority areas aligned to the seven aspirations (AUC, 2015b:37). This 10-year plan has furthermore included a commonality profile between Agenda 2063 and the SDGs for 2030 (AUC. Agenda 2063 Implementation plan (2014-2023). 2015b:116).

The development of alignment clustering (e.g. wellbeing dimensions of the model derived from the international OECD wellbeing dimensions (see Diagram 3 and Table 3 further above) with the relevant government clusters and NDP chapters (see Table 4 below) for the proposed community level wellbeing model took into consideration this commonality profile. It also took in a further alignment with the South Africa's National Development Plan (NDP): Vision 2030 for South Africa. This was done to further determine the alignment of these exo-macro level strategies with the OECD wellbeing dimensions in an



attempt to indicate international, regional and national alignment possibilities of the proposed community level wellbeing model.

### **3.8.3. The National Development Plan (NDP): Vision 2030 of South Africa**

The National Development Plan (NDP): Vision for 2030 by the National Planning Commission (2012) is a fifteen-year strategic plan, consisting of 15 chapters aligned to achieve the national (country) outcomes listed further below in this chapter. Each of the NDP chapters represents specific focus areas towards building a transformed society and united country. These foci include economic development and job creation, together with an improved infrastructure in an environmentally friendly focus. There are also foci for better education, housing, health, social protection services and rural development. Lastly, the NDP also aims to address safety, security and corruption issues (SA-NDP, 2014). These foci areas strongly align with the earlier indicated OECD wellbeing dimensions that were incorporated for the development of the proposed wellbeing assessment model of this study.

The need for the NDP was justified in the Green Paper: National Strategic Planning, of September 2009, by the then Minister in the Presidency, Minister Trevor Manuel, when he highlighted the need for a 'long term perspective', 'focus' and 'determination' to realise a vision for the future of South Africa, and that a single term of government is too short a time to realise such an achievement. It was proposed that this process should consist of

...building a prosperous, non-racial, non-sexist and democratic South Africa, where all **citizens** can share in the fruits of opportunity...critically, [government] will work with all social **partners** [co-production] to mobilise society in pursuit of objectives that are broadly accepted and enshrined in [the] Constitution...Since the [NDP] must be truly national, we must ensure **consultation and interaction** in planning [and implementation]...

...On the one hand, the State should provide services in an effective, efficient and cost-effective manner...and should reinforce the collective effort [**co-production**]...all social partners [**civil society**] should fully appreciate their role and contribute [**capitals**], jointly and severally, [**democracy & citizenship**] to lifting growth and development to a higher trajectory... (Trevor Manual, 2009: preface & 8). [phrases in [..] brackets added by author].

These quoted highlights are an important justification of the need for 'insider-outsider' partnerships that could contribute towards improved wellbeing, starting from the micro level upward and harnessing the four types of capitals to ensure for sustainability. Much has been stated with regard to the 'why' and the 'what' factors of the NDP, but the most important factor now is the 'how'; i.e. the approach process required for implementation of the NDP.

'Insider-outsider' partnerships should be the 'vehicle' to bring about the link between the state and civil society in NDP roll-out and success. Several plans have been made in the past, not only in South Africa but also in other democratic countries, to address social inequalities and alleviate poverty to achieve improved wellbeing (i.e. a better life for all). However, their impacts have not been effectively aligned with regional and international strategies. One reason for this ineffective alignment could be linked to the outsider approach and non-integrative manner in which the status of community wellbeing has often been measured, as discussed in the previous chapter. At the heart of civil society (i.e. in its communities) lies the ability and the momentum to ensure that a strategy such as the NDP achieves its ultimate purpose. Citizenry ownership of wellbeing and, ultimately, the collective ownership of the NDP, followed by its implementation on the basis of co-production, should be a first step in attempting to transform the NDP (currently a strategic level document) into a tangible and implementable process plan driven and owned (people-centred) by the citizens (community members) of South Africa, in partnership with the state.

As with so many wellbeing indices, there will also be no shortage of developed and suggested indicators for assessing progress of the SDGs, Agenda 2063 and the NDP. However, the indices all tend to subscribe to complex statistical models, with a variety (non-standardized set) of indicator frameworks developed by many different research scholars and entities. As a result, it is not possible to include active community level conceptualization, monitoring and assessment at a micro level. There is thus a need for a wellbeing 'index' at community (micro) level which can be driven and assessed by the community members (insiders), but of which the data findings could also be aligned to the statistically complex national (macro-outsider) indices. In more practical terms, such an alignment should also include a 'reporting' link to ensure integrated 'insider-outsider' partnerships. This would require that the model proposed in this study would also contribute towards a conceptual understanding of the country objectives and government clusters, devised as a first step towards integrated partnerships towards community development.

#### **3.8.4. South Africa's country objectives and government clusters**

The South African public sector has for some years had an increased recognition of the contributory and valuable role of participatory processes with community members towards wellbeing enhancement for all the citizens of South Africa. A set of 12 national outcomes for South Africa was developed several years prior to the finalisation of the NDP. This was done through extensive consultation and discussion at community, administrative and ministerial levels, and it formed the basis from which the NDP was developed as a 'plan' towards achieving these national outcomes. Thus, there is a strong alignment of the NDP foci indicated above with the following 12 outcomes: 1) improve the quality of basic education; 2) a long and healthy life for all South Africans; 3) all people in South Africa are safe and feel safe; 4) decent employment through inclusive economic growth; 5) a skilled and capable workforce to support an inclusive growth path; 6) an efficient, competitive and responsive economic infrastructure network; 7) vibrant, equitable and sustainable rural communities with food security for all; 8) sustainable human

settlements and improved quality of household life; 9) a responsive, accountable, effective and efficient local government system; 10) environmental access and natural resources that are well protected and continually enhanced; 11) create a better South Africa and contribute to a better and safer Africa and World; and 12) an efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship. Note that these outcomes are said to be achieved both in partnership between communities and amongst all the stakeholders (public, private and NGO sectors) who contribute collectively towards creating a better life for all South African citizens [SA Government online, [www.gov.za](http://www.gov.za), 2014].

Further to the country outcomes, National Parliament established the following five government clusters: 1) economic sectors, employment and infrastructure development; 2) social protection, community and human development; 3) international cooperation, trade and security; 4) governance and administration; and 5) justice, crime prevention and security. This clustering was an attempt to foster an integrated approach to governance representing community participation and inclusion with regard to improvement planning, decision making, service delivery and reporting [SA Government online, [www.gov.za](http://www.gov.za), 2014]. Thus, the main objective is to ensure that when Government sets its priorities, policy coordination and implementation strategies in the respective departments, it looks at them in terms of the 'clusters'. More important is that these priorities, policies and development strategies are to be founded on community-informed (i.e. community led) participatory approaches with communities, to ensure collective action (partnerships) towards community wellbeing enhancement.

Clustering of the respective public-sector departments stems from their related core purposes: i.e. the vision, mission and objectives of each department with regard to development. These clusters function at the levels of Minister, Director-General and Communications [SA Government online, [www.gov.za](http://www.gov.za), 2014]. The proposed example community level wellbeing model presented in Diagram 4 below indicates the government clusters in a grouped format,

relevant to their respective wellbeing dimensions. This is done in an attempt to point out the primary public stakeholders with whom communities need to partner when they initiate their process towards community wellbeing improvement.

It is important that communities have access to a model (e.g. as proposed in this study) that could assist them with community-led ('insider-outsider') development. Such a model should therefore indicate wellbeing dimensions as well as represent the aligned public-sector stakeholders and clusters. This is so that communities can influence and benefit from policies that should contribute towards community development. In turn this could result in achieving 'active' democracy: i.e. 'the citizens (communities) leading' wellbeing enhancement. The next section proposes a community level wellbeing assessment model, inclusive of its assessment tools, aimed at addressing this issue.

### **3.9. Conceptualization of the proposed community level wellbeing assessment model**

Conceptualization of the proposed community level wellbeing assessment model was founded on the principles of integration and alignment. The principle of integration encompassed, first and foremost, the 'integration' (i.e. combination) of liberal ('outsider') and radical ('insider') community development approaches towards achieving community led partnerships, recommended in this study. These partnerships are required for participatory conceptualization, planning, implementation, and evaluation of community development processes towards wellbeing achievement. Communities should therefore have the means to determine and continuously measure, monitor and evaluate their wellbeing and social capital status (i.e. community profile) to provide an insider status for service providers ('outsiders'). Additionally, integration of the respective wellbeing and social capital dimensions was required in order to gain a holistic view of the wellbeing and social capital status of a community.

This holistic view of the wellbeing and social capital dimensions (see the spider graphs in chapter five) ensures the identification of 'strong' and 'weak'

dimensions. This shows those dimensions that need attention as pull factor detractors from wellbeing, and those that could contribute as push factor assets towards improving the other dimensions in overall wellbeing. This identification of the push and pull factors therefore represents the 'relational association' between the respective dimension. Overall, the wellbeing and social capital status for a community should be integrated in order to determine the relational influence between wellbeing and social capital (see the quadrant diagram graphs in chapter five). This integration indicates which of the social capital and wellbeing dimensions need priority attention, and in what order. This integration furthermore contributes towards the 'insider-outsider' partnerships, needed in community development. As a result, both the community and the service providers would be able to estimate the processes that lie ahead. Thus, they will be able to estimate the extent of the 'positive chances' for success with their planned community development processes.

The alignment principle of the model in this study relates to configuration of the wellbeing dimensions with, for example, the different public-sector departments and their core responsibilities and provision of services. In addition, the study model proposes an alignment with national (e.g. NDP: Vision 2030), regional (e.g. Agenda 2063) and international (e.g. SDGs) development drivers. This was done by means of an alignment clustering process which involved the integration of the commonalities between Agenda 2063 and the SDGs discussed further above. Integration of these commonalities was then further extended to align with South Africa's NDP, derived from South Africa's country objectives, whose reporting structures are integrated through the government clusters (see Table 4 below). This commonality integration was then compared with the OECD wellbeing dimensions discussed earlier in this chapter.

This process of commonality integration was followed in an attempt to indicate commonalities between national, regional and international strategies. It was also to highlight the alignment and integration potentials of the proposed community level wellbeing model with the micro-, meso- and macro-level wellbeing assessment frameworks. This alignment therefore represents the

socio-ecological systems levels which are graphically presented in Diagram 4 (below) in this chapter, and which were discussed in section 2.5 in the previous chapter. Note however, that whilst this study proposes such an alignment, assessment of it would be a part of future research, once the proposed descriptive sample survey (discussed in chapter four) has been implemented on a larger scale.

### **3.9.1. Purpose of the proposed wellbeing model**

The purpose of the proposed integrative community level wellbeing measurement model was to provide community level primary data that is community context specific, with a prospective future alignment to country (national), regional and international objectives and targets. More importantly, the model should be simplistic enough to be implemented and driven by communities. In doing so, it will provide a 'vehicle' through which to ensure an integrative participatory 'insider-outsider' partnership approach. It will thereby address the need highlighted in the literature review, and as presented in chapters two and three. It is important to note that the brief discussion in section 3.8 only provides suggested prospects for the future alignment of the proposed model. Some of these suggestions are incorporated with the example table in section 3.9.2 below and in the diagrammatical example representation of the model further below. The actual alignment potential of the model should form a part of future research, once the model has been applied on a wider national scale.

This current study provided only a sample survey of two communities in the Western Cape, conducted to finalize a proposed model that could indicate the wellbeing and social capital levels of a community. This model is designed for future application in 'insider-outsider' community development processes aimed at wellbeing enhancement. The sample survey data could, therefore, not yet be assessed for its contribution towards the actual alignment potential of the model with national, regional and international development drivers.

### 3.9.2. Linking national priorities, plans and clusters

The link between the South African national clusters and the respective NDP chapters is the first step towards alignment between ‘what’ should happen with regard to a national development process. The ‘what’ component should then be followed with a ‘how’ component. Both components should ultimately relate to the collective action (i.e. partnership) with communities regarding the manner in which they want to mobilize and then drive their community development processes towards improved wellbeing. In the South African context, such processes will also require capacity building and empowerment of community members to materialise their approaches towards community development and improved wellbeing. The proposed community level wellbeing assessment model in this study is one example of a system that could contribute to empowering communities in conceptualizing their own community development priority areas. Communities will thus have the skills capacity to assess their own wellbeing and social capital levels. In this context, see the discussion in the remaining sections in this chapter, together with the spider graphs and quadrant diagram graphs in chapter six.

Table 4 below presents the links between the earlier mentioned national priorities, government clusters and NDP chapters.

**Table 4: Linking National Priorities, NDP Chapters and Government Clusters.**

National Priorities	Aligned NDP Chapters & Clusters
1. Improved quality of basic education	Chapter 9 (Cluster 3)
2. Long and healthy life for all South Africans	Chapter 10 (Cluster 3)
3. All people in South Africa are & feel safe	Chapter 12 (Cluster 5)
4. Decent employment through inclusive economic growth	Chapter 3 (Cluster 1)
5. Skilled and capable workforce to support an inclusive growth path	Chapters 3 & 9 (Clusters 1 & 3)
6. Efficient, competitive and responsive economic infrastructure network	Chapters 4,5 & 6 (Clusters 1,3 & 4)
7. Vibrant, equitable and sustainable rural communities with food security for all	Chapters 6, 10, 11 & 15 (Cluster 3)
8. Sustainable human settlements and improved quality of household life	Chapters 8,9,10,11 & 15 (Clusters



National Priorities	Aligned NDP Chapters & Clusters
	1 & 3)
9. Responsive, accountable, effective and efficient local government system	Chapters 13 & 14 (Cluster 2)
10. Environmental assets and natural resources that are well protected and continually enhanced	Chapters 5,6, & 7 (Clusters 1 & 3)
11. Create a better South Africa and contribute to a better and safer Africa and World	Chapters 1,2,7,12 & 15 (all Clusters)
12. Efficient, effective and development oriented public service and an empowered fair and inclusive citizenship	Chapters 13, 14 & 15 (Clusters 2 & 5)

Note: Chapter 15 implies ALL clusters as it indicates the integration of all chapters

Source: Own compilation

### 3.9.3. Proposed community level wellbeing dimensions

This study proposes 12 community wellbeing dimensions/clusters, derived from the literature commonality assessment of the wellbeing approaches, assessment indices and indicators presented in this chapter, and in chapter two. The indicators for measurement considered in each of the proposed model wellbeing dimensions will be indicated in chapter four, which deals with the wellbeing survey instrument (questionnaire). These indicators will then be further described in chapter five, which deals with the data findings of the communities wellbeing assessment.

The 12 wellbeing dimensions formulated from the commonality assessment (see section 3.7) included in the proposed wellbeing model for this study were: i) health; ii) income; iii) education; iv) housing; v) energy; vi) sanitation; vii) environment; viii) transport; ix) security; x) food; xi) recreation; and xii) communication. Formulation of these proposed 12 dimensions was also done in such a manner that could in future contribute to their alignment with dimensional indicators (see section 3.8) of national (e.g. South Africa's NDP), regional (e.g. the AU Vision 2063) and the international (e.g. SDGs) development drivers (Boarini, Kolev & McGregor, 2014:43-44; ABS, 2002:12-18; Graczyk, 2002:12-18). The OECD 11 dimensions for wellbeing assessment, together with the framework presented above by Boarini, Kolev & McGregor (2014:43-44) in Table 4, were the main drivers towards conceptualizing the suggested 12 dimensions in this study They provided the

fundamental base for the suggested model framework, in which the dimensions could be incorporated, for a community level wellbeing assessment model.

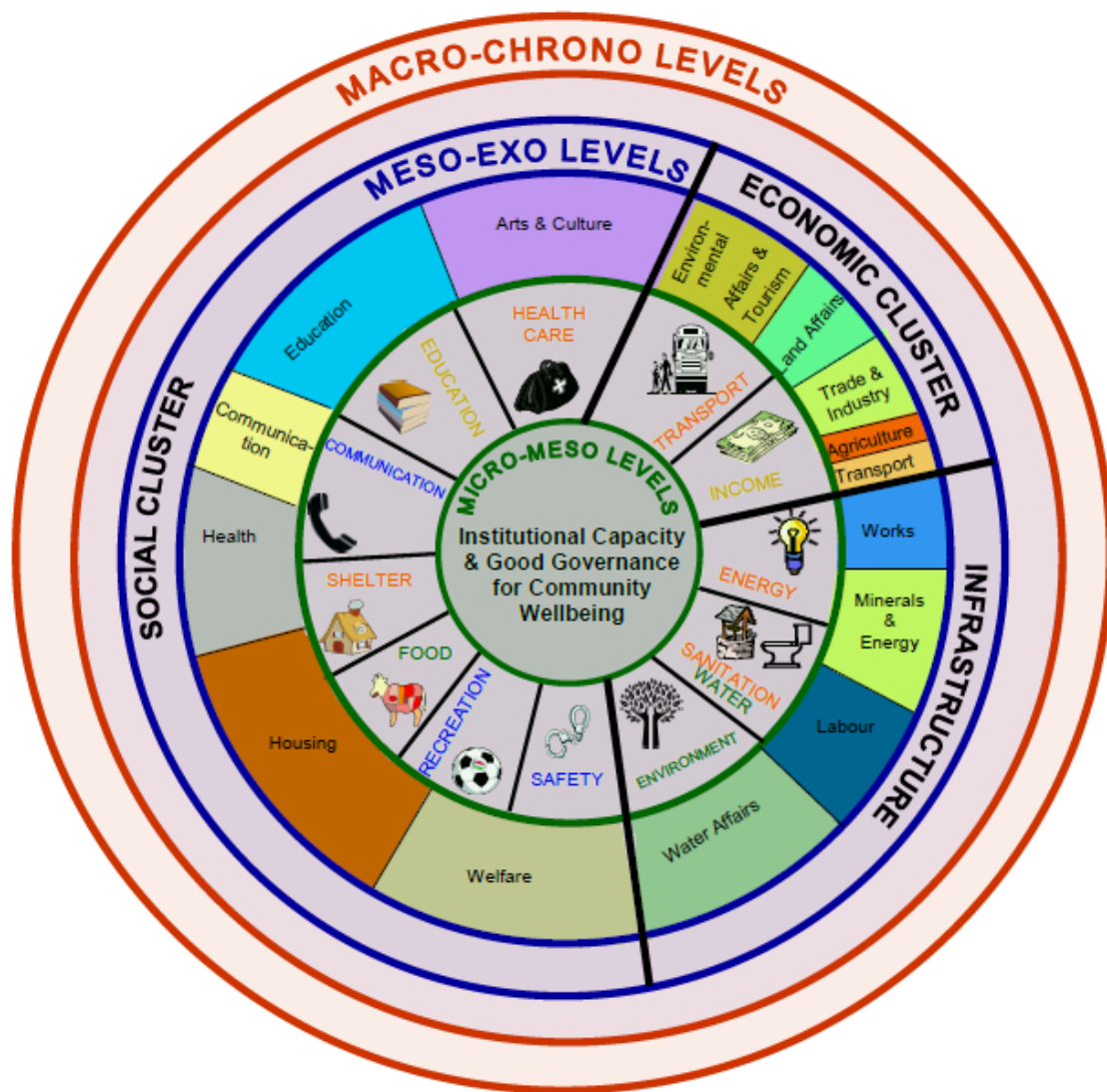
The proposed 12 dimensions, and their respective indicators, were also incorporated in the Government clusters (representing the public-sector departments of South Africa), thereby further developing an 'insider-outsider' perspective for the community level wellbeing assessment model.

#### **3.9.4. The community level wellbeing model conceptual aspects**

The community level wellbeing assessment model has 12 community level wellbeing dimensions clustered in accordance with three of the government clusters, and their respective public-sector departments. These government clusters have a primary relationship with micro level community development towards improved wellbeing. The public-sector departments represent the main stakeholder departments with which the community should develop integrative partnerships to design community driven wellbeing enhancement initiatives in a participatory 'insider-outsider' manner. These relationships are illustrated in Diagram 4 below.

The previous chapter provided a detailed description of socio-ecological systems theory and its five different 'system levels'. These system levels were then further related to the social capital 'dimensions' described earlier in this chapter. The proposed model and its example diagram (presented further below) for this study represent these 'system levels' from a micro to a macro level. The micro and part meso levels are represented with the core circle and wellbeing dimensions that will be driven by the community in partnership with government. This partnership with government and its related clusters in turn presents the meso-, exo- and part macro-levels. Alignment of the model wellbeing dimensions with those of Agenda 2063 and the SDGs represents the macro and chrono levels.

Diagram 4: A SA example community level wellbeing assessment model



Source: Own compilation, derived from: Socio-ecological systems theory, SA public sector clusters and departments and OECD wellbeing dimensions.

The core (innermost) circle: *'institutional capacity/good governance'* relates to the local and district leadership (e.g. community leaders, mayors and ward councillors), representing the direct relationship link with the national and provincial departments in the next circle. This circle also relates to the structural and cognitive appearance of social capital discussed earlier in this chapter, specifically with regard to 'collective action' 'bonding' and 'bridging'.

The next inner circle presents the *'12 community wellbeing dimensions'*, linked to the third circle representing the respective *'public sector departments'*. These

departments are responsible for the support and/or further development of the 12 dimensions in partnership with the communities. The partnerships support further development (wellbeing enhancement) of the dimensions for each community, which are then aligned with the clusters in order to propose a country (National and NDP: 2030) wellbeing status profile. Although departments are allocated to clusters, and although clusters impact directly on their respective community wellbeing dimension categories, departments may also impact (directly or indirectly) on other community wellbeing dimensions. The outer circles in the diagram present the regional (Agenda 2063) and international (SDGs) wellbeing dimensions respectively.

The capitals pentagon, found in the ABCD and SLA frameworks and mentioned at the beginning of this chapter, is present in the inner circle of the diagram by means of a four-font colour code identification. This colour code applies to the 12 wellbeing dimensions as follows: i) social capital is in blue; ii) economic capital is in yellow; iii) natural capital is in green; and iv) human capital is in orange. This colour coding is also carried through in the wellbeing spider graphs presented in chapter five. Thus, social capital (blue) is associated with communication, recreation and safety; economic capital (yellow) is associated with income and education; natural capital (green) is associated with food and the environment; human capital (orange) is associated with: health, water and sanitation, energy, shelter and transport.

### **3.10. Operationalization of the proposed community level wellbeing assessment model**

The proposed wellbeing assessment model described in this chapter will require: a) comprehensive engagement with community members, inclusive of stakeholder partnership development amongst public, private, NGO and Not-for-Profit Organisation (NPO) sectors; b) encouragement and motivation for 'agency' (e.g. ownership and accountability), by both 'insiders' (community members and community organisations) and 'outsiders' (public, private and NGO/NPO sectors); c) the assessing of wellbeing improvement probability by means of incorporating the 'push-pull' influence of social capital levels on social

indicators (i.e. the other forms of capital in the pentagon) towards wellbeing achievement; and d) the capacity building of community members to be able to both collect and assess data in order to conceptualize their wellbeing and social capital profiles from the model, with its related spider graph and quadrant diagram graph tools.

Operationalization of the proposed model follows a sequential procedure, consisting of four key stages from community organizing to identifying outsider partners. This is the sequence for conceptualization and planning of the prospective processes towards wellbeing enhancement.

### **3.10.1. Stage 1: Community organizing**

Community organizing can be initiated from either an insider or an outsider perspective. The reason is that the decision to assess the wellbeing status of a community can come either from the community or from role-players (e.g. service providers) in the community. They would indicate the need to know the wellbeing status of the respective community, in order to provide target orientated services based on primary data from the community. However, irrespective of which party initiates this stage, the model requires that this stage be done in collaboration between 'insiders' and 'outsiders'. The community members ('insiders') will take the lead in organizing community member participation in the wellbeing assessment process. The example followed for the purpose of this study involved a community wellbeing profiling discussion initiated by the researcher (i.e. the 'outsider') with the leadership structures of the communities (i.e. the 'insiders'); where the researcher has been involved in their community development for the past ten years.

This initial discussion centres around the importance of the community 'knowing' their wellbeing status, and 'who' should take the lead in the community in organizing a community wellbeing profile process. Identification of key community members is followed by a procedural discussion of the data collection instrument (i.e. the survey questionnaire), and its sampling requirements on the community population size. This stage is completed with

the community leadership (i.e. the 'insiders' taking the lead) undertaking the identification and selection of community members (e.g. community member ('insider' field workers) who would conduct the wellbeing survey, as indicated by the proposed model.

In a follow-up session, the identified community fieldworkers are provided with orientation on the importance of wellbeing profiling, together with the survey instrument and process. However, this time it is done by the community leadership, with researcher attendance as an 'outsider'. This results in the start of stage two, which involves the training and capacity building of the community fieldworkers and the leadership structures by the 'outsider'.

### **3.10.2. Stage 2: Data collection and capturing training**

The data collection and capturing training stage includes the community leadership structure. This ensures continuation (sustainability) of the skills sets in the community for future training provision, as well as the community taking the lead in the further wellbeing surveys. A complete 'insider' driven process from thereon is the intention.

The data collection training includes orientation with regard to the structured and pre-coded questionnaire survey instrument (see Annexure 1) and the capturing of the responses by the sampled participants. In addition, training is also provided on the suggested sampling technique and facilitative group approach to be followed for data collection (see chapter four for more detail regarding operationalization). This stage is completed with the fieldworkers and leadership sampling the required age and gender sample groups, followed by completion of the survey questionnaires and the data capturing of the survey results. Stage three of the model, involving data results conceptualization, can then go ahead.

### **3.10.3. Stage 3: Data results conceptualization**

Initially, this stage would also follow an 'outsider' training session with the community fieldworkers and leadership structures ('insiders') on the spider

graph and quadrant graph data interpretation and application. Future wellbeing profiling will be done independently by the 'insider' community members. The survey instrument (i.e. the structured questionnaire) was developed, as part of the proposed model for this study, to measure both wellbeing and social capital. The aim was to provide an integrative relational influence profile of the community. This would be in accordance with the proposed model (as presented in Diagram 4 and described above), together with its respective spider graph and quadrant graph tools (presented in chapter five). The results of each of the two community assessments are presented in overall community wellbeing and social capital profile spider graphs (see chapters four and five). The total 'scores' for each of the two types of overall community spider graphs (i.e. wellbeing and social capital) are then each presented in a community quadrant diagram graph. This quadrant diagram graph represents the 'influence' of social capital and wellbeing achievement (the 'push-pull' factors) on each other for their respective community. The importance of assessing this influence has been highlighted in all chapters so far.

As part of the proposed model in this study, the spider graph and related quadrant diagram graph related tools are presented and described in detail in chapter five, which deals with the profile data from the two participating communities in this study. The quadrant diagram graph is also designed so that it can be assessed and conceptualized by the communities themselves, thereby adhering to the ethos of the proposed model, that it should be community centred and led (i.e. 'insider' driven and owned). The end result, after having integrated the wellbeing and social capital spider graphs into the quadrant diagram graph, is clarity with: a) both the wellbeing and social capital status profiles; b) the prioritization factors for each of the profiles, together with an indication of which of the profiles needs more attention; and c) public stakeholder mapping, as a start to forming partnerships involving more private and NGO sector stakeholders in community development. This would then result in the start of the fourth and last stage of the proposed model operationalization, which represents an insider-outsider approach to community development in improved wellbeing.

#### **3.10.4. Stage 4: 'Insider-outsider' partnership formation**

The fourth and last stage of the proposed model operationalization involves the insider-outsider partnership formation. This is based on the stakeholder mapping results from stage three where, for example, the community identified the public-sector departments responsible for support and services related to the respective wellbeing dimensions by using the wellbeing assessment model diagram (Diagram 4). The community will take the lead in this stage, as they would both know their community wellbeing status and have the capacity to present this status in the form of spider graphs and a quadrant diagram graph. They will indicate to the stakeholders which wellbeing and social capital dimensions require attention, as well as which of the respective dimensions could be applied as 'push' factors (assets) towards improving the wellbeing status of the community. In addition, this stage requires a 'roles-and-responsibility' clarification process, in a participatory manner between the insiders and outsiders, in order to put together 'insider-outsider' working teams (i.e. partners). These teams would then collectively plan processes that could contribute towards wellbeing improvement in the community, based on suggestions and leadership from the community.

#### **3.11. Conclusion**

This chapter has described the theory and concept of the ABCD and SLA frameworks, together with the relative importance of social capital; both need to be considered in developing a community level, community driven operational wellbeing assessment model. The OECD wellbeing assessment dimensions and constructs were investigated for their alignment viability with community (micro) level assessments. OECD dimensions and constructs were also investigated for the prospects of their future alignment with the NDP: Vision 2030, the Agenda 2063 and the SDGs in applying the model at a higher national scale. The proposed community wellbeing assessment model of this study was discussed. A South African conceptual diagram example was used, incorporating socio-ecological systems levels, the capitals pentagon (from the SLA and ABCD frameworks), and the government clusters and departments.



Operationalization of the proposed model was explained, with the contribution of its spider and quadrant diagram graphs tools, which contributed to the development of the survey questionnaire and data results interpretation tools.

The data collection and analysis methodology of this study is presented in chapter four, showing how the data was collected and the benefits gained in this exercise. The data results, presented in chapter five, are integrated with the study proposed model as described in this chapter. The objective is to provide a wellbeing model that is people centred, community led and partnership driven.

## CHAPTER FOUR

### **Research Study Methodology: Conducting a Community Level Wellbeing Assessment Survey**

#### **4.1. Introduction**

This chapter and chapter five together deal with the empirical part of the study: the community wellbeing self-assessment model operationalization. This is based on the results of a limited community wellbeing sample assessment survey of an urban and a rural community in the Western Cape Province of South Africa, in 2017. Chapter three referred to international and national country level wellbeing surveys, together with their wellbeing dimensions and respective measurement indicators. These were surveys conducted from an 'outsider' perspective, using complex statistical modelling to assess wellbeing status. As a result of the problem statement in chapter one, this study proposes a community level wellbeing assessment survey in which, importantly, the 'statistics' (quantitative data) can be gathered and interpreted by the community members themselves. This community level wellbeing data can then be aligned with, and compared to, national wellbeing assessment data findings (e.g. census data). This suggests a comparative approach, as discussed in the chapters five and six, in dealing with the survey data findings relevant to the community level model, together with recommendations for further research.

This chapter describes the research methodology for the study, inclusive of the relevant study objectives and the overall research study question (descriptive in nature) for part two of this research. This chapter also explains the survey instrument and its operationalization with regard to the study setting and sample for the assessment of community wellbeing and social capital levels.

#### **4.2. Research Methodology**

This study is classified within the quantitative research paradigm relating to research traditions, accepted theories, philosophical frameworks and

approaches; i.e. the established research tradition of a specific discipline with a standard form of beliefs that guide the research operationalization (Neuman, 2011:94; Babbie, 2010:33; Babbie & Mouton, 2008:23; Creswell, 2009:19; Mouton, 1996:203; Guba & Lincoln, 1994:107). The quantitative and qualitative approaches to social science research can be traced back to the first philosophical research paradigms of positivism, later expanded to post-positivism) and constructivism (and further expanded to include, for example, critical theory) (Babbie & Mouton, 2008:28; Creswell, 2009:19; Guba & Lincoln, 1994:112). Creswell (2003:18) provides the following appropriate summative description of the quantitative research approach as when:

...the investigator primarily uses postpositivist claims for developing knowledge (i.e., cause and effect thinking, reduction to specific variables and hypotheses and questions, use of measurement and observation, and the test of theories), employs strategies of inquiry such as experiments and surveys, and collects data on predetermined instruments that yield statistical data...

This description by Creswell indicates the two research methods/designs which are mostly applied in the quantitative paradigm. This study made use of survey design, more specifically; a sample descriptive survey design, in order to gather the data needed to finalize the development of the proposed community level wellbeing assessment model described in chapter three. Data collection, as indicated further below, was done by structured methods, using a fieldworker administered questionnaire to collect data from different community groups.

### **4.3. Research Setting**

As already indicated, the research setting for the study was within urban and rural communities of the Western Cape. Responses from participants were confined to personal reflections and conceptualizations of both their wellbeing and their social capital indicators and levels. The primary data perspective for wellbeing and social capital indicators and levels, gained from the sampled communities (i.e. the community profiles), was aligned with the existing wellbeing and social capital dimensions, indicator and level perspectives (also

see chapter three and further below re. OECD framework and World Bank questionnaire database) collected during the content analyses phase of the study. This content analyses phase (i.e. secondary data), was presented in chapters two and three, which dealt with objective one of the study; the literature review (part one) of the study.

#### **4.4. Study Population and Sampling Process**

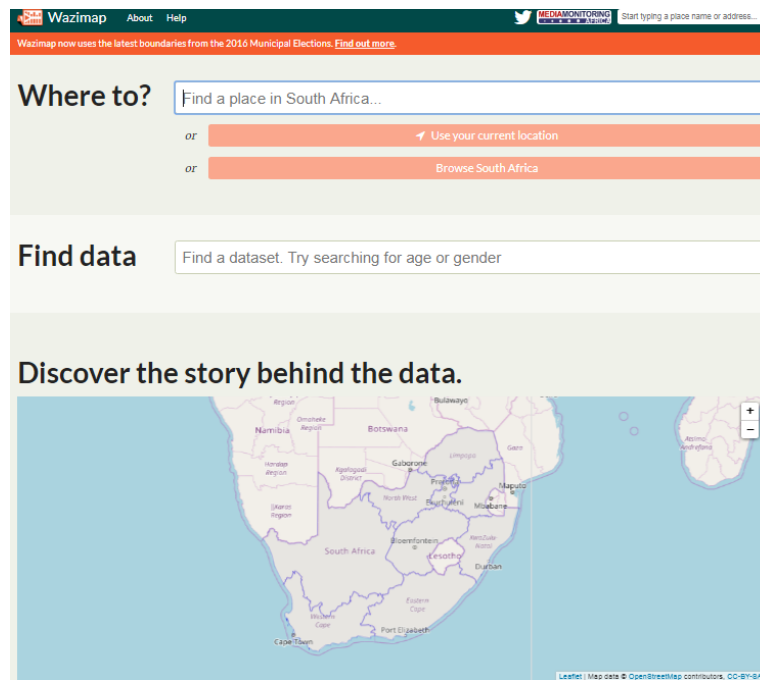
The study population comprised units from the selected communities in the Western Cape, using proportionate explicit stratified sampling. Proportionate sampling aims to match the profile of the sample with that of the population, in so far as is possible, in order to obtain more precise estimates (Lynn, 2016:1). Stratification is applied, either implicitly or explicitly, to ensure that adequate representation of the total population is achieved, as well as to make the survey estimates more reliable (Lynn, 2016:3; Foy, Rust, & Schleicher, 1996:4-10).

The spatial stratification sampling section for this study was done with Wazimaps [<https://wazimap.co.za/>]. Wazimaps is a joint project of Media Monitoring Africa and OpenUp. OpenUp has a 'theory-of-change' which is very appropriate for this study, in that it proposes a 'community led' approach to development whereby:

*...If people are given information about their situation, how change can be achieved and the means to do so, they will often take action to improve their lives... [<https://openup.org.za/about.html>].*

Wazimaps is Open Source Software (OSS) that is user friendly, easily accessible and up to date, with pre-computed statistics retrieved from the latest local elections (2016) and census (2011). The survey fieldworkers and their supervisors, together with the community leaders, were trained in how to use Wazimaps. Figure 1 below presents the 'landing' page for Wazimaps, from where users can start to build their own spatial strata.

**Figure 1: Wazimaps Landing Page**



Source: <https://wazimap.co.za>

The first level sampling procedure list (spatial stratification) included: a) the regions of the Western Cape Province, b) the local authorities in each region; and c) the respective wards within each local authority, specifically with regard to the total population within each ward. The second level sampling strata list, applied to each ward, included three age-category gender-linked sampled groups of 10 participants from each ward. The three ten-member age groups for each gender were: i) 55 years and older (Seniors); ii) 35 to 54 years of age (Adults); and iii) 16 to 34 years of age (Youth). The group composition for each of the selected participating communities is given in Tables 6 and 7 below.

The Western Cape Province consists of six districts; for the purpose of this study the City of Cape Town (urban) and West Coast (rural) Districts were selected. Within each District there are public sector (government) service regions linked to towns and their respective wards. Within each District, one town and its respective wards were selected for conducting the survey. The extent of the fieldwork in this survey was determined by the accessibility of the areas chosen to the researcher, as well as the number of fieldworkers available. Fieldworkers included both community and public-sector members who could be trained by the researcher to collect the survey data within two months. It is

suggested that further research surveys should be conducted making use of much larger samples and also bigger fieldworker teams. Future fieldworker selection could, perhaps, also include a comparison between the community and public-sector member fieldworkers, in order to better assess the reliability of the proposed sampling and data collecting method, as well as the model itself.

#### **4.4.1. Urban Community Sample**

The City of Cape Town (CCT), an urban district, consists of 116 wards [<https://municipalities.co.za/>]. This CCT district is divided into three public service metros: 1) North, East and South. The urban sample for this study was drawn from the smallest ward in one of the three metros, in order for the available fieldworkers to be able to conduct the survey within the limited two-month data collection period. Each of the three metros is made up of differing communities (towns and suburbs).

Postal codes were used as the primary community boundary indicator, in order to ensure a reasonably 'static' ward boundary verification factor. As boundaries often change during the ward demarcations for local municipal elections every five years, selection of the two sampled wards took place after the re-clustering of communities (suburbs or towns) with the same postal code in relation to the 2016 municipal ward boundaries.

Table 5 below presents an example of a sample composition of one of the three service areas in Metro East of the CCT District. The second last column, on the right side of Table 5, indicates the number of 10-person male and female groups to be surveyed per ward for each of the three age categories.

*Please note that the example Metro and its respective communities in Table 5 below were not part of this study. The names of the actual communities sampled in a Metro for this study are kept confidential for ethical reasons.*

**Table 5: CCT Region, Metro East: Urban Community Example Sample Composition**

WC-DSD Metro East Service Areas	Postal Code	Community Suburb	Ward	Ward Population	Number of 10- Person Groups per Age Category		Total Number of Responses
					Male	Female	
Kraaifontein	7570	Normandi	5	24 481	4	4	240
		Bernadino Heights Scottsdene	6	36 512	6	6	360
		Bloekombos Wallacedene	101 <i>(part 111)</i>	37 084	6	6	360
		Hermon Park La Montaque Watsonia Park Windsor Park	102	27 039	4	4	240
		Arcadia Centre Bonnie Brae Bonny Brook Langeberg Glen Langeberg Heights Windsor Estate Zoo Park Uitzicht	103	25 618	4	4	240
		Joostenberg Vlakte	105	33 464	5	5	300
		Belmont Park Eikefontein Eikendal Peerless Park Summerville Scottsville	111 <i>(part 102)</i>	35 104	6	6	360
		<b>TOTAL</b>		<b>219 302</b>			<b>2100</b>

Sources: Source: Own compilation, derived from Wazimaps & Postalcodez

Four 10-member groups, both male and female, were assessed for each of the three age categories from the selected communities in one of the three CCT metros. The community leaders were involved in, and assisted with, the

selection of the respective group members, providing a sample of 240 participants (120 males and 120 females). Table 6 below indicates the composition of the urban community groups that participated in the descriptive sample survey of this study.

**Table 6: Urban Community Groups Composition**

<b>Group Number</b>	<b>Group Composition</b>	<b>Number of Group Members</b>	<b>Total Number of Responses</b>
1-4	Males 16-34 years (Youth)	10	40
1-4	Males 35-54 years (Adult)	10	40
1-4	Males 55 years and older (Senior)	10	40
<i>Total Number of Male Responses</i>			<i>120</i>
1-3	Females 16-34 years (Youth)	10	40
1-4	Females 35-54 years (Adult)	10	40
1-4	Females 55 years and older (Senior)	10	40
<i>Total Number of Female Responses</i>			<i>120</i>
<b>Urban community responses</b>			<b>240</b>

Sources: Own compilation

#### **4.4.2. Rural Community Sample**

The rural community sample was drawn from the West Coast District [<https://municipalities.co.za/>]. The rural sampling posed less of a challenge than the urban metro district sample; not being a metro municipality, the public-sector service areas, and the municipal town boundaries and their respective wards all correlate. The West Coast District is divided into five service areas, each of which corresponds with one of the five local municipalities in the District. Two smaller wards were selected for the rural community sample, for the same reasons as for the urban wards surveyed, from one of the five municipalities. The same sampling procedure was followed as for the urban sample in this study [<https://municipalities.co.za/>]; [<https://wazimap.co.za/>].

The community leaders here also were involved in and assisted with the selection of the respective rural community group members from the



municipality. A sample of 240 participants (to match the urban sample size) was recruited from each ward in the participating municipality, divided into two groups (relative to the ward population) per age category. Table 7 below indicates the composition of the participating rural community groups.

**Table 7: Rural Community Groups Composition**

	<b>Group Number</b>	<b>Group Composition</b>	<b>Number of Group Members</b>	<b>Total Number of Responses</b>
Group 1	1-2	Males 16-34 years (Youth)	10	20
	1-2	Males 35-54 years (Adult)	10	20
	1-2	Males 55 years and older (Senior)	10	20
	<i>Total Number of Male Responses</i>			60
	1-2	Females 16-34 years (Youth)	10	20
	1-2	Females 35-54 years (Adult)	10	20
	1-2	Females 55 years and older (Senior)	10	20
	<i>Total Number of Female Responses</i>			60
	Group 2	1-2	Males 16-34 years (Youth)	10
1-2		Males 35-54 years (Adult)	10	20
1-2		Males 55 years and older (Senior)	10	20
<i>Total Number of Male Responses</i>			60	
1-2		Females 16-34 years (Youth)	10	20
1-2		Females 35-54 years (Adult)	10	20
1-2		Females 55 years and older (Senior)	10	20
<i>Total Number of Female Responses</i>			60	
<b>Rural community responses</b>			<b>240</b>	

Source: Own compilation

The aim with both urban and rural sampling procedures was to develop a sample frame procedure that could be applied and administered between 'insider-outsider' partners (e.g. community members and the public sector) in so far as available resources allowed (i.e. research skill, time and money). Thus, the data would be available to anyone who wanted to use it. In addition, the 'users' (community members and service providers) had to be able to apply the survey instrument and its procedure, as well as make data interpretations

independently (i.e. on their own without expert assistance). In doing so, community members could, for example, not only understand their wellbeing and social capital status better, but they would also be empowered to take the lead with conceptualization and planning processes towards wellbeing improvement in partnership with 'outsiders'.

The community 'group' descriptive sample survey method therefore provides: 1) an alternative to the resource intensive household profile survey method; 2) data that is representative of the community population; and 3) comparability of significant micro level data with that of macro level census data. As a result, the method could contribute towards community led wellbeing profiling. This is contrary to the existing community profiling approach of continuous independent profiling of the same community by various 'outsider' stakeholders and role-players. Thus, communities would own and drive their own wellbeing profiling, which could then be presented to any partnering stakeholder and/or role-player getting involved in their community. In addition, the method could also add towards improved 'insider-outsider' partnerships by conceptualizing and designing a wellbeing improvement process. This could provide, for example, a better understanding of 'where' and 'how' resource distribution and allocation could be applied. An integrative manner amongst different stakeholders and role-players could prevent duplication and silo development processes.

#### **4.5. Study Design**

The research study made use of *descriptive sample survey design* to gather data towards finalizing the proposed community level wellbeing assessment model proposed in the previous chapter. Surveys are classified as designs within the quantitative research paradigm, which is in essence "...empirical research where the data is in the form of numbers..." (Punch, 2005:3). "Reconstructed logic" (highly organised and systematic) is applied and a linear research path is followed. The emphasis is on measuring variables precisely and/or testing hypotheses that are linked to general causal explanations (Neuman, 2006:151). According to Hakim (2000:76), surveys allow for the associations between factors to be mapped and measured, as well as for the

production of descriptive statistics that are representative. Surveys use a standardized language to describe the procedures involved, such as sampling, a questionnaire, a codebook and data. The evidence from whichever conclusions are drawn can then be presented in tables, so that the reader can consider, for example, its validity. (Hakim, 2000:77-78).

A key advantage is that survey studies can readily be repeated in different locations at the same time, or at intervals of time (Hakim, 2000:77). This key advantage had specific relevance to the resource constraints of this study (mentioned in section 4.4 above). Post this study, it could allow for future and continued studies in more wards and communities, due to the survey capacity building approach and the sample frame technique that was followed. This approach furthermore ensured that public sector officials and community leaders obtained skills in working together in conducting a community (micro) level survey. They also gained experience in self-management of data capturing, analyses and interpretation of community wellbeing and social capital levels.

Survey research is also sometimes further described as 'sample surveys' (as in this study). This is where the researcher generalizes and record reactions only from the exposed group of people, and not from the entire population from which the sample was drawn (Krathwohl, 1993:361). Further to the sample survey method applied in this study was the application of descriptive survey design; commonly used in sample surveys. Descriptive surveys are used to gather data about current conditions, beliefs, processes and relationships. This is for the purpose of describing and interpreting the survey findings in the form of useful information that can be applied to local issues (Salaria, 2012:161). According to Krathwohl (1993:361) there are several distinguishing characteristics of survey research, namely:

...1) the care with which the sample is chosen so that an inference can be made to the target population, 2) the care with which the data are collected, whether by self-administered- or

interview questionnaire, 3) and the integration of data collection and analysis in an interactive system...

These characteristics are represented in this study by means of: 1) the explicit stratified sampling technique described in the previous section, thereby ensuring a carefully selected sample; 2) trained fieldworkers who assisted with the completion of the interview questionnaire, in order to ensure a 100% response rate from the sampled group participants; and 3) a presentation of data collection and integration driven by the key principle of 'community led' wellbeing and social capital profiling. The result is that the community level wellbeing model becomes user friendly (i.e. without complex statistical presentation and modelling). The model can furthermore be utilized for the conceptualization, design and management of community development processes in partnership and collaboration with and between 'insiders' and 'outsiders'.

#### **4.6. Research Question (Part 1)**

The research question for part one of the study was an exploratory question: *"What are the macro level wellbeing and social capital assessment factors to be considered for an aligned micro level wellbeing assessment?"*

This question was addressed in chapters two and three, which presented the thematic literature review and proposed theoretical and conceptual discourse for a community level wellbeing assessment model. This review presented existing wellbeing scales and indexes, descriptions of wellbeing dimensions, indicators and the systems level at which they are being applied. It furthermore explored participatory community development frameworks and approaches that link with social capital and its possible relationship with, and influence on, wellbeing. This is in order to inform the development of the proposed community level wellbeing model presented in chapter three. Chapters two and three then contributed to part two of the study (described in this and the next chapter), which was descriptive in nature and applied a sample descriptive survey of community wellbeing and social capital levels.

#### **4.7. Part 2: Research Question**

Part two of the study had a descriptive question: *“What is the status of community wellbeing and its relationship with social capital levels when measured from a community led perspective?”*

This question addressed objectives two and three of the study by capturing the evaluative judgement of the respondents (community members) with regard to current wellbeing and social capital status in their communities. A structured community wellbeing and social capital questionnaire (discussed below) was employed for data collection in order to attain community status profiles (presented in the next chapter) of both social capital and wellbeing. This addressed objective two of the study. Data results presented in chapter five assisted with the attainment of study objective three. The intention of this objective was to develop and finalize the integrated community level and community led wellbeing assessment model. This model was associated with the level of influence of social capital proposed in chapter three.

#### **4.8. Data Collection Instrument and Fieldworker Training**

The data collection instrument for the sample descriptive survey was informed by the results of the systematic review of the literature during part one of the study. It was based on validated wellbeing and social capital questionnaire templates from the Living Standards Measurement Surveys (LSMS). These templates deal with Quality of Life (QOL) assessment (discussed in chapter two) and the Social Capital Surveys (SCS) questionnaire instrument database of the World Bank [<http://econ.worldbank.org>]. More specifically, the LSMS and the Social Capital Integrated Questionnaire (SC-IQ) were designed so that they could be deployed at community and/or household level, as well as being integrated with each other (Grootaert et al. 2004:2). The reason for utilizing existing validated micro-macro level assessment questionnaires was to further address the second objective of the study. This second objective relates to the future alignment of community level wellbeing and social capital assessments

with national and international (macro level) wellbeing profiling assessments (e.g. external benchmarks).

The structured study questionnaire aimed to obtain profiles of the wellbeing and social capital levels from the two participating communities in the study. The questionnaire consisted of 13 sections. In its theoretical approach, the questionnaire took into account the suggested wellbeing and social capital dimensions derived from the OECD and the SC-IQ for measuring social capital, described in the previous chapter and further below (<http://www.oecd.org/>; Grootaert et al. 2004:11-14).

Sections 1 to 7 of the questionnaire dealt with wellbeing assessment, linked to the following 12 dimensions of wellbeing recommended and described in the previous chapter: i) health; ii) income; iii) education; iv) housing; v) energy; vi) sanitation; vii) environment; viii) transport; ix) security; x) food; xi) recreation; and xii) communication. Sections 8 to 13 assessed social capital in accordance with 6 dimensions, spread across the different manifestations of social capital. Described in the previous chapter, these dimensions are: i) groups and networks; ii) trust and solidarity; iii) collective action and cooperation; iv) information and communication; v) social cohesion and inclusion; and vi) empowerment and political action (Grootaert et al. 2004:11-14). The system theory levels of the questions for these social capital sections were indicated in chapter three, together with Table 2 that presented the leading authors at each level of study. The results for the wellbeing and social capital dimensions are described in detail and presented diagrammatically in spider graphs in the next chapter.

Each questionnaire section had a set of variables relevant to its respective measurement dimension. These variables sets are presented in Table 8 further below, with the measurement results described in detail in the next chapter in dealing with the survey data results and findings. The rationale for the variable sets is linked with the detail that communities need to be assessed in an integrative manner (as discussed in chapters two and three). This is due to the

integrative and multi-dimensional nature of the human, physical, social, financial and natural character elements (i.e. domains or capitals). These domains are interlinked with each other. As a result, this study proposed a more critical investigation of the relationship link between domains and the influence of social capital on these domains. This is with regard to their prospective improvement towards community wellbeing enhancement.

The survey instrument was translated into the three most spoken languages of the Western Cape: English, Xhosa and Afrikaans. The survey was then piloted to ensure content validity and reliability, as well as manageability of the questionnaire by the trained fieldworkers. The pilot testing, done in both a rural and an urban community, included two groups for each of the gender and age categories strata as per the survey sample (as described further above). No changes were required in the contents of the questionnaire after the pilot test. The pilot test did, however, contribute towards the experience gained by the fieldworkers in completing the questionnaires and in following a facilitative group approach.

The questionnaire was administered by fieldworkers trained for this study. Fieldworker training covered not only the sampling technique but also the questionnaire completion and data capturing. The training also covered the facilitative group questionnaire administration approach followed in this study. The purpose of this approach was to ensure more of a community participatory empowered, cost effective and time efficient data collection method; i.e. an approach similar to other LSM surveys. Such surveys have been used for several years in Albania and the United Kingdom (UK), together with a World Bank questionnaire similar to the one used for this survey [<http://microdata.worldbank.org>]. Supervisors were also trained, (both for the public sector and the community member fieldworker groups respectively) from each of the participating rural and urban regions. These supervisors were responsible for the administrative arrangements for the actual fieldwork. This included transport for the group of public sector fieldworkers, community leadership meetings and approval for conducting the survey, venues for the

groups in the participating communities (arranged by the community member group of fieldworkers), as well as quality assurance (done by the opposite supervisor groups to ensure further objectivity and validity) of the completed and captured questionnaires. The supervisors, together with the researcher, were also responsible for the training of the community leaders and some additional community members regarding the data findings, as well as for self-conducting these surveys of their communities in future. This thereby further contributed to the objective of the study model: to be community led and following an 'insider-outsider' approach to wellbeing improvement.

#### **4.9. Data Processing and Analyses**

Once the fieldwork was completed, the data collected from all the questionnaires was processed using a custom designed Microsoft Excel book application, which consisted of sheets that each represented the 13 sections of the questionnaire. These custom designed data capture sheets included the variables for measurement of each question in a section with pre-defined formulae, in order to ensure data capturing quality control. Furthermore, the capture sheets were designed to cross-reference dependable captured data between sheets as an additional quality assurance measure that would also indicate 'error messages' for capture errors or omissions on the appropriate section sheet. Each questionnaire was dated, numbered and had a fieldworker identity number which was also captured electronically. This ensured fieldworker data capturing quality verification and consistency by the supervisors and the researcher. For example, if data entry errors or inconsistencies were noticed, then the original questionnaire was retrieved in order to verify and then correct the prime data entry.

The questionnaire data was analysed by means of descriptive statistical analyses. Table 8 below presents the 13 sections of the questionnaire and their respective broad variable descriptions of the collected data. The variables assessment results of each section are presented in the next chapter, in the spider graphs, and then consolidated in an integrative wellbeing and social capital relational quadrant diagram graph. This enabled the researcher to



finalize the proposed community level wellbeing assessment model, presented in the previous chapter.

**Table 8: Survey Questionnaire Content**

<b>Section</b>	<b>Broad description of collected information</b>
Cover Page	Community and interview metadata.
1. Respondents characteristics	Name, age, sex, position, schooling, length of stay in the community, name of the community.
2. Basic characteristics of the community	Community population, housing and living conditions, main problems, transport access and types available.
3. Access to public services	3A. Community infrastructure and transportation: School, health, communications, other services. 3B. Education services: New schools, number of teachers, number of pupils, number of days operating. 3C. Health: Availability of health centre, number of days open, equipment, personnel, food security. 3D. Quality of public transport services: Improved/worsened, main problems, frequency.
4. Community services	4A. Service availability, quality, coverage – General: Electricity, public lights, sewerage, garbage, phones, mail, police. 4B. Service quality – Specific: Sewage & garbage collection.
5. Problems related to the environment	Problems with insects, parasites etc.; diseases; unsafe garbage disposal, polluting activities.
6. Community organization	6A. Organizations: Presence of committees or organizations within the community. 6B. Collective actions: Community meetings and coordinated action to solve community problems; who works most to solve problems, knowledge of SA's community development plans.
7. Community safety	Drug abuse, crimes, crime reporting.
8. Community groups and networks	Types of community organizations or groups, community member participation, group importance, membership similarities, outside group interactions, number of close friends, dependability on community members.
9. Community trust and solidarity	Trustworthiness, helpfulness, government official trust, safety/security official trust; community member money contribution, community member time contribution.
10. Community collective action and cooperation	Communal activities participation, number of annual participations, community unity.

<b>Section</b>	<b>Broad description of collected information</b>
11. Information sharing and communication in the community	Sources for information sharing
12. Social cohesion and inclusion	Number of phone calls per month; community diversity profile, diversity problems, number of monthly socializations, diversity profile of socialization attendees, safety levels from crime/violence.
13. Community empowerment and political action	Level of happiness, level of self-confidence, number of community solidarity cases per year petitioning government/politicians.

Source: Amended from Albania LSMS Report: 2016:16 & Grootaert et al. 2004:11-14.

#### **4.10. Ethical Considerations**

This study was conducted in accordance with the University of South Africa (UNISA) code of ethical conduct. To this end: 1) written permission to conduct the study was obtained from all relevant authorities, stakeholders, community leaders and involved members of community focus groups; 2) all participants were informed of the purpose and nature of the study; 3) all information obtained was treated as confidential through: a) use of number identification codes on data forms to ensure contributor anonymity; and b) password protection of electronic data captured; 4) the researcher ensured the safe and secure locked storage of all data and documents when not in researcher authorised use; and 5) the names of the communities participating in this study and their respective ward numbers are not mentioned in this thesis, for ethical reasons.

All participants were first informed that their participation in the study would be voluntary and with no remuneration. The right of each participant to withdraw from the study at any time, without consequence or penalty, was made clear to him or her; none withdrew. Participants were at all times treated with dignity and respect.

Participant report back indicated that not only had they learned a lot about their respective communities but they also felt empowered in ability to conceptualise their community wellbeing and social capital status. Whilst no risks were

perceived or expected during this study, all participants were debriefed after a group session, in order to provide assurance on this score. Research was conducted, verbally and in writing, in the three most used languages in the Western Cape: English, Xhosa and Afrikaans.

The findings of this study were made available to the leadership of the communities and participating public sector staff involved. This allowed them to share their experience and the survey results with their members or staff, relevant policy makers, stakeholders, programme staff and UNISA, both by means of direct verbal and written communication, and through future publication.

The sample descriptive survey results, derived from the responses of the participating communities, were analysed in accordance with the suggested measurements foci presented in the table above. These results are presented in the next chapter.

#### **4.11. Conclusion**

In chapter four, based on the two research questions of this study, a two communities urban/rural small sample wellbeing survey was successfully designed and undertaken in the Western Cape. Using a survey questionnaire based on internationally proven method, the researcher and the trained field staff (i.e. members of the two communities) gathered the data needed to confirm the viability of operationalizing a community level wellbeing assessment model.

Analysis and assessment of the data results obtained in this survey established that the survey was well designed for its purpose. Results showed that it could be used in the operationalization of the proposed wellbeing assessment model, indicating the associative relationship between wellbeing and social capital. Furthermore, the community members would be able to themselves understand and operate the survey instrument and its data results in their own community wellbeing profiling processes.

Results of the survey findings, and their related wellbeing scores, are presented in chapter five in spider graphs for the two communities, by age group, gender and community type. The community wellbeing and social capital associative relationship results are summarised in two quadrant diagram graph diagrams, urban and rural.

## CHAPTER FIVE

### **Survey Data Findings: Presenting Community Wellbeing and Social Capital Levels.**

This chapter presents the descriptive sample survey data findings on the levels of wellbeing and social capital for the participating rural and urban communities respectively. Summative wellbeing status and social capital levels (i.e. profiles) are first presented, for each age and gender category in each participating community, in the respective spider graphs below. Overall community wellbeing and social capital levels relationships in each of the respective communities are then presented, in a quadrant diagram graph format. These graphs could be compiled by the communities themselves, in line with the 'insider-outsider' partnership driven community development purpose of the study.

The wellbeing levels of the participating communities were assessed against the 12 indicator dimensions: i) health; ii) food; iii) education; iv) transport; v) communication; vi) income; vii) security; viii) recreation; ix) housing; x) energy; xi) water and sanitation; and xii) environment. The social capital levels were assessed against their 6 dimensions: i) groups and networks; ii) trust and solidarity; iii) collective action and cooperation; iv) information and communication; v) social cohesion and inclusion; and vi) empowerment and political action. Table 8 in chapter four presented the different assessment variables for each of the indicator dimensions of wellbeing and social capital levels.

Chapter five therefore provides descriptions of each of the 12 indicator dimensions for wellbeing, followed by the 6 social capital levels. This is inclusive of their respective indicators, which contributed collectively to the total assessment percentage value of each dimension. The data results obtained from these dimensions measurements are categorised between the urban and rural communities in their respective gender and age classifications, highlighting differences where applicable. The age and gender results are then presented

collectively, to provide a combined community wellbeing and social capital status spider graph for each of the communities in this study. Following on from this is a comparative analysis discussion between the two sampled communities (urban and rural), to highlight both the commonalities and the dissimilarities in their wellbeing and social capital profiles. The community level wellbeing and social capital spider graphs for each of the participating communities are linked to the study purpose, which was aimed at providing integrated community level profiles for wellbeing and social capital.

The status results of the wellbeing and social capital community profiles are then combined and presented in quadrant diagram graphs. This combination adheres to the second part of the study purpose, aimed at presenting the influence (push or pull factors) of social capital on future processes towards wellbeing improvement.

The following sections present the descriptions and detailed findings for each of the wellbeing and social capital dimensions of the respective participating communities.

### **5.1. Wellbeing and its Assessment Dimensions**

The context and history of wellbeing assessment were discussed in chapter two; their contemporary importance and indicators were discussed in chapters three and four. The wellbeing status assessment for this study was carried out according to the 12 dimensions and the proposed community level wellbeing model referred to in chapter three. These dimensions, and their respective indicator data for assessment, are described below. This is followed by the data results for the community wellbeing assessment (i.e. community wellbeing profiles) relating to the different age and gender categories. These results are presented below in the 12 spider graphs of the participating urban and rural communities respectively. Overall community wellbeing status profiles of the participating urban and rural communities are then presented in spider graphs 13 and 14.

### **5.1.1. Health**

Health is arguably the most important factor for the wellbeing of individuals and the community at large. Good health enables people to participate fully in society, both in their social and in their work lives, thereby adding to both intellectual and economic growth whilst lessening the burden on health facilities and non-productivity. A dimension status for each of the gender and age categories of the participating communities is presented. The survey data collected in the study therefore included the availability of health facilities, staff and medication, access to health care, as well as some of the high risk diseases that are linked to environmental health challenges.

### **5.1.2. Food**

For good health the human body every day needs calories and a variety of nutrients, including protein, fat, and carbohydrates, in order to grow, function and repair damage. Without food, the body begins to atrophy. Food, together with water and oxygen, is one of the most important factors in human survival. To establish this dimension status, the study survey collected data on the availability of food resources in the community, and their access to them.

### **5.1.3. Education**

Education underpins development of the knowledge, competencies, skills and intellectual capacity of people. This they need both for employment in the labour market and for personal development. The survey therefore collected data on education facilities, access to these facilities, and the quality of the education provided.

### **5.1.4. Transport**

Transport is needed for mobility and access to facilities, services, food and employment, as well as for social intercourse. Whilst the proposed wellbeing framework for developing countries, by Boarini et.al. (2014:39) (discussed in chapter three), did not recommend an explicit assessment for transport, the study did provide one. This resulted in 12 wellbeing dimensions for measurement, versus the 11 recommended by Boarini, et.al. Based on a transport assessment from the World Bank QOL structured questionnaire

database applied in community wellbeing assessments, this study survey collected data on the availability of transport types, quality and cost, together with access to it in its different types.

#### **5.1.5. Communication**

Communication is an interface means of connecting with others. This allows people to inform and be informed on matters such as food costs, job opportunities, development prospects and opportunities, as well as all the other dimensions of wellbeing in one form or the other. It is also a major factor for assessing social capital, as it ensures social connectedness through networks and bonding. The study therefore collected data on types of communication, access to them and the frequency of their usage by the community and its members.

#### **5.1.6. Income**

Income is directly linked to employment. Education is a means of preparing people for income earning activity in a job market which contributes the labour force needed for economic growth. The survey therefore collected data with regard to employment status and types.

#### **5.1.7. Security**

For this study, security was defined in its 'narrow' context of "freedom from fear". This constitutes fear of violent threats against the individual, within a range as variable as the drug trade, domestic violence, robbery and common crime. In the context of this study, security therefore relates directly to personal vulnerability, not to human security in its broader context of basic needs. The study therefore collected data with regard to the types of crime, the security services in the community, and the sense of security from crime experienced by the community.

#### **5.1.8. Recreation**

Recreation, along with leisure, can and should impact positively on community development, by contributing to improved quality of life (QOL) and happiness. It is thus useful to assess the ways in which people spend their recreation time.



Such data also provides information on the collective recreational activities which could, ultimately, contribute towards social cohesion and inclusion. The study therefore collected data with regard to recreational facilities, types of recreation and frequency of recreation activities.

#### **5.1.9. Housing**

Housing is classified as a basic need. It is a form of shelter which provides protection from the elements, along with safety and security, for those who live in the house. Housing links in strongly with both physical and emotional security, and with a sense of belonging and unity. The study therefore collected data on the opinion of community members as to housing conditions in their own community. The study then compared that data with neighbouring communities and with the national housing conditions.

#### **5.1.10. Energy**

Energy is directly linked at the domestic level with sources such as the electricity and gas needed to sustain livelihood; at an economic level. Energy contributes to development and economic growth. Thus, the management of energy resources, the types of energy available and their costs are all important factors which influence community development. The study therefore collected the relevant data on energy infrastructure types, quality and access.

#### **5.1.11. Water and Sanitation**

Water and sanitation form part of the basic infrastructural needs and services required by community members. They are provided at local and national levels, and their provision is directly related to health, economic and sustainable environmental development. The study therefore collected data regarding access to the types and quality of water, its delivery, and the sanitation infrastructure.

#### **5.1.12. Environment**

Responsible use and protection of the natural environment, has a positive impact on local biodiversity and the long-term health of the natural environment and the people in it. Conservation and sustainable practices and actions are

needed to protect it, Health and wellbeing benefits accrue to people who experience connection with the natural environment. The study therefore also collected data on the threats to environmental protection and sustainability, such as from pollution, as well as on related pests and diseases.

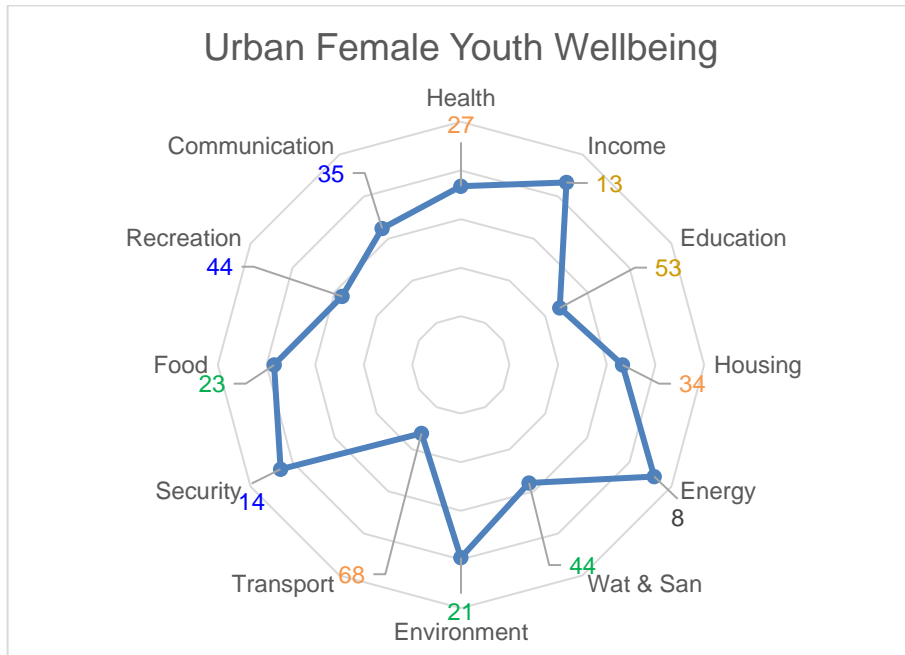
## **5.2. Urban and Rural Community Wellbeing Profiles**

The data results for the gender and age sub-categories of each of the participating communities are presented in spider graphs 1 to 12, followed by the collective data results in spider graphs 13 and 14. These graphs indicate the levels of wellbeing for each dimension (a high score is 'good'; a low score is 'poor'). The graphs thus present the wellbeing status (i.e. profile) for each urban, rural and gender category in each of the respective participating communities, then collectively for the urban and the rural communities as a whole.

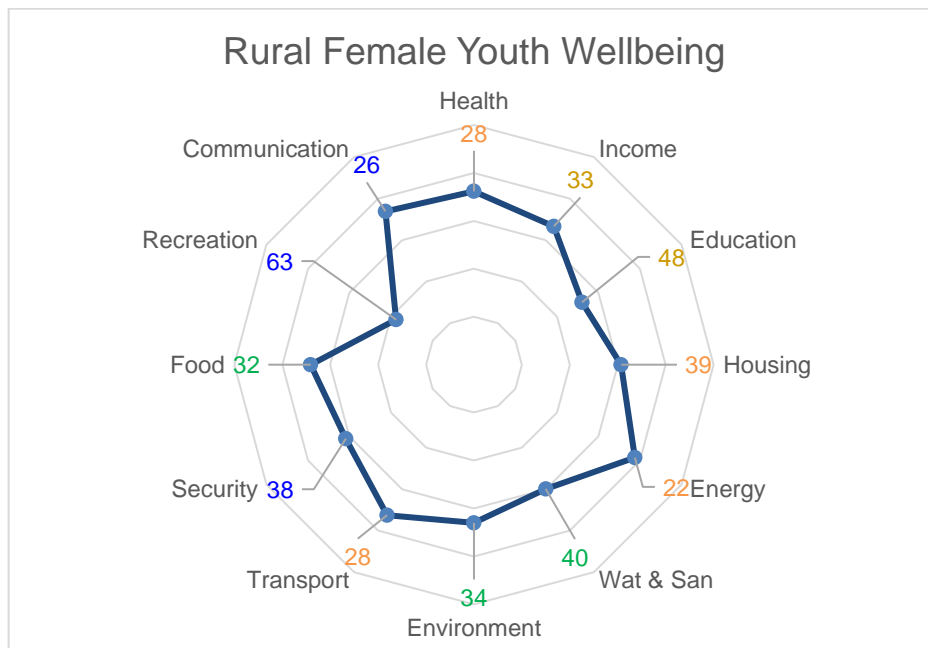
These spider graphs therefore present a priority sequence of the 12 dimensions, linked in a 'pointed circle' of positive (inner) and negative (outer) relationship positions. They show how two or more inter-related dimensions could affect each other in either a positive or a negative manner, as well as which 'poor' dimension/s (those with lower score outer positions) should be addressed as priority dimensions towards enhancing wellbeing. Furthermore, if for example the environment and food dimensions are low scoring (i.e. 'poor outer'), meaning that they are not strong and healthy, then it is likely that their relationship could negatively affect (i.e. pull down) other dimensions such as health. However, if water and sanitation, recreation and income all have high ('good inner') scores, then it could be possible to utilise these dimensions in community wellbeing enhancement processes, and uplifting other dimensions such as the environment, food and health. This example relates also to the different types of capitals (discussed in chapters two and three), whose inter-relationships were represented and indicated with one of four colours in (see section 3.9.4) in the proposed example wellbeing model diagram (Diagram 4, in chapter three). This same four-colour code was applied in the spider graphs for the different wellbeing dimensions. It is important to note that the four-colour

code does not present explicit dimensional capitals links, as several dimensions could be represented in more than one capital, depending on the specific indicators for measurement presented in Table 3 in chapter three.

**Spider Graph 1: Urban Female Youth Community Wellbeing Profile**

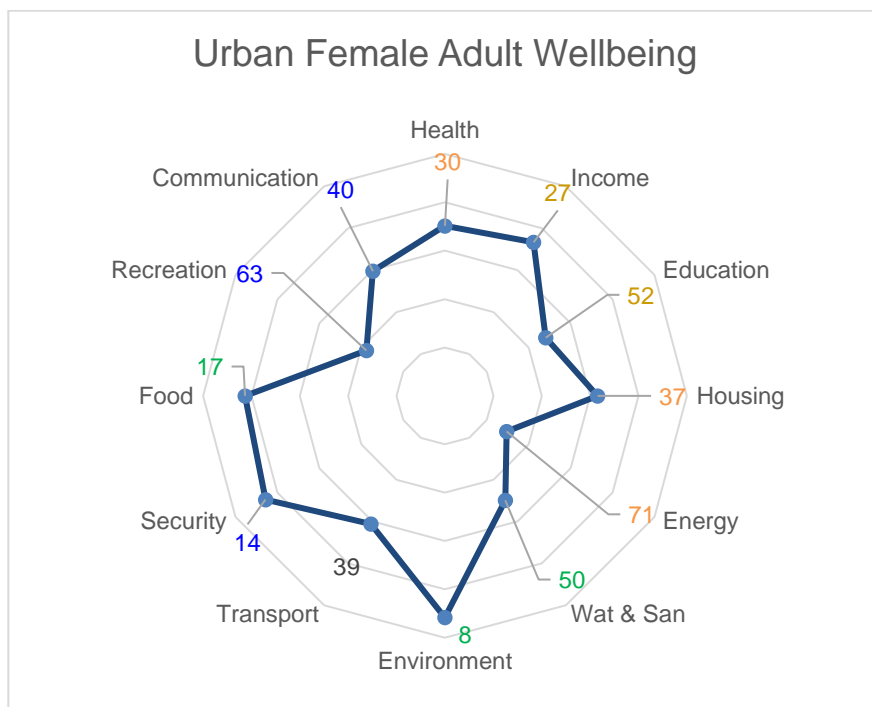


**Spider Graph 2: Rural Female Youth Community Wellbeing Profile**

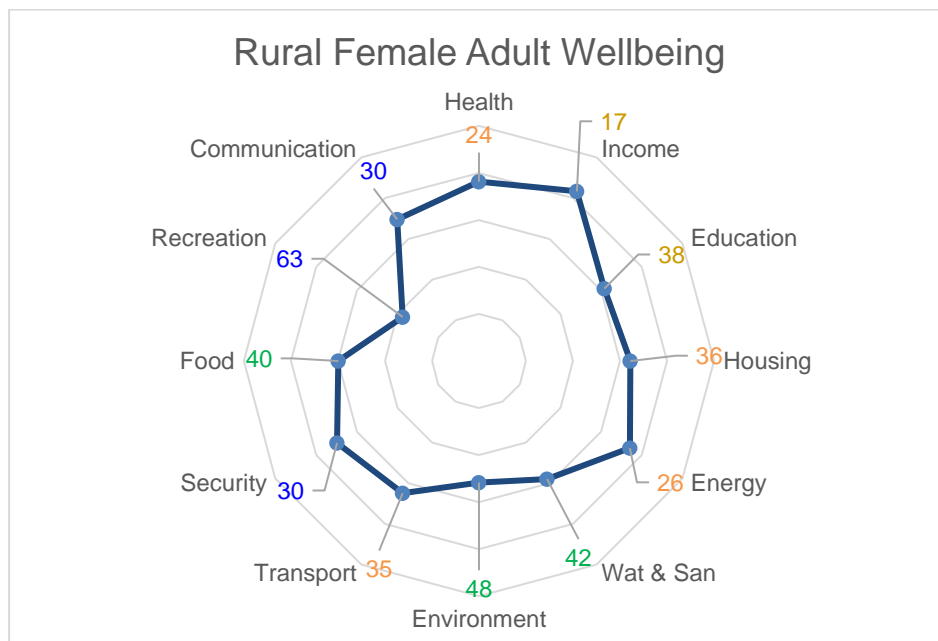


Both urban and rural female youth profiles (in the two graphs above) indicated that their main strengths lie in education (53/48), water and sanitation (44/40), and recreation, especially rural (44/63). As might be expected, urban transport (68) was much stronger than rural transport (28). Housing (34/39), communication (35/26), health (27/28), food (23/32) and environment (21/34) came in next, with their urban/rural disparities perhaps to be expected. Security (14/38) represented a common disparity across all groups, indicating a serious need for improvement in urban community development. Meanwhile, income (13/33) was for rural female youth the reverse of the ratio relationships between the rural/urban adult and senior populations. Energy (8/22) was reflected also in the equally 'poor' male youth profiles (11/22), but this was not the case for the adults and seniors.

**Spider Graph 3: Urban Female Adult Age Community Wellbeing Profile**



### Spider Graph 4: Rural Female Adult Age Community Wellbeing Profile

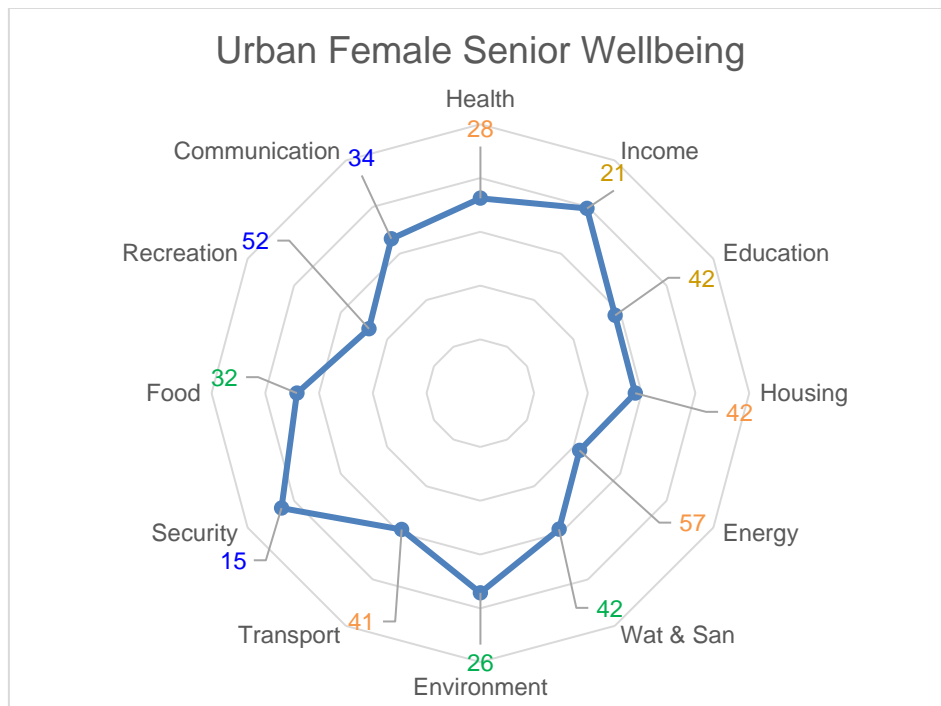


Here again, both urban and rural adult profiles (in the two graphs above) indicated that their main strength lay in education (52/38), together with water and sanitation (50/42) and recreation (63/63). Again, housing (37/36) in both profiles was lower, whilst communication showed a need for improvement in this age category. Whilst urban communication was markedly better than its rural counterpart, mostly due to the available communication infrastructure identified in the survey questionnaire responses, both need improvement, with rural gaining improved infrastructure and urban becoming more socially connected; the latter was more evidential in the social capital profiles presented further below. Security profiles were on a par with the youth profiles; urban energy rated as the highest adult profile, whilst rural energy was low, on a par with rural youth, again relating to infrastructure access and affordability per the survey questionnaire responses. Here also, the income profiles need betterment, which could be linked to available skills sets and jobs, whilst the rural environment profile is on the same low level as the urban youth energy profile.

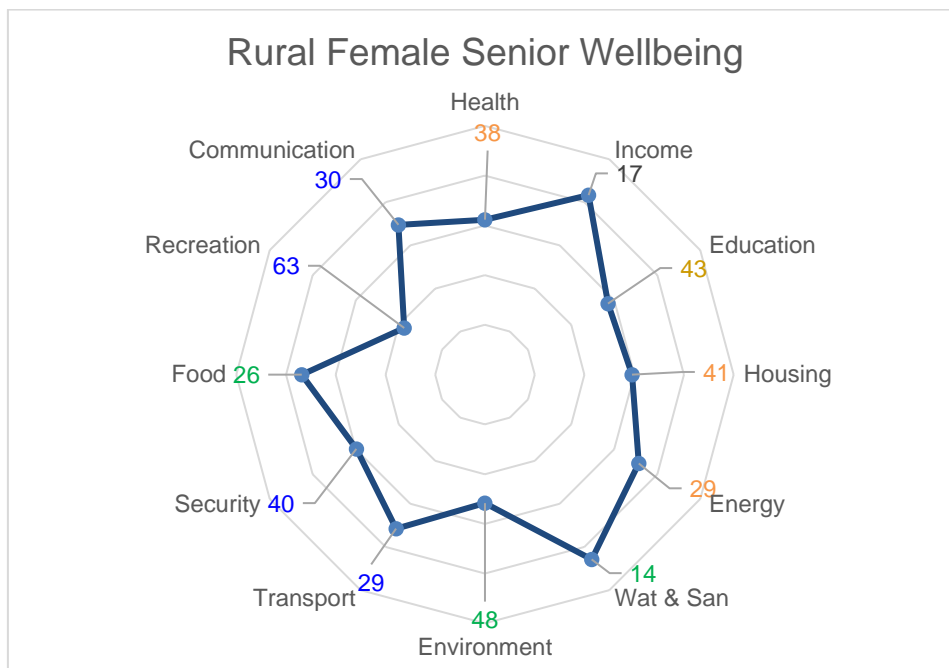
Both urban and rural female adult profiles again (in the two graphs above) indicated main strengths in education (52/38), water and sanitation (50/42);

recreation (63/63) was now equal in both communities. Again, urban transport (39) was stronger than rural transport (30), but not to the same extent as above. Housing (39/30), communication (30/34), health (30/24) and food (40/32) were next, but urban environment (8), as against rural environment (48), was clearly in need of enhancement. Security (14/30) again indicated a serious need for improvement in urban community development. Income (27/17), now stronger for urban than rural female youth, was still low and in need of community development. By contrast with the female youth communities, but as for the male adult and both senior communities, urban energy (71) scored higher than rural energy (26).

**Spider Graph 5: Urban Female Senior Age Community Wellbeing Profile**

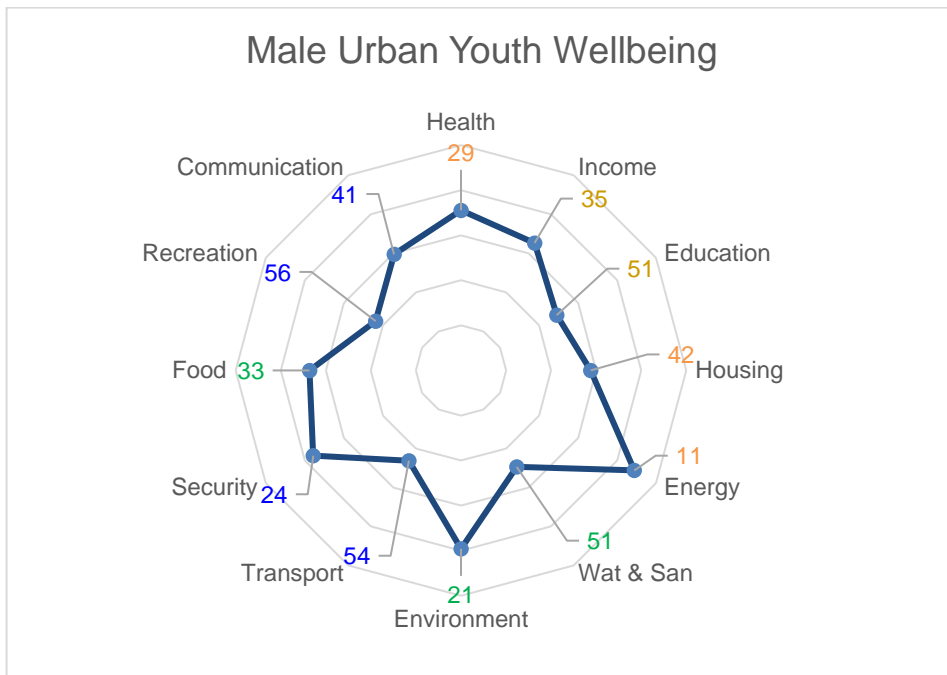


## Spider Graph 6: Rural Female Senior Age Community Wellbeing Profile

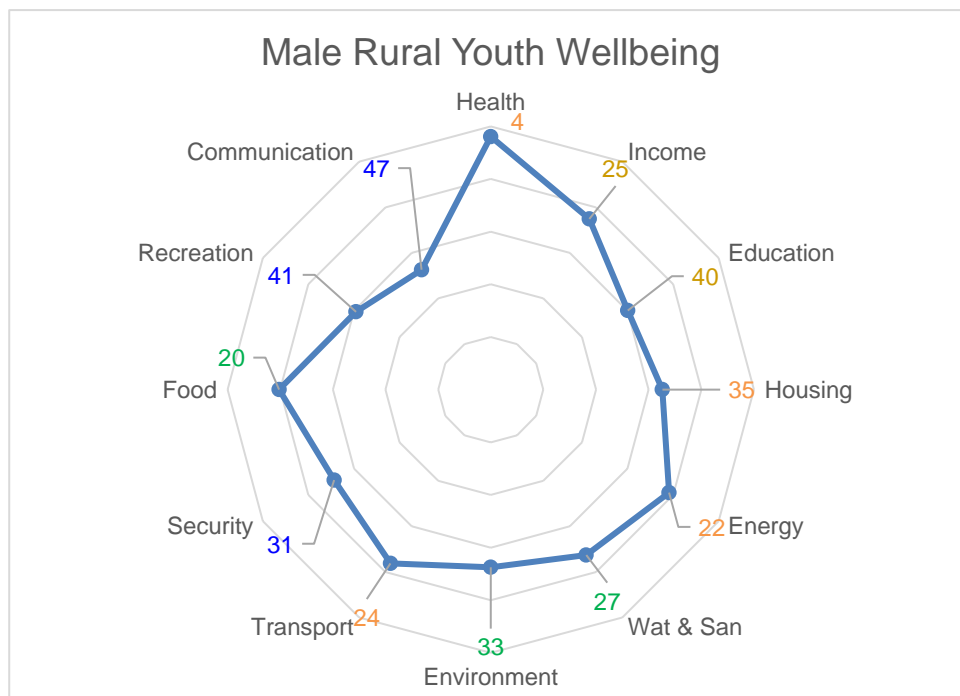


The two graphs (above) for seniors show broadly similar profile levels to those for the adults, except that rural water and sanitation was much lower. Both urban and rural female senior profiles again (in the two graphs above) reflected survey responses indicating their main strengths in education (42/42) and recreation (52/63), along with housing (42/41). Again, urban transport (41) was stronger than rural transport (29) and much the same as for both adult and the male senior groups. Communication (34/30), health (28/38) and food (32/26) were at the next level down. Senior survey perceptions for the environment (26/48) were a relative improvement on the youth (both female and male) survey results, but were nonetheless in sharp contrast with the low urban adult perceptions (both female and male). Security (15/40) again indicated a serious need for improvement in urban community development. As for all groups, except perhaps for urban male adults (33), Income (21/17) again indicated a need for community development attention. Energy (57/29) indicated rural weakness, perhaps in infrastructure. Then, the urban water and sanitation scores (42/14) were in sharp contrast with the youth and adult survey rural results (both female and male).

### Spider Graph 7: Male Urban Youth Community Wellbeing Profile



### Spider Graph 8: Male Rural Youth Community Wellbeing Profile

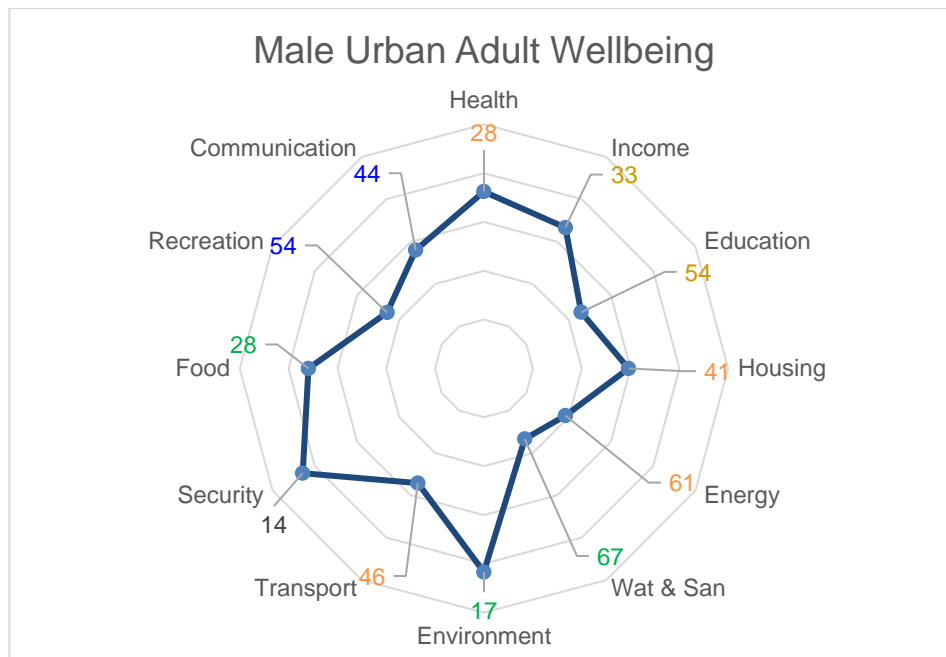


Both urban and rural male youth profiles (in the two graphs above) indicated that their main strengths lay in education (51/40), housing (42/35), recreation (56/41) and communication (41/47). Again, as might be expected, urban

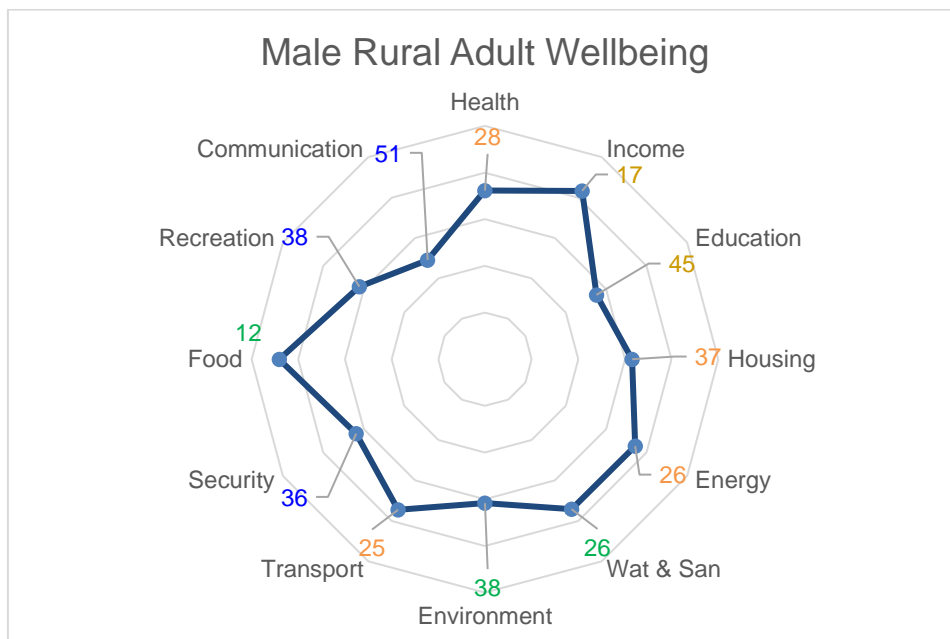


transport (54) was much stronger than rural transport (24). Income (35/25), environment (21/33) and food (33/20) came in next. Security (24/31) again represented a disparity in perceptions across all groups. Energy (11/22) is reflected also in the equally poor female youth profiles (8/22), but this was not the case for the adults and seniors. Of interest is that water and sanitation (51/27) represented the same urban / rural disparity as with the other male groups, and as with both urban and rural female groups, but not the youth and adult female groups (see above). Health (29/4) represented a sharp contrast for the rural male youth when compared with the other youth groups, perhaps through scarcer health support facilities in rural areas.

**Spider Graph 9: Male Urban Adult Age Community Wellbeing Profile**

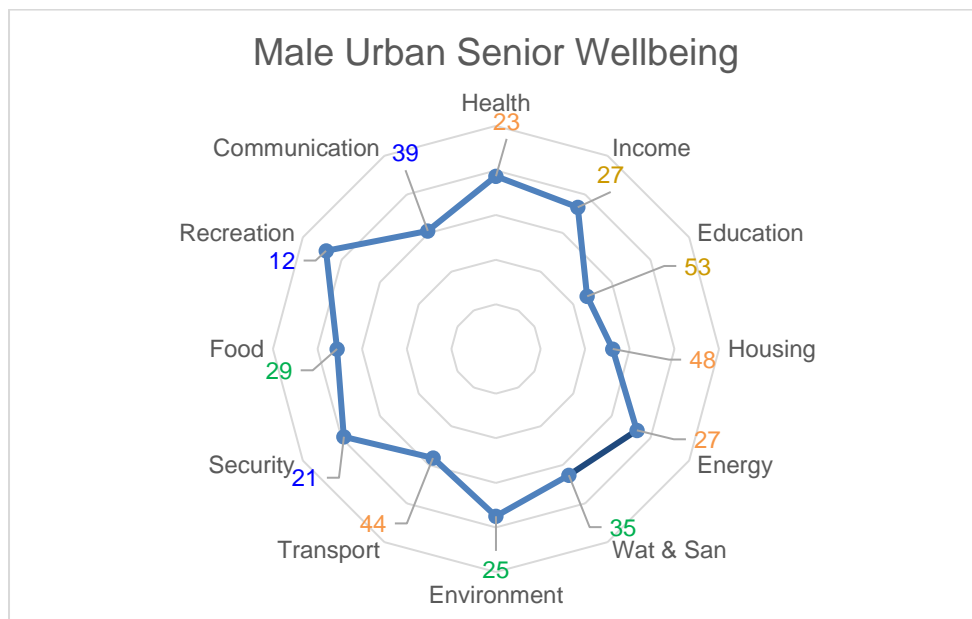


### Spider Graph 10: Male Rural Adult Age Community Wellbeing Profile

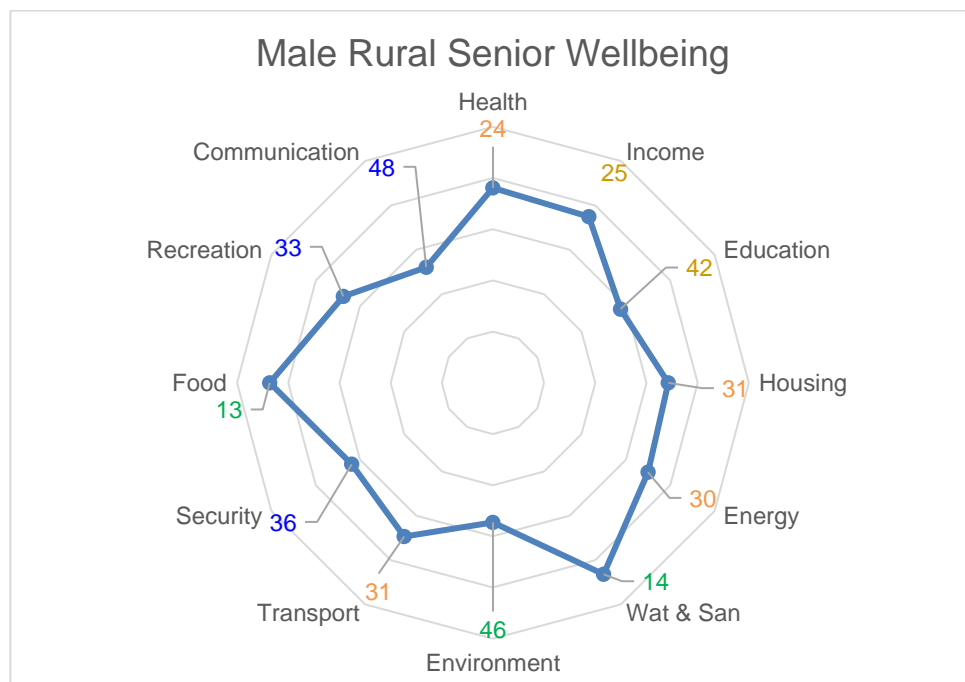


Both urban and rural male adult profiles again (in the two graphs above) indicated their main strengths in education (54/45), communication (44/51) and housing (41/37). Energy (61/26), water and sanitation (67/26) and recreation (54/38) showed relative weakness in the male rural population, as well as for urban transport (46/25). Health (28/28) and food (20/28) were next, with urban environment (17), as against rural environment (38), here also in need of enhancement. Security (14/36) once more indicated a serious need for improvement in urban community development, whilst income (33/17) was again low and in need of community development.

**Spider Graph 11: Male Urban Senior Age Community Wellbeing Profile**



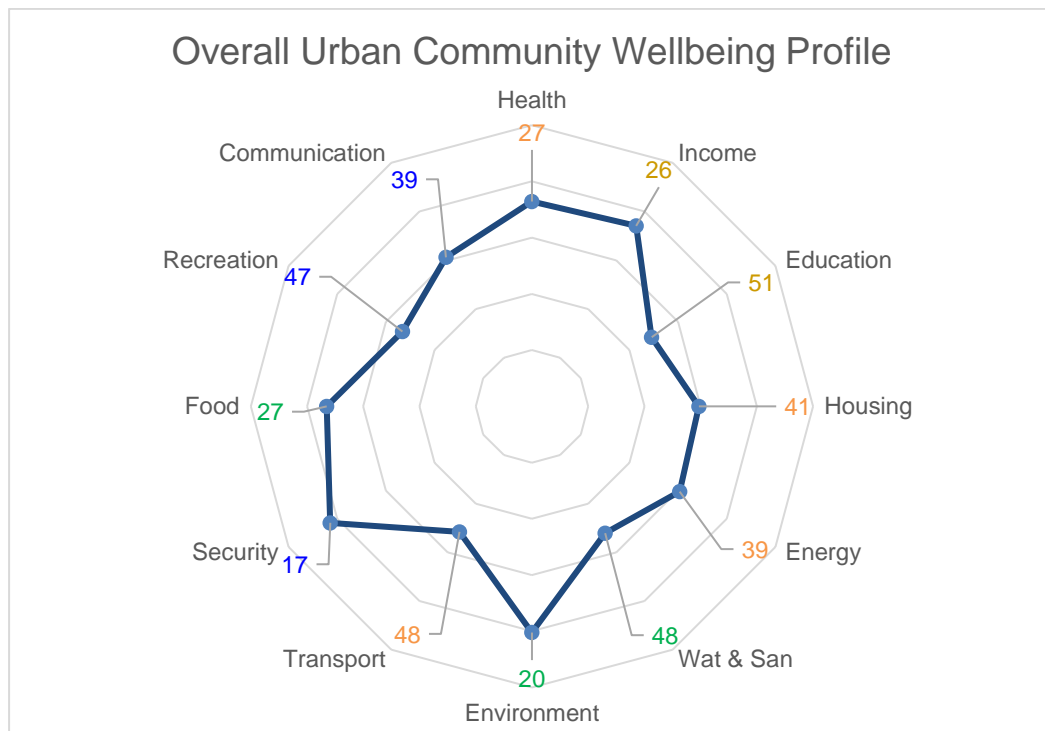
**Spider Graph 12: Male Rural Senior Age Community Wellbeing Profile**



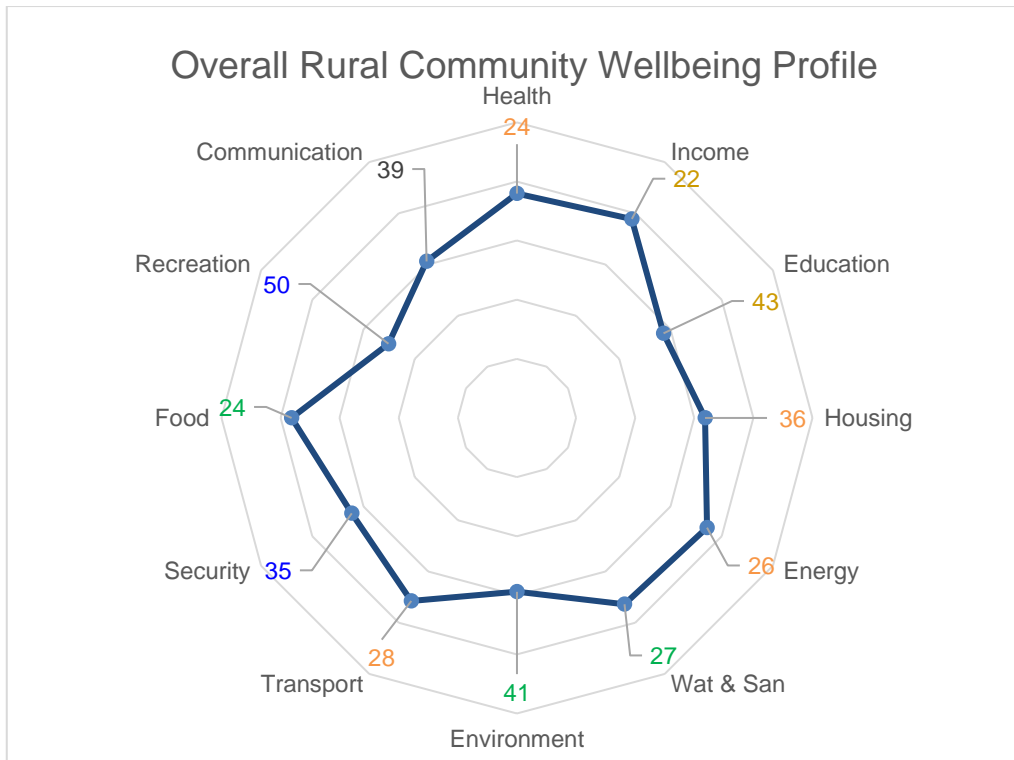
Both urban and rural male senior profiles (in the two graphs above) reflected survey responses indicating their main strengths in education (53/42), housing (48/31), transport (44/31) and communication (39/48). Energy (27/30), income (27/25) and health (23/24) were at the next level, with fairly even urban / rural comparative results. Senior survey perceptions for the environment (25/46)

were again much stronger for the rural community, as were recreation (12/33) and security (21/36). Urban water and sanitation scores (35/14) were again in sharp contrast with the youth and adult survey rural results (both female and male), whilst food (29/13), as for the adult male groups, showed a rural score of less than half the urban score.

**Spider Graph 13: Overall Urban Community Wellbeing Profile**



### Spider Graph 14: Overall Rural Community Wellbeing Profile



In total, the wellbeing profiles of the sampled communities (per these last two combined graphs above) indicated that urban community wellbeing status was better than for the rural communities in all dimensions except environment (20/41) and security (17/35). For recreation (47/50) and communication (39/39) they were almost level or level. Urban community wellbeing profiles were higher than the rural profiles for education (51/43), followed by water and sanitation (48/27), transport (48/28), housing (41/36), energy (39/26), health and food (both 27/24), with income (26/22) last. Total scores were urban 430, rural 395 which, although indicating better urban than rural wellbeing, nonetheless showed that there are dimensions in both communities which are in need of improvement.

These scores indicated that strengthening urban security needs to be first addressed, in order to achieve meaningful community development. Once that has been achieved, attention needs to be paid to urban environment use and protection, Income growth, the ready availability of healthy food supplies, and to

improved health care facilities. For the rural communities, the priorities were shown as first food sufficiency, followed by better energy, water and sanitation infrastructure and services, improved health care facilities, and enhanced income earning capacity. In all of this, care is needed in evidencing and assessing the effectiveness of the survey measurements in measuring the wellbeing levels.

The overall wellbeing status scores, together with the total social capital scores of the participating communities, are incorporated in the quadrant diagram graphs presented at the end of this chapter, in order to indicate their respective cross-over points, thereby integrating wellbeing and social capital levels. This is done in order to keep to the purpose of the study, which was to present an 'integrated' community level model.

The next section presents the social capital levels for each of the participating communities.

### **5.3. Social Capital and its Assessment Dimensions**

The exponential research attention paid to social capital over the past two decades resulted in several measurement instruments, presenting sub-dimensions for more detailed assessment by applying the overall SC-IQ six-dimension questionnaire of the World Bank used for this study. This was sufficient for the purpose of developing an integrative comparison level assessment between wellbeing and social capital. The SC-IQ sub-dimensions for measurement, indicated in Table 8 in the previous chapter; the following section provides a brief description of the 6 dimensions for social capital assessment, and their relevance. The social capital data findings for the gender and age sub-categories from the two participating communities in this study are presented in spider graphs 15 to 26, followed by the overall social capital status for each of the urban and rural communities in spider graphs 27 and 28.

### **5.3.1. Groups and Networks**

Groups and networks are most frequently associated with social capital. This dimension of social capital assesses the nature and extent of community members' participation in various types of social organizations and informal networks, in terms of contributing to and/or receiving from them. Furthermore, it assesses group membership diversity and membership roles, as well as frequency of involvement.

### **5.3.2. Trust and Solidarity**

Trust and solidarity refers to the extent to which people feel that they can rely on each other (e.g. family, neighbours, and service providers). Trust is seen as a critical component in the manifestation of social capital, as it directly relates to: a) bonding (i.e. horizontal relationships between and amongst communities or groups that are more participatory, decentralized and informal); and b) bridging (vertical relations relating to communities or groups that are not very 'familiar' with each other and which present more formal and hierarchical relations), as described in chapter three. The survey assessed the data on community personal trustworthiness and helpfulness, trust in government and security officials, and community member participation and contributions in terms of time and money for collective community development causes.

### **5.3.3. Collective Action and Cooperation**

Collective action and cooperation relates to the extent to which community members have worked together as a collective towards a common goal and/or in responding to a crisis. It is closely related to the trust and solidarity dimension of social capital, as it also studies peoples collective action in more depth with regard to unity in terms of community action with regard to democratic and human rights.

### **5.3.4. Information Sharing and Communication**

It is globally recognized that access to information and communication is central in assisting poor communities to strengthen their voice in matters that affect their wellbeing. It is therefore important to explore the manner in which

communities communicate and share information, as well as the types of information communicated, and the methods of communicating it that are being utilized.

### **5.3.5. Social Cohesion and Inclusion**

The social cohesion and inclusion dimension is strongly related to the previous 4 dimensions, but its focus is more specifically related to the 'inclusion' and 'exclusion' of community members in different events, processes and projects. It therefore assesses cohesion between family and friends, as well as civic participation amongst community members working towards a common goal. This is done in terms of diversity, frequency, trust and security factors, as they could contribute to and/or hamper cohesion and inclusion.

### **5.3.6. Empowerment and Political Action**

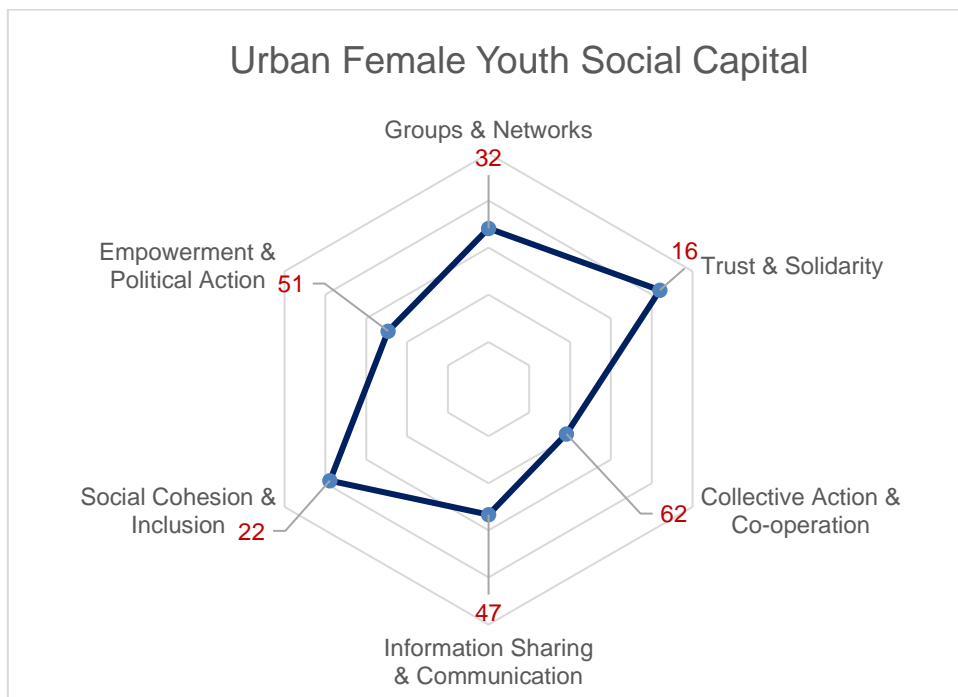
Empowerment relates to the extent to which communities have control over the processes and 'institutions' that directly affect their wellbeing. This dimension of empowerment and political action explores the levels of community members' happiness and self-confidence, together with the extent to which they feel empowered to engage in, participate in and/or influence issues or outcomes relating to local, regional and/or national development.

## **5.4. Urban and Rural Community Social Capital Profiles**

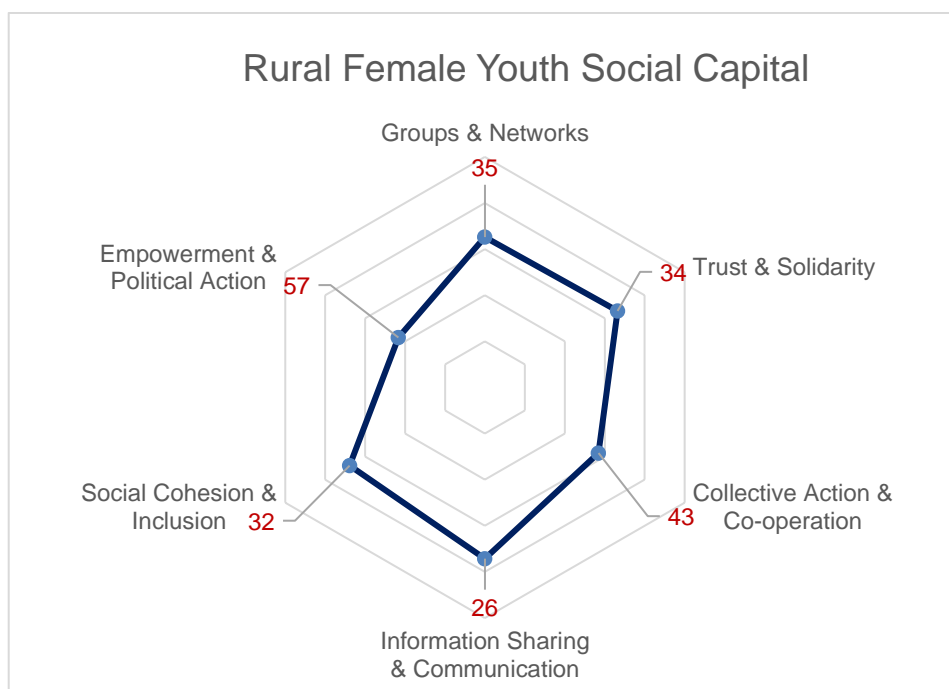
The social capital survey data results based on the 6 dimensions for the two participating communities are presented below in spider graphs 15 and 16, indicating the levels of social capital for each of the dimensions, and thereby presenting the social capital status for the rural and urban participating communities.



**Spider Graph 15: Urban Female Youth Age Social Capital Profile**



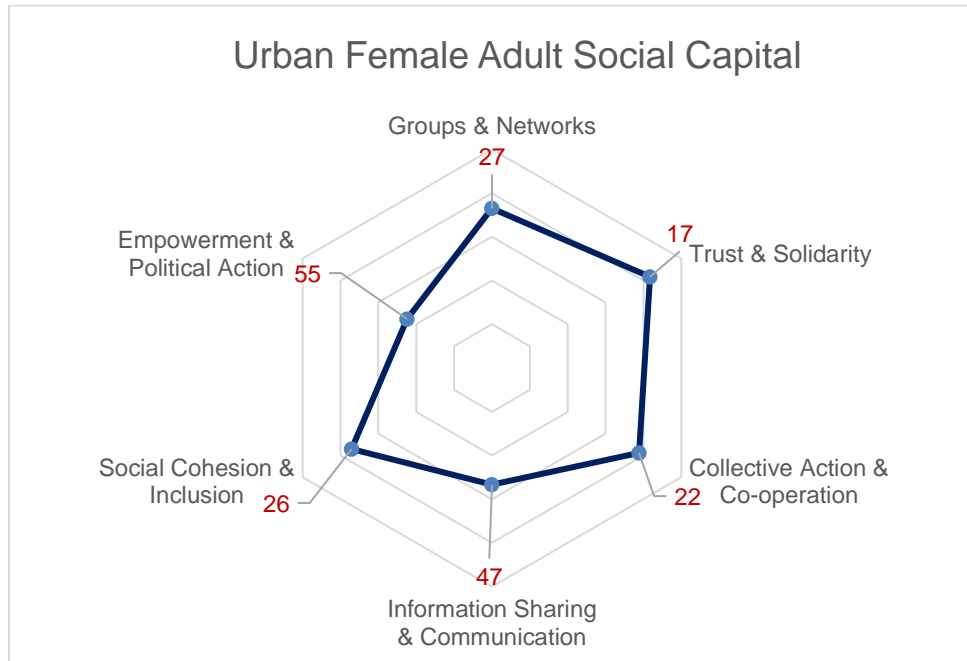
**Spider Graph 16: Rural Female Youth Age Social Capital Profile**



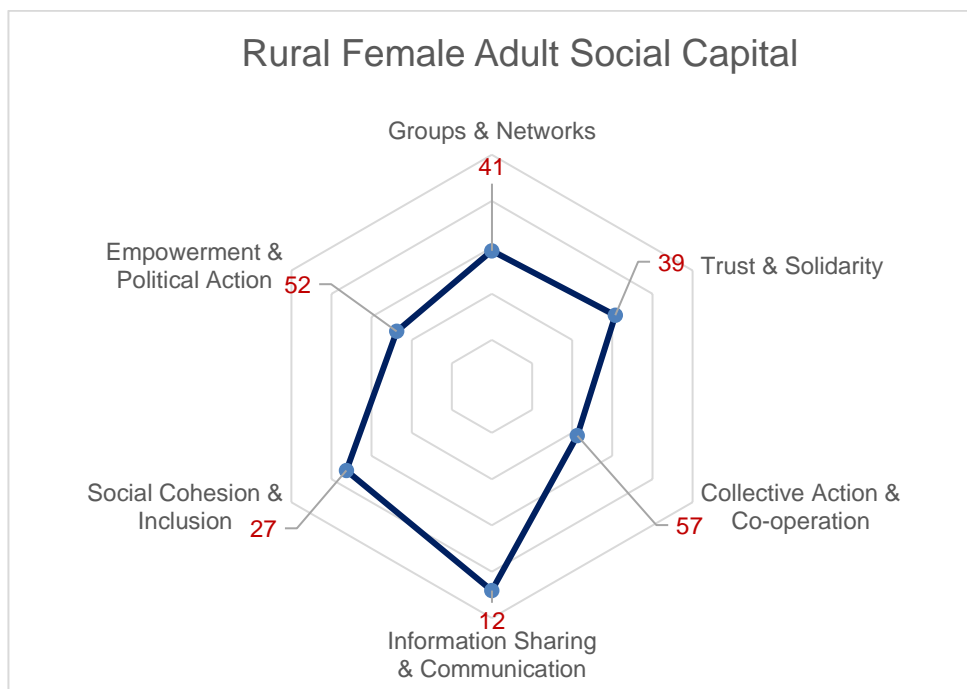
The youth profiles (shown in the two graphs above) indicated fairly strong urban collective action and empowerment, weaker for the rural youth; both urban and rural empowerment profiles are on much the same middle level. The urban

community social cohesion profile was not strong; their trust and solidarity profile was weak. In the rural community, collective action and information sharing are relatively weaker, whilst the other four dimensions were stronger.

**Spider Graph 17: Urban Female Adult Age Social Capital Profile**

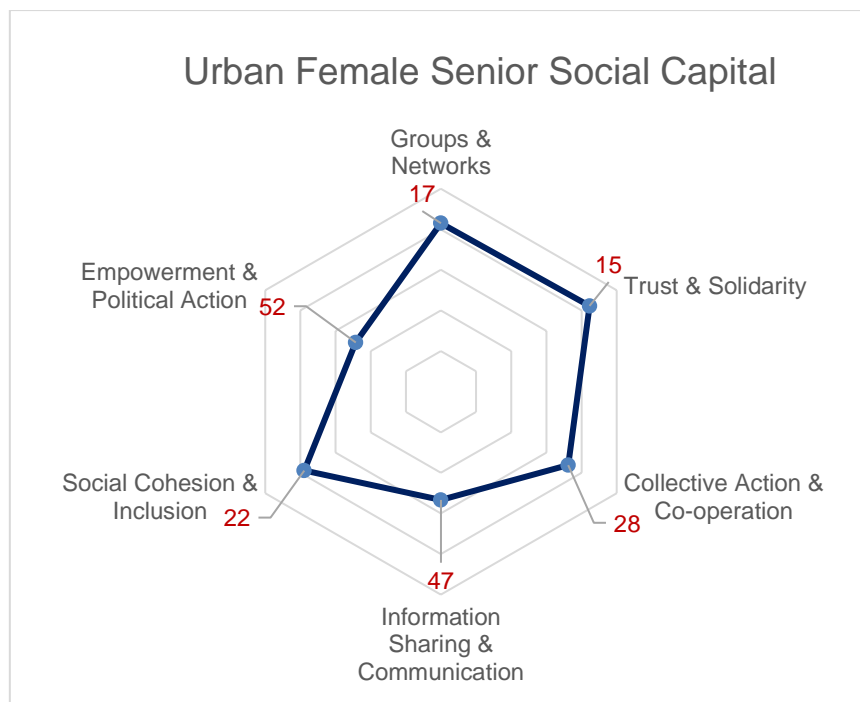


**Spider Graph 18: Rural Female Adult Age Social Capital Profile**

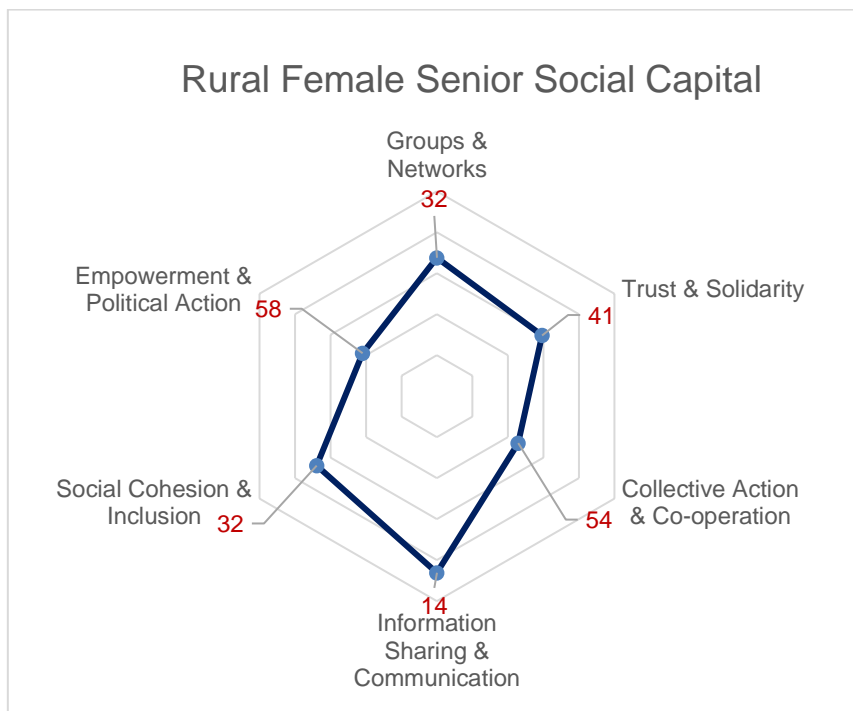


Collectively, the survey measurement of social capital levels indicated that sharing of information and improved communication need considerable improvement, leading to enhanced social cohesion and a feeling of inclusion amongst community members, particularly in the rural area. This would be a key first step in building up the trust, networks and empowerment upon which the whole fabric of community development is based.

### Spider Graph 19: Urban Female Senior Age Social Capital Profile

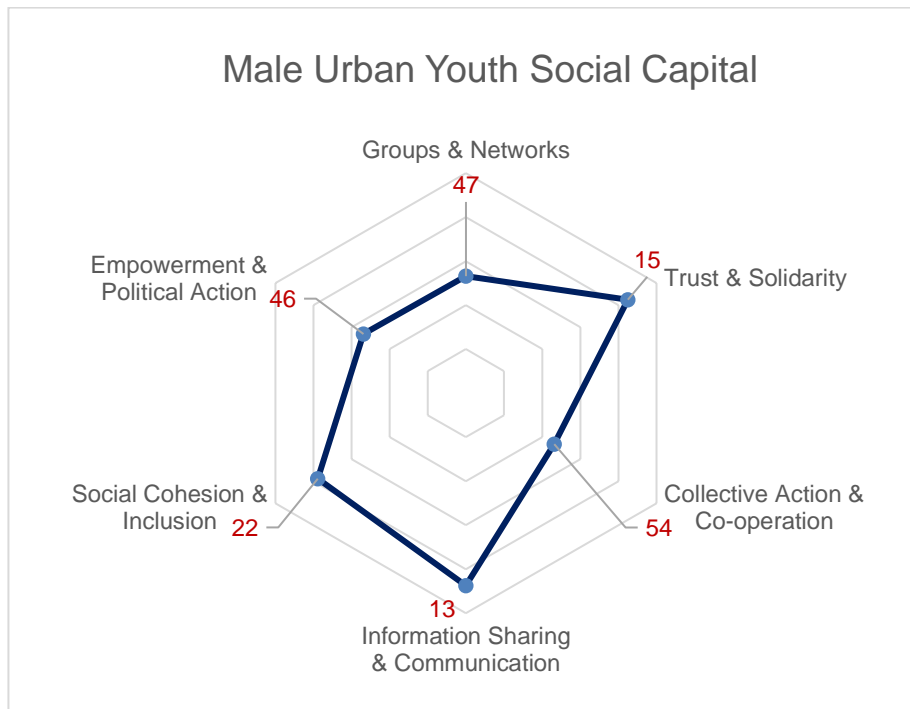


## Spider Graph 20: Rural Female Senior Age Social Capital Profile

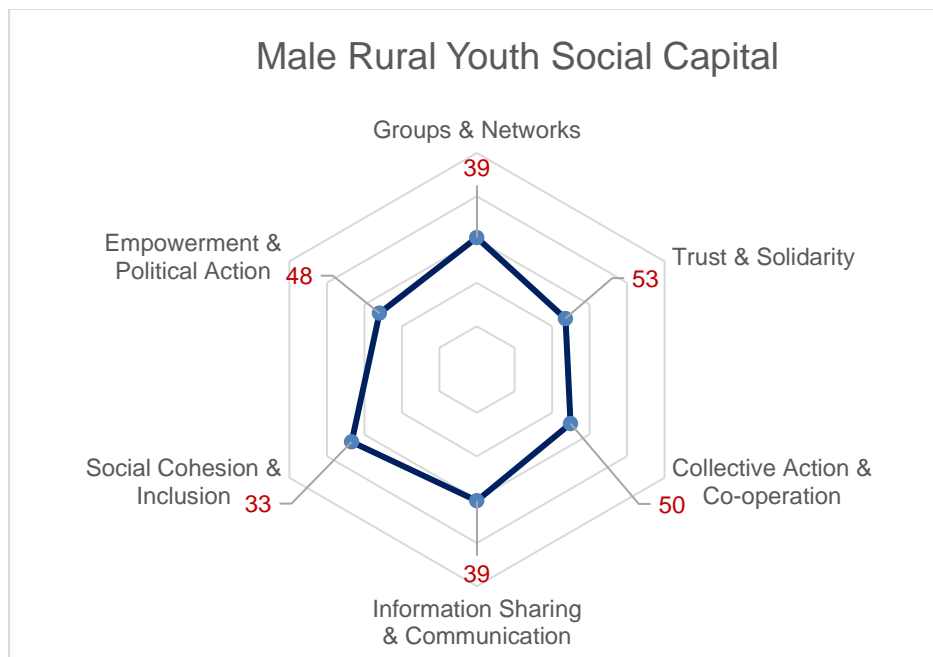


The senior profiles (per the two graphs above) showed a pattern similar to the adult profiles, with the urban group's networks profiles considerably weaker. For the senior groups, the rural community profiles overall were again higher than the urban profiles, this time by a wider margin.

**Spider Graph 21: Male Urban Youth Social Capital Profile**

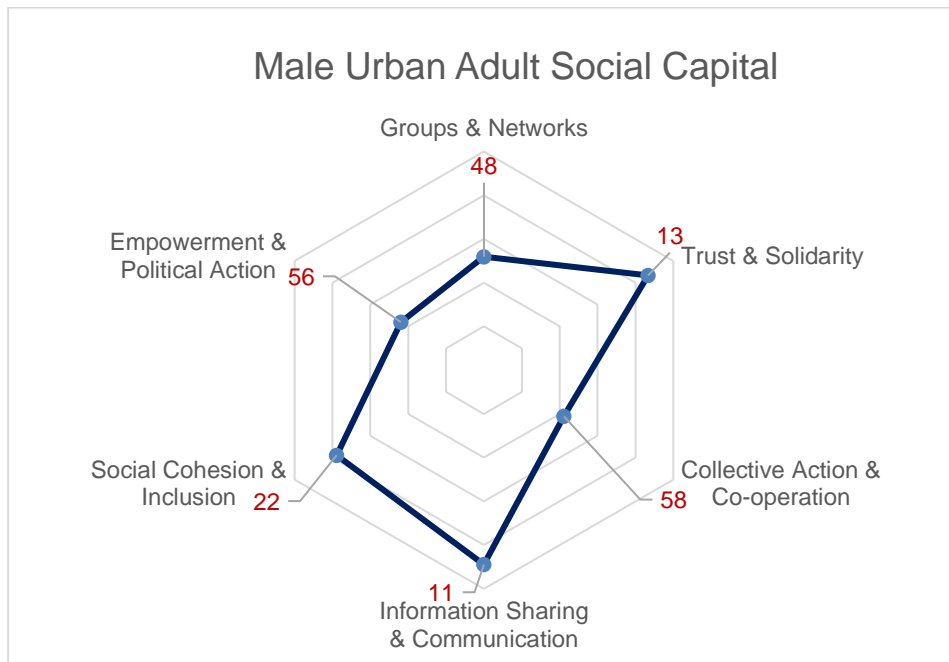


**Spider Graph 22: Male Rural Youth Social Capital Profile**

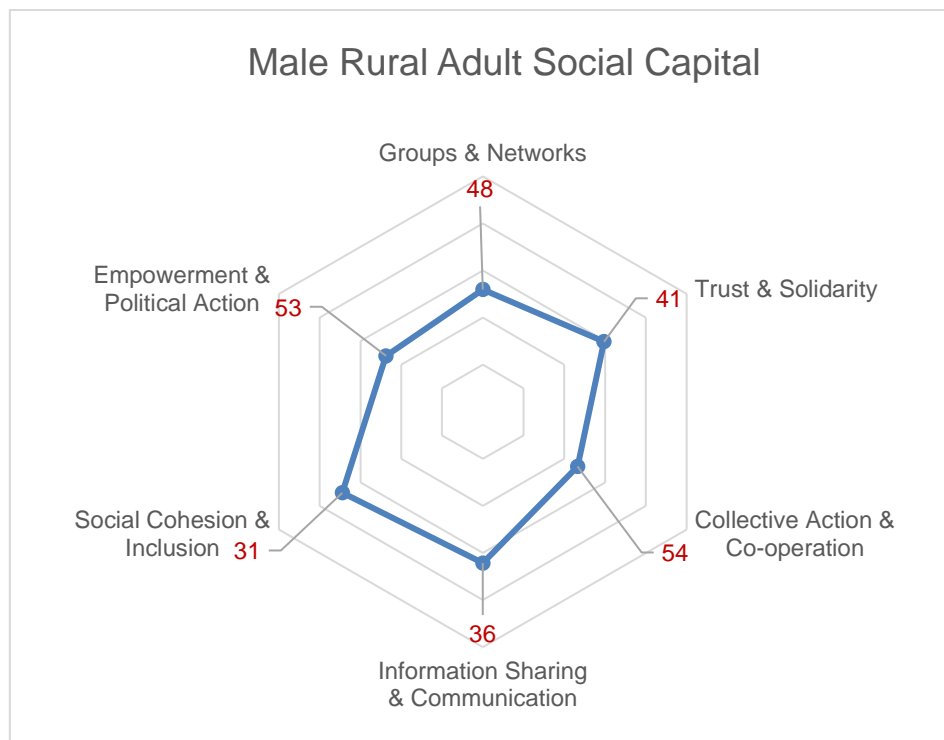


The male youth profiles (per the two graphs above) showed a fairly similar pattern to the female youth profiles, but with a weak information sharing profile for urban youth, along with a weak trust profile. Main strengths lay in the collective action, groups and empowerment profiles.

**Spider Graph 23: Male Urban Adult Age Social Capital Profile**



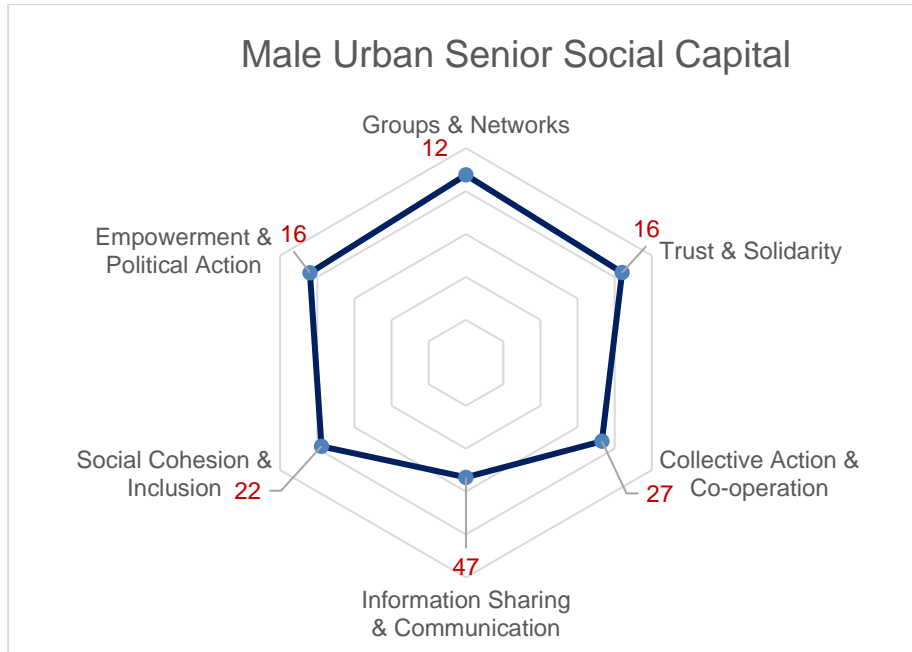
**Spider Graph 24: Male Rural Adult Age Social Capital Profile**



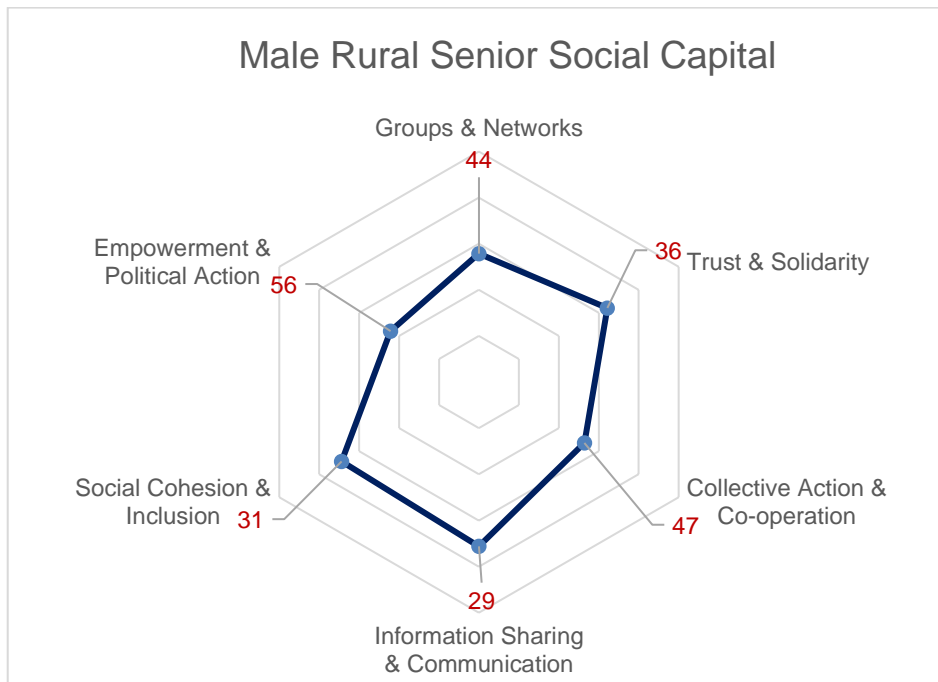
The male adult profiles (per the two graphs above) showed a similar pattern to the female adult profiles, but with stronger groups and collective action profiles.

Main strengths were evidenced in the collective action, groups and empowerment profiles, with weakness in trust and information sharing.

**Spider Graph 25: Male Urban Senior Age Social Capital Profile**

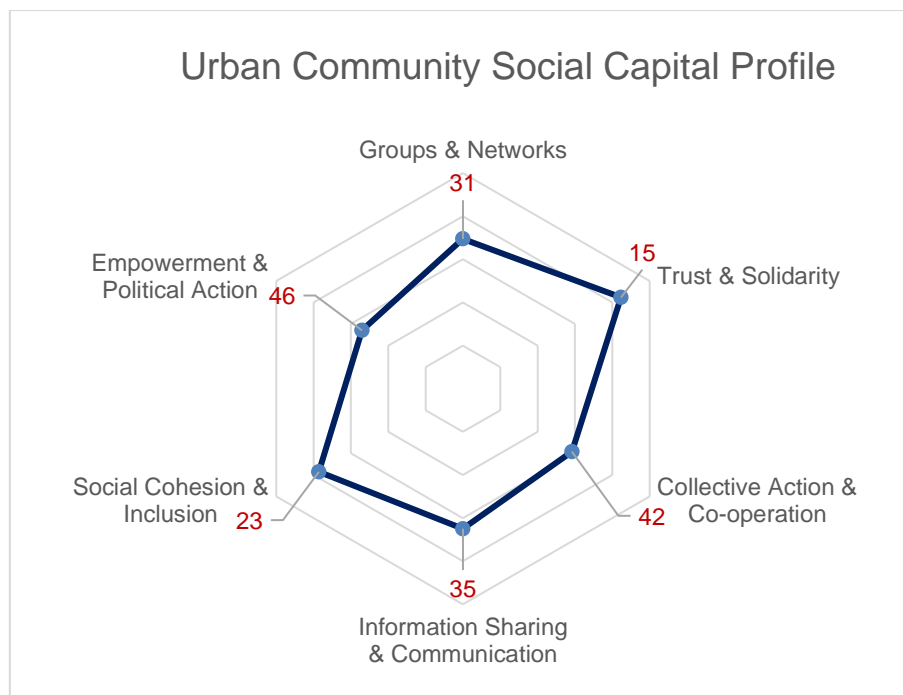


**Spider Graph 26: Male Rural Senior Age Social Capital Profile**



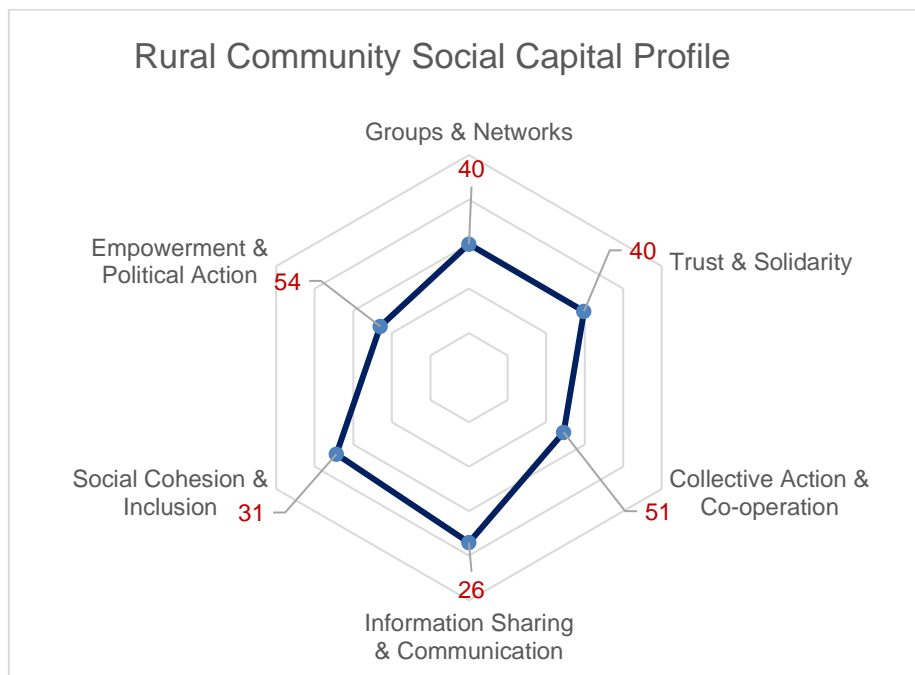
The male senior urban profiles (per the two graphs above), unlike the male youth and adult communities, showed weakness in the groups profiles, as well as in their trust and empowerment profiles, although with moderate strength in information sharing. Overall the senior male profiles are low, although senior rural male profiles are relatively stronger, led by empowerment, collective action and groups; information sharing was weaker.

### Spider Graph 27: Overall Urban Community Social Capital Profile





## Spider Graph 28: Overall Rural Community Social Capital Profile



In total the wellbeing profiles of the sampled communities (per the two graphs above) showed that for social capital the rural profiles were stronger than the urban profiles. The strongest rural profile, in total, was empowerment (54), followed by collective action (51), groups and trust (both 40); social cohesion was next (31), with information sharing (26) last. By contrast, empowerment was the strongest urban profile (46), followed by collective action (42), information (35), groups (31) and social cohesion (23). Trust trailed in last (15). In general, rural social capital profiles were stronger than urban profiles. Total scores were urban 192, rural 242, again indicating areas in need of community development.

The next section presents in a quadrant diagram graph the integrated wellbeing and social capital status levels for each of the participating communities, in order to highlight the cross-over point between wellbeing and social capital for each community.

### **5.5. Integrated Wellbeing and Social Capital Levels**

The importance of integrating the wellbeing and social capital levels was highlighted in chapters two and three. The discussion was on socio-ecological systems as the most appropriate theory for community development, albeit one for which there will be needed a micro level assessment of wellbeing. Chapter three followed on from the chapter two discussion. This was especially with regard to the commonalities amongst the most prominent participatory methods for community development. These all incorporate the same five 'elements' (i.e. capitals/dimensions): i) natural, ii) physical, iii) human, iv) financial; and v) social. The last element is the only capital which cannot be generated by the individual, due to its network and associations characteristics. For this reason, the study proposed the integrated measurement of wellbeing and social capital levels. The aim was to not only have an overall wellbeing and social capital status profile of communities. The aim was, more importantly, to also highlight which of the two would need to be addressed first in order to ensure successful community development processes and initiatives when following an 'insider-outsider' approach.

The integration of wellbeing and social capital starts with first determining a total score for each profile (e.g. social capital = urban 192 and rural 242; wellbeing = urban 430 and rural 395). This is achieved by adding the total percentage scores for the dimensions in each respective overall community profile spider graph and then dividing by the respective number of dimensions (i.e. wellbeing dimensions = 12 and social capital dimensions = 6) for the respective community profiles. This method of integrating wellbeing and social capital profiles, with a cross-over point, was developed both for simplicity and to keep to the underlying principle of the study: i.e. to present a model that can be community owned, led and conceptualized.

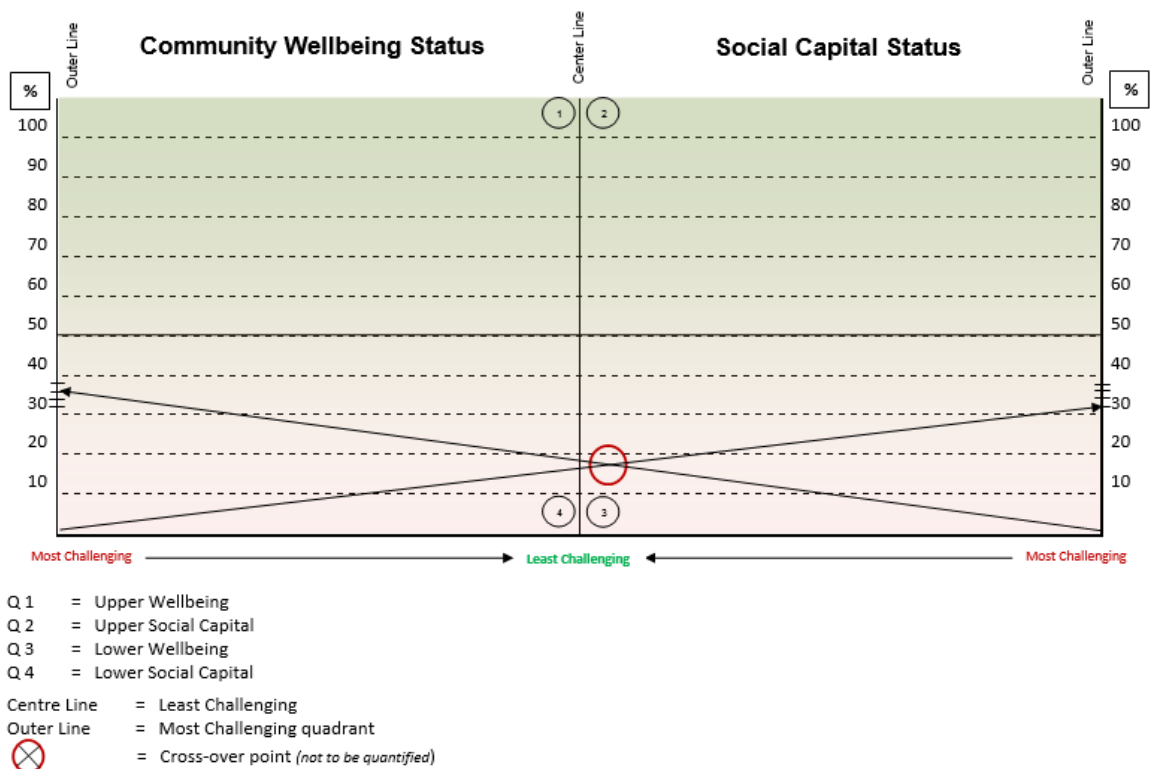
The second step is to draw a line from the bottom corner of the quadrant graph (i.e. 0%) to the percentage score for each of the two respective domains (i.e. wellbeing and social capital), in order to find their cross-over point.

The third step is to establish whether the cross-over point is in the top half of the quadrant graph, representing a positive profile status, or in the bottom half, representing a low profile status. In addition to being in the top or bottom half position, the cross-over point will also be either to the left of the quadrant graph, the wellbeing domain side, or to the right, in the social capital domain side.

For the fourth step the quadrant diagram graph includes a centre/outer line scale (i.e. centre line = least challenging; outer line = most challenging), indicating the extent to which the ‘insider-outsider’ partners would come up against challenges towards enhancing the overall wellbeing (i.e. QOL) of the community.

The integrated wellbeing and social capital profile results for the urban and rural communities are presented below in Quadrant Diagram Graphs 1 and 2, followed by a brief interpretation of each community.

### Quadrant Diagram Graph 1: Urban Community Quadrant Diagram



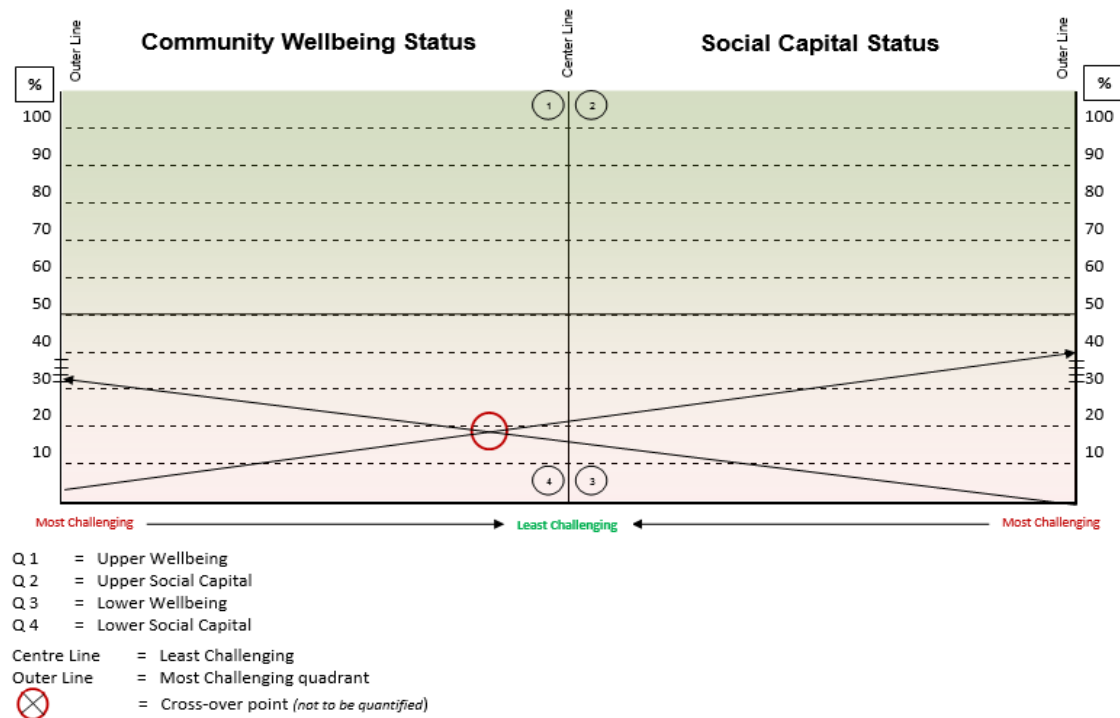
Source: Own compilation

Wellbeing has a total score of 36% whilst social capital is at 32%. Thus, both the wellbeing status and the social capital status are at almost equally low (percentage) levels. The cross-over point between wellbeing and social capital indicates that social capital requires priority attention when compared to wellbeing, as the cross-over point is within the social capital side (domain) of the quadrant graph. This cross-over point is, furthermore, in the lower social capital square of the quadrant graph, due to the overall low status percentage (32%) for social capital.

However, the close proximity of the cross-over point to the centre line of the quadrant graph indicates that the community should be able to work more successfully (least challenging) towards enhancing the status of both their social capital and their wellbeing, if these two are addressed simultaneously and in partnership with the relevant service providers and stakeholders.

The prioritization of which specific wellbeing and social capital dimensions should be addressed (improved), and in what order, is derived from the overall urban spider graph (presented above). This indicates the scores for each dimension. Dimensions with a better (higher) score could furthermore act as push factors towards achieving integrative wellbeing and thus QOL.

## Quadrant Diagram Graph 2: Rural Community Quadrant Diagram



Source: Own compilation

Rural wellbeing and social capital scores are again about as equally low (33% and 40%) as for urban wellbeing and social capital. However, the cross-over point between wellbeing and social capital is this time to the left of the centre line, indicating that wellbeing now requires the priority attention. Although, the cross-over point is now not as close to the centre line of the quadrant graph, it is still close enough to indicate that the rural community should also be able to work more successfully (least challengingly) towards enhancing the status of both their social capital and their wellbeing. These two need to be addressed simultaneously and in partnership with the relevant service providers and stakeholders.

Prioritization of which specific dimensions should be addressed (improved), and in what order is again to be derived from the overall rural spider graph (presented above). This indicates the scores for each dimension. Again, the dimensions with better scores could act as push factors towards QOL enhancement.

## **5.6. Summary of Results**

This chapter collated, assessed and discussed the respective wellbeing and social capital profiles of the surveyed rural and urban communities. This was done with comparison between the different gender and age groups, inclusive of push/pull relationships between the different dimensions. Assessment of the data results has proved that the community survey (chapter four) was well designed and applied, that the wellbeing and social status levels can be measured at a community level, and that these results can be presented in a simplistic quantitative manner from a primary data insider perspective.

The manner in which the overall wellbeing dimensions and social capital profiles data was presented, in their respective spider graphs, enabled the participating community members to each independently conceptualize and understand their status and the levels of their wellbeing and social capital dimensions; all in an integrative, prioritized and relational manner. This ability was evidential when the data findings were presented to the respective community leaders during their report-back sessions, also attended by some of the survey group participants. Those attending the report-backs understood the relationship between the dimensions, as well as which of the dimensions in each of the two profiles needed the most attention, and in what order. This understanding combined with seeing which dimensions had a good status, and where they could be mobilized as (push) 'assets' towards improving on prioritizing which (pull) dimensions needed wellbeing improvement.

The profile spider graphs, together with the community wellbeing assessment model diagram (presented in chapter three: Table 4), enabled community members to start with identifying relevant prospective public-sector department partnerships with regard to the wellbeing dimensions that would need to be addressed, in an 'insider-outsider' partnership manner. Furthermore, profile data, together with the wellbeing model diagram, could aid public, private and NGO 'outsider' stakeholders to obtain an integrative profile of the wellbeing status at community (micro) level, aligned with the public sector (meso level)

future relationship with Agenda 2063 (macro level) and the SDGs (macro-chrono levels) wellbeing targets.

The quadrant diagram graphs, which presented the integrated community wellbeing and social capital levels results, contributed towards the ability of both communities ('insiders') and private/public stakeholders ('outsiders') to identify the relationship between wellbeing and social capital. This relationship is especially relevant both to the 'push-pull' character of social capital on wellbeing and to the push-pull relationship between different wellbeing and social capital dimensions. Put differently, the question of prospective 'success' (positive changes) arising from community led processes and initiatives towards community wellbeing improvement strongly relates to the social capital level of a community.

Social capital assessments present the extent to which a community 'unites' (works closely together) towards a common purpose, thereby indicating to stakeholders the extent to which the community would be 'ready' to take the lead, own and sustain their community development processes. Furthermore, the quadrant graphs indicate which of the social capital or wellbeing needs should be addressed, in which order of priority, to ensure sustainable community development. The respective underlying spider graphs also indicate which of the dimensions require priority attention (pull factors) and which of the wellbeing and social capital factors could be used as assets (push factors) in the community. This is to ensure successful processes towards wellbeing improvement.

## **5.7. Conclusion**

The survey of the two Western Cape communities established the data needed to assess their 12 wellbeing and 6 social capital dimensions. The fieldwork by which this was achieved demonstrated that the proposed study wellbeing assessment model is viable and meaningful in community development. It demonstrated also that it can be easily driven within the community. This result could now enable communities to themselves take the lead in the design,

implementation and processing of their own community wellbeing development, in partnership with external service providers. This study has demonstrated that the proposed assessment model (presented in chapter three), with its related data presentation tools (presented in this chapter and chapter four), can provide the wellbeing and social capital data needed by communities to apply towards enhancing their quality of life. This they can themselves now do, with their acquired skills obtained from the training in the wellbeing model and its tools (spider and quadrant graphs).

Chapter six summarises the research study rationale and purpose, the progressive understanding of the values of community wellbeing development, together with the outcomes and lessons learned in light of its purpose of presenting a community level wellbeing model that could be 'insider' (community) led in partnership with service providers and other stakeholders ('outsiders').



## CHAPTER SIX

### **Study Conclusions and Recommendations for Further Research.**

*Never doubt that a small group of thoughtful, committed citizens can change the world. Indeed, it is the only thing that ever has. (Margaret Mead)*

#### **6.1. Introduction**

The goal of the study appeared simple: to measure the levels of community wellbeing and social capital, using existing validated wellbeing and social capital questionnaires. This method would inform the finalization of an easy to use analytical community level wellbeing assessment model.

The goal of the study appeared simple: to measure the levels of community wellbeing and social capital, using existing validated wellbeing and social capital questionnaires, to inform the finalization of an easy to use analytical community level wellbeing assessment model. The purpose of the study was, however, more complex. It needed to develop a model that provides community wellbeing and social capital profiles that could be used at community (micro) level, and which could be kept up to date and interpreted by community members themselves. This was so that they could utilize the model when establishing insider-outsider partnerships towards their wellbeing enhancement processes. Accordingly, the implicit intention was to provide an alternative to the discredited top down 'silo' community profiling by different stakeholders in the same community ('over-profiling'). An outsider perspective and a sector specific focus (e.g. a specific public-sector department), which does not represent community determined interests, is no longer desirable. Community led and owned integrative 'insider-outsider' partnerships are required. This is what could enable processes towards wellbeing improvement, parallel and aligned with national, regional and international development drivers.

This chapter puts forward the prominent exploratory descriptions aligned to the study purpose and its broad objectives. This purpose is inclusive of the observations and conclusions derived from the study outcome, which resulted in

the finalization of the proposed community level wellbeing assessment model. This model was designed for establishing 'insider-outsider' community development partnership processes towards wellbeing enhancement.

## **6.2. Revisiting the Study Objectives: Key Observations and Conclusions**

The study achieved three broad objectives: i) conceptualizing wellbeing measurement based on a literature review; ii) conducting a survey in communities to contextualize wellbeing for profiling towards alignment with national and international wellbeing profiling; and iii) developing an integrated community level wellbeing assessment model. This model would support an 'insider-outsider' approach for the design, implementation and evaluation of community development processes towards improved wellbeing. These achieved objectives collectively contributed to addressing the problem statement of the study.

### **6.2.1. Study Problem Statement and Purpose**

The problem statement (in chapter one) presented the lack of a community level wellbeing conceptualization and measurement that is meaningful, integrated, multidimensional and community led. This lack was compounded by the element of community wellbeing that has so far mostly been measured from a liberal perspective; i.e. the 'outsider-expert' macro level statistical modelling assessment approach. The need for assessing the influence of social capital in the achievement of improved community wellbeing was also highlighted.

Subsequently, a need arose for community wellbeing assessments and processes to include a more 'radical' approach, to achieve an 'insider-outsider' partnership approach for community development. This would be a partnership for community led integrative ('insider-outsider'), multi-dimensional (wellbeing and social capital) and multi-level (micro- to chrono levels alignment) wellbeing enhancement. Such enhancement should be presented in a quantitatively justified measure, representative of the micro (community) level and aligned with the chrono (global) level of wellbeing dimensions and indicators.

The problem statement thus brought about the purpose of this study. This purpose was to develop a community level wellbeing assessment model that could support the 'insider-outsider' partnerships in developing, implementing and evaluating community development processes towards wellbeing enhancement. These processes would be based on community led and community owned partnership principles. Such a model should present profiles conceptualized with and owned by the communities. These profiles would present data sets reflecting community financial, infrastructural, human and social capitals (i.e. clusters of the measurement dimensions and indicators) These clusters would bring together the relational character of those capitals, along with the influence of social capital on the community development processes. Data sets should represent their alignment potential, by the resemblance between these dimensions and indicators with national, regional and international drivers for wellbeing improvement. The study purpose therefore required a comprehensive literature review of theories, indexes, indicators and approaches for wellbeing assessment and enhancement that could inform the development of the proposed wellbeing model in this study.

#### **6.2.2. Study Objective 1: A literature review of wellbeing measurement conceptualization**

The first objective asked the exploratory question: *“What are the macro level wellbeing and social capital assessment factors to be considered for an aligned micro level wellbeing assessment?”* The answer was obtained in a conceptualized notion of integrative and multi-level wellbeing measurement (dimensions, indices and indicators). This notion was founded on the theoretical discourse of socio-ecological systems theory proposed for community development and its related approaches, that should be 'insider-outsider' driven to ensure sustainable community wellbeing enhancement.

The results achieved by objective one were presented in chapters two and three of this thesis. Chapter two also provided exploratory evidence for proposing an 'insider-outsider' partnership in a socio-ecological system theory context for community development wellbeing measurement. The exploratory evidence

defined the dimensions, indices and indicators, required for the planning, implementation and evaluation of processes towards wellbeing enhancement. Chapter three provided more descriptive evidence on the 12 dimensions for sustainable wellbeing measurement at macro level. This evidence was inclusive of its capitals (pentagon) link with the micro level participatory methods of Asset Based Community Development (ABCD) and the Sustainable Livelihoods Approach (SLA). More specific evidence was provided for adding a six-dimension social capital assessment to the wellbeing dimensions. This addition was in order to justify the proposal, made by this study, to not only measure wellbeing but to also measure social capital and its relational influence on wellbeing enhancement.

Integration of the social capital and wellbeing measurements, addressed in objectives two and three of the study, is discussed in sections 6.2.3 and 6.2.4 below.

#### ***6.2.2.1. Theoretical discourse for an 'insider-outsider' development approach to wellbeing enhancement***

Following the pre-war structuralist tradition of theoretical paradigms, this discourse presented the modernisation theory inspired by the Marshall Plan that followed World War II. This theory, applied during the 1950s and 1960s, emphasized modernisation and technology transfer in a period dominated by the economic development policies associated with the positivist paradigm. These two decades were characterized by top-down blueprint approaches. In these approaches development was measured against the country's economic growth and the related responsibility of the state. Little or no attention was given to the priorities of poor people and the lives they lived.

More radical social agendas, derived from the liberation struggles, were presented in the 1970s and 1980s. This was a period of 'questioning' that shifted the main focus of development towards basic needs, redistribution of growth and the political economy of agrarian change. Domestic economies were opening up to international trade and the power of the state was

decreased. However, developing countries suffered increased poverty, exclusion and inequality, which gave rise to the dependency theory as a critical response by the global South to the modernization theory. Dependency theorists do not see underdevelopment as a product of internal deficiencies, but rather as a result of capitalism, where developed countries benefited at the cost of the developing countries.

Since the 1990s the focus has shifted to applying participatory, human centred, integrative and sustainable development towards poverty eradication. Poor people are no longer regarded as 'consumers of services', but rather as citizens with economic and social rights. This has led to the focus on wellbeing and social capital as the main constructs for measuring Quality of Life (QOL), thus representing development progress from a bottom-up perspective.

In summary, the pre-war structuralist tradition of theoretical paradigms was followed by modernization theory in the 1950s, then neo-liberalism in the 1970s, which continuously influenced development practice. This led to the participatory, people centred approaches from the 1980s until now, thereby representing the development approaches classification split of liberal (top-down and 'outsider') contra-radical (bottom-up and 'insider') approaches to development. This study argued for an 'insider-outsider' approach to development by combining the radical and liberal approaches. Development depends on a partnership between insiders (communities at micro level) and outsiders (e.g. service providers and stakeholders at meso-exo levels). These are levels where communities must lead and own their development processes, albeit in collaboration with the outsiders. This collaboration calls for collective planning, implementation and evaluation of the community development processes towards enhanced wellbeing. These 'insider-outsider' wellbeing enhancement processes should align with national, regional and international development drivers (macro-chrono levels) for wellbeing enhancement. The micro- to chrono levels of community development, linked to respective stakeholders, provided evidence in support of proposing a socio-ecological

systems theory as the theoretical context against which the proposed integrative wellbeing model from the study could be developed.

#### **6.2.2.2. Socio-ecological systems theory and wellbeing measurement**

Socio-ecological systems theory emphasizes the need to contextualize human development within its contextual 'relationships' of a bigger system. Consequently, it is of significant value for profiling community wellbeing, since it indicates the factors contributing towards the current wellbeing status in relation to the predictive achievement of wellbeing improvement in the future. Thus, it contributes towards insight into the 'push' and 'pull' factors that affect community development, together with the levels of involvement by 'insiders' and 'outsiders' in wellbeing enhancement. Accordingly, the five system levels were included in the proposed wellbeing model. These five levels were in addition to the model's alignment qualities with; i) the levels at which social capital is enacted; and ii) the manner in which participatory approaches for community development are applicable. These are approaches such as the ABCD and the Sustainable Livelihoods Framework (SLF), which assess and present the 'push-pull' factors. They are inclusive of their mobilization qualities, which effect and affect community development processes towards achieving improved wellbeing. This socio-ecological systems theory integration is presented in the proposed wellbeing assessment model.

The micro ecosystem relates to the needs or factors (i.e. dimensions and indicators) that influence wellbeing. It furthermore involves the experience patterns of activities, social roles and interpersonal relations (i.e. social capital) between the physical, social and symbolic contexts of groups (e.g. individuals, friends, community members and citizens).

Meso ecosystems are made up of linkages and processes that take place between two or more settings (i.e. 'bridging' in social capital: families and communities) They thereby represent a system collection of micro systems. In the context of the proposed wellbeing model, they relate to the wellbeing dimensional indicator of relationships (i.e. associations) and the access of

communities to these dimensions, in order to utilize one as a 'push' factor to improve the 'pull' factor dimensional indicators. For example, access to food is interrelated with money for purchases, which in turn depends on access to a job, in turn linked with education, where access to transport influences access to food, jobs and education. These interrelationship (association) aspects are addressed in this study by presenting the community wellbeing profiles in spider graphs, which indicate the dimensional associations in an integrative manner.

The exo ecosystem consists of the linkages and processes that are taking place between two or more settings (institutions), and over which there is little or no control. These settings are, for example, governmental, political, economic and religious systems (i.e. norms and values within social capital) that 'govern' or 'regulate' communities. The proposed model in this study indicated the exo level as the level of national ('outsider') development processes of the state towards wellbeing enhancement.

Macro ecosystems represent the overarching pattern of the micro to exo ecosystems, characterized by belief systems, bodies of knowledge and customs within the life course options available for societal betterment. There is thus a direct link between the macro system and the structural and cognitive manifestations (discussed in chapter three) of social capital. These manifestations involve trust and bonding, associated with community participation, citizenry, unity and membership in organisations representing a common purpose towards wellbeing enhancement. The influence of the social capital manifestations was included as an aspect of measurement in this study, thereby contributing to the design and finalization of the proposed community level wellbeing model.

The chrono ecosystem level represents change or consistency over time. As a system level it is especially relevant in the context of assessing regional and international life course contexts (i.e. regional and national drivers for development, such as the AU Agenda 2063 and the UN Sustainable Development Goals). This relevance is more so regarding developed,

developmental and underdeveloped countries. This links back (cyclically) with the influence or change that could be brought about by meta-critical development theories (discussed above) in development approaches towards wellbeing improvement.

### **6.2.2.3. *Community development and its approaches to wellbeing enhancement***

Community development, by definition, has gone through several changes since the 1960s. The related literature presented a debate between standard and comprehensive definitions. This debate highlighted commonalities regarding 'community', which relates to a 'group' and its 'identity', and 'development', which should address economic, physical, environmental and social matters. Furthermore, scholars from both types of definitions agree that 'the community' is key to understanding social wellbeing and development change towards improved wellbeing.

Community wellbeing improvement has received a rapid increase in attention over the past 25 years. This increased attention is due to more and more democratic governments seeking to maximise socio-economic development with their progressive social development policies. This changing development approach indicated a state role transformed from 'needs satisfying' to 'facilitating'. This transformed role is one example of the influence of the macro theories and their influence on the role, approach and policies of the state with regard to development and sustainable wellbeing. Development theory and practice have moved far over the past 70 years, from its liberal 'top-down' approach to its radical 'bottom-up' approach, with 'participation' becoming an explicit key factor within the radical approach. 'Participation' has moved from its earlier citizen obligation to that of today's primary right of citizenship, resulting in the current theories and approaches which focus on the political as well as the social factors. Community participation is central to radical community development approaches. The related literature highlighted the importance of ensuring that both 'insiders' and 'outsiders' should have the capacity and willingness to engage in joint (participatory) processes towards community



wellbeing enhancement. Policy makers, service providers, communities, groups and individuals are collectively needed to work towards wellbeing achievement.

#### ***6.2.2.4. Wellbeing measurement and participatory assessment approaches***

Since the start of social indicator research in the 1960s, there have been several successors to modern social indicator research. The 'Social Indicator Movement' officially started in 1970, predominantly with traditional economic measures. This was when the Organisation for Economic Cooperation and Development (OECD) started its programme of social indicator measurement. This was at the same time as the Social and Economic Council of the United Nations started the 'System of Social and Demographic Statistics' project and the 'Quality of life Cities Report' of Australia, with several other countries following suit. Since the 1990s QOL measurement went beyond the traditional economic measurement, as it now included the broader conceptual link with sustainable wellbeing development. Sustainable development assessment involves 5 dimensions (similar to the 'capitals' referred to by the participatory approach scholars of ABCD and SLA) for wellbeing measurement, namely: human, physical, financial, natural and social, thereby representing an inclusive measurement of wellbeing.

Macro level wellbeing assessment involves advanced statistical analyses thereby, being in the 'outsider expert' domain of measurement. As this study proposed an 'insider-outsider' approach for community development processes that are community driven and owned, this approach would require simplification of the quantitative assessment of community wellbeing. Thus, the literature review incorporated a closer examination of the OECD wellbeing measurement framework, as one of the leading global macro-chrono level wellbeing assessment frameworks. It is subscribed to by many countries all over the world, including South Africa.

The model framework presents 11 dimensions, each with respective indicator sets based on global standards for wellbeing measurement of the 5 dimensions (capitals). This thus represents both an objective and a subjective measurement of wellbeing. Although the wellbeing dimensions provide a national, even global, measurement (i.e. at macro and chrono levels) for QOL (i.e. wellbeing). Meanwhile, many changes towards improving wellbeing are required at local community (micro) level. Community wellbeing dimensions assessment is needed to assist communities with developing a better understanding of where they are (wellbeing status) in relation to their own ability and capacity (social capital status) for wellbeing achievement. This understanding signifies an 'insider' perspective, instead of the 'traditional' outsider perspective of wellbeing measurement.

This study aimed at presenting micro (community) level sustainable wellbeing dimensions and respective indicators for measurement (aligned with the OECD macro-chrono level framework). These dimensions are consistent with one another, and are measured in an inexpensive, integrative and participatory manner which is simplistic. It can be community ('insider') driven and owned. This is contrary to the macro level wellbeing assessment which involves advanced statistical analyses, thereby being in the 'outsider expert' domain of measurement. In addition, a more intentional assessment of social capital (i.e. one of the five capitals required for sustainable wellbeing) for measurement was proposed by the study to provide a relational assessment regarding the influence of social capital on wellbeing enhancement and achievement. The literature review presented the following 6 overall main dimensions for social capital measurement: i) groups and networks; ii) trust and solidarity; iii) collective action and cooperation; iv) information sharing and communication; v) social cohesion and inclusion; and vi) empowerment and political action. These dimensions represent the key manifestations of social capital, as indicated in the next section (section 6.2.2.5) which presents the relational influence between social capital and wellbeing.

The community level relational assessment of social capital and wellbeing is best illustrated with the ABCD and the SLA, which are both participatory methods for development. This not only follows a people-centred and people-driven approach, it also incorporates the community capitals (assets) and the 'push-pull' relationship between them. The literature review assessed these two participatory methods with regard to their origins (1980s: ABCD, SLA: 1990s), application principles, and the critique regarding their shortcomings as well as the similarities between these two methods. The purpose of such an assessment was to integrate the most critical components of these two methods. This was in an attempt to also address their two main integration shortcomings in the proposed community level wellbeing assessment model of this study (i.e. ABCD not being linked to the impact of development at exo-macro levels; SLA being too complex for insider micro level application).

The literature review results of the ABCD and SLA participatory methods indicated that both approaches emphasize 'capitals' (assets) and participation, which are both dependent on 'access'. However, the two approaches differ. SLA is seen as being a predominantly 'outsider' quantitative top-down approach, due to its complex nature which requires an advanced skills set for application at community level. ABCD is seen as being mostly applied in a qualitative manner at micro level only by the community, with little integration in the other socio-ecological system levels. This study proposes an 'insider-outsider' participatory approach aligned with the socio-ecological system levels. The result is the integration of the benefits of the ABCD and SLA participatory methods into the proposed simplistic quantitative community level wellbeing model with a concurrent attempt to address their shortcomings.

#### **6.2.2.5. *The relational influence between social capital and wellbeing***

The detailed literature review on social capital indicated the exponential attention that it has received for the past two decades, inclusive of its leading contemporary authors: Bourdieu, Coleman and Putnam. The social capital focus of these three authors could be related to specific systems theory levels and focus areas. Bourdieu focused at micro level on the ties, friendships,

associations, membership and citizenship of individuals or class factions. Coleman's focus was directed at the micro-meso levels assessing expectations, mobility and associations of families or communities. Putnam focused on the meso- to macro-levels assessing voluntary membership in organisations, participation in voting and newspaper readings (information sharing and communications) of communities and citizen of a country.

The focus of social capital relates to the community networks and associations in society, representing a structural and cognitive manifestation of social capital. This focus is especially important as it relates to the network on which one can 'draw' for wellbeing enhancement. It thus relates to the extent to which one would be able to depend upon, have control over, access to, participation in and influence over the system level networks. The network is founded on norms and values, which in turn require trust and equal sharing for people to work successfully towards a common goal, such as wellbeing enhancement.

The structural manifestation feature of social capital relates to 'collective action' by people for mutual benefit to the members of a group (i.e. community). It requires a deeper understanding and focus on the roles, rules and procedures that members of the group adopt. These structural features were included in the study questionnaire, in sections 10 to 13 (see Table 8 in chapter four and the study questionnaire Annexure 1). The cognitive manifestation focuses on the norms, values and attitudes of group members. This affects the extent to which the group (e.g. community) remains 'united' when taking collective action towards a common goal. All of this in turn influences the structural aspects of social capital. Hence, the value of the networks, ('bridging' and the 'bonding') between group or community members that is strongly associated with 'trust'. This is what needs closer investigation in wellbeing research. The bonding and bridging aspects of social capital were included in the survey questionnaire (see Table 8 and sections 8, 9 and 12 in chapter four, as well as the study questionnaire in Annexure1). Additionally, inclusion of the social capital manifestations in the wellbeing survey questionnaire ensured that data results were included in the quadrant graph diagram (a tool of the wellbeing model for

this study). This tool indicated the relational influence between social capital and wellbeing (see data results in quadrant diagram graphs 1 and 2 in chapter five).

The literature review findings therefore contributed to the finalization of the survey instrument. More importantly, the review justified the importance of paying specific attention to social capital and its relational influence on wellbeing. Collectively this resulted in the conceptualization of the proposed study model. Operationalization of the proposed model, for measuring wellbeing, social capital and their relational influence on community development processes, ensured the achievement of objective two of the study.

### **6.2.3. Study Objective 2: A descriptive sample survey for integrative community level wellbeing and social capital contextualization**

Study objective two asked the following descriptive research question: *“What is the status of community wellbeing and its relationship with social capital levels when measured from a community led perspective?”* This study objective was achieved with the operationalization of the descriptive sample survey. This was presented in chapter four, and its data results, presented in chapter five, which collectively provided the evidence needed for achievement.

Chapter four provides the evidence for methodological procedure to be followed for the operationalization of community level wellbeing and social capital assessment. This is inclusive of their relational influence and effects on ‘insider-outsider’ partnership processes towards wellbeing enhancement. Chapter five presents the evidence for the community wellbeing and social capital levels. These levels are then integrated to present the relational influence of social capital and wellbeing (i.e. community level profiling) that could be employed in ‘insider-outsider’ partnership community development processes. Data results were further applied towards achieving the third objective of the study, discussed below in section 6.2.4., that could contribute (push factors) towards their improvement.

### **6.2.3.1. Study research methodology**

The study is classified within the quantitative paradigm and applied a survey design. This was done to keep within the literature review results, which indicated survey design as the method of macro level wellbeing assessments, but which used complex statistical modelling for data analyses. The simplification of conducting a survey and analysing its collected data was an aim of this study, in order to keep within its overall purpose of providing a model for wellbeing measurement that could be community led and owned. This meant that communities ('insiders') and end users ('outsiders') should be able to sample, collect and capture data and carry out data result interpretations, which in the case of this study involved integrative interpretations. The decision was therefore made to conduct a descriptive sample survey, in order to not only assess the practicability of the proposed wellbeing model but also the likelihood of developing a simplified survey methodology. For this purpose, the research setting only included one urban (240 respondents) and one rural community (240 respondents) from the Western Cape Province in South Africa. Thus, the survey results are only from a limited report base, not a generalized report based on the entire population (i.e. district and municipality) from which the sample was drawn.

This descriptive sample survey design followed a standardized 'language' to describe the procedures of sampling, the questionnaire administration, data capturing and analyses, but with the exception that this survey method was applied on a small scale. A key advantage of this small-scale application, however, was that relevant to the purpose of this study it could be readily repeated in different urban and/or rural locations at the same time, or at differing intervals of time. This could allow for a manageable spread of resources (skills, money and time) and, as in the case of this study, capacity building for operationalization. This could contribute to future continuous extended roll-out.

The explicit stratified sampling method applied in this study was the first aspect of the survey methodology that received attention with the aim of simplification. Proportionate explicit stratified sampling was used, because this method aims to match, as far as possible, the profile of the sample with that of the population,

towards achieving more precise estimates. However, due to the small sample size of this study (480 participants), further research would be required into the benefits and applicability of this sampling method when the proposed wellbeing measurement model is applied on a national scale.

The study made use of (and recommends for future research) Wazimaps for the first level of stratification sampling. This method of selecting the provincial regions, their respective local authorities and wards, was then applied to the second sampling stratification level involving the respective community or town that formed part of the study. Postal codes were used as the primary community 'boundary' indicator (i.e. second stratification level). This ensured a more 'static' boundary factor, when considering that the ward demarcations for local municipal elections most often change with the five-yearly elections.

A stratification level table (see example in Table 5, chapter four) was developed, representing the stratification levels of the sampling method with Wazimaps and the postal codes. It was used during the training and could also serve as a future resource when more and/or larger community level wellbeing measurement surveys are conducted.

The third and last stratification sampling level involved selection of the study participants (respondents) from the selected communities in relation to their community population size. This was also retrieved from Wazimaps and is indicated in the example table tool. This then represented the recommended three age categories (youth (16-34); adult (35-54); senior (55+)) in their respective gender (male and female) categories, from the two participating communities (urban and rural). The population size of the selected communities indicated a sample selection of 240 respondents for each community in 10-member groups, in their three age categories, for the data collection method proposed in this study; this was a further saving of resources. A total of four 10-member groups (i.e. 40 respondents in each group) was sampled for each of the three age and two gender categories (i.e.  $240 = 120$

males and 120 females) from each of the urban and rural communities selected (i.e. a total sample of 480).

The aim with the study sampling was to develop a sample frame procedure that could be applied and administered between 'insider-outsider' partners, in so far as available resources allowed (i.e. research skill, money and time). The community leaders and the fieldworkers, responsible for the respondent selections and responses, all reported that they ('insiders' and 'outsiders') were able to apply the suggested sampling method of the study. This was due to its simplicity, the training they received on Wazimaps, and the application of the sample frame stratification table tool.

A structured questionnaire was developed. This was derived from the existing validated wellbeing and social capital questionnaire templates of the World Bank data base for Living Standards Measurement Surveys (i.e. QOL surveys), and from the Social Capital Surveys. The questionnaire consisted of 13 Sections: Sections 1 to 7 dealt with the wellbeing assessment, representing the 12 dimensions of wellbeing applied in this study; Sections 8 to 13 assessed social capital in accordance with its 6 dimensions for measurement. The questionnaire was administered by fieldworkers and their supervisors trained by the researcher when they attended the survey operationalization meeting. This included the sampling, data collection and analyses methods which contributed to ensuring that the proposed study model would be community owned and driven.

Data collection training included both completion of the structured questionnaire and the facilitative group approach. This approach was proposed in this study to further address research resource demands (skills, money and time), as well as to further align with the participatory and collective method proposed by the study. The approach was similar to an approach followed in Albania and the United Kingdom (UK), several years ago, with their Living Standards Measurement Surveys. The facilitative group approach makes use of a facilitator who completes a survey questionnaire on behalf of the (in this case)



10 members (respondents) in a group. A question is posed and the group agrees on a collective answer (response). The advantages of this approach are that the respondents can collectively reflect on the questions and their answers, whilst it saves time and money to collect the data. The challenge with the approach, however, is that it requires good facilitation skills with, for example, group dynamics.

This study also included space in the questionnaire for second and third opinions (not used in the Albanian or UK questionnaires), so that the group of respondents did not necessarily have to come to a collectively agreed answer (see the questionnaire: Annexure 1). However, none of the questionnaire responses in this study needed second and third options.

Data processing and analyses were also done by the trained research fieldworkers and supervisors, continuously contributing towards, and ensuring achievement of the study purpose. Additionally, a custom designed Microsoft Excel book application was developed, representing the 13 sections of the survey questionnaire and their questions, to allow community members to administer and analyse their self-collected survey data. Questionnaire data analysis was by descriptive statistical analyses and was presented in the spider graphs and consolidated quadrant diagram graphs in chapter five. This type of data presentation relates to the third objective of the study.

#### **6.2.4. Study Objective 3: Community level wellbeing assessment model finalization: Lessons learned and recommendations for further research**

This study objective was achieved with finalization of the integrative community level wellbeing assessment model with the data results (presented in chapter five) of the descriptive sample survey. This was then integrated with the proposed conceptual model (presented in chapter three). Chapter five presented the data results for the wellbeing and social capital levels of each participating rural and urban community in spider graphs. These graphs indicated the respective community integrative wellbeing and social capital profiles respectively. The profiles were then consolidated in the quadrant

diagram graphs to present the relational influence of wellbeing and social capital. This in turn could assist 'insider-outsider' partners with their conceptualization, planning, implementation and evaluation of processes towards wellbeing enhancement.

#### **6.2.4.1. Wellbeing and social capital dimensional assessment**

The wellbeing and social capital levels of the participating communities were (as also indicated above) assessed against the 12 wellbeing and 6 social capital dimensions derived from the literature review. They were presented in the spider graph data consolidations to indicate their respective wellbeing and social capital profiles. These spider graph presentations assisted with the overall graphical wellbeing and social capital status profiles. The profiles indicated the quantitative status level for each dimension relative to wellbeing and social capital, as well as the relational association of the respective dimensions with each other. As a result, they assisted with prioritization of the dimensions of wellbeing and social capital respectively with regard to which dimension/s need attention (low score: pull factors) and which could be used as assets (high score: possible push factors). The priority sequences of the scores of each dimension in each spider graph were linked in a 'pointed circle' of positive (inner) and negative (outer) relationship positions. This indicated how two or more inter-related dimensions could affect each other in a positive (push) or negative (pull) manner.

The survey instrument further allowed for wellbeing and social capital data to be presented in quadrant diagram graphs to indicate their respective relational association.

#### **6.2.4.2. Relational association between social capital and wellbeing**

Achievement of objectives one and two provided evidence that highlighted the importance of integrating wellbeing with social capital. The resultant study aim achieved was that of providing a quadrant diagram graph tool with which to present the relational association between social capital and wellbeing. The spider graphs and quadrant diagram graphs are both tools in the model

proposed in this study. Whilst the spider graphs represent the wellbeing and social capital scores of the individual community groups (by age and gender), the quadrant diagram graph tool combined the total wellbeing and social capital scores.

The method of integrating wellbeing with social capital was based on the 'cross-over point' between the total scores results of wellbeing and social capital. The aim, again, was to keep the method simplistic. This ensured that this tool also contributed to the overall purpose of the study; a community led and community owned process of community profiling. The point at which wellbeing crosses over to social capital (the 'cross-over point') from one side to the other of the quadrant graph may fall either within the upper (higher) or bottom (lower) half of the diagram. Taken together with an either outer line (most challenging) or centre line (least challenging) position, this cross-over point would indicate the extent to which challenges will have to be overcome in structuring the processes towards wellbeing enhancement. The wellbeing and social capital scores, indicated in the quadrant graph therefore show which of the two would need the most 'attention' (total score) in relation to the extent of the challenges to be faced (outer or central line position), when they are addressed for the purpose of wellbeing enhancement.

This wellbeing to social capital relational association could contribute towards 'insider-outsider' partnerships designed for wellbeing improvement. This contribution derives from the communities ('insiders'), as well as the private and public stakeholders ('outsiders'), being able to estimate the processes that lie ahead (the push and pull factors). This would be when they conceptualize the wellbeing and social capital status levels in an integrative and relational manner. This, in turn, could assist when the processes towards wellbeing enhancement in a community are conceptualized, developed, implemented and evaluated. Put differently, these quadrant diagram graphs provide the 'insider-outsider' stakeholder partners with a practical evaluation estimate of the extent of the positive chances, or likelihood of success in their planning.

### **6.3. Concluding statement**

Based on the literature review and survey data evidence in the study, and as evaluated in this thesis, it can be asserted that community wellbeing measurement could be community ('insider') driven. It can also be asserted that this wellbeing measurement, which incorporates social capital evaluation, can be achieved by community members. These are members provided with capacity building training and using the simplistic measurement model proposed in this thesis. This measurement model can therefore be used to contribute to participatory 'insider-outsider' partnerships with service suppliers and other external stakeholders. The measurements provided would be used in the conceptualization, planning, implementation and evaluation of processes towards community wellbeing enhancement.

### **6.4. Recommendations for further research**

Further research is recommended using a broader survey base. This further research should test the validity of the findings in this study and the viability of the proposed model in a range of conditions applicable in differing communities, and linked both with a common data base and with national and international drivers. Specific attention should be paid to the effectiveness of the proportionate explicit stratified sampling method and the group facilitative data collection methods. Attention should be paid also to the applicability of the measurement model's integrative spider graph and quadrant diagram graph tools for data analysis and conceptualization. The extent to which application of these graph tools could be extended in country, regional and international contexts merits close investigation.

## BIBLIOGRAPHY

Acharya, A. 2004. A holistic paradigm. In Burgess, J.P. & Owen, T. (eds). *Security Dialogue*, 35(3):345-371. Sage.

Adelman, I. & Morris, C.T. n.d. Development history and its implications for development theory: An editorial.

Adjibodou, M. 2012. Understanding development theory in the context of social and community change. *International Advances in Engineering and Technology (IAET)*, 7:488-520, July.

African Union Commission, 2015a. Agenda 2063: the Africa we want. May-2014 Available online. [http://www.nepad.org/system/files/Agenda\\_202063\(20\).pdf](http://www.nepad.org/system/files/Agenda_202063(20).pdf), p.20.

African Union Commission, 2015b. Agenda 2063: The first ten-year implementation plan (2014-2023). Addis Ababa: The African Union Commission.

Ahorro, J. 2007. Intersecting human security and post-development theory. Paper prepared for the 2<sup>nd</sup> Annual Graduate Student Symposium. Centre for Foreign Policy Studies, Dalhousie University: Canada, 11 March 2007.

Albania - Living standards measurement survey 2002 (Wave 1 Panel). 2016. Institute of Statistics of Albania. [cited 14 September 2017]. Available from: <http://microdata.worldbank.org>.

Anderson, M.L. & Taylor, H.F. 2004. *Sociology: Understanding a diverse society*. 3<sup>rd</sup> Ed. Canada: Wadsworth – Thomson Learning Inc.

Armstrong, A. & Francis, R. 2003. Social indicators – promises and problems: a critical review. *Evaluation Journal of Australia*, 3 (1):17-26, August.

Babbie, E. & Mouton, J. 2008. *The practice of social research*. Cape Town: Oxford University Press.

Bajpai, K. 2004. An expression of threats versus capabilities across time and space. In Burgess, J.P. & Owen, T. (eds). *Security Dialogue*, 35(3):345-371. Sage.

Bauer, R.A. Ed. (1966) *Social Indicators*. The M.I.T. Press.: Cambridge, London:

Bebbington, A. 1999. Capitals and capabilities: a framework for analyzing peasant viability, rural livelihoods and poverty. *World development*, 27(12):2021-2044.

Berry, P. 2003. Indicator workbook. Tracking our progress: Exploring Ottawa's quality of life indicators. City of Ottawa.

Bhattacharyya, J. 2004. Theorizing community development. *Journal of the Community Development Society*, 34 (2). Routledge: London.

Blair, J.M. & Greene, C.M. 2007. Towards a model Community indicator program: Drawing experience from the construction of the San Diego – Tijuana CIP. *Journal of Business and Public Affairs*, 1 (1).

Boarini, R., A. Kolev and A. McGregor. 2014. "Measuring well-being and progress in countries at different stages of development: towards a more universal conceptual framework", *OECD Development Centre Working Papers*, No. 325, OECD Publishing, Paris.

Bourdieu, P. 2011. Three approaches to social capital. In Gauntlett, D. *Making is connecting: Social meaning of creativity, from DIY and knitting to YouTube and Web 2.0*. Polity Press: [www.makingisconnecting.org](http://www.makingisconnecting.org). Pages 131-133.

Bradsha, T.K. 2008. The post-place community: Contributions to the debate about the definition of community. *Journal of the Community Development Society*, 39 (1). Routledge: London.

Brennan, M.A. & Brown, R.B. 2008. Community theory: Current perspectives and future directions. *Journal of the Community Development Society*, 39 (1). Routledge: London.

Bronfenbrenner, U. 1994. Ecological models of human development. *International Encyclopaedia of Education*, 3 (2). Oxford: Elsevier.

Browett, J. 1985. The newly industrializing countries and radical theories of development. *World Development*, 13(7):789-803. Great Britain: Pergamon Press Ltd.

Bullen, P. 2008. Community wellbeing indicators: Ideas and reflections from a community seminar and workshop convened by the ACT Community Inclusion Board. [susan.helyar@act.gov.au](mailto:susan.helyar@act.gov.au) : Chief Minister's Department, Policy Division.

Cardoso, F.H. 1976. The consumption of dependency theory in the United States. LASA meeting Atlanta.

Cavaye, J. n.d. Understanding community development. Cavaye Community Development.

Chambers, R., 2010. Paradigms, poverty and adaptive pluralism. *IDS Working Papers*, 2010(344):1-57. Brighton: IDS

Chambers, R. & Conway, G. 1992. Sustainable Rural Livelihoods: Practical Concepts for the 21st Century, *IDS Discussion Papers*, 1992(296), Brighton: IDS.

Chen, H.T. 2005. Practical program evaluation. Assessing and improving planning, implementation, and effectiveness. Thousand Oaks, CA: Sage Publications.

Chile, L. M. 2012. International experience of the community development professionalisation: Indicators for South Africa. *Africanus. Journal of Development Studies*, 42(2):42-54. UNISA Press

Chirisa, I., 2009. Prospects for the asset-based community development approach in Epworth and Ruwa, Zimbabwe: A housing and environmental perspective. *African Journal of History and Culture*, 1(2):28.

Christakopoulou, S., Dawson, J & Gari, A. 2001. The community wellbeing questionnaire: Theoretical context and initial assessment of its reliability and validity. *Social Indicators Research*, 56(3):319-349. Springer.

Claridge, T., 2004. Social capital and natural resource management. *Unpublished Thesis, University of Queensland, Brisbane, Australia.*

Clark, J.P. 1990. *Renewing the earth: The promise of social ecology*. Green Print: London. [Cited 5 Feb. 2014]. Available from: <http://.social-ecology.org/1990/01/social-ecology-and-community-development/>

Coleman, J.S., 1988. Social capital in the creation of human capital. *American journal of sociology*, 94:S95-S120.

Cook, J.B. 1994. *Community development theory*. Extension Division, University of Missouri: Columbia.

Cook, M. 2005. The first nations community wellbeing index (CWB): A conceptual review. Minister of Public Works and Government Services, Canada.

Cooke, B. and Kothari, U. eds., 2001. *Participation: The new tyranny?*. Zed books.



Costanza, R., Daly, L., Fioramonti, L., Giovannini, E., Kubiszewski, I., Mortensen, L.F., Pickett, K.E., Ragnarsdottir, K.V., De Vogli, R. & Wilkinson, R. 2016. Modelling and measuring sustainable wellbeing in connection with the UN Sustainable Development Goals. *Ecological Economics*, 130:350-355.

Craig, G.; Gorman, M. & Vercseg, I. 2004. The Budapest declaration. Building European civil society through community development. International association for community development (IACD). UK: Scotland.

Creswell, J.W., 2003. Research design: Qualitative, quantitative, and mixed methods approaches (ed.) SAGE Publications.

Creswell, J. W. 2009. Research design. Qualitative, quantitative and mixed methods approaches. 3<sup>rd</sup> Ed, Sage: Thousand Oaks.

Crewe, E & Harrison, E. 2004. Who's development? An ethnography of aid. London: Zed Books.

Guba, E., & Lincoln, Y. 1994. Competing paradigms in qualitative research. Handbook of qualitative research. Thousand Oaks, CA: Sage.

Davern, M.T., Gunn, L., Giles-Corti, B. and David, S., 2017. Best practice principles for community indicator systems and a case study analysis: How community indicators Victoria is creating impact and bridging policy, practice and research. *Social Indicators Research*, 131(2):567-586. Springer.

De Beer, F., 2012. Community-based natural resource management: living with Alice in Wonderland?. *Community Development Journal*, 48(4), pp.555-570.

De Beer, F & Swanepoel, H. 2000. *Introduction to development studies*. 2<sup>nd</sup> ed. Oxford University Press: South Africa.

DeFilippis, J. 2001. The myth of social capital in community development. *Housing Policy Debate*, 12(4):781-804. Fannie Mae Foundation.

DeGhetto, K., Gray, J.R. and Kiggundu, M.N., 2016. The African Union's Agenda 2063: Aspirations, Challenges, and Opportunities for Management Research. *Africa Journal of Management*, 2(1):93-116.

De Haan, L.J., 2012. The livelihood approach: a critical exploration. *Erdkunde*, pp.345-357.

De Haan, L. and Zoomers, A., 2005. Exploring the frontier of livelihoods research. *Development and change*, 36(1), pp.27-47.

De Haan, L.J. & Zoomers, A., 2006. How to research the changing outlines of African livelihoods. *Africa Development*, 31(4), pp.121-150.

De Satgé, R. 2004. Livelihoods analysis and the challenges of post-conflict recover, in *Supporting sustainable livelihoods: A critical review of assistance in post-conflict situation*, 102. Institute for Security Studies.

DFID (2000): Sustainable Livelihoods Guidance Sheets. Department for International Development. [cited 3 May 2017]. Available from: <http://www.eldis.org/vfile/upload/1/document/0901/section2.pdf>.

Durand, M. 2015. The OECD Better Life Initiative: How's life? and the measurement of well-being. *Review of Income and Wealth*, 61(1):4-17.

Duxbury, N. 2003. Cultural indicators and benchmarks in community indicator projects: Performance measures for cultural investment? Paper prepared for the Accounting for Culture Colloquium for SRA Strategic Policy & Research. Department of Canadian Heritage, November 13-15 2003.

Economic, U.N. and Council, S. 2014. Report of the inter-agency and expert group on sustainable development goal indicators.

Edson, S. 2001. Human security: An extended and annotated international bibliography. Centre for History and Economics: King's College, University of Cambridge: UK. 1 June 2001.

Edwards, R.W. 2004. Measuring social capital: An Australian framework and indicators. Information Paper. Canberra: Australian Bureau of Statistics.

Eloff, I. & Eborsohn, L. 2001. The implications of an asset-based approach to early intervention. *Perspectives in Education*, 19(3):147-158.

Elson, D. & Cagatay, N. 1999. Engendering macroeconomic policy and budgets for sustainable development. New York: United Nations. <http://www.internationalbudget.org/wp-content/uploads/Engendering-Macroeconomic-Policy-and-Budgets-for-Sustainable-Development.pdf> (accessed 4 September 2012).

Emejulu, A. 2011. The silencing of radical democracy in American community development: the struggle of identities, discourses and practices. *Community Development Journal*, 46(2):229-244, April. Oxford University Press.

Ennis, G., & West, D. 2010. Exploring the potential of social network analysis in asset-based community development practice and research. *Australian Social Work*, 63(4): 404-417.

Falk, I. & Kilpatrick, S. 2000. What is social capital? A study of interaction in a rural community. *Sociologia Ruralis*, 40(1):87-110. Blackwell Publishers: Oxford.

Fiol, C.M. & O'Connor, E.J. 2002. When hot and cold collide in radical change processes: Lessons from community development. *Organization Science*, 13(2):532-546, September-October. INFORMS.

Foy, P., Rust, K. and Schleicher, A. 1996. 4. Sample Design. TIMSS technical report.

Fraser, H. 2005. Four different approaches to community development. *Community Development Journal*, 40(3):286-300, July. Oxford University Press.

Friedman, B.D & Allen, K.N. 2011. Systems theory. In Brandell, J.R. (2<sup>nd</sup> ed.) *Theory and practice in clinical social work*. SAGE Publications, Inc.

Fuimaono, R.S., 2012. The asset-based community development (ABCD) approach in action: an analysis of the work of two NGOs in Samoa: a thesis presented in partial fulfillment of the requirements for the degree of Masters of Philosophy in Development Studies at Massey University, Palmerston North, New Zealand (Doctoral dissertation, Massey University).

Ganapati, S. 2008. Critical appraisal of three ideas for community development in the United States. *Journal of Planning Education and Research*, 27:382-399. Sage.

Gaynor, N., 2013. The tyranny of participation revisited: International support to local governance in Burundi. *Community Development Journal*, 49(2), pp.295-310.

Goulet, D. 1996. *A new discipline: Development ethics*. Working paper #231, Kellogg Institute, August. England: MCB University Press.

Graczyk, J. 2002. Social capital and social wellbeing. Discussion Paper. Commonwealth of Australia: Australian Bureau of Statistics.

Greenwood, D. 2001. Local indicators of quality of life: A preliminary look at the Pikes Peak region introduction. Center for Colorado Policy Studies.

Green, G.P & Goetting, A. 2010. Community assets: building the capacity for development. In G.P. Green & A. Goetting (Eds.), *Mobilizing communities: Asset building as a community development strategy* (pp.1-13). Philadelphia: Temple University Press.

Grootaert, G., Narayan, D., Nyhan Jones, V. and Woolcock, M., 2004. Measuring Social Capital: An Integrated Questionnaire. *World Bank Working Paper*, No. 18, The World Bank, Washington, DC.

Grosfoguel, R. 2000. Developmentalism, Modernity, and Dependency Theory in Latin America. *Nepantly: views from South*, 1(2):347-376. Duke University Press.

Gupta, J. & Vegelin, C. 2016. Sustainable development goals and inclusive development. *International environmental agreements: Politics, law and economics*, 16(3):433-448.

Haines, R. 2000. Development Theory. In De Beer, F., & Swanepoel, H. *Introduction to development studies*. Oxford: Oxford University Press.

Hák, T., Janoušková, S. and Moldan, B. 2016. Sustainable Development Goals: A need for relevant indicators. *Ecological Indicators*, 60:565-573.

Hakim, C. 2000. Research design, successful designs for social and economic research. London: Routledge.

Hall, I & Hall, D. 2004. Evaluation and social research: introducing small-scale practise. New-York: Palgrava Macmillan.

Hart, C.S. 2012. Professionalisation of community development in South Africa: Process, issues and achievements. *Africanus. Journal of Development Studies*, 42(2):55-66. UNISA Press.

Hickey, S. & Mohan, G. 2005. Relocating participation iwthin a radical politcs of development. *Development and Change*, 36(2):237-262. Blackwell Publishing.

Hipwell, W.T. 2009. An asset-based approach to indigenous development in Taiwan. *Asia Pacific Viewpoint*, 50:289-306.

Hitt, A, Ho-Uk L., & Emre, Y. 2002. 'The importance of social capital to the management of multinational enterprises: Relational networks among Asian and Western firms." *Asia Pacific Journal of Management* 19: 353.

Hubert, D. 2004. An idea that works in practice. In Burgess, J.P. & Owen, T. (eds). *Security Dialogue*, 35(3):345-371. Sage.

Hulme, D. & Toye, J. 2006. The case for cross-disciplinary social science research on poverty, inequality and wellbeing. *Journal of Development Studies*, 42 (7):1085-1107.

Hussein, K. 2002. Livelihoods approaches compared: A multi-agency review of current practice. DFID & ODI: Finesse Print.

Jensen, F. 2006. The practice of human security theory. A case study of US and EU policy in the Middle East and North Africa. *Human Security Journal*, 2, p.35-46. June.

Joshi, S. 2005. Theories of development: Modernisation vs dependency. InfoChange News & Features, January 2005.

Keys, C.L.M. 1998. social wellbeing. *Social Psychology Quarterly*, 61 (2): 121-140.

King, G. & Murray, C.J.L. 2002. Rethinking human security. *Political Science Quarterly*, 116 (4):585-610.

Klinger, J., 2017. A sympathetic appraisal of Cold War modernization theory. *The International History Review*, 39(4):691-712. Routledge: London.

Kramer, N.J.T.A. & de Smit, J. 1977. *Systems Thinking: Concepts and notions*. Leiden: Martinus Nijhoff Social Science Division.

Krathwohl, D.R. 1993. *Methods of educational and social science research*. London: Longman.

Kretzmann, J. & McKnight, J. 1993. *Building communities from the inside out: A path toward finding and mobilizing a community's assets*. Chicago, IL: ACTA Publications.

Krishna, Anirudh, and Norman Uphoff. 2002. 'Mapping and measuring social capital through assessment of collective action to conserve and develop watersheds in Rajasthan, India.' Pp. 85 – 88, 115 – 124 in *The Role of Social Capital in Development*, edited by Thierry Van Bastelaer. Melbourne: Cambridge University Press.

Kusago, T. & Kohei, K. 2009. Potential use of wellbeing indicators for community development in Japan. 3<sup>rd</sup> OECD World Forum, Korea.

La Placa, V. and Knight, A., 2017. The emergence of wellbeing in late modern capitalism: Theory, research and policy responses. *International Journal of Social Science. Studies*, 5 (3):1-11.

Leaning, J. 2004. Psychosocial wellbeing over time. In Burgess, J.P. & Owen, T. (eds). *Security Dialogue*, 35(3):345-371. Sage.

Linowes, R.G., Mroczkowski, T., Uchida, K. & Komatsu, A. 2000. Using mental maps to highlight cultural differences: Visual portraits of American and Japanese patterns of thinking. *Journal of International Management*, 6:71-100. Elsevier Inc.

Littrell, D.W., Littrell, D.P. and Murphy, D.J., 2006. Practicing community development. University of Missouri Extension.

Living Standards Measurement Surveys (LSMS). World Bank. [cited 10 March 2017]. Available from: <http://econ.worldbank.org>

Lyes, C. 1996. *The rise & fall of development theory*. James Currey:Oxford.

Lynn, P. 2016. *The advantage and disadvantage of implicitly stratified sampling* (No. 2016-05). Understanding Society at the Institute for Social and Economic Research.

MacLeod, M.A & Emejulu, A. 2014. Neoliberalism with a community face? A critical analysis of asset-based community development in Scotland. *Journal of Community Practice*, 22:430-450.

Mansuri, G. & Rao, V. 2004. Community-based and –driven development: A critical review. *The World Bank Research Observer*, 19(1):1-39. The international bank for reconstructing and development.

Mathie, A. & Cunningham, G., 2003. From clients to citizens: Asset-based community development as a strategy for community-driven development. *Development in practice*, 13(5):474-486. Taylor & Francis.

Mathie, A. & Cunningham, G., 2005. Who is driving development? Reflections on the transformative potential of asset-based community development. *Canadian Journal of Development Studies*, 26(1):175-186.



Mathie, A., Cameron, J. and Gibson, K., 2017. Asset-based and citizen-led development: Using a diffracted power lens to analyze the possibilities and challenges. *Progress in Development Studies*, 17(1), pp.54-66.

Mazibuko, S., 2013. Understanding underdevelopment through the sustainable livelihoods approach. *Community Development*, 44(2), pp.173-187.

McKay, J. 2008. Reassessing development theory: 'Modernization' and beyond. In Kingsbury, D., McKay, J., Hunt, J., McGillivray, M. & Clarke, M. (eds). *International development: Issues and challenges*. England: Palgrave Macmillan

Midgley, J. & Livermore, M. 1998. Social capital and local economic development: Implications for community social work practice. *Journal of Community Practice*, 5(1/2):29-40. Haworth Press Inc.

Miles, R.L., Greer, L., Kraatz, D. & Kinnear, S. 2008. Measuring community wellbeing: A central Queensland case study. *Australasian Journal of Regional Studies*, 14 (1):73-93.

Milton Keynes Council. 2004. MK: The city that thinks differently, embraces evolution and champions change. Milton Keynes Community Strategy for 2004-2034.

Morse S. & McNamara N. 2013 *The Theory Behind the Sustainable Livelihood Approach*. In: Sustainable Livelihood Approach. Springer, Dordrecht.

Mouton, J. 1996. *Understanding social research*. Pretoria: J.L. van Schaik.

Municipalities of South Africa. [cited 14 November 2017]. Available from: <https://municipalities.co.za/>

National Planning Commission, 2012. National Development Plan 2030: Our future—make it work. *Pretoria: National Planning Commission*.

Neal, J.W. & Neal, P.N. 2013. Nested or networked? Future directions for ecological systems theory. *Social Development* 22 (4):722-737. Johan Wiley & Sons Ltd.

Nel, H., 2017. A Comparison between the Asset-oriented and Needs-based Community Development Approaches in Terms of Systems Changes. *Practice*, 29(4):1-20. Taylor & Frances.

Nel, H., 2015. An integration of the livelihoods and asset-based community development approaches: A South African case study. *Development Southern Africa*, 32(4):511-525.

Newman, E. 2004. A normatively attractive but analytically weak concept. In Burgess, J.P. & Owen, T. (eds). *Security Dialogue*, 35(3):345-371. Sage.

Newman, W.L. 2006. Social research methods, qualitative and quantitative approaches. USA: Pearson.

Noll, H.H., 2002. Towards a European system of social indicators: Theoretical framework and system architecture. *Social Indicators Research*, 58(1-3):47-87. Springer.

Noll, H.H., 2004. Social indicators and Quality of Life research: Background, achievements and current trends. In *Advances in sociological knowledge* (pp.151-181). VS Verlag für Sozialwissenschaften.

Norris, T, Atkisson, A, 1997. *The community indicators handbook: Measuring progress toward healthy and sustainable*. Diane Books Publishing Company.

Organization for Economic and Cooperation Development (OECD. [cited 5 March 2017]. Available from: <http://www.oecd.org/>

O'Leary, T. 2005. *Asset based approaches to rural community development: Literature review and resources*. International Association for Community Development (IACD), UK: Carnegie UK Trust. [cited 3 May 2017]. Available from: <https://resources.depaul.edu/abcd-institute/publications/publications-by-topic/Documents/ABCD-IACDGlobal.pdf>.

OpenUp. [cited 12 November 2017]. Available from: <https://openup.org.za/about.html>

Paris. R. Human security: Paradigm shift or hot air? *International Security*, 26 (2):87-102.

Perkins, D.D.; Crim, B; Silberman, P; Brown, B.B. 2004. Maton, Kenneth I. (Ed); Schellenbach, C.J. (Ed); Leadbeater, B.J. (Ed); Solarz, A.L. (Ed). *Community development as a response to community-level adversity: Ecological theory and research and strengths-based policy*, (Ch.18:321-340) in Investing in children, youth, families, and communities: Strengths-based research and policy. American Psychological Association: Washington, DC, US.

Palma, G. 1978. Dependency: A formal theory of underdevelopment or a methodology of the analysis of concrete situations of underdevelopment? *World Development*, 6:881-924. Great Britain: Pergmon Press Ltd.

Pieterse, J.N. 2010. *Development Theory: Deconstructions/Reconstructions*. 2<sup>nd</sup> ed. London: Sage Publications Ltd.

Prescott-Allen, R. 2006: The structure of a wellbeing index. Evaluation of the proposed structure of the wellbeing index developed for debate at the JRC/OECD workshop, Milano: June.

Pretorius, E. and Nel, H., 2012. Reflections on the problem-based approach and the asset-based approach to community development. *The Social Work Practitioner-Researcher*, 24(2):266-87. UNISA Press.

Protopsaltis, P.M., 2017. Deciphering UN development policies: from the modernisation paradigm to the human development approach?. *Third World Quarterly*, 38(8):1733-1752. Taylor & Francis.

Portes, A. 1998. Social capital: Its origins and applications in modern sociology. *Annual Review of Sociology*, 24(1):1-24.

Portes, A. 2000. The two meanings of social capital. *Sociological Forum*, 15(1):1-12. Kluwer Academic Publishing: Netherlands.

Postalcodez. [cited 17 November 2017]. Available from <http://postalcodez.co.za>

Proscio, T. Measuring community development: An emerging approach to quantifying neighbourhood revitalization. LISC Chicago.

Punch, K.F. 2005. Introduction to social research, quantitative and qualitative approaches. London: Sage.

Putnam, R.D. 1993. The prosperous community: Social capital and public life. *The American Prospect*, 13:35-42

Putnam, R.D., 1995. Bowling alone: America's declining social capital. *Journal of democracy*, 6(1):65-78.

Republic of South Africa. Ministry in the office of the President. National Planning Commission. National Development Plan for Vision 2030. Pretoria.

Republic of South Africa. Parliament of the Republic of South Africa, 1994. White Paper on Reconstruction and Development. Pretoria. Government Printer.

Republic of South Africa. Parliament of the Republic of South Africa, 2004. South African Social Security Agency Act, No. 9. Pretoria. Government Printer.

Rural Development Institute – Columbia. 2013. Social indicators literature review. Developing the Columbia Basin rural development institute's social research pillar. RDI, May 2013. Columbia: USA.

Ribova, L. 2000. Individual and community wellbeing. Stefansson Arctic Institute. <http://www.thearctic.is>

Rostow, W.W. 1990. The stages of economic growth: A non-communist manifesto, 3<sup>rd</sup> Ed. NY: Cambridge University Press.

Salara, N., 2012. Meaning of the term descriptive survey research method. *International journal of transformations in business management*, 1(6):161-175.

Sen, A. 1997. Editorial: Human Capital and Human Capability. *World Development*, 25(12):1959-1961. Elsevier Science Ltd. UK.

Sirgy, M.J., Michalos, A.C., Ferriss, A.L., Easterlin, R.A., Patrick, D. & Pavot, W. 2006. The quality-of-life (QOL) research movement: Past, present and future. *Social Indicators Research*, 76:343-466. Springer.

Small, L.A., 2007. The sustainable rural livelihoods approach: a critical review. *Canadian Journal of Development Studies*, 28(1):27-38. Taylor & Francis.

Smyth, E. and Vanclay, F., 2017. The Social Framework for Projects: a conceptual but practical model to assist in assessing, planning and managing

the social impacts of projects. *Impact Assessment and Project Appraisal*, 35(1):65-80. Taylor & Francis.

Spruill, N., Kenney, C. & Kaplan, L. 2001. Community Development and systems thinking: Theory and practice. *National Civic Review*, 90(1):105-116. John Wiley & Sons Inc.

Stanger, N.R.G. 2011. Moving “eco” back into socio-ecological models: A proposal to reorient ecological literacy into human development models and school systems. *Human Ecology Review*, 18 (2). Society for Human Ecology.

Statistics South Africa. 2017. Financial statistics of national government 2015/2016. Pretoria: Government Printer.

Sukamolson, S., 2007. Fundamentals of quantitative research. Language Institute, Chulalongkorn University. Bangkok: EJTR. [cited 12 Dec 2017]. Available from: <http://www.culi.chula.ac.th/Research/e-Journal/bod/Suphat%20Sukamolson.pdf>

Swain, D. 2002. Measuring Progress: Community indicators and the quality of life.

Swanepoel, H & De Beer, F. 2016. *Community development: Breaking the cycle of poverty*. 6<sup>th</sup> ed. Landsdown: Juta and Co Ltd.

Tadjbakhsh, S. Human Security: The seven challenges of operationalizing the concept. Prepared for “Human security: 60 minutes to convince” – organized by UNESCO. 13-14 September 2005: Paris.

Tabachnick, B. G., & Fidell, L. S. (2000). *Using multivariate statistics*. New York, NY: Allyn & Bacon.

Tamas, A. 2009. *Warriors and Nation Builders: Development and the Military in Afghanistan*. Canadian Defence Academy Press, Kingston: ON.

Tamas, A. 2000. Systems theory in community development. [cited 4 December 2013] Available from: [http://www.tamas.com/samples/source-docs/System\\_Theory\\_in\\_CD.pdf](http://www.tamas.com/samples/source-docs/System_Theory_in_CD.pdf).

Thornley, A. 2007. Developing indicators for local communities: The New Zealand experience. Paper for the Istanbul World Forum – Measuring and fostering the progress of societies, [Abby.Thornley@stats.govt.nz](mailto:Abby.Thornley@stats.govt.nz) , June.

Turner, S., Cilliers, J. and Hughes, B. 2014. Reducing poverty in Africa: realistic targets for the post-2015 MDGs and Agenda 2063.

Tzanakis. M. 2013. Social capital in Bourdieu's, Coleman's and Putnam's theory: empirical evidence and emergent measurement issues. *Educate*, 13(2):2-13.

UN, G.A., 2015. *Transforming our world: The 2030 agenda for sustainable development*. A/RES/70/1, 21 October.

[UN DESA] United Nations Department of Economic and Social Affairs. 2015. World population projected to reach 9.7 billion by 2050. [cited 3 May 2017]. Available from: <http://www.un.org/en/development/desa/news/population/2015-report.html>.

UNESCO. 2008. *Human security: Approaches and challenges*. United Nations educational, scientific and cultural organization (UNESCO). STEDI Media: Paris.

Union, A. 2015. *Agenda 2063: the Africa we want*. *African Union Commission*.

Schutte, D. 2016. UniSearch, community development and research consultants. [cited 11 May 2016]. Available from: [www.unisearch.co.za](http://www.unisearch.co.za).

Vaneeckhaute, L.E., Vanwing, T., Meurs, P., Abelshausen, B. and Jacquet, W., 2017. Community capitals of a Paramaca Maroon village in pictures: a Photovoice study on community resilience in the context of large-scale gold mining. *Community Development Journal*, 52(4):1-21. Oxford Academic: New York.

Veenhoven, R. 2001. Why social policy needs subjective indicators. *Social structure and social reporting*. Social science research centre: Berlin.

Veltmeyer, H. and Delgado Wise, R., 2018. Rethinking development from a Latin American perspective. *Canadian Journal of Development Studies*, 39 (1):1-18.

Vermaak, J. 2009. Reassessing the concept of 'social capital': considering resources for satisfying the needs of rural communities. *Development Southern Africa*, 26(3):399-412. Routledge: London.

Walker, B., Holling, C.S., Carpenter, S.R. & Kinzig, A. 2004. Resilience, adaptability and transformability in social-ecological systems. *Ecology and Society*, 9(2):1-13. The Resilience Alliance.

Waters, S. 2001. Bibliography on human security. Prepared by the Harvard program on humanitarian policy and conflict research. August.

Wazimaps. [cited 12 November 2017 ] Available from: <https://wazimap.co.za/>

Wholey, J.S., Hatry, H.P. & Newcomer, K.E. (eds.) *Handbook of practical program evaluation*. 2nd ed. San Francisco: John Wiley & Sons. Inc.



Wilkinson, K.P. 1991. *The community in rural America*. Westport: Greenwood Press.

Wise, G. 1998. Definitions: Community development, community-based education about the environment. Discussion paper for EPA/USDA Partnership to support community-based education. University of Wisconsin-Extension.

Woolcock, M. & Narayan, D. 2000. Social capital: Implications for development theory, research and policy. *The World Bank Research Observer*, 15 (2):225-249, August.

Ziai, A., 2017. 'I am not a Post-Developmentalist, but...'The influence of Post-Development on development studies. *Third World Quarterly*, 38(12):2719-2734. Taylor & Francis.

## **Annexure 1: Community Wellbeing Questionnaire**

## Introduction

---

Hello my name is ..... an intern at DSD. My supervisors' name is ..... We are conducting a community survey on behalf of the DSD and we are interested in the views of the community members.

Just to give you some background, the information provided by respondents is completely confidential and will help DSD to better understand the wellbeing and social capital profile of this community in order to improve on collaborative approaches with the community towards improved wellbeing.

## For office use – Field staff

---

Questionnaire Number: 

--	--	--	--	--

Interviewer: \_\_\_\_\_

Interview date: 20 yy / mm / dd

Supervisor: \_\_\_\_\_

Date checked: 20 yy / mm / dd

Contact number: \_\_\_\_\_

Name of District: \_\_\_\_\_

Name of Municipality: \_\_\_\_\_

Municipal Ward Number: \_\_\_\_\_

Name of Community: \_\_\_\_\_

The following information must be obtained from every person in the group.

**SECTION 1: GROUP MEMBER CHARACTERISTICS**

Could you please answer a few questions about yourselves before we begin the session?

I D C O D E	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	What is your full name?	RACE	How old are you?	SEX	What position do you have in this community?	How many years have you held this position?	What is the highest grade you have completed in school?  In which level?	How long have you lived in this community?  IF LESS THAN 1 YEAR WRITE "0"
		African 1		MALE 1	ELECTED LEADER 1		NONE 0	
		Coloured 2		FEMALE 2	APPOINTED LEADER 2		7 YEARS PRIMARY 1 1-7	
		Indian 3			TEACHER / PRINCIPAL 3		SECONDARY 2 1-4	
		White 4			COMMUNITY COMMITTEE MEMBER 4		COLLEGE 3 4-5	
		Other, (Specify... ) 5			RELIGIOUS LEADER 5		UNIVERSITY 4 5-7	
					Community member / resident 6		POST-UNIV. 5 8-10	
					OTHER (SPECIFY...) 7			
			YEARS			YEARS	LEVEL	NQF

1		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
2		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
3		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
4		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years

I D C O D E	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)								
	What is your full name?	RACE	How old are you?	SEX	What position do you have in this community?	How many years have you held this position?	What is the highest grade you have completed in school?	How long have you lived in this community?								
									In which level?	IF LESS THAN 1 YEAR WRITE "0"						
											ELECTED LEADER	1	NONE	0		
											APPOINTED LEADER	2		7 YEARS PRIMARY	1	1-7
											TEACHER / PRINCIPAL	3			SECONDAARY	2
											COMMUNITY COMMITTEE MEMBER	4		COLLEGE	3	4-5
											RELIGIOUS LEADER	5		UNIVERSITY	4	5-7
											Community member / resident	6		POST-UNIV.	5	8-10
											OTHER (SPECIFY...)	7				
MALE											1					
FEMALE	2															
YEARS					YEARS	LEVEL	NQF	YEARS								

5		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
6		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
7		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
8		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
9		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years
10		1/2/3/4/5	# years	1/2	1 / 2 / 3 / 4 / 5 / 6 / 7	# years	1 / 2 / 3 / 4 / 5	NQF	# years

**SECTION 2: BASIC CHARACTERISTICS OF THE COMMUNITY**

**Note for the interviewer:** Check that there is consensus amongst the group members with their answers IF No Consensus then please indicate in (...) the answers of those group members that differ from the majority

I would like to start by explaining the area we would like to collect information on, which is the ward and block (street blocks) where you reside. Thus we want you to answer on behalf of the persons and your friends or associates in the same geographical are.

1. How many people do you think live in this community?

NUMBER OF PEOPLE  (...) (...)

2. Since 2012 (in the last 5 years), the number of people in this community has: *(Write selected answer number in pen)*

- 1. Increased 

1
2
3

 (...) (...)
- 2. Decreased 

1
2
3

 (...) (...)
- 3. Remained the same 

1
2
3

 (...) (...)

3. Since 2012 (in the last 5 years), would you say that employment opportunities have: *(Write selected answer number in pen)*

- 1. Increased 

1
2
3

 (...) (...)
- 2. Decreased 

1
2
3

 (...) (...)
- 3. Remained the same 

1
2
3

 (...) (...)

4. Do people in the community work mostly: *(Write selected answer number in pen)*

1. Full-time	1	(...)	(...)
2. Part-time	2	(...)	(...)
3. Seasonal	3	(...)	(...)
4. Unemployed	4	(...)	(...)
5. Other (specify)	5?	(...)	(...)

5. What are the main occupations of people in the community?  
 (Please indicate the **three** most prominent occupations)

1. Legislators, senior officials and managers	
2. Professionals	
3. Technicians and associate professionals	
4. Clerks	1/2/3/4/5/6/7/8/9/10
5. Service workers, shop and market sales workers	1/2/3/4/5/6/7/8/9/10
6. Skilled agricultural and fishery workers	1/2/3/4/5/6/7/8/9/10
7. Craft and related trades workers	(...) (...) (...) (...) (...)
8. Plant and machine operators and assemblers	
9. Elementary occupations	
10. Other, Specify (...)	

6. Let's talk now about the housing conditions in the community. Since 2012 (in the last 5 years), would you say that housing conditions have: *(Write selected answer number in pen)*

1. Improved	1	(...)	(...)
2. Remained the same	2	(...)	(...)
3. Worsened	3	(...)	(...)

7. How would you compare the living conditions in this community with those prevailing in the rest of the Country? *(Write selected answer number in pen)*

1. Much better	1	(...)	(...)
2. Better	2	(...)	(...)
3. Neither better nor worse	3	(...)	(...)
4. Worse	4	(...)	(...)
5. Much worse	5	(...)	(...)

8. How would you compare the living conditions in this community with those prevailing in the rest of the neighbouring communities? *(Write selected answer number in pen)*

- |                             |    |       |       |
|-----------------------------|----|-------|-------|
| 1. Much better              | 1  | (...) | (...) |
| 2. Better                   | 2  | (...) | (...) |
| 3. Neither better nor worse | 3  | (...) | (...) |
| 4. Worse                    | 4  | (...) | (...) |
| 5. Much worse               | 5? | (...) | (...) |

9. What are the major problems affecting this community? *(Write selected answer number in pen)*  
(Please rank the **three** most important problems)

- |                                       |                 |       |       |
|---------------------------------------|-----------------|-------|-------|
| 1. Safety / Crime                     |                 |       |       |
| 2. Substance abuse                    |                 |       |       |
| 3. Water                              | 1/2/3/4/5/6/7/8 | (...) | (...) |
| 4. Electricity                        | 1/2/3/4/5/6/7/8 | (...) | (...) |
| 5. Poor access to health care         | 1/2/3/4/5/6/7/8 | (...) | (...) |
| 6. Poor access to education           |                 |       |       |
| 7. Lack of employment opportunities   |                 |       |       |
| 8. Poor/lack of recreation facilities |                 |       |       |
| 9. Other (specify) _____              |                 |       |       |

10. What do people do for recreation in the community? **YES ... 1 NO ... 2**

- |  |     |       |       |
|--|-----|-------|-------|
| a. Visit friends or family                             | 1/2 | (...) | (...) |
| b. Play sport  | 1/2 | (...) | (...) |
| c. Watch movies or go to the cinema                    | 1/2 | (...) | (...) |
| d. Play computer games or go to the mall to play games | 1/2 | (...) | (...) |
| e. Other (specify) _____                               | 1   | (...) | (...) |



11. Where do people get food in the community?

- |   |     |       |       |
|---|-----|-------|-------|
| a. Mostly grow their own (e.g. at home)             | 1/2 | (...) | (...) |
| b. Mostly bought in the community                   | 1/2 | (...) | (...) |
| c. Mostly grown in the community (communal gardens) | 1/2 | (...) | (...) |
| d. Mostly bought outside the community              | 1/2 | (...) | (...) |
| f. Other (specify) _____                            | 1   | (...) | (...) |

12. Which of the following transport access types are available to the community?  
(YES = 1) (NO = 2)

- |                           |     |       |       |
|---------------------------|-----|-------|-------|
| a. Tarred / paved road    | 1/2 | (...) | (...) |
| b. Gravel                 | 1/2 | (...) | (...) |
| c. Paths (informal roads) | 1/2 | (...) | (...) |
| d. Train                  | 1/2 | (...) | (...) |
| e. Sea or River           | 1/2 | (...) | (...) |
| f. Other (specify) _____  | 1   | (...) | (...) |

13. Let's talk about the roads that are available in the community. In your opinion, since 2012 (in the last 5 years), have the conditions of these..... *(Write selected answer number in pen)*

- |                      |   |       |       |
|----------------------|---|-------|-------|
| 1. Improved          | 1 | (...) | (...) |
| 2. Worsened          | 2 | (...) | (...) |
| 3. Remained the same | 3 | (...) | (...) |

**SECTION 3A: ACCESS TO PUBLIC SERVICES AND PLACES**

**MODULE A: COMMUNITY INFRASTRUCTURE AND TRANSPORTATION**

	(1)	(2)	(3)		(4)	(5)
<b>For each of the following items ask Q.1 to Q.5, then go to next item</b>	Is there a (...) in this community?	How far is the closest (...) to this community?	How much time does it take to go to (...)?		By what mean of transportation?	How much does it cost (one-way) to go to (...) with?
	YES 1>> NEXT LINE	IF NO SUCH SERVICE AVAILABLE TO PEOPLE FROM THE COMMUNITY WRITE 55 AND >> NEXT LINE IF LESS THAN 1 KM USE DECIMAL NUMBER			Walking 1 >>NEXT LINE	
	NO 2				Horse/Mule/Donkey 2 >>NEXT LINE	
					Bicycle 3 >>NEXT LINE	
				Private Car/Motorcycle 4 >>NEXT LINE		
				Bus 5		
				Taxi 6		
				Boat 7		
				Other (specify _____) 8		
		KILOMETRES	HOURS	MINUTES	Choose only ONE	ZAR & Cents

<b>EDUCATION</b>						
Pre-school	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Primary (7 year school)	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Secondary	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
College	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
University	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
<b>HEALTH</b>						
Public hospital	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Private hospital	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Public clinic	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Private clinic	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Private doctor/specialist	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Midwives	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Traditional Healer	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Pharmacy	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
<b>COMMUNICATIONS</b>						
Public phone	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c

	(1)	(2)	(3)		(4)	(5)
<b>For each of the following items ask Q.1 to Q.5, then go to next item</b>	Is there a (...) in this community?	How far is the closest (...) to this community?	How much time does it take to go to (...)?		By what mean of transportation?	How much does it cost (one-way) to go to (...) with?
	YES 1>> NEXT LINE	IF NO SUCH SERVICE AVAILABLE TO PEOPLE FROM THE COMMUNITY WRITE 55 AND >> NEXT LINE IF LESS THAN 1 KM USE DECIMAL NUMBER			Walking 1 >>NEXT LINE	
	NO 2				Horse/Mule/Donkey 2 >>NEXT LINE	
					Bicycle 3 >>NEXT LINE	
	Private Car/Motorcycle 4 >>NEXT LINE					
		Bus 5			Taxi 6	
					Boat 7	
					Other (specify _____) 8	
		KILOMETRES	HOURS	MINUTES	<b>Choose only ONE</b>	ZAR & Cents

<b>COMMUNICATIONS (continue)</b>						
Post office	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Bus/Minibus stop	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
<b>OTHER PLACES</b>						
Bank	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Police station	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Labour office	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Municipal office	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Café/Spaza/Market	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Commercial Grocer	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Place of Worship	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Library	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Senior citizen care	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Fire brigade	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Community Hall	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Community sport field	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c
Community park	1 / 2 (...)	# of Km (...)	Hrs (...)	Min (...)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	R 000,00c

**SECTION 3.B – EDUCATION SERVICES**

**Note for the interviewer: Check question 2 for primary and secondary schools on the previous sheet. For each one, if the respondents answered No (i.e. if there is a '55' recorded in the corresponding cell) Do NOT ask questions 1-11.**

LET'S TALK ABOUT THE SCHOOLS FACILITIES THAT ARE ATTENDED BY THE CHILDREN AND YOUTH IN THIS COMMUNITY, EVEN IF THE SCHOOLS OR FACILITIES ARE NOT LOCATED WITHIN THE COMMUNITY.

	(1)	(2)	(3)	(4)		(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)		
SCHOOL TYPE	In the last five years have there been new (...) built that serve this community or have there been substantial improvements in the existing ones?	How many teachers are there in the main [ ] school that serves this community	How many children are there in the main [ ] school that serves the community?	Please provide the name and location of the (...) children from this community attend		The (...) teacher/s turn up for classes:  IF THERE IS MORE THAN ONE SCHOOL, ASK FOR THE MOST IMPORTANT  IF THERE IS MORE THAN ONE TEACHER REFER TO MAJORITY	How many days a week did children receive classes during the last month?  IF THERE IS MORE THAN ONE SCHOOL, ASK FOR THE MOST IMPORTANT	Does the school have (...)?  IF THERE IS MORE THAN ONE SCHOOL, ASK FOR THE MOST IMPORTANT					Are there sufficient [primary or secondary] schools available to the children in this community?	In this community attend (...)	
	YES 1					EVERY DAY 1								More boys than girls	1
	NO 2					ALMOST EVERY DAY 2		YES 1					YES 1	More girls than boys	2
						RARELY 3		NO 2					NO 2	Equally boys and girls	3
				NAME OF SCHOOL	MUNICIPALITY		DAYS	Toilet or latrine	Running water	Electricity	Green or recreation area				

<b>Primary School</b> If does not exist write = 55 then >>next line	1 / 2 (...)	# of teachers (...)	# of children (...)	NAME OF SCHOOL	MUNICIPALITY	1 / 2 / 3 (...)	# of DAYS (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 / 3 (...)
<b>Secondary School</b> If does not exist write = 55 then >>next line	1 / 2 (...)	# of teachers (...)	# of children (...)	NAME OF SCHOOL	MUNICIPALITY	1 / 2 / 3 (...)	# of DAYS (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 (...)	1 / 2 / 3 (...)

**SECTION 3.C – HEALTH**

**Note for the interviewer: Check question 2 in Section 3.A for health facilities. If the respondents answered No (i.e. if there is a '55' recorded in the corresponding cell) to all of the facilities then >> Next Section (Section 3.D), otherwise ask question 1-3.**

1. We will now ask about the health facilities that people in this community use. If there is more than one facility, I would like to ask about the one **most used** by this community.

(1)	(2)	(3)		
In the last five years have there been new health facilities built that people from this community use, or have there been substantial improvements in existing ones?	How often is the health facility open for people from this community to use?	Does the community health facility normally have sufficient (...) for the needs of the local people?		
	Every day 1	Yes, Sufficient 1		
Yes 1	A few days a week 2	No, Insufficient 2		
No 2	One day a week 3	Never Available 3		
	Other, (specify _____) 4			
		A. INSTRUMENTS & EQUIPMENT	B. MEDICAL PERSONNEL	C. MEDICATION
1 / 2 (...)(...)	1 / 2 / 3 / 4 (...)(...)	1 / 2 / 3 (...)(...)	1 / 2 / 3 (...)(...)	1 / 2 / 3 (...)(...)

2. In the last 12 months has any (...) gone hungry because there wasn't enough food?

If YES Please provide an estimate percentage of (...) persons

a. Senior citizens	1 / 2	%	<b>YES ... 1 &gt;&gt; Q3</b> <b>NO ... 2 &gt;&gt; Section 3.D</b>
b. Adults	1 / 2	%	
c. Children (17 yrs & younger)	1 / 2	%	

3. What was the rate of recurrence?

a. Senior citizens	1 / 2 / 3 / 4	<b>CODE:</b> 1. Seldom 2. Sometimes 3. Often 4. Always
b. Adults	1 / 2 / 3 / 4	
c. Children (17 yrs & younger)	1 / 2 / 3 / 4	

**SECTION 3.D – QUALITY OF PUBLIC TRANSPORT SERVICES**

---

**Instruction to the interviewer:** Here we are not interested in local (in community) public transport but in transport between the community and more distant places (outside the community). If you are in a rural area public transport will typically not be local. But in urban areas it is important to be clear with the respondent that we are NOT talking now about urban (in town) public transport.

- Since 2012 (in the last 5 years), has transport services ...  
 In RURAL areas: ... between your community and places outside the community ... :  
  
 In URBAN areas: ... to places outside the city boundaries ... :

*(Write selected answer number in pen)*

- |   |   |       |       |
|---|---|-------|-------|
| 1. Improved?  | 1 | (...) | (...) |
| 2. Worsened?  | 2 | (...) | (...) |
| 3. Remained the same?   | 3 | (...) | (...) |
| 4. The community does not have access to public transport >> <b>SECTION 4</b> | 4 | (...) | (...) |

- Which of these modes of transport do people in the community use the most to go to places outside the city/community: *(Write selected answer number in pen)*

- |                    |   |       |       |
|--------------------|---|-------|-------|
| 1. Bus             | 1 | (...) | (...) |
| 2. Minibus         | 2 | (...) | (...) |
| 3. Taxi            | 3 | (...) | (...) |
| 4. Train           | 4 | (...) | (...) |
| 5. Other (specify) | 5 | (...) | (...) |

3. What are the two main problems with transport services? (to travel outside the community or urban areas): *(Write selected answer number in pen)*  
 (Please rank the **TWO** most important problems)

- 1. Not frequent enough
- 2. Stops are far away
- 3. No night service
- 4. Vehicles are in bad/unsafe condition
- 5. No schedule or schedule is not followed
- 6. Fares are too expensive
- 7. Too crowded
- 8. Too slow
- 9. Other (specify) \_\_\_\_\_
- 10. No problem

<b>1<sup>st</sup> (Main)</b>		
1/2/3/4/5/6/7/8/9/10	(...)	(...)
<b>2<sup>nd</sup> (Main)</b>		
1/2/3/4/5/6/7/8/9/10	(...)	(...)

4. How often is this service available to the community?: *(Write selected answer number in pen)*

- 1. Several times a day
- 2. Once a day
- 3. Two-three days a week
- 4. Once a week
- 5. Other (specify) \_\_\_\_\_

1/2/3/4/5	(...)	(...)
-----------	-------	-------

**SECTION 4 – COMMUNITY SERVICES**

**SECTION 4.A – SERVICE AVAILABILITY, QUALITY, AND COVERAGE - GENERAL**

(1)		(2)		(3)		(4)	
Does the community have (...)?		The quality of the service is:		In the last 5 years, has (...) service:		What portion of the community is covered by (...) service?	
YES, BUT NOT FUNCTIONAL	1	GOOD	1	IMPROVED	1	ALL OF IT	1
YES, FUNCTIONAL	2	FAIR	2	WORSENERD	2	MORE THAN HALF	2
NO	3 >> NEXT LINE	BAD	3	REMAINED THE SAME	3	HALF	3
						LESS THAN HALF	4

a. Household electricity	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
b. Gas depot	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
c. Paraffin supplier	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
d. Public lighting	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
e. Pipe water (in the household)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
f. Sewage/drains	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
g. Garbage collection	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
h. Home phone	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
i. Mail/postal service	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
j. Police station	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)
k. Public health clinic	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 (...)	1 / 2 / 3 / 4 (...)



**SECTION 4.B – SERVICE QUALITY - SPECIFIC**

---

Let's now talk about **sewage and drain**.

1. What percentage of the households are connected to:

- (i) A sewage system? 

? %	(...)	(...)
-----	-------	-------
- (ii) A septic tank? 

? %	(...)	(...)
-----	-------	-------

2. In this community the following methods are used for sewage waters: **YES ... 1**      **NO ... 2**

- (a) Treated and then released to the sea/river/lake 

1 / 2	(...)	(...)
-------	-------	-------
- (b) Released untreated to the sea/river/lake 

1 / 2	(...)	(...)
-------	-------	-------
- (c) Release to septic tank 

1 / 2	(...)	(...)
-------	-------	-------
- (d) Released to land/field 

1 / 2	(...)	(...)
-------	-------	-------
- (e) Released near homes 

1 / 2	(...)	(...)
-------	-------	-------

3. Which of these methods do people use to dispose of the garbage? They... : **YES ... 1**      **NO ... 2**

- (a) Burn it 

1 / 2	(...)
-------	-------
- (b) Dump into empty lots 

1 / 2	(...)
-------	-------
- (c) Dump into river/lake/sea 

1 / 2	(...)
-------	-------
- (d) Dump it on the street 

1 / 2	(...)
-------	-------
- (e) Dump it in community-designated area 

1 / 2	(...)
-------	-------
- (f) Pay towards a chart/refuse truck service fee 

1 / 2	(...)
-------	-------

4. Of these which are the two methods households use the most to dispose of the garbage? They ...

- (a) Burn it 

1/2	(...)
-----	-------
- (b) Dump into empty lots 

1/2	(...)
-----	-------

**1st**
- (c) Dump into river/lake/sea 

1/2	(...)
-----	-------

a/b/c/d/e/f	(...)
-------------	-------
- (d) Dump it on the street 

1/2	(...)
-----	-------
- (e) Dump it in community-designated area 

1/2	(...)
-----	-------

**2nd**
- (f) Pay towards a chart/refuse truck service fee 

1/2	(...)
-----	-------

a/b/c/d/e/f	(...)
-------------	-------

**SECTION 5 – PROBLEMS RELATED TO THE ENVIRONMENT**

1. Are there in this community any serious problems related to:

YES ... 1

NO ... 2

a. Rats / mice	1 / 2	(...)	(...)
b. Cockroaches	1 / 2	(...)	(...)
c. Bugs	1 / 2	(...)	(...)
d. Fleas	1 / 2	(...)	(...)
e. Bats	1 / 2	(...)	(...)
f. Flies	1 / 2	(...)	(...)
g. Mosquitoes	1 / 2	(...)	(...)

3. In the community are there any:

YES ... 1

NO ... 2

a. Garbage dumps that pollute the environment?	1 / 2	(...)	(...)
b. Stagnant waters?	1 / 2	(...)	(...)
c. Residuals from slaughter houses in public places?	1 / 2	(...)	(...)
d. Car workshops spilling oil into water sources?	1 / 2	(...)	(...)
e. Deforestation problems?	1 / 2	(...)	(...)
f. Other heavily polluting activities, specify ...	1 / 2	(...)	(...)

2. Have there been since 2012 any case of [ ... ] in the community:

YES ... 1

NO ... 2

a. Cholera	1 / 2	(...)	(...)
b. Tuberculosis	1 / 2	(...)	(...)
c. Meningitis	1 / 2	(...)	(...)
d. Hepatitis	1 / 2	(...)	(...)
e. HIV / AIDS	1 / 2	(...)	(...)
f. Polio	1 / 2	(...)	(...)

4. In the last 5 years the situation of the environment in your community has:

1. Improved

2. Worsened

3. Remained the same

1 / 2 / 3 ( ... ) ( ... )

**SECTION 6 – COMMUNITY ORGANIZATION**

Now we will talk about the different organizations in the community that help solve problems within itself.

**SECTION 6.A – SERVICE AVAILABILITY, QUALITY, AND COVERAGE - GENERAL**

---

1. Is there a committee or any other form of organization (e.g. association, group, assembly, etc) whose main purpose is to discuss the issues of importance in the community?

YES ... 1

1 / 2	(...)	(...)
-------	-------	-------

NO ... 2 >> NEXT SECTION

2. Which of the following organizations exist in your community?

YES ... 1      NO ... 2 >> NEXT SECTION      IF ALL NO >> NEXT SECTION

1	Farmer’s group	Yes / No (...)	(...)
2	Business Association	Yes / No (...)	(...)
3	Cooperative	Yes / No (...)	(...)
4	Stokvel	Yes / No (...)	(...)
5	Women’s group	Yes / No (...)	(...)
6	Political group	Yes / No (...)	(...)
7	Youth group	Yes / No (...)	(...)
8	Religious group	Yes / No (...)	(...)
9	Cultural group	Yes / No (...)	(...)
10	Parents association	Yes / No (...)	(...)
11	Sports Group	Yes / No (...)	(...)
12	Health Committee/Forum	Yes / No (...)	(...)
13	Police Forum	Yes / No (...)	(...)

14	Ward Committee	Yes / No (...)	(...)
15	Street/Block Committee	Yes / No (...)	(...)
16	NGO /NPO /CBO	Yes / No (...)	(...)
17	Disabled association	Yes / No (...)	(...)
18	Other, specify	Yes / No	

**3. Which of these organizations in your community:**

(a) Works the most to solve community problems?

1/2/3/4/5/6/7/8/9/10/11/12/13/14/15/16/17/18
(...)
(...)

(b) Has the most members?

1/2/3/4/5/6/7/8/9/10/11/12/13/14/15/16/17/18
(...)
(...)

(c) Has the least number of members?

1/2/3/4/5/6/7/8/9/10/11/12/13/14/15/16/17/18
(...)
(...)

**SECTION 6.B – COLLECTIVE ACTIONS**

1. During the last 12 months, how often did community members meet to:

- (i) Raise funds for community projects 1/2/3/4 (...) (...)
- (ii) Make common proposals requesting assistance from institutions, politicians, etc? 1/2/3/4 (...) (...)
- (iii) Seek help from NGO, church? 1/2/3/4 (...) (...)

FREQUENCY CODE:

- 1. Never
- 2. Once
- 3. Couple of times
- 4. Frequently

**If all answers = 1 >> Q4**

3. How much do people in this community work together to solve:

a. School problems	<span style="border: 1px solid black; padding: 2px;">1/2/3/4</span>	(...)	(...)
b. Health clinic problems	<span style="border: 1px solid black; padding: 2px;">1/2/3/4</span>	(...)	(...)
c. Conflict between people	<span style="border: 1px solid black; padding: 2px;">1/2/3/4</span>	(...)	(...)
d. Crime / safety problems	<span style="border: 1px solid black; padding: 2px;">1/2/3/4</span>	(...)	(...)
e. Road/access problems	<span style="border: 1px solid black; padding: 2px;">1/2/3/4</span>	(...)	(...)
f. Problems for the neediest people	<span style="border: 1px solid black; padding: 2px;">1/2/3/4</span>	(...)	(...)
g. Water/garbage problems	<span style="border: 1px solid black; padding: 2px;">1/2/3/4</span>	(...)	(...)

CODE:  
 1. A lot  
 2. A little  
 3. Not at all  
 4. Does not exist

2. Was the community successful in achieving the objectives of these meetings?

- 1. YES always
- 2. YES, sometimes 1 / 2 / 3 (...) (...)
- 3. Never

4. In this community, who works the most solving community problems?

- A.**
- 1. Men
  - 2. Women
  - 3. Same for men and women 1/2/3/4 (...) (...)
  - 4. None
- B.**
- 1. Young people
  - 2. Adults
  - 3. Same for young people and adults 1/2/3/4 (...) (...)
  - 4. None

**SECTION 6.B – COLLECTIVE ACTIONS (continue)**

5. Do you agree or disagree with the following sentences?

CODE:  
1. Agree  
2. Disagree

- a. There's always somebody willing to help another community members who's having trouble 1 / 2 (...) (...)
- b. People only worry about their own wellbeing and not about the community 1 / 2 (...) (...)
- c. You can trust people in this community to borrow/lend money 1 / 2 (...) (...)

7. Have you ever heard of the IDP (Municipality/Metro Plan)?

YES ... 1 1 / 2 (...) (...)  
NO ... 2 >> Q8

9. What is your understanding of the IDP?

- a. A document of local government that outlines projects for community development a/b/c/d
- b. A new local government plan to help communities
- c. A document drafted with the community of projects for community development by local government (...)
- d. Not sure / Don't know (...)

6. If a person is not employed, how do they support themselves?  
(Please indicate the **three** most prominent means of support)

- 1. Doing odd jobs
- 2. Supported by persons in their household
- 3. Supported by persons not in their household
- 4. Supported by charity, church, welfare, etc. 1/2/3/4/5/6/7/8/9
- 5. Unemployment Insurance Fund (UIF) 1/2/3/4/5/6/7/8/9
- 6. Old age / disability pension – Government funded 1/2/3/4/5/6/7/8/9
- 7. Old age / disability pension – Private/corporate funded (...) (...) (...) (...)
- 8. Savings or money previously earned
- 9. Other, Specify (...)

8. Have you ever heard of the NDP (SA National Development Plan: Vision 2030) ?

YES ... 1 1 / 2 (...) (...)  
NO ... 2 >> NEXT SECTION

10. What is your understanding of the NDP:Vision 2030?

- a. A document of government that outlines goals and indicators for wellbeing improvement for all by 2030 a/b/c/d
- b. A new country development plan by national government
- c. A development plan to implemented with the collective action and participation by all citizen, private and public sector (...)
- d. Not sure / Don't know (...)

**SECTION 7 – COMMUNITY SAFETY**

I will now ask you a few questions on the personal safety situation in this community

1A. Are there any problems in this community related to:

YES ... 1  
NO ... 2

a. Gangs	1 / 2	(...)	(...)
b. Drug abuse	1 / 2	(...)	(...)
c. Alcohol abuse	1 / 2	(...)	(...)
d. Prostitution	1 / 2	(...)	(...)
e. Other, describe ...	1 / 2	(...)	(...)

2. Which of the following crimes occur in your community?

YES ... 1  
NO ... 2      **If all No >> SECTION 8**

a. Thefts	1 / 2	(...)	(...)
b. Physical aggression / assaults	1 / 2	(...)	(...)
c. Vandalism	1 / 2	(...)	(...)
d. Sale of illicit drugs	1 / 2	(...)	(...)
e. Child abuse	1 / 2	(...)	(...)
f. Other, describe ...	1 / 2	(...)	(...)

1B. Please name the first and second of these problems in order of importance

**1st**

a/b/c/d/e    (...)

**2nd**

a/b/c/d/e    (...)

3. Who commits these crimes?

1. People in the community	
2. People not from the community	1 / 2 / 3
3. Both of the above	(...) (...)

4. Why don't (some) people report crimes?

1. No use reporting them	
2. Too complicated, time consuming, bureaucratic	
3. Too far	1/2/3/4/5
4. Fear	(...) (...)
5. Don't trust the police	

5. Do people report these crimes?

1. Yes, Frequently	
<b>&gt;&gt; Next section</b>	
2. Yes, Sometimes	1/2/3
3. No	(...) (...)

**SECTION 8 – GROUPS AND NETWORKS**

I would like to start by asking you about the groups or organizations, networks, associations to which you or any member of your household belong. These could be formally organized groups or just groups of people who get together *regularly* to do an activity or talk about things.

1. As I read the following list of groups, please tell me if anyone belongs to such a group, your level of activity in the group and the name of the group.

Type of Organization or Group	Name of the Organization or Group	How actively do you participate in the group's / organization's decision making?  1 = Leader 2 = Very Active 3 = Somewhat Active 4 = Does not participate in decision making
1. Cooperative		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
2. Other production group		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4

Type of Organization or Group	Name of the Organization or Group	How actively do you participate in the group's / organization's decision making?  1 = Leader 2 = Very Active 3 = Somewhat Active 4 = Does not participate in decision making
3. Traders or Business association		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
4. Professional Association (doctors, researchers, etc)		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
5. Trade / Labour Union		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4



Type of Organization or Group	Name of the Organization or Group	How actively do you participate in the group's / organization's decision making?  1 = Leader 2 = Very Active 3 = Somewhat Active 4 = Does not participate in decision making
6. Ward Committee		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
7. Religious / spiritual group (e.g. church, mosque, temple, payer group, etc)		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
8. Political group or association		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4

Type of Organization or Group	Name of the Organization or Group	How actively do you participate in the group's / organization's decision making?  1 = Leader 2 = Very Active 3 = Somewhat Active 4 = Does not participate in decision making
9. Cultural group or association (e.g. art, music, reading, theatre, film, etc)		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
10. Burial society or festival society		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
11. Stokvel (Finance, credit or savings group)		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4

Type of Organization or Group	Name of the Organization or Group	How actively do you participate in the group's / organization's decision making?  1 = Leader 2 = Very Active 3 = Somewhat Active 4 = Does not participate in decision making
12. Education group (e.g. parent-teach association, school committee)		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
13. Health group		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
14. Water and Waste management group		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4

Type of Organization or Group	Name of the Organization or Group	How actively do you participate in the group's / organization's decision making?  1 = Leader 2 = Very Active 3 = Somewhat Active 4 = Does not participate in decision making
15. Sports group		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
16. Youth group		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
17. NGO/NPO Group		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4

Type of Organization or Group	Name of the Organization or Group	How actively do you participate in the group's / organization's decision making?  1 = Leader 2 = Very Active 3 = Somewhat Active 4 = Does not participate in decision making
18. Ethnic-based community group		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
19. Other groups (specify...)		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4
		1 / 2 / 3 / 4

2. Of how many such groups are you or any one in your household a member?

# of groups
-------------

(...) (...)

3. Of all these groups to which you or members of your household belong, which **Three** are the most important to you?

\_\_\_\_\_ [Name of group]      \_\_\_\_\_ [Name of group]      \_\_\_\_\_ [Name of group]

4. Thinking about the members of this group, are most of them of the same ...

	YES ... 1	NO ... 2	
a. Religion	1 / 2		(...) (...)
b. Gender	1 / 2		(...) (...)
c. Ethnic or linguistic(language) / race /culture	1 / 2		(...) (...)

5. Do members mostly have the same ...

	YES ... 1	NO ... 2	
a. Occupation	1 / 2		(...) (...)
b. Educational background or level	1 / 2		(...) (...)

6. Does this group work with or interact with groups *outside* the neighborhood / community?

1. No

2. Yes, occasionally

 (...) (...)

3. Yes, frequently

7. About how many *close friends* do people have these days? These are people you feel at ease with, can talk to about private matters, or call on for help.

 (...) (...)

8. If you suddenly needed to borrow a small amount of money [e.g. RURAL: enough to pay for expenses for your household for one week; URBAN: equal to about one week's wages], are there people beyond your immediate household and close relatives to whom you could turn and who would be willing and able to provide this money?

1. Definitely

2. Probably

3. Unsure

 (...) (...)

4. Probably not

5. Definitely not

**SECTION 9 – TRUST AND SOLIDARITY**

---

9. Generally speaking, would you say that most people can be trusted or that you can't be too careful in dealing with people?

1. People can be trusted

2. You can't be too careful

1 / 2	(...)	(...)
-------	-------	-------

10. In general, do you agree or disagree with the following statements?

	<ol style="list-style-type: none"> <li>1. Agree strongly</li> <li>2. Agree somewhat</li> <li>3. Neither agree or disagree</li> <li>4. Disagree somewhat</li> <li>5. Disagree strongly</li> </ol>	
a. Most people in the neighborhood / community are willing to help if you need it	1 / 2 / 3 / 4 / 5	(...) (...)
b. In the neighbourhood / community, one has to be alert or someone is likely to take advantage of you	1 / 2 / 3 / 4 / 5	(...) (...)

11. How much do you trust ...

	<ol style="list-style-type: none"> <li>1. To a very great extent</li> <li>2. To a great extent</li> <li>3. Neither great nor small extent</li> <li>4. To a small extent</li> <li>5. To a very small extent</li> </ol>	
a. Local / Regional government officials	1 / 2 / 3 / 4 / 5	(...) (...)
b. Safety / security (e.g. police) officials	1 / 2 / 3 / 4 / 5	(...) (...)



12. If a community project does not directly benefit you but has benefits for many other in the community, would you contribute time or money to the project?

<b>A. Time</b>	1 / 2	(...)	(...)
1. Will <i>not</i> contribute time			
2. Will contribute time			

<b>B. Money</b>	1 / 2	(...)	(...)
1. Will <i>not</i> contribute money			
2. Will contribute money			

**SECTION 10 – COLLECTIVE ACTION AND COOPERATION**

---

13. In the past 12 months did you or any one in your household participate in any communal activities, in which people came together to do some work of the benefit of the community?

1. Yes

2. No, >> **Q15**  (...)

14. How many times in the past 12 months?  (...)

15. If there was a water supply problem in this community, how likely is it that people will cooperate to try to solve the problem?

1. Very likely

2. Somewhat likely

3. Neither likely or unlikely  (...)

4. Somewhat unlikely

5. Very unlikely

**SECTION 11 – INFORMATION AND COMMUNICATION**

---

16. What are your three main sources of information about what the government is doing (such as agricultural extension, workforce, family planning, housing, etc.?)

1. Relatives, friends and neighbours

2. Community bulletin boards

3. Local market/shop

<b>1<sup>st</sup> (Main)</b>
1/2/3/4/5/6/7/8/9/10 /11/12/13/14/15/16

(...) (...)

4. Community or local newspaper

5. National newspaper

6. Community Radio

<b>2<sup>nd</sup> (Main)</b>
1/2/3/4/5/6/7/8/9/10 /11/12/13/14/15/16

(...) (...)

7. National Radio

8. Television

9. Social media (e.g. Facebook, WhatsApp, etc)

<b>3<sup>rd</sup> (Main)</b>
1/2/3/4/5/6/7/8/9/10 /11/12/13/14/15/16

(...) (...)

10. Groups or associations

11. Business or work associates

12. Political associates

13. Community leaders

14. An agent of the government

15. NGO's / NPOs

16. Internet

**SECTION 11 – SOCIAL COHESION & INCLUSION**

---

17. In the past month how many times have you made or received a phone call?

(...) (...)

18. There are often differences in characteristics between people living in the same community / neighbourhood.

*For example, differences in wealth, income, social status, ethnic /cultural background, race, etc. There can also be differences in religious or political beliefs or between gender and age.*

To what extent do any such differences characterize your community / neighbourhood?

1. To a very great extent

2. To a great extent

3. Neither great nor small extent

(...) (...)

4. To a small extent

5. To a very small extent

19. Do any of these differences cause problems?

1. Yes

2. No, >> **Q21**

(...) (...)

20. Which **two** differences most often cause problems?

1. Differences in Educations
  2. Differences in land/property ownership
  3. Differences in wealth / material possessions
  4. Differences in social status
  5. Differences between men and women
  6. Differences between younger and older generations
  7. Differences between long-term and recent residents
  8. Differences in political party affiliations
  9. Differences in religious beliefs
  10. Differences in ethnic or language background / race, etc.
  11. Other differences (specify...)
- 

<b>1<sup>st</sup> (Most often)</b>
1/2/3/4/5/6/7/8/9/10/11

(...) (...)

<b>2<sup>nd</sup> (Most often)</b>
1/2/3/4/5/6/7/8/9/10/11

(...) (...)

21. Have these problems ever led to violence?

1. Yes

2. No

1 / 2
-------

 (...) (...)

22. How many times in the past month have you got together with people to have food or drinks, either in their home or in a public place?

# of times
------------

23. [IF not Zero] Were any of these people ...

	YES ... 1	NO ... 2		
a. Of different ethnic or linguistic(language) / race /culture?	1 / 2		(...)	(...)
b. Of different economic status?	1 / 2		(...)	(...)
c. Of different religious groups?	1 / 2		(...)	(...)
d. Of different political affiliations?	1 / 2		(...)	(...)

24. In general, how safe from crime and violence do you feel when you are alone at home?

1. Very safe
2. Moderately safe
3. Neither safe nor unsafe
4. Moderately unsafe
5. Very unsafe

1/ 2/3/4/5	(...)	(...)
------------	-------	-------

## SECTION 13 – EMPOWERMENT AND POLITICAL ACTION

---

25. In general, how happy do you consider yourself to be?

1. Very happy
2. Moderately happy
3. Neither happy nor unhappy  (...) (...)
4. Moderately unhappy
5. Very unhappy

26. Do you feel that you have the power to make important decisions that change the course of your life?

1. Totally unable to change life
2. Mostly unable to change life
3. Neither able nor unable  (...) (...)
4. Mostly able to change life
5. Totally able to change life

27. In the past 12 months, how often have people in this community / neighbourhood got together to jointly petition government officials or political leaders for something benefiting the community?

1. Never
2. Once
3. A few times (<5)  (...) (...)
4. Many times (>5)

**THANK YOU SO MUCH  
FOR YOUR INPUTS & TIME**