

Seminar Report

**Community-based planning in
Swaziland municipalities:
awareness building seminar**

25th September 2003

**Mbabane
Swaziland**

LIST OF ACRONYMS

CANGO	Cor-ordination Assembly of Non Governmental Organisations
CBP	Community Based Planning
PLA	Participatory Learning and Action
PRA	Participatory Rural Appraisal
SL	Sustainable livelihoods
SLA	Sustainable livelihoods approach

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1 Opening & welcome

The seminar opened with a prayer after which Emmanuel Ndlangamandla, from CANGO, introduced the facilitator, Sam Chimbuya of Khanya—managing rural change, based in the Free State, South Africa.

2 Seminar objectives and programme

The objectives of the seminar were that by its end, participants would:

- Have a better understanding of the sustainable livelihoods approach (SLA);
- Understood where and how SLA could be used in poverty reduction programmes;
- Understand, more specifically, how SLA could be used in community based planning within municipalities in Swaziland.

3 Personal introductions

The seminar was facilitated by Sam Chimbuya of Khanya-managing rural change with assistance and guidance from Emmanuel Ndlangamandla, acting Director of Co-ordination Assembly of Non Governmental Organisation in Swaziland (CANGO), Nombulelo Nkonyeni, Moses Khumalo and Tiny Zillakazi, all from CANGO.

Participants paired up and introduced themselves. They were then asked to identify which “part of the car” most fitted their own skills within their organisation and to explain their choice.

Table 1: Parts of car that people preferred to be in their organisation

Part of the Car	Reasons why	Number in each category
Gear box	There are so many parts in the gear box and I want to co-ordinate the parts	1
Steering Wheel	As steering wheel I control and determine the direction of my organisation	5
Wheels	I move the organisation everywhere it wants to go. They depend on me	3
Engine	I am the basis for the organisation's existence. I co-ordinate many parts. I however need to be maintained well	2
Tank	I fuel the organisation. I provide energy	1
All parts of the car	I am everything. I give direction. I organise. I move. I give energy.	1
The body	I want to be visible. I want to get noticed from afar.	1
Starter	I initiate and then sit back and watch things happen	1
Brakes	I control the speed of the organisation	1

These responses highlighted the feeling that many of the participants felt they were in a decision-making position within their organisation and that they gave direction to the organisation (refer to Annexure 1 for the participants list).

4 Understanding Poverty

Participants were then divided into groups for a participatory exercise to determine the proportion of the poor within Manzini. They described three categories of the poor: (1) the very, very poor, (2) the poor, and (3) the not so poor.

Table 2 Describing Poverty in Manzini

Very, Very poor (20 - 40%)	Poor (20 - 30%)	Not so poor (20 - 30 %)
They are destitute. Lack access to food and struggle to get their next meal. Lack access to clean water. Lack access to proper sanitation. Many are orphans without support. Many cannot pay for services. Most are unemployed. They all live as squatters and have no legal right to land. They do not have a voice. They lack access to services.	Income largely spent on food. A few are employed. They have many children. Some are vendors. Some are self employed. They have some sort of shelter Do not have access to proper sanitation.	Able to meet their basic needs. Have accommodation. Can buy food and clothes. Have fewer children. Children go to school. Have access to sanitation. Can pay for services.

4.1 Dimensions of Poverty

Poverty is the opposite of good well-being. In addition to income poverty there is deprivation, which includes:

- ❖ lack of assets
- ❖ vulnerability
- ❖ insecurity
- ❖ powerlessness and
- ❖ social and political exclusion

It was noted that many analysts and institutions had attempted to define poverty but that a definition of poverty remained illusive. The World Bank, for example, used a definition which was based on income poverty. Most analysts accepted that poverty was multi-dimensional and assumed a lack of capacity of persons to meet adequate standards of well-being in terms of economic, social, political and human security.

Economic capabilities: This is the ability to earn an income to allow for consumption and to allow for the development of assets which are a key to food security, material well-being and social status. It also involved access to physical and financial resources such as land, implements, animals, forests and fishing waters, amongst others.

Human capabilities: This includes health, skills, literacy and access to food.

Political capabilities: This means people having rights, a voice and some influence over public policies and priorities. Powerlessness leads to deprivation and low access to resources.

Social-cultural capabilities: This concerns the ability of people to participate as a valued member of society, their social status and dignity.

It was noted that poor people lack the capacity to access most or all of the above capabilities. Municipalities can however, by planning with people, begin to help poor people in gaining these capacities.

5 Understanding governance

The facilitator then presented the six governance and institutional issues, combined with SLA principles, that Khanya found useful in their work. These involved six distinct levels.

- | | |
|--|------------|
| • Community (including social CBOs) | micro |
| • Local service providers | micro |
| • Local government/ lowest level of service coordination | lower meso |
| • Regional, provincial level | upper meso |
| • Centre or national level | macro |
| • International level | macro |

Participants then debated what they understood by governance: it emerged that they understood governance to refer to the corporate management of resources. In deciding whether good or bad governance existed the following aspects had to be examined:

- Inclusiveness.
- Meeting priorities.
- Level of infighting.
- Co-operation between different levels of government.
- Clear responsibilities for management of service between levels of government.
- Level of autonomy of local government.

5.1 The six governance issues

If local governments were to address poverty eradication, they needed to ensure the following:

- **Poor people** are active and involved in managing their own development (micro);
- Active and dispersed network of **local service providers** (community based, private sector or government) (micro);
- At **local government level**, services managed and coordinated effectively and responsively, and held accountable (lower meso);
- At a level above (**region or province**), capacity to provide support and supervision (upper meso);
- **Centre/ national** providing holistic and strategic direction around poverty, redistribution, and oversight of development (macro);
- **International** level strengthening capacity in-country to address poverty (macro); and that the linkages between levels working effectively in both directions.

6 Sustainable livelihoods – definitions and principles

6.1 What do we mean by “sustainable livelihoods?”

Participants were divided into groups to discuss and define what they understood by “sustainable livelihoods”. Each group then presented their definition which were:

- A way of surviving;
- The process of making a living;
- The maintenance of life;

- The means of earning a living;
- Having access to the basic needs.

A second question was then posed to participants: what does “sustainable” mean? The responses noted the following:

- At least maintaining your present status quo.
- Accessibility of livelihoods was not interrupted.
- Livelihoods that did not destroy present resources but allowed for future use.
- Continuously earning a living.
- Something that is guaranteed for a long time.

What then is a “sustainable livelihood”? Participants noted the following:

- It enhances access to resources.
- It has an ability to meet basic needs.

We can ensure that livelihoods are sustainable if we;

- Prioritise the use of resources and move towards new opportunities.
- Have resources and are willing to change.
- Have a commitment to change.
- Include all people in debate.
- Ensure people have access to credit.
- Ensure people have access to employment.
- Plan properly with increased participation of all.

Definition of sustainable livelihoods:

The following definition, used by DFID, was offered at the end of the discussion:

A livelihood is defined as the capacities, assets, and activities that ensure a means of living. It is sustainable when it can cope with or recover from stresses and shocks in such a way that it can maintain or enhance the capacities, assets and activities now and for the future.

6.2 Sustainable livelihoods approach – principles

Sam Chimbuya then presented the principles underlying SLA, which were discussed by participants. He noted that they were very closely related to the principles which underlay community-based planning (and would be discussed at a later stage during the workshop).

- **people-centred (empowerment, participatory, responsive)** – this refers to the end beneficiaries, namely the poor, rural people.
 - There is a link between people-centered and participatory, moving more towards building consensus and collaboration, and including all people in the process.
 - Participatory has a spectrum of meanings for different people, which at one extreme can include telling people what is going to happen. “We want to move towards a situation where people take control when deciding on their priorities”.
- **holistic** – this recognises that peoples’ livelihoods are multi-faceted, and that they are often engaged in multiple livelihood strategies. This emphasises that the choice of strategy changes with prevailing conditions and opportunities.

- **dynamic and flexible** – approaches of outside organizations need to be dynamic and flexible, as is the case with people's livelihoods. Within organisations, this calls for learning process approaches rather than blueprints.
- **strength-based** – CBP bases its planning on what people have and can do now rather than a shopping list approach. This includes the capacity of collectives of people to find ways forward.
- **micro-macro links** – start by looking at what is happening on the ground with communities, and aim for consistency with regard to policies, institutions (informal and formal) and practices across levels, from micro to macro. A sustainable livelihoods approach highlights the need for policy-makers to be regularly informed by local institutions articulating the priorities of poor people, identifying the policy changes required to support sustainable livelihoods.
- **partnerships (participatory)** – between people from different levels and from different organisations, government and non-government. This is about recognising many different players whose efforts and roles can be mutually enhanced by working together.
- **sustainability (economic, environmental, institutional, social)** – being aware of issues of sustainability and trade-offs in and beyond our areas of expertise.

7 A conceptual framework for sustainable livelihoods

The participants then brainstormed different groupings within the communities they work with. These included:

- youth
- women – heads of household
- widows
- commercial sex workers
- vendors
- criminals
- elderly
- business people - tuck shop owners
- religious people
- associations
- street kids

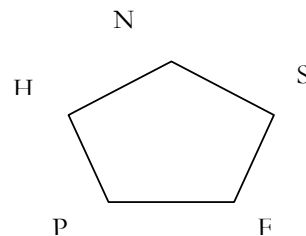
Participants were then divided into groups and had to choose a community grouping for roleplay purposes, discussing various aspects of the livelihoods for the chosen group. Sam Chimbuya then constructed a conceptual framework for sustainable livelihoods incorporating inputs from small groups (see annex 1).

Capital or assets are what people have or what they have access to (services from outside the community excluded). These also include the psychological and spiritual aspects of peoples' livelihoods. Assets that were suggested by the seminar were divided into groups as follows;

- natural** assets: such as water, availability of water, access to land, good quality land, access to family land and usage of natural resources.
- social** assets: children, extended family support and village networks, CBOs, but also the political and cultural assets of people.
- human** assets: physical bodies, basic skills, labour, healthy bodies, local knowledge and skills. Also basic training skills, creativity, energy, capacities and initiatives.

financial assets: capital inheritance, market availability, sources of goods, insurance, diverse income sources, money
physical assets: offices, homes, time, livestock, kitchen, equipment, running water infrastructure.

The facilitator noted that dividing assets / capital in this way gives us the following pentagon, used by DFID:



Assets or capital for creating livelihoods vary greatly between individuals and groups, and so it is important to clearly and explicitly define the “unit” we are dealing with.

People create livelihoods in an **internal environment** shaped by what they have – **assets**, their **vulnerability** to stresses and shocks, by **opportunities** in the external environment and by **policies, institutions and processes**.

In the case of **stresses**, vulnerability takes effect over a long period of time while in the case of **shocks** vulnerability takes effect suddenly. Shocks may set up stresses which people then have to deal with. Some of the **vulnerability** to stresses and shocks that were suggested by the seminar were also grouped into natural, physical, human, social and financial as follows;

Opportunities refers to opportunities in people’s environment. In Khanya’s adaptation, the opportunities box is separate from policies, institutions and processes. Opportunities often arise as a result of outside interventions.

To some degree, both vulnerabilities and opportunities can be divided into natural, social, human, financial and physical, as with assets.

The functions and work of government, NGOs, CBOs, the private sector, traditional authorities and service providers fit into the **policies, institutions and processes** box. Traditional institutions and service providing CBOs fit here although they overlap with social assets. We can think of different levels of institutions – **macro** referring to institutions at the international and national levels, **micro** referring to the household/people level (e.g. a township) while **meso** refers to the institutions in between, commonly the local government, town boards and municipal levels. The functions of institutions at the different levels are different.

Some of the suggestions that were made by the seminar were;

Micro: traditional leadership, families, churches, traditional leadership, labour laws, informal institutions.
Meso: financial structures and institutional process within them (e.g. access to loans and accessing capital), tribal structures, lack of market support, government land reform policies, traditional land policies. Informal CBO structures (e.g. initiation rituals). Tribal right of access to resources
Macro: land ownership policies, government subsidies, co-op registered business, government registration process (ID’s)

It was pointed out that people in all environments desire many of the same livelihood outcomes, as seen below. These suggested livelihood included the following:

- Improved well-being
- More income
- Reduced vulnerability
- Self-worth, dignity
- Information
- Stable income, successful business, self-reliance, education (skills) for children

However the environment in which they make a livelihood is very different, so that livelihoods are also different. Thinking in terms of the sustainable livelihoods framework, **what is our role** as municipalities? In short, it is to assist people to increase their assets, and/or reduce vulnerability and/or to assist people to realise/capitalise on their opportunities, hence the need for community-based planning using the principles of sustainable livelihoods.

8 The Application of the Sustainable Livelihoods Approach: the community - based planning approach

Principles on which community-based planning is based

The approach to community based planning is based on the sustainable livelihood principles (see Box 1). Lessons in applying this in four African countries (Ghana, Uganda, Zimbabwe and South Africa) suggest that one of the key elements is to ensure that “people are active and involved in managing their own development”. Community-based planning (CBP) is not a stand-alone process but is linked to the local government system.

Key principles of this approach to CBP include:

- the need to ensure that **poor people are included** in planning.
- systems that are **realistic and practical**; the planning process must be implementable using available resources within the local government, and must link in and integrate with existing municipal planning processes.
- planning must be linked to a **legitimate structures**.
- planning should **not be a once off** exercise, but should be part of longer process.
- plan must be **people focused and empowering**.
- we must **plan from vision and strength/opportunities** not problems.
- plans must be **holistic** and cover all sectors.
- planning should promote **mutual accountability** between community and officials.
- there must be a **commitment** by councillors and officials and be someone needs to be responsible to ensure it gets done.

Box 1. Principles of the sustainable livelihoods approach

For effective pro-poor development interventions must be:

- People focused
- Participatory and responsive
- Based on strengths not needs
- Holistic
- Based on partnerships
- Sustainable (economic, social environmental, and institutional)
- Flexible and dynamic

The clients of the planning are communities/interest groups/individuals, local politicians as well as technical staff of local governments, service providers (including national and provincial departments, NGOs).

A plan is **holistic** if it considers the broad range of sectors and issues that impact on and are impacted by the development process. However, a holistic plan must demonstrate integration too – in other words, it

is not sufficient to consider each sector in isolation. It is important also to consider the links between sectoral activities, and the implications of these for sustainable livelihoods. For instance, important cross-cutting issues such as environment and gender should not only be dealt with in separate sections of the plan, but also rather integrated into each planning event, in each section of the plan and into each project. This is necessary if the intention is to “mainstream” environment.

The components of the principle of **sustainability** must also be considered in some detail. The sustainable livelihoods approach delineates four main areas of sustainability:

- economic;
- social;
- environmental;
- institutional.

The concept of sustainable development, now globally accepted and included in most national policy frameworks, requires that each of these aspects be considered in decision making. Decisions based only on one of the components, such as economic criteria, will not be sustainable.

The planning unit

In general for CBP it is assumed that the ward level will be the planning unit, but in some situations this may not be optimal, e.g. where:

- the political legitimacy of the wards and the ward committees is seriously under question;
- the distances or physical environment makes a ward problematic for planning as a unit, e.g. where there are major physical barriers such as rivers within a ward, or very large distances, with the result that it is difficult to plan in an integrated way.

In such cases the municipality may decide to use another unit, e.g. a catchment. However the units must be small enough to allow a high degree of participation (unlikely in a 50 000 person unit) but must also not be so small that the municipality cannot afford to support planning in all such units in its area.

Categorising different groups in the community

The community-based plan aims to achieve a ward plan that has had maximum participation and representation of all the people of the ward. Therefore there is a need to stratify the people of the ward in such a manner as to ensure optimum participation and representation, and that the plan addresses cross-cutting issues covering a wide range of socio-economic groups in the ward, including the poorest, less poor and well off. The **principles** by which the division of the community in the planning unit is done includes:

- The *diversity* in the community (social, economic, cultural, etc) needs to be captured in the plans;
- There should be representation of people from the different *areas* in the planning unit;
- The community must be *involved* in the division of social or livelihood groups to ensure the input of local knowledge and ownership;
- Marginal groups must be represented and livelihoods analysis conducted specifically on these groups, including women (notably in different social categories, e.g. widows, or single mothers), youth, children (e.g. 10-18), and poor groups (e.g. widows/widowers, landless etc)
- There needs to be a balance between inclusivity/representivity and what is practically manageable in terms of the sample size.

This task was difficult and one must be careful about using many different livelihoods as opposed to social categories. Is the difference between a leatherworker and carpenter significant – or are these both

artisans/self-employed with relatively similar socio-economic situations? On the other hand the difference between these people and farmers, or the landless may be very significant.

The **definitions** of different livelihood groupings is shown in Table X below. The facilitator recommended the use of social groupings rather than the economic groupings. But he pointed out that there was no right answer. What was important was to pick out the major groups in society, their different access to resources and their different priorities, so that the plan represents these broader groups. They may well end up a mix between social groups (e.g. widows, landless, unemployed) and economic groups (large farmers, small farmers, self-employed etc).

Table 3: Definitions of different social/livelihood groupings

Stratification of "community"	Definition and examples	Advantages of using	Disadvantages of using	Tips on implementation
Interest groups and community-based organisations	<p>Groupings (formal or informal) that exist in the community as a result of:</p> <ul style="list-style-type: none"> • Social reasons including recreational, cultural, and religious criteria (e.g. woman's group, sports club, church group) • Economic reasons (sewing club, cooperative, livestock group, stokvel) or • a combination of reasons (e.g. burial society, Rotary Club) 	<ul style="list-style-type: none"> • already some cohesion and trust • recognised in the community • can own plans and therefore assist in follow-up, implementation • groups are likely to have done some of their own analysis and planning which could contribute to the community plan • building on community strengths 	<ul style="list-style-type: none"> • as the focus is on organised groups, one can miss people (especially the poor) who are not organised in any way • does not capture who is excluded from groups and why • no specific focus on gender, age or wealth • the more organised groups are likely to dominate • may not mobilise people who are traditionally left out of community activities 	<ul style="list-style-type: none"> • start with an analysis of the organised groups in the community and use this as the starting point to guide further stratification • check the past (timeline) for organisations that no longer exist/have failed. • Separate them if they have significant difference in access to assets, e.g. charcoal burners are often among the poorest – do not if the differences are not significant
Social groups	<p>Grouping (for planning) around social criteria including:</p> <ul style="list-style-type: none"> • gender • age • marital status • access to resources <p>(e.g. unmarried women, old men, young men, children, landless, employed, business people, self-employed, widows)</p>	<ul style="list-style-type: none"> • can mobilise active participation from marginalised groups and belief that they are being listened to • specific focus on key determinants of participation or exclusion and poverty • can generate cohesion and cooperation among like people towards community mobilisation • picks up major differences in access to assets 	<ul style="list-style-type: none"> • if groups are too broad le.g. "women", their assets (wealth) may vary greatly as well as their contexts making the development of common visions difficult • potentially a large number of social groups in a community, although less than economic livelihoods 	<ul style="list-style-type: none"> • some social groups may already be operating as interest groups, and/or CBOs (e.g. youth dance group) • push people to think of who are the poorest and richer groups – if the well-being analysis is not done this is very important
Economic activity groups	Grouping based on (primarily) economic criteria ie what people do	<ul style="list-style-type: none"> • If carefully selected covering secure and vulnerable groupings 	<ul style="list-style-type: none"> • can miss gender/age dimensions of the group 	<ul style="list-style-type: none"> • some economic groups may already be involved

Stratification of “community”	Definition and examples	Advantages of using	Disadvantages of using	Tips on implementation
	for a living (e.g. taxi drivers, banana farmers, hawkers, sex-workers, car guards, etc)	it can encourage participation by people and groupings who are not normally included (e.g. farm workers, car minders, sex workers, etc) <ul style="list-style-type: none"> • Encourages analysis and planning of groupings within a similar economic/wealth/assets background, which is useful in developing a common vision 	<ul style="list-style-type: none"> • Where there are large differences in assets (e.g. large and small cattle farmers), facilitators need to subdivide the groups to get realistic plans • Can miss poor and vulnerable groupings unless these are emphasised or searched for 	in interest groups, and/or CBOs (e.g. cooperatives) <ul style="list-style-type: none"> • use this groupings to cover the important activities where people are not organised • check that social difference is not lost in an economic group. It may be necessary to divide along social lines

Table 4: Suggested intensive field schedule for planning

Day	Activities	With whom?
Pre Planning		
0.5 days	Pre-planning meeting at least one week before the planning starts Compiling background information	Ward committee and possibly local leaders
Planning (up to 5 days)		
Day 1 (situation analysis)	Community launch meeting	Broad community group (or can be in evening only)
	Timeline	Smaller community group
	Venn diagram	Smaller community group
	Livelihood analysis	Socio-economic groups
Evening	Community feedback meeting SWOT	Broad community group
Day 2 (situation analysis)	Livelihood analysis continued	Socio-economic groups
	Well-being analysis	Smaller community group
	Service provider interviews	Service providers/CBOs
	Mapping	Smaller community group
	Transect (optional)	Smaller community group
Evening	Visioning and objectives exercise	Broad community group
Day 3 (planning)	Strategies and projects	Smaller community group
Day 4 (planning)	Strategy development continued	Smaller community group
	Propose spending for process funds, IDP projects, environmental check list and possibly action plan	
Evening (or next evening)	Community feedback meeting to confirm plan	Broad community group
Day 5	Project profiles Start writing up the plan	Core facilitation team plus other co-opted community members
Planning follow up (within next week or by deadline)		
(writing)	Completing writing up the plan	Core facilitation team plus other co-opted community members
	Submission of plan	Core facilitation team
Finalisation (0.5 day)		
After local authority review of community plan	Community plan finalisation meeting	
Review meetings (0.5 day every 1-3 months)		
	Regular meetings to review plan and roll action plan	Local leaders (Ward committee, parish development committee)

The main parts of the plan

Box 2: The main sections to a community-based plan

Cover and/or endorsement page (with key signatures)

- 1 **How did we make the plan** (the process we went through)
- 2 **What is the situation in our community** (background, livelihoods of different groups, services, state of the environment, SWOT)
- 3 **What do we want to achieve** (the vision, objectives and the strategies and projects/activities to reach the objectives)
- 4 **Implementing our plan** (Summary of who needs to do what for our projects and activities)

Annex

Project profiles (project summaries which must be completed for projects submitted for the municipality or to sectoral departments)

The plan should act as the community record book, enabling decisions to be reviewed and information to be updated in due course. It is a tool for monitoring progress in plan implementation and can be updated annually as projects move forward, and new priorities emerge.

Sustainable Livelihoods Analysis

For a guideline with more detail on the implementation of an SL analysis go to www.khanya-mrc.co.za and find the report: "Guidelines for carrying out a sustainable rural livelihoods analysis", by Khanya, 1999.

9. Useful contacts

An excellent website for livelihoods information is www.livelihoods.org. It is user friendly and well resourced with good links.

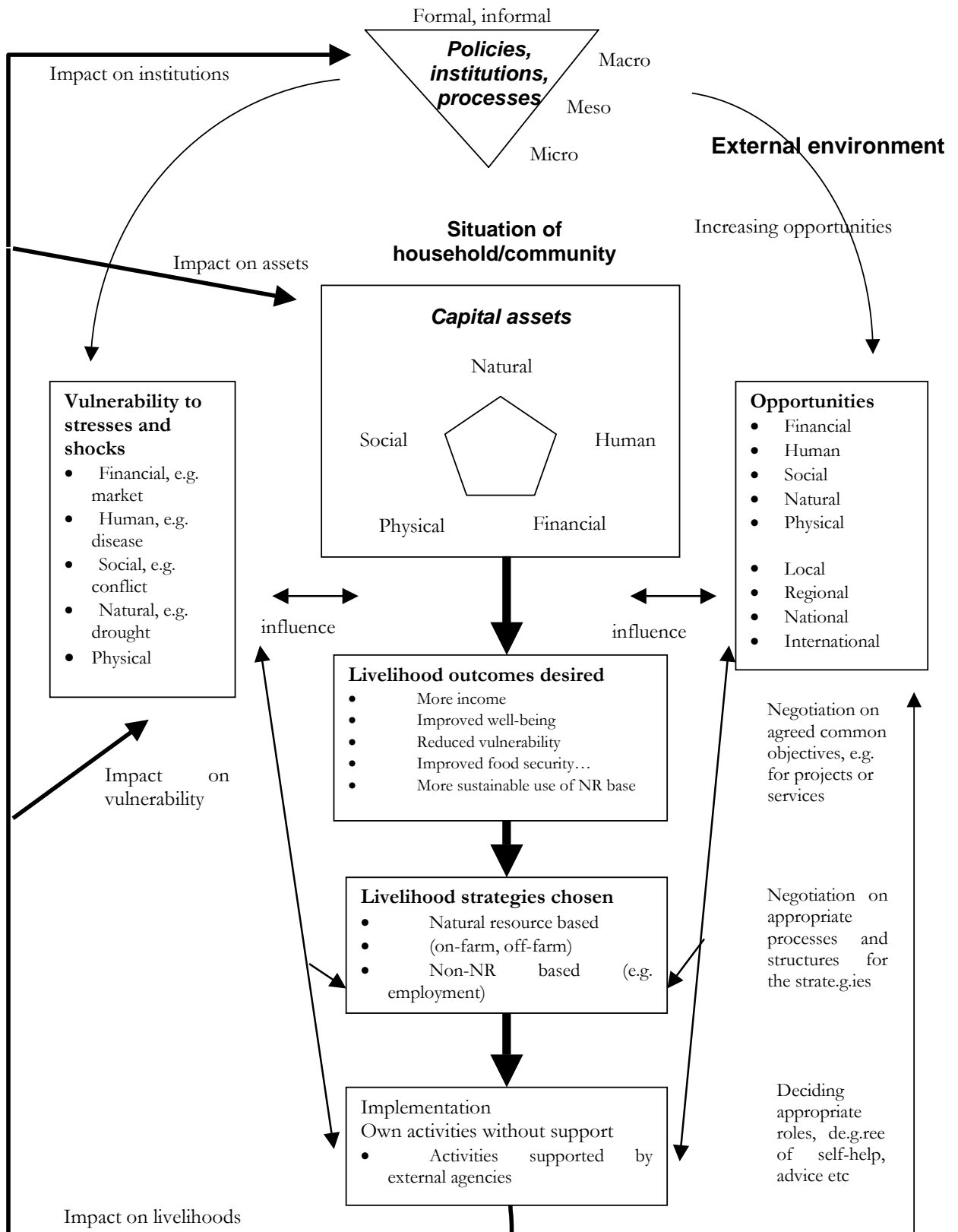
Others include:

- World Bank Poverty Strategy Sourcebook: www.worldbank.org/poverty/strate.g.ies/sourctoc.htm
- IIED's sustainable agriculture and rural livelihoods work: www.iied.org/agri
- Poverty Reduction Strategy Papers: www.worldbank.org/prsp
- UNDP SL site: www.undp.org/sl/
- UNDP Poverty Report 2000: www.undp.org/povertyreport/

Khanya in partnership with the international NGO CARE - SA and PLAAS, University of the Western Cape produce a bi-monthly email newsletter called: "Sustaining Livelihoods in Southern Africa". Contact the editor, Tsiliso Tamasane at tsiliso@khanya-mrc.co.za to get on mail list. Khanya has an active website at www.khanya-mrc.co.za where much information re the implementation of the SLA in SA can be obtained.

ANNEX 1

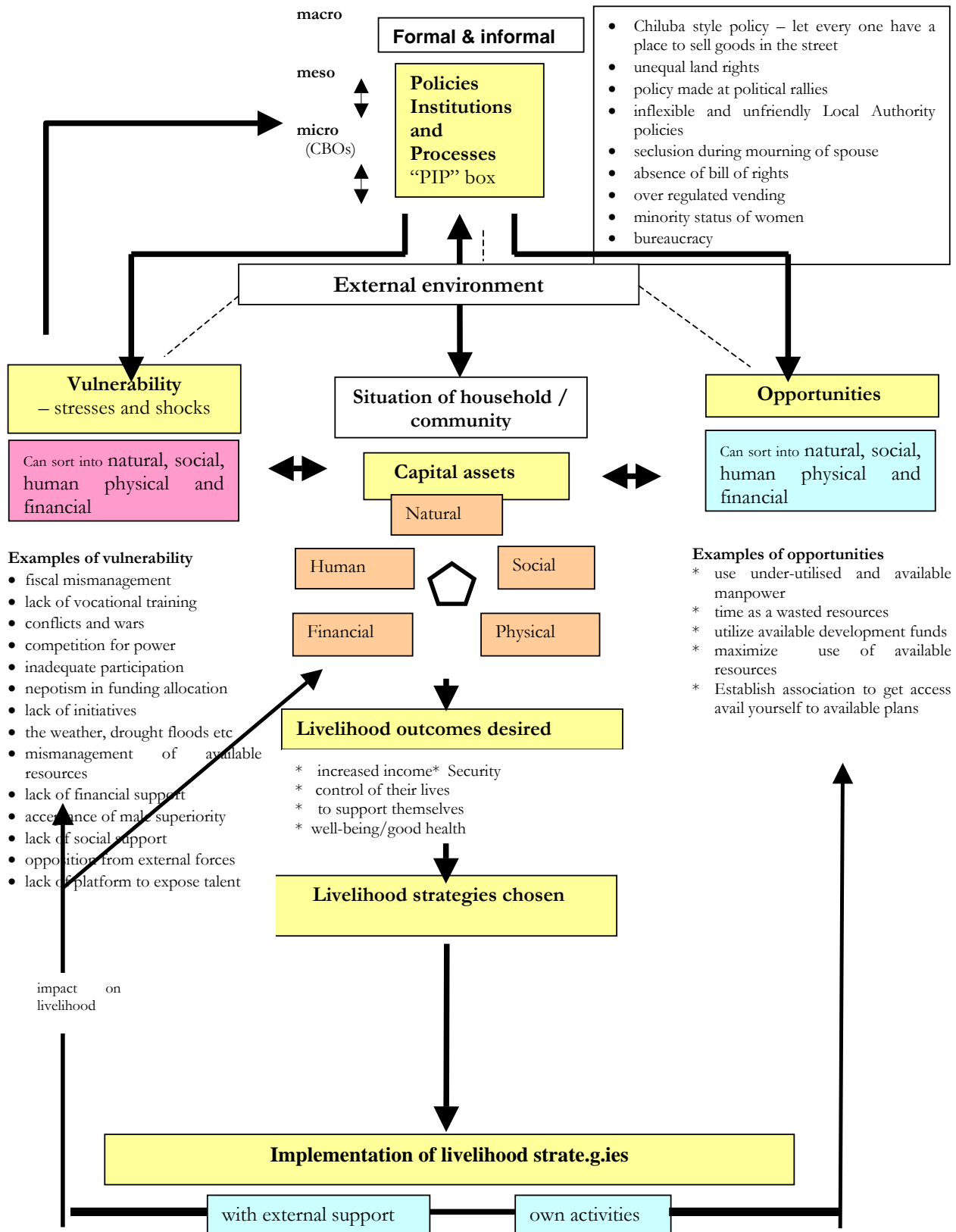
SUSTAINABLE LIVELIHOODS FRAMEWORK¹



¹ Khanya, adapted from Carney (1998)

ANNEX 2

SL FRAMEWORK–Developed by Swaziland participants



ANNEX 3**PARTICIPANTS LIST**

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