

Copyright is owned by the Author of the thesis. Permission is given for a copy to be downloaded by an individual for the purpose of research and private study only. The thesis may not be reproduced elsewhere without the permission of the Author.

Social Capital and Community Participation in Development

**The Case of the Direct Community Financing Programme
in Post-Conflict Sierra Leone**

A thesis presented in partial fulfilment of
the requirements for the degree of
Master of Philosophy in Development Studies
at Massey University
Palmerston North, New Zealand

SWALIHU KENNETH-MOI JUSU

2007

Abstract

Community participation seemingly appeals to a number of development agencies and institutions. Participation is seen as a means through which project outcomes can be improved. Nonetheless, "participation" as a concept is perceived, understood and defined differently. Therefore, different objectives are identified for undertaking participation. Some believe that pursuit of economic objectives has come to dominate development practice, and others believe that development practice has neglected its human or social aspects. Despite the rhetoric, past community development practice has either made little improvement in people's lives, or resulted in excluding some members of target communities. With the new institutional focus, and community empowerment as the objective of participation, the problem for development intervention is how to enhance community participation.

Using a case study in post-conflict Sierra Leone, this research examines the Direct Community Financing programme, an externally funded development programme in ten communities in the Pujehun Port Loko districts. The study sought to investigate the extent to which social capital, as a community asset, facilitates community participation in development given the institutional environment and the objectives of the development intervention.

The study finds that community participation is directly related to community level social capital, with high social capital communities recording high participation in the programme. The study also finds that community control, ownership and decisions over project activities, as well as the extent to which the projects meet community needs, also affect participation. Similarly, the institutional rules and the (designated) roles of stakeholders are equally important for enhancing participation. In contrast, a community's historical experience, discrimination and exclusion, selective participation and communal conflicts, among other factors, can negatively affect community participation.

Acknowledgements

For her unconditional love, unflinching encouragement, and unquestionable support, I would like to thank my wife, Isata. She was indeed more than my “better half”. Her contribution to this thesis is immeasurable. She counselled me when I was depressed, and gave me confidence when I had none left. To my children, Khartumu and Paul, I am grateful for allowing me time to study and write. I am particularly grateful to Khartumu for enduring my absence during the fieldwork for this thesis.

I would like in particular to thank my supervisors, Dr. Manuhaia Barcham and Dr. Katherine McKinnon, for their critical assessment, disciplined and logical thinking, and guiding me through an exceptionally arduous journey. They were more than my supervisors. On many occasions, they demonstrated understanding of my personal circumstances. In times of pain and grief, they consoled. I am indebted to them. There was invaluable assistance from colleagues, Farzana, Tessa, Anja and Andy, which made the work easier.

I would also like to thank colleagues at the Ministry of Development and Economic Planning in Sierra Leone for their support and assistance during the fieldwork. I wish to thank in particular Mr Sahid Kargbo and my driver, Ibrahim (‘George Bush’) for spending uncomfortable nights in the field. I am also particularly grateful to Mr. S.J. Braima, Lecturer, Fourah Bay College, University of Sierra Leone, for his invaluable assistance in devising the questionnaire. I am even more grateful to Mr. John Ngebeh, J.C. Tucker, Mrs Abigail Bundu, Districts and Regional Co-ordinators, and staff of NaCSA, who were always ready to provide me the support I needed during the field work.

I am grateful to the Government of New Zealand for granting me the scholarship that enabled me undertake this programme and supported my family for two years. The opportunity provided my family was highly appreciated.

Contents

Abstract.....	i
Acknowledgements.....	ii
Contents.....	iii
List of Tables and Figures.....	vii
Glossary.....	vii
Acronyms.....	viii
Chapter 1: Introduction.....	1
1.0 Background.....	1
1.1 Research Justification.....	3
1.2 Statement of the Problem.....	3
1.3 Research Questions.....	4
1.4 Research Objectives.....	4
1.5 Research Location.....	4
1.6 Research Outline.....	5
Chapter 2: Community Participation and Social Capital.....	7
2.0 Introduction.....	7
2.1 Community Participation.....	8
2.1.1 Participation: Historical Antecedents, Definitions and Meanings.....	8
2.1.2 Objectives of Participation.....	11
2.1.3 Community Development Practice.....	12
2.1.4 Types of Participation.....	16
2.1.5 Development Practice in the 1990s.....	18
2.1.6 Community Participation Debates and Controversies.....	20
2.1.7 Civil Society and Participation.....	24
2.1.8 Participation and Social Capital: The Missing Link in Development.....	25
2.2 Social Capital.....	26
2.2.1 Origins and Overview of Definitions.....	26
2.2.2 Forms of Social Capital.....	30
2.2.3 Is it a Form of Capital?.....	32
2.2.4 Social Capital Mechanisms.....	33
2.3 Participation and Social Capital Measurement Challenges.....	35
2.3.1 Measuring Community Participation.....	36
2.3.2 Social Capital Measurement Challenges.....	36
2.3.3 Measurement Framework.....	37
2.3.3.1 Groups and Networks.....	41
2.3.3.1 Groups and Networks.....	41
2.3.3.2 Trust and Trustworthiness.....	41
2.3.3.3 Institutional Trust.....	42
2.3.3.4 Collective Action and Cooperation.....	43
2.3.3.5 Sense of Efficacy.....	44
2.3.3.6 Information and Communication.....	45
2.3.3.7 Social Cohesion and Inclusion.....	45

2.3.3.8 Norms of Reciprocity and Solidarity	46
2.3.3.9 Community Sanctions.....	46
2.4 Conclusion.....	47
Chapter 3: Case Study of Sierra Leone	49
3.0 Introduction.....	49
3.1 Sierra Leone.....	50
3.1.1 Geography	50
3.1.2 Demographics.....	50
3.1.3 The Economy.....	51
3.1.4 The Civil War	52
3.2 <i>The Post-Conflict Development Challenge</i>	53
3.2.1 The Community-Driven Programme	53
3.2.2 The Direct Community Financing Approach.....	54
3.2.3 The Programme Institutional Arrangements.....	55
3.2.3.1 National Commission for Social Action (NaCSA)	55
3.2.3.2 The Community	57
3.2.3.3 Line Ministries	58
3.2.3.4 The District Councils.....	59
3.2.3.5 The Private Sector.....	59
3.2.3.6 Others: Development Intermediaries.....	59
3.2.4 Project Initiation Process.....	60
3.2.6 Project Implementation	62
3.3 <i>Communities and Social Institutions</i>	63
3.3.1 Families and Chiefs	63
3.3.2 Sodalities (Secret Societies)	65
3.3.3 The Civil Defence Force.....	66
3.3.4 Community Obligatory Labour	66
3.3.5 Labour Groups	66
3.3.6 Rotational Savings and Credit Associations.....	68
3.4 Conclusion.....	69
Chapter 4: Research Methodology	70
4.0 Introduction.....	70
4.1 <i>Research Approach</i>	71
4.2 <i>Research Methodology</i>	72
4.2.1 Quantitative Methods	72
4.2.2 Qualitative Methods	73
4.2.3 Data Requirement.....	73
4.3 <i>Research Fieldwork</i>	73
4.3.1 Pilot Survey	74
4.3.2 Survey Administration	74
4.3.3 Survey Sampling.....	75
4.3.3.1 Quantitative Survey Sampling	75
4.3.3.2 Qualitative Survey Sampling	76
4.3.3.3 Research Questionnaires	76
4.3.3.4 Research Communities	77
4.4 <i>Research Analysis</i>	78
4.4.1 Quantitative Analysis	78
4.4.2 Qualitative Analysis.....	78

4.5 Ethical Considerations.....	79
4.6 Conclusion.....	79
Chapter 5: Research Findings and Analysis	80
5.0 Introduction.....	80
5.1 Research Findings.....	80
5.1.1 Group and Network Size	81
5.1.1.1 Density of Membership.....	81
5.1.1.2 Institutional Functioning of Groups and Associations	82
5.1.1.3 Community Network Sizes and Support Perceptions	84
5.1.1.4 Organisational Connections	84
5.1.2 Generalised and Institutional Trust	85
5.1.3 Norms of Solidarity and Reciprocity	87
5.1.4 Collective Action and Cooperation, and Sense of Efficacy	89
5.1.5 Information and Communication	91
5.1.6 Social Cohesion and Community Sanctions	93
5.2 DCF Institutional Processes and Objectives.....	95
5.2.1 Community Needs	96
5.2.2 Project Ownership and Control	97
5.2.3 Community Empowerment and Capacity for Development.....	98
5.2.4 Stakeholder Roles.....	100
5.2.4.1 The Communities	100
5.2.4.2 The Project Management Committees	101
5.2.4.3 Line Ministries, District Councils, Contractors, and Traditional Authorities	102
5.2.4.4 National Commission for Social Action.....	103
5.3 Conclusion.....	104
Chapter 6: Discussion of Research Findings	105
6.0 Introduction.....	105
6.1 The Evidence: Social Capital and Community Participation	106
6.1.1 The General Evidence	106
6.1.2 Community Trust and Participation	110
6.1.3 Community Cohesion and Inclusiveness	111
6.2 Institutional and Projects Characteristics.....	113
6.2.1 Community Need Identification	113
6.2.2 Project Ownership and Control	114
6.3 Conclusion.....	115
Chapter 7: Conclusions and Recommendations	117
7.1 Conclusion.....	117
7.2 Research Implications and Recommendations.....	118
7.2.1 Community Needs	118
7.2.2 Community Ownership and Control	119
7.2.3 Social Cohesion	119
7.2.4 Project Procedures and Rules	119
7.2.5 Need for Investment in Social Capital.	120
7.2.6 Future Research	120
Appendix A: Research Questionnaire	121
Appendix B: Selected Social Capital Scores by Community	136

Appendix C: Research Districts and Population Characteristics	137
References.....	139

List of Tables and Figures

Table 1: Typology of participation	17
Figure 1: Simplified measurement framework.....	40
Figure 2: Trustworthiness and institutional trust.....	86
Figure 3: Levels of trust and solidarity.....	88

Glossary

<i>Kombi</i>	rotating labour group (in Mende)
<i>Kabotho</i>	rotating labour group (in Temne)
<i>Osusu</i>	rotating savings scheme
<i>Poro</i>	secret society for men
<i>Sande</i>	secret society for women
<i>Wunde</i>	male dominated secret society in Southern Sierra Leone

Acronyms

ABS	Australian Bureau of Statistics
AfDB	African Development Bank
CBO	Community Development Organization
CDF	Civil Defence Force
CDO	Community Development Officer
CDP	Community-Driven Programme
DC	District Council
DCF	Direct Community Financing
DFID	Department for International Development
FGD	Focus Group Discussion
GoSL	Government of Sierra Leone
HIPC	Highly Indebted Poor Country
IDA	International Development Assistance
IEC	Information, Education & Communication
M&E	Monitoring and Evaluation
MUHEC	Massey University Human Ethics Committee
NaCSA	National Commission for Social Action
NPAC	National Project Approval Committee
NSAP	National Social Action Project
PMC	Project Management Committee
PO	Project Officer
PPA	Participatory Poverty Assessment
PRI	The Canadian Policy Research Initiative
PRSP	Poverty Reduction Strategy Paper
RC	Regional Co-ordinator
RPAC	Regional Project Approval Committee
SAP	Structural Adjustment Programme
SCAT	Social Capital Assessment Tools
SSL	Statistics Sierra Leone