

# **AN ASSESSMENT OF ROSENDAL-MAUTSE PARTICIPATION IN THE IDP PROCESS OF DIHLABENG MUNICIPALITY**

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## **DECLARATION**

By submitting this thesis electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the owner of the copyright thereof (unless to the extent explicitly otherwise stated) and that I have not previously in its entirety or in part submitted it for obtaining any qualification – neither in its entirety nor in part.

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## ABSTRACT

Since 1994, the newly elected democratic government of the Republic of South Africa, starting with the government of National Unity, has introduced various policies and legislation in an endeavour to place the country on a path to recovery after the demise of apartheid. The national government has placed this responsibility in the hands of municipalities, or local government as they are commonly referred to. As a result, municipalities have an active duty to create conducive environments to enable local communities to participate in the preparation, implementation and review of their Integrated Development Plan (IDP).

The purpose of this study is to assess the public participation of Rosendal-Mautse, one area among the five towns that comprise Dihlabeng Municipality, in the IDP process of Dihlabeng Municipality. In view of the anthology of legislation governing “public participation” at local government level, the study poses two hypotheses, which were tested against the data collected. Furthermore, two additional research questions were formulated to guide the research process. Results of the research are provided in a way that will enable the reader to draw his or her own conclusions on the value of this study.

The literature review on international understanding and practices of public participation suggest that participation has grown and that its role has extended in development. This has resulted in the birth of new approaches that cut across theory, policy and practice, with each approach in turn producing its own trajectory and contextual specificities that are characterised by unique debates and empirical evidence.

Municipalities are currently burdened with the responsibility to achieve socio-economic goals associated with public participation. However, despite compliance with legal requirement for public participation, only an appropriate knowledge of the process leading to meaningful participation and the relevant skills hold the key to success in this quest to reconstruct and develop the country where all will live a better life.

## OPSOMMING

Sedert 1994 het die nuutverkose demokratiese regering van die Republiek van Suid-Afrika, met eerstens die regering van Nasionale Eenheid, verskeie beleide en wetgewing ingedien in 'n poging om die land op 'n pad van herstel te plaas ná die ondergang van apartheid. Die nasionale regering het hierdie verantwoordelikheid oorgedra aan munisipaliteite, of die plaaslike regering, soos hulle in die algemeen na verwys word. Die gevolg hiervan is dat munisipaliteite 'n aktiewe rol het om omgewings te skep wat bevorderlik daarvoor is dat plaaslike gemeenskappe die geleentheid kry om deel te neem aan die voorbereiding, implementering en oorsig van hulle Geïntegreerde Ontwikkelingsplan (GOP).

Die doel van hierdie studie is om vas te stel wat die publieke deelname is in die GOP-proses van Dihlabeng Munisipaliteit in Rosendal-Mautse, een gebied van die vyf dorpe waaruit hierdie munisipaliteit bestaan. In die lig van die versameling wetgewing wat "publieke deelname" op plaaslike regeringsvlak reguleer, stel die studie twee hipoteses wat getoets is teen die ingesamelde data. Daar is verder twee bykomende navorsingsvrae geformuleer om die navorsingsproses te lei. Die resultate van die navorsing word op só 'n wyse aangebied, dat dit die leser in staat stel om sy of haar eie gevolgtrekkings te maak oor die waarde van hierdie studie.

Die literatuuroorsig van die internasionale begrip en praktyke van publieke deelname doen aan die hand dat deelname gegroei het en dat die rol daarvan uitgebrei het in ontwikkeling. Dit het gelei tot die totstandkoming van nuwe benaderings wat in stryd is met teorie, beleid en praktyk, met elke benadering wat op sy beurt sy eie baan en kontekstuele besonderhede skep wat gekarakteriseer word deur unieke debatte en empiriese bewyse.

Munisipaliteite word tans belas met die verantwoordelikheid om sosio-ekonomiese doelstellings wat met publieke deelname verband hou, te bereik. Ondanks die nakoming van wetlike vereistes vir publieke deelname, is slegs 'n toepaslike kennis van die proses wat lei tot betekenisvolle publieke deelname en die toepaslike vaardighede, die sleutel tot

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## CHAPTER ONE: INTRODUCTION AND STATEMENT OF THE PROBLEM

### 1.1 Introduction

According to Hickey and Mohan (2004:3), the notion and practice of public participation in international development are positioned at an uneasy defining moment, veiled in some academic and practitioner circles, yet as omnipresent as ever in others. Furthermore, Hickey and Mohan (2004) assert that participation has moved virtually unchecked from the margins to the mainstream of development since the 1980s. There is evidence to suggest that it has deepened and extended its role in development, with a new range of approaches to participation emerging across theory, policy and practice, each approach having its own trajectory and contextual specificities, and characterised by particular debates and empirical experiences.

Cornwall (2007:4) argues that the period from 1980 to 1990 has been a decade in which the voices of the public and especially of the poor have increasingly been sought and, as a result, a confluence of development and democratisation programmes has brought community participation in governance to centre stage. There still remains a strong sense in the literature on participatory development that “the proper objective of participation is to ensure the transformation of existing development practice and, more radically, the social relations, institutional practices and capacity gaps which cause social exclusion” (Hickey & Mohan 2004:13).

Reforms in governance have generated a plethora of new spaces for the participation of communities. In some areas, older institutions with legacies of colonial rule have been restructured to suit contemporary governance agendas, while in others, constitutional and governance reforms have produced entirely new structures (Cornwall 2007:xviii). In South Africa, through provisions in specific legislations and in particular in the Constitution of the Republic of South Africa Act (Act 108 of 1996), the government has passed down the developmental mandate to the local government sphere. Accordingly, all municipalities are obliged to exercise a political (representative) and developmental

function concurrently with an active participation of local communities in order to achieve service delivery, social and economic development and a healthy environment (Chipkin 2002:71).

The in-depth literature on public participation provides sufficient evidence of its prominence as a new developmental paradigm, which can be defined as a process through which the residents of a particular community are given a voice and power to decide whether to participate in the issues affecting their lives, provided it is properly managed. The key issue as stated by Theron (2005a) is that through participation the beneficiaries should be able to influence, direct and control the participation process and not merely become end-beneficiaries of projects and programmes outcomes.

## **1.2 Background to the Study**

Community participation in governance is regarded as having the potential to reduce poverty and redress social injustices by strengthening citizens' rights and voice, influencing policy-making, enhancing local governance, and improving accountability and responsiveness of institutions (Taylor & Fransman 2004:1, cited by Hicks 2007:1). In South Africa, the government has introduced a policy framework, regulations, policies and legislation through which integrated and coherent socio-economic development based on the initial Reconstruction and Development Programme (RDP) principles could be pursued. Through the White Paper on Local Government (1998), the government introduced the Integrated Development Planning (IDP) system as a tool to address its quest to eradicate poverty and inequality.

As stated above, the government of South Africa has placed the developmental mandate on the shoulders of municipalities. Each municipality must therefore develop an IDP, which is a single, inclusive and strategic plan for the development of the municipality that links, integrates and co-ordinates plans, and aligns the resources and capacity of the municipality with the implementation of the plan to form the policy framework and the basis on which annual budgets must be based (Municipal Systems Act, 2000). In terms of the White Paper on Local Government and subsequent legislations such as the Municipal Structures Act (1998) and the Municipal Systems Act (2000), public participation should

form part of the process of development, especially through the formulation, implementation, monitoring and revision of the IDP process, and appropriate mechanisms for participation should be provided.

As most literature links public participation with development, which notably is the most common context in which public participation is invoked, one of the definitions considered useful as a starting point is stated as follows: “participation is a process in which stakeholders influence and share control over development initiatives and the decisions and the resources which affect them” (Buccus, Hemson, Hicks & Piper 2007:6).

It is on the basis of this background that the researcher in this study undertook to assess public participation in the IDP process of one South African municipality, Dihlabeng Local Municipality, but limiting this study to one of the Dihlabeng communities, namely the residents of Rosendal-Mautse. The researcher is an employee of Dihlabeng Municipality and was appointed in August 2005 as a branch manager in Rosendal-Mautse. As part of the researcher’s orientation, together with other branch managers, we took a tour of all the towns comprising Dihlabeng before finally settling in Rosendal-Mautse. By comparing the different places we had visited, a striking difference in degree of affluence and non-affluence (poverty) between the places was evident.

At the office in Rosendal-Mautse, the researcher’s first analysis of records and a tour of the locale revealed a sombre picture of glaring community poverty. According to De Beer and Swanepoel (2000:2), community poverty manifests itself where almost everyone in a community is poor. De Beer and Swanepoel furthermore explain that community poverty is more visible when the most affluent members of the society are distinguishable from their less affluent neighbours and this condition prevails mostly in rural areas. Due to the lack of resources in Rosendal-Mautse, such as water, well-developed roads and other infrastructure, according to the Dihlabeng IDP Regional Analysis 2005/6, the Council has decided that major industry-related developments be located in the larger town of Bethlehem. This has obviously resulted in skewed development planning, which gradually and systematically has caused smaller towns to

lag behind while developments progress in the greater Bethlehem area, including Clarens, which has fast developed as a tourist destination.

Since the obligation imposed by the researcher's position as a branch manager was to ensure that the community in this area should receive basic services and also be empowered to develop itself, the researcher was faced with questions about how the community could be assisted in addressing this problem. If the IDP was a tool likely to address development problems, then one needed to assess the Rosendal-Mautse community's participation in the IDP process.

### **1.3 Research problem and rationale for study**

Although the IDP outcomes are predicted to benefit the local community, the presence and authentic participation of the Rosendal-Mautse community are nevertheless central to the realisation of this goal. Considering the range of development challenges facing South Africa today, a research project for the DPLG (2005:1) has shown that public participation is promoted for the following four main reasons (among others):

- Firstly, public participation is encouraged on the basis of being a legal requirement for communities to participate in matters that affect their lives.
- Secondly, it could be promoted in order to make development plans and services relevant to local needs and conditions, that is, to be legitimate and therefore acceptable to the community.
- Thirdly, public participation may be encouraged to hand over responsibility for services and promote community action. This is confirmed by Chambers (1997:117) as "handing over the stick", enabling the local people to be the analysts, mappers, diagrammers, observers, researchers, historians, planners, actors, presenters of their analysis and then facilitators of their development.
- Lastly, public participation could be encouraged to empower local communities to have control over their own lives and livelihoods.

Oakley et.al. (1991:1) explain that the key advantage of community participation is that it increases both the people's sense of control over matters that affect their lives and

promotes their self-confidence and self-awareness at the same time. Participation on this basis becomes a process of conscientisation, with the effect of reinforcing itself to become a sustainable process that underpins the community's development in the long term.

Given the fact that the IDP is the principal municipal planning tool which documents and provides detailed specifications about infrastructural and developmental objectives of all municipalities in South Africa, while acknowledging the fact that transformation cannot be achieved overnight, it is however expected of all municipalities to ensure a progressive realisation of the developmental objectives of local government. If participation is made obligatory and ensured through relevant legislation, the persistence of conditions associated with poverty raises serious concerns that, on the one hand, require an evaluation of the impact of the IDP and, on the other hand, demand an assessment of the participation process itself.

Given these circumstances, this study uses the IDP process of Dihlabeng Municipality to assess the public participation of residents of Rosendal-Mautse in this process.

#### **1.4 Hypotheses**

Given the problems of disparity between the communities within Dihlabeng Municipality, the following two hypotheses were intended to guide this study:

- Meaningful community participation will depend on the effective communication of the principles and concepts of participation by change agents and their understanding by the community concerned.
- Community participation will increase in relation to the degree of control possessed by participants over the allocation of resources for development.

The variables identified by this study are knowledge of the IDP process and the extent of public participation in this process. The independent variable in this case is knowledge of the IDP, while public participation constitutes the dependent variable, which increases or decreases with introduction or removal of IDP knowledge.

### **1.5 The aims and objectives of the study**

This study is not intended to cover the whole scope of public participation and its aims are therefore classified into the following two groups:

- i. The first aim is to clarify community participation as a concept and as a process within the framework of IDP process.
- ii. The second aim is to construct an analytical framework using Arnstein's ladder of participation and the IAP2 as a guideline in order to assess Rosendal-Mautse's participation in the IDP process of Dihlabeng Municipality.

In order to meet the above-specified aims, the objectives of this study included the following:

- i. To explore community participation in Rosendal-Mautse in order to establish the current status, so as to gauge whether the standard and level are low or high.
- ii. To explore the municipality's current participation plans and their relevance in the IDP process.
- iii. To assess the level of understanding and commitment of officials and community, and to find out what experiences and perceptions each group holds of the principles of community participation.
- iv. To identify successes and shortcomings and to propose recommendations and strategies on feasible actions that can be taken to improve collective stakeholders' participation.

### **1.6 An overview of the research design and methodology**

According to Abelson and Gauvin (2006:19), a review of a substantial amount of empirical evaluation literature indicates that a range of disciplines, fields of study and methods have been used to evaluate public participation. Research design approaches in these cases range from case studies to experimental research, and employ quantitative survey-based methods as well as qualitative methods of participant observation and in-depth interviews. Abelson and Gauvin (2006) states that some of the consistent sources

of research cover the field of environmental policy and related sub-fields of waste and resource management, wherein particular activities of research relate to public participation. While this literature provides a rich body of practice-based learning resources, it is largely comprised of descriptive assessments of public participation experiences rather than rigorous evaluation.

In assessing public participation in Dihlabeng Municipality, the researcher chose Rosendal-Mautse as a case study, which made it necessary for the researcher to design a research strategy with a methodology that would ensure the validity and reliability of data collected. The researcher used a qualitative approach, which was in some instances backed by quantitative methods, such as sampling and questionnaires, to analyse both qualitative and quantitative data. The reader is aware of the fact that public participation was assessed as one phenomenon taking place at the same time as the process of IDP was conducted. In other words, public participation was assessed in relation to or as a component of another phenomenon, both of which are situated in World I (Mouton 2001:137).

In addition to collecting data by surveys and interviews, documentary analysis was carried out on municipal records to augment other methods. A more detailed explanation of the methodology of research used in this study is provided in Chapter 5.

### **1.7 A brief description of Dihlabeng Municipality**

Dihlabeng Municipality is situated in the Thabo Mofutsanyana District Municipality, which constitutes the largest portion of the Eastern Free State Province, one of the nine provinces comprising the Republic of South Africa. This municipality was established in 2000 after the amalgamation of the following five towns with townships adjacent thereto: Bethlehem-Bohlokong, Clarens-Kgubetswana, Fouriesburg-Mashaeng, Paul Roux-Fateng-Tse-Ntso and Rosendal-Mautse.

After the disestablishment of these previously independent municipalities, Bethlehem became the head-office in which all aspects of administration have been centralised. Dihlabeng is divided into 19 wards, which can be viewed at [www.demarcation.org.za](http://www.demarcation.org.za).

The area that constitutes Rosendal-Mautse has been demarcated as ward number 14, which is the focal point of this study. While the municipality has an estimated total population of about 141 000 people, Rosendal-Mautse urban population is estimated at about 2 624 (Statistics South Africa 2001). According to Dihlabeng IDP Regional Analysis 2005/2006, the average household size is put at 3,17 people per household. Generally, all the towns in Dihlabeng Municipality were during the apartheid era subjected to planning that was rigidly controlled on the basis of race in terms of residential areas, employment and access to different public amenities.

Rosendal-Mautse initially developed as an agricultural area and there is no industrial activity of note, which is reflected in high unemployment rates and extreme contrasts in socio-economic conditions.

### **1.8 Significance of the study**

When the South African government introduced the IDP, it was hoped that it would address the socio-economic problems brought about by the practice of separate development policy. South Africans generally embraced the reform efforts introduced after 1994, including the government's devolution of the developmental mandate to municipalities, which, as a government closer to the people, will allow communities to participate in the affairs of their municipality. Thus, communities would be able to influence and control what is viewed as a social development process, designed to advance the welfare of people and accompanied by a well-considered process of economic development.

This study was undertaken with the understanding that public participation should be encouraged and its role deepened in order to benefit the poor masses in this country. It was also informed by the view that various stakeholders would be interested in using the results of it as a learning resource, particularly organisations engaged in grassroots development, to assist them in overcoming obstacles and contributing to the participation of poor communities.

## 1.9 Delineation of the study

The study paid attention to assessing the participation of the residents of Rosendal-Mautse, which is only one area of Dihlabeng Municipality. Only bona fide residents and municipal officials attached to the IDP office, including councillors in this area, were approached and requested to participate in this study.

## 1.10 Definition of key terms

The purpose of this section is to introduce and clarify concepts used in most of the literature and in this study.

- Community:

Although definitions of community vary in development literature, most practitioners relate the meaning or idea of community to the notion of deprivation or poverty and disadvantage. Often when attempts are made to define this concept, we tend to think in geographic terms or define it by common cultural heritage, language and beliefs or shared interests. However, for the purpose of this study, community as a concept will be defined as follows:

*A community, in everyday language, is a collection of people in a given location: that is, a village, town, city, or even country. As a social or political principle, however, the term community suggests a social group that possesses a strong collective identity based on bonds of comradeship, loyalty and duty*

*(Heywood 2002:172).*

While De Beer and Swanepoel (1998:17) warn that definitions of “community” are open to criticism, they show that there is to a great extent a common denominator among these definitions, which is their view of “community as a grouping of people who reside in a specific locality and who exercise some degree of local autonomy in organising their social life in such a way that they can, from that locality base, satisfy the full range of their daily needs.”

- Development:

The term development also connotes an assumption of growth and expansion associated with fast pace, volume and size, which was a commonly accepted explanation during the industrial period. Development may not necessarily mean growth; however, the current thinking is that development is understood to mean positive change.

For the purpose of this study, development will be defined as

*A process by which members of a society increase their resources to produce sustainable and justly distributed improvements in their quality of life consistent with their own aspirations*

*(Korten 1990:67).*

In addition to this definition, Botes (1999:39) highlights the fact that it is also important to indicate few of the acclaimed views in which development is regarded, namely:

- That development is about relationships. It is about the process of enlarging people's choices. It does not simply mean delivering products, but addressing the process through which they are delivered.
- That the struggle for equitable and just interactions between different groups is central to the concept of development, a fact which makes participation a critical component of equity.
- That development is essentially about positive change or improvement – a change for the better and an improvement in well-being.
- That development is a universal issue and not just an issue for the developing world. Rich and poor countries constitute a single world system, and the over-development of one part of the world is closely linked to the under-development of the other part of the same world, a fact also argued by Davids (2005a:23).

- Empowerment:

According to De Beer and Swanepoel (1998:24), as the debate around community and its development persists, many authors are less inclined to define empowerment and instead stress the characteristics or principles of the process of empowerment (which must be reflected in any development process, according to Theron 2005b:122), which are that:

- Concrete and abstract human needs are addressed through empowerment; thus arguing the case of participation and hence that the poor must take control of their destiny.
- Empowerment is a learning process which is obviously preceded by a problem-solving approach.
- Empowerment is collective action in that a group of people sharing a mutual interest, sentiment or concern act collectively, which may lead to a small success that might instil great confidence.
- Empowerment is action at grassroots level.
- Empowerment releases people from the poverty trap.
- Public participation:

What follows is not in essence a definition but rather an indication of the nature of public participation, which is provided by Theron (2007:38; cited in Kok & Gelderblom 1994:44) and reads as follows:

Participation by the people/ the public/ the community/ citizens/ beneficiaries/ stakeholders in development planning process is voluntary and willingly ... People's participation has to be understood on four levels of interaction, i.e.

- Public participation in decision making;
- Public participation in implementation;
- Public participation in monitoring and evaluation; and
- Public participation in sharing the benefits of development.

In this study, the terms community and public participation are used interchangeably.

### **1.11 Structure of the study**

This study contains seven chapters arranged as follows:

Chapter 1: Introduction and statement of the problem

This chapter provides a general introduction about public participation and a brief account of its position in the international arena. A background to the study is highlighted. Further attention is devoted to the research problem and rationale for the study, i.e. what it wants to contribute, and to its aims and objectives. An overview of research design and methodology is given and a brief description of the locale of study is provided.

Chapter 2: The historical origins and theoretical basis of the participatory development paradigm

This chapter presents the literature review of participatory development, highlighting the importance of participation as a component of development, its different origins and approaches.

Chapter 3: Public participation in context: The international rationale

As a continuation of literature review, this chapter focuses on the international context and practice of public participation. It brings to light the different interpretations given to the meaning of participation. It also looks into the advantages and contributions of authentic public participation, as well as the obstacles to be avoided.

Chapter 4: Policy framework for public participation in South Africa with specific reference to the IDP process at municipal level

This chapter reviews the concept of developmental local government and the policy framework through which its goals must be achieved. The chapter considers important public participation provisions made in major legislation and policy documents of the

government, with specific reference to the IDP. It also explains the IDP process and outlines Dihlabeng public participation plans.

Chapter 5: The research methodology

This chapter outlines the methodology used in detail. It also lays down the framework for implementing the study.

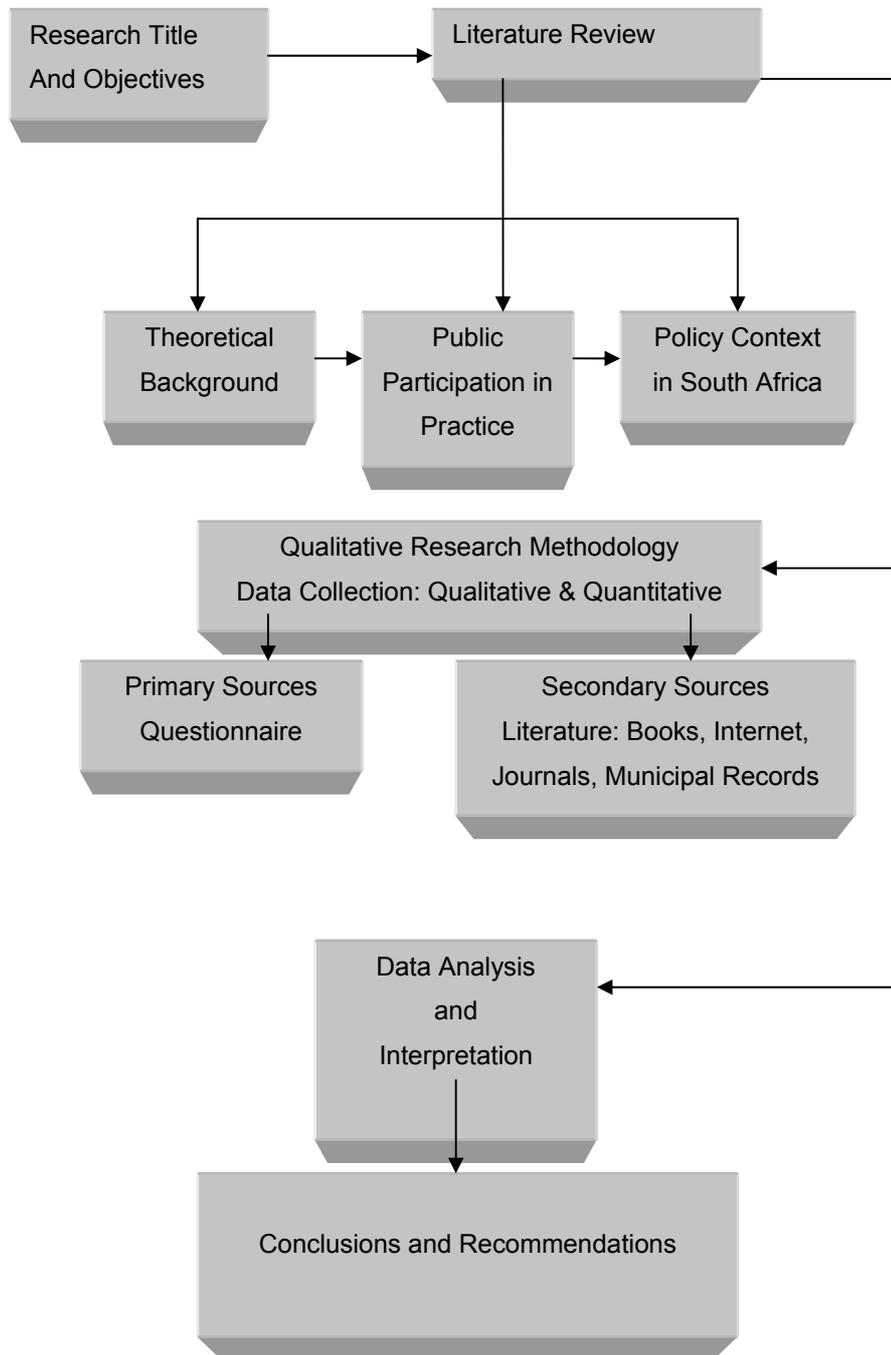
Chapter 6: Presentation of results and their interpretation

The chapter presents the research findings on public participation in Rosendal-Mautse. It also highlights responses from municipal officials and discusses potential actions and strategies for improvement of the participation process.

Chapter 7: Conclusions and recommendations

Finally, Chapter 7 reviews the main conclusions of the study and makes some policy recommendations.

The entire research project planning can be viewed diagrammatically as follows:



**Figure 1.1: Structure of research in Rosendal-Mautse**

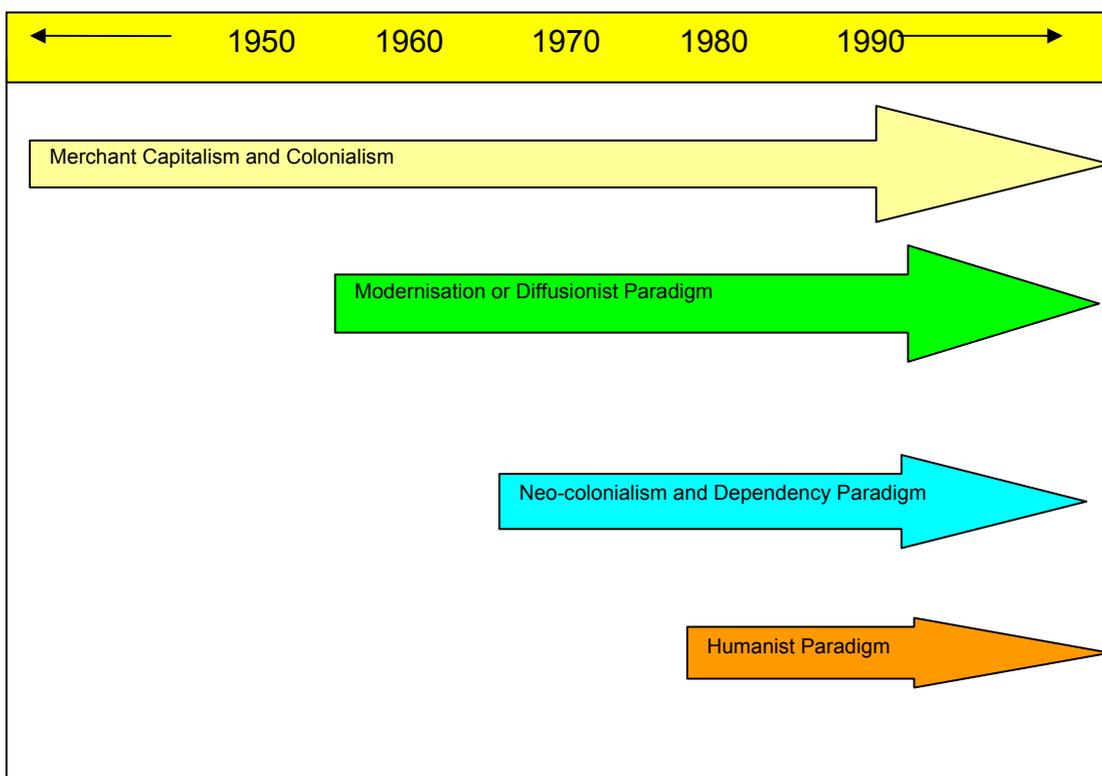
## **CHAPTER TWO: THE HISTORICAL ORIGINS AND THEORETICAL BASIS OF THE PARTICIPATORY DEVELOPMENT PARADIGM**

### **2.1 Introduction**

King and Stivers (1998:3) open the introduction to their book *Government is us* with a quotation by Linda Chapin, one of the contributors to the book, which states that, over the past decade or so, much cynicism about government on the part of citizens has been observed. The cause of this, she claims, is the lack of a good history of citizen participation in governance processes, as well as of their concerns being heard. Hickey and Mohan (2004:26) also reiterate this concern, pointing out that empirical evidence on the crisis in the relationship between citizens and their state is not limited to the South. Although for different reasons, in a number of established democracies, traditional forms of political participation have decreased and a series of studies reveals the enormous distrust citizens have of many institutions. On the other hand, for most of the history of public administration, the public has been viewed as an unwelcome interference in administrative affairs. Public participation in these circumstances, King and Stivers (1998) maintain, is in most cases relegated to the legislative process or to voting, to be exact.

With a view to tracing the theoretical origins of participatory development, Botes (1999:10) states that it is important to distinguish between three broad development paradigms. These approaches are modernisation (Parsonian theories), dependency and underdevelopment (Marxist and Neo-Marxist theories) and people-centred approaches (alternative development theories). According to Botes, the existence of these theories can be validated in many introductory texts on the sociology of development and development studies. Some of the contemporary authors who have written comprehensively on these theories include Davids, Theron and Maphunye (2005), Haynes (2005), Coetzee, Graaff, Hendricks and Wood (2001), and De Beer and Swanepoel (1997).

Nevertheless, thinking about development constitutes a rich tradition in social science, encompassing valuable theoretical debates, which are difficult to summarise in clear-cut results or in a “blueprint” for development. Therefore, in order to make sense of successive schools of development theory, the researcher prefers to present the subsequent discussion in such a way that development theories should be historically contextualised rather than understood as a linear evolution of ideas. The reason for this overview is that social sciences paradigms tend to accumulate rather than replace each other (Davids 2005a:4), as shown in Figure 2.1 below.



**Figure 2.1: The evolution of development theory**

Source: Adapted from Davids, Theron & Maphunye (2005:5)

We will now consider these theories and discuss their related problems that led to the emergence of rival or alternative theories, which ushered in the participatory development paradigm.

### **2.1.1 An overview of the history of development theories**

Two historical periods, merchant capitalism and colonialism, have had a philosophical influence on the main development theories that emerged after the Second World War in the form of modernisation, dependency and humanist paradigms (Davids 2005a:4). During the period of merchant capitalism, from the sixteenth to the late eighteenth century, merchants built their wealth in Western Europe by plundering the raw material and labour of other countries. This system thrived primarily on the trade of slaves from West Africa, who were shipped to the Caribbean islands and America to work on plantations. Ships were later filled with agricultural produce destined for European markets where they were sold at higher profits, thus generating profits at every stage of the triangular trade. The transatlantic slave trade left a debilitating mark on Africa.

On the other hand, colonialism became a political tool for subduing overseas territories in order to sustain and advance the industrial capitalism in the North. The scramble to control colonies was in the main sparked by technological innovations in transport and communications, such as the steamship, the development of the Suez Canal and the telegraph (Davids 2005a:7).

According to Coetzee (2001:27–42), the idea of transition or social change has been central in the minds of social theorists and historians ever since the beginning of systematic thinking and writing about social reality. From the Second World War until the end of the 1960s, modernisation was the dominant theory informing social transition. Coetzee further states that this idea of change and a sense of progress occupied a central position in the lives of the Western nations. Consequentially, it became a point of departure for theorising the development of Europe and North America. One should therefore bear in mind that the participatory development paradigm owes much of its development from the influence of this thinking, as will be evident in subsequent discussions.

The modernisation concept was seen as a fusion of various elements. It refers in the first instance to the total transformation that takes place when a traditional or pre-modern society changes to such an extent that new forms of technological, organisational, or

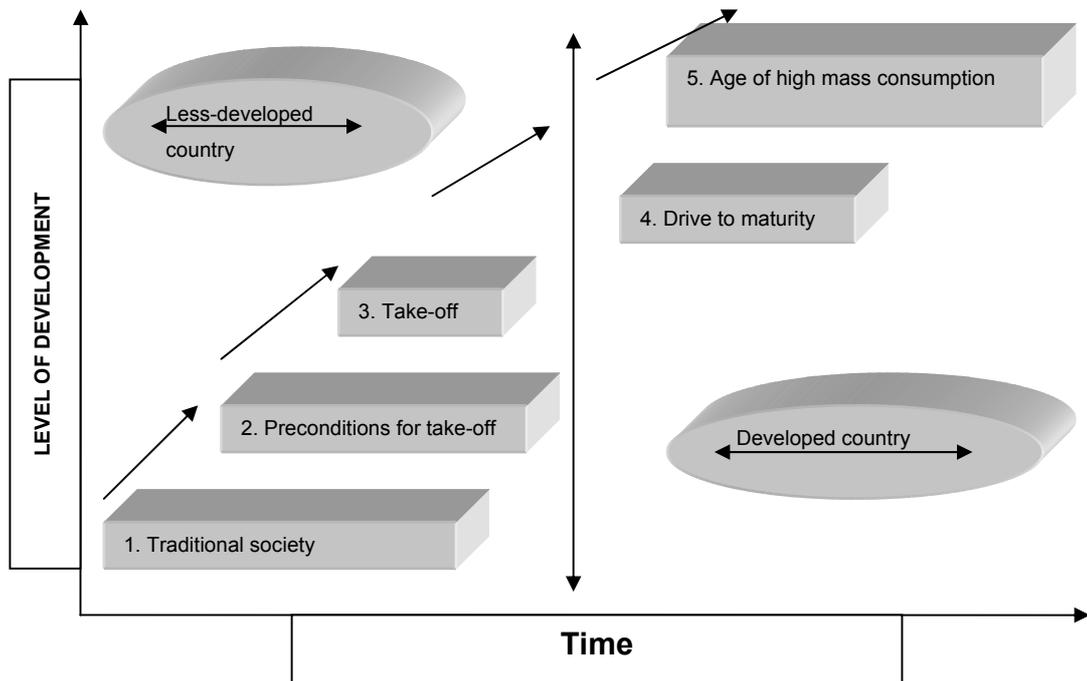
social characteristics become manifest. This thinking is also confirmed by De Beer and Swanepoel (1997:18), who argue that many theorists divided the world into a developed part and an underdeveloped part in a typically reductionist fashion in which progress is seen as a universal and inevitable process exhibiting the following characteristics (Coetzee 2001:31):

- increasing social complexity;
- a value system stressing performance;
- participatory development;
- control of the environment;
- rational understanding and flexibility; and
- social maturation.

In turn, Alex and Smith (in Coetzee, 2001:31) compiled a list of characteristics indicative of a state of modernity, amongst which are the following:

- openness towards new experiences;
- ongoing planning, continuous calculability/predictability of action, and a different experience of time;
- high premium on technical skills;
- readiness to accommodate the process of transformation resulting from changes;
- expectation of educational and occupational mobility; and
- understanding the principles of production.

The assumption underlying this view is that movement towards modernisation is a linear process, which means that a particular level of modernisation can be achieved over time. On the other hand, all forms of underdevelopment can be traced to the inadequate representation or absence of the most important aspects listed above, which should be evaluated negatively (Coetzee, 2001:31). According to Davids (2005a:9–10), the classic examples of the application of this theory are presented by the Rostowian model, Figure 2.2 below.



**Figure 2.2: Rostow's stages of growth theory**

Source: Adapted from Davids, Theron & Maphunye (2005:10)

According to Davids (2005a:10–11), Rostow's model assumes that all societies will follow a series of five stages in their road to development where:

- **In stage one:** societies commence their development process as traditional societies in which there is a high proportion of the labour force engaged in agriculture and where existing social structures, values and norms are unable to cope with change in the form of population growth and market economy.
- **In stage two:** the preconditions for take-off is when the society makes some progress towards economic growth and a market economy, overcoming traditional “stumbling blocks” to westernisation in the process.
- **In stage three:** the actual take-off occurs; the society experiences a rapid economic growth and spread of Western technology in both the agricultural and industrial sectors with a concurrent emergence of a political, social and institutional framework supporting stable economic growth.

- **In stage four:** the society's achievements signify the drive to maturity and this stage is reached when society displays high technological and entrepreneurial skills to produce goods and services it desires.
- **In stage five:** the society exudes a high level of mass consumption; a unique characteristic of the world's most advanced industries in which the society's economy shifts towards durable consumer goods and services sustained by high levels of income.

It is equally important to realise that development theories have not originated in one area of the world, but developed from different countries and under similar or different circumstances. In Africa, around the early 1960s, Nkrumah, then president of Ghana, also examined the so-called neo-colonialism upon which he argued that, in theory, a state may be independent but have all the accoutrements of the international sovereignty (Davids 2005a:12). Accordingly, this was a new form of colonialism: a form of socio-economic domination by multinational corporations, which developed a tight grip on the raw material and labour of the poor countries of Africa.

A literature review of the other two theories on development places dependency and people-centred approaches high on the path towards the emergence of participatory development (Davids, 2005a:13). Dependency theory originated in Latin America during the early 1960s as a result of the failure of the modernisation paradigm to address underdevelopment. Unlike the other theories which concentrated on the core (dominant nations), dependency theory focused on the periphery (dependent nations) (Botes, 1999:10). The dependency theory is explained in terms of the unfavourable trade relations displayed between the rich countries of the North and the poor countries of the South. In this trade relationship, poor countries export cheap primary products to rich countries subject to inferior prices, whereas the rich countries in turn export expensive goods back to the former at exorbitant prices, thus perpetuating the imbalance in economic trade (Davids, 2005a:5).

People-centred development originated from the humanist school of thought and is mostly supported by non-governmental organisations. In essence, people-centred

development places people at the centre of development by insisting that development should firstly be for people and secondly by people themselves, which by implication emphasises active participation by those who are going to be affected by development (Davids 2005a:17-18).

The remainder of this chapter will focus on the emergence of the participatory development paradigm from the point of other historical legacies. It will also look at the main causes of a shift from macro-development theories to the current micro-development approach.

## **2.2 Participatory development: A confluence of historical experiences**

Botes (1999:11) noted that, since the end of World War II and during the first two decades (1950–1970), development was associated with economic growth, technological advancement and the accumulation of capital. Davids (2005a:16) also adds that, since the end of the World War II until the late 1980s, academics were paying much of their attention to development, which was essentially a conflictual discourse between the proponents of the two major streams of development thinking, namely modernisation and dependency. Haynes (2005:26–29) refers to this development discourse as the geopolitics of poverty. It concerned global poverty and underdevelopment. Davids (2005a:16) furthermore points out that, as the debate between these two competing mainstream theories grew in intensity and complexity, the living conditions of the majority of Africans, Asians and South Americans worsened to the extent that this period can be described as a “development tragedy”. Haynes (2005:35) agrees with this view and goes on to point out that, since radical development theories proved to be of limited instrumental value for development, the failure led to a crisis or impasse in development theorising.

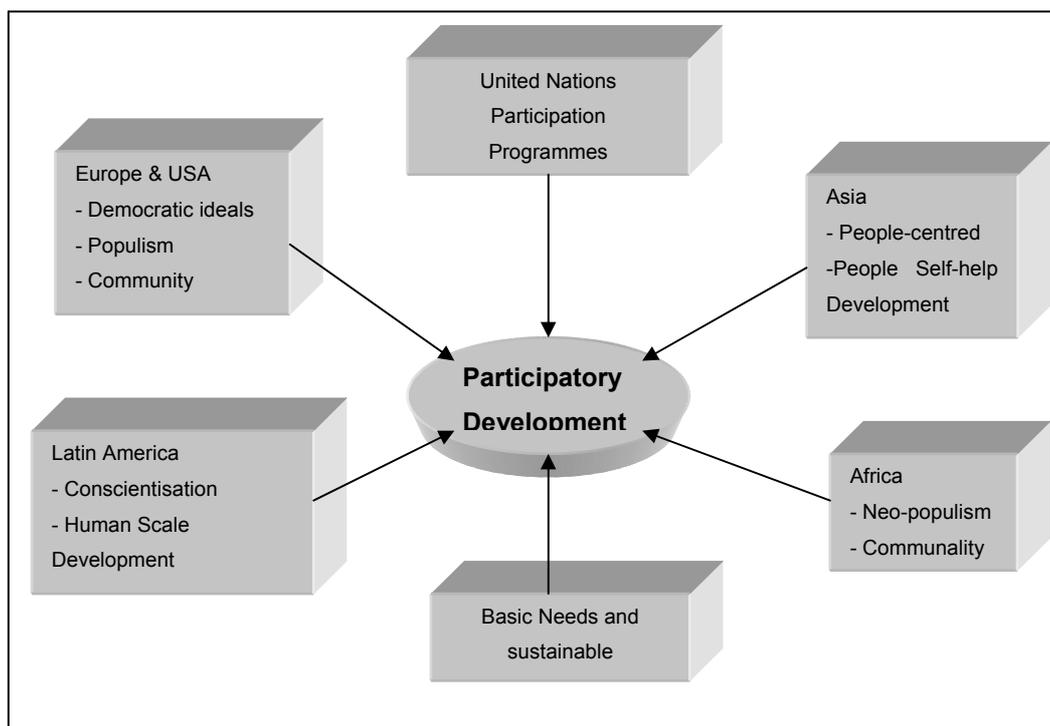
According to Botes (1999), Davids (2005) and Haynes (2005), discontent increased with the established modernisation economic-development strategies, and the 1980s saw a widespread acknowledgement that development programmes based on purely economic growth were not only unattainable, but were also destructive to resources and social institutions in the societies they were meant to develop. As Botes(1999:12) states,

societies have to find a strategy of economic growth that has poverty alleviation built into it and that vigorously promote and embrace concepts pertaining to quality of life.

These rival mainstream approaches, which dominated the debate in the 1970s, were in turn challenged by counterpoint or alternative theoretical positions grounded in environmentalism, endogenous and indigenous development, eco-development, ethno-development, human development, feminists theorising and so forth (Haynes 2005:34). The alternative or counterpoint theoretical positions were concerned with the many problems created by mainstream development, as well as with the social groups and classes excluded from development. They can also generally be described as the “voices of the excluded mass”. These ideas bear a certain resemblance to classical populism in arguing for community and their distaste of industrial civilisation (Haynes 2005:35).

The counter-revolution was partly ideology, partly a resurgence of realism, particularly as far as political realities in many Third World countries were concerned. It is embedded in the belief and perception that, undeniably, many politicians and bureaucrats were enriching themselves rather than developing their countries, thereby becoming development obstacles. The alternative development approach also emphasises a closing of the consciousness gap between the leaders of society and the poor masses. The urge for public participation in development initiatives stems mainly from a humanist view of development (Davids 2005; Botes 1999). Increasing people’s share in the fruits of development progress is an important notion for new approaches such as redistribution with growth and the basic needs approach.

We will now look into some of the historical backgrounds that influenced the rise of the participatory development paradigm. A holistic view of these historical experiences is provided in Figure 2.3 below, which represents the most important experiences that contributed to the emergence of the participatory development paradigm, but which is not exhaustive.



**Figure 2.3: Participatory developments as a confluence of historical experiences**

Source: Botes (1999:13)

### 2.2.1 The Western democratic ideals and public participation

The mass conversion of politicians and political thinkers to the cause of democracy has been one of the most dramatic and significant events in political history. As the attractions of socialism have faded and the merits of capitalism have been called into question, democracy emerged as perhaps the only stable and enduring principle in the post-modern political landscape (Heywood 2002:67). The notion of public participation is an ancient one; this relationship between participation and development has existed since Ancient Greece because public participation in the affairs of the state was regarded as being critical to the development and fulfilment of the human personality (Botes, 1999:13).

Tracing the term back to Ancient Greece, democracy means rule by the *demos* (referring to 'the people'). Originally, the term was used to mean 'the poor or the many'. However,

the problem with the word democracy has been its popularity, which has threatened the term's undoing as a meaningful political concept. Perhaps a more recent and helpful starting point from which to consider the nature of democracy is by recalling Abraham Lincoln's Gettysburg Address, delivered at the height of the American Civil War. Lincoln extolled the virtues of what he called "government of the people, by the people, and for the people" (Heywood 2002:68).

Heywood (2002:68-71) further clarifies how democracy links government to the people. Although this link can be construed in different ways, he conceptualises it as follows:

- Firstly, who are the people? 'The people' may in practice be understood to mean 'the majority'. In this sense, democracy comes to mean, in the strict application of the term, the principle of majority rule in which the will of the majority overrides the will of the minority. The most important feature of this thinking is that people can be thought of as a collection of free and equal individuals, each of whom has a right to make autonomous decisions, but also implying that in the final analysis, only unanimous decisions can be binding upon the people.
- Secondly, how should the people rule? 'Government by the people' implies that, in effect, people govern themselves; that they participate in making the crucial decisions that structure their lives and determine the fate of the society. Participation may take a number of forms but the commonly used devices are referendums, mass meetings and the act of voting.
- Lastly, how far should popular rule extend? This question opens the debate about the proper relationship between the public domain and the private domain. From this perspective the purpose of democracy is to establish through a process of popular participation, a framework of legislations within which individuals can conduct their own affairs and pursue their personal interests. However, from the perspective of radical democracy and socialist democracy, people are seen as having a basic right to participate in the making of any decisions that affect their lives, with democracy simply being the collective process through which this is done.

Heywood (2002:70) distinguishes between direct democracy and representative democracy. Under representative democracy, when citizens vote, they do not so much make the decisions that affect or structure their own lives, as choose who will make those decisions. Direct democracy, sometimes referred to as participatory democracy, is based on the direct, unmediated and continuous participation of citizens in the tasks of government, in such a way that it heightens the control that citizens can exercise over their own destinies; creates better informed and sophisticated citizenry; ensures that governance is legitimate in the sense that people are more keen to accept decisions that they themselves have made; and it permits citizens to express their own views and interests without relying on self-serving politicians.

These are the ideals that continue to feature prominently in the debate about the participatory development paradigm. On the other hand, many development organisations that wish to change the lives of poor communities in developing countries in particular insist on the inclusion of public participation mechanisms based on these democratic ideals. The links between public participation, democracy and development are gaining in importance, because development in the last instance is a political process within which people develop their personal capacities to make economic and political choices (Botes 1999:13).

### **2.2.2 The influence of populism/neo-populism on public participation**

Populism (from the Latin *populus*, meaning ‘the people’) has been used to describe both distinctive political movements and a particular tradition of political thought (Heywood 2002:354). Heywood (2002) explains that movements or parties described as populists have been characterised by their claim to support the common people in the face of ‘corrupt’ economic or political elites. As a political tradition, populism reflects the belief that the instincts and wishes of the people provide the principal legitimate guide to political action.

Views on public participation are infused with populist notions, which express the belief that “virtue resides in the simple people who are in the overwhelming majority” (Heywood 2002:354). Populists argue that every human being knows his or her own

world better than outsiders do. In this way, populists have also placed greater emphasis on tapping into the wealth of indigenous knowledge or ecology of ideas, according to Kotze (1997:61), for addressing the problems of the ordinary people.

Unsurprisingly, transformational or charismatic leadership is linked to populism, reflecting the desire of such leaders to demonstrate that they are articulating the concerns and interests of the people. Populist leaders were mostly found in developing countries of Africa, as is evident in Julius Nyerere's remarks that

*rural development is the participation of people in mutual learning experience involving themselves, their local resources, external change agents and outside resources ... People cannot be developed, they can only develop themselves by participation in decision and co-operative activities which affect their well-being; People are not being developed when they are herded like animals into new ventures (Oakley et al. 1991:2).*

Nyerere suggests that participatory development refers to the active participation of people in the planning, development, implementation and evaluation of projects and activities that affect them. According to Botes (1999:14), twentieth-century neo-populism is theoretically a much more ambitious critique of industrialisation than nineteenth-century populism was in that it is not merely oppositional, but rather attempts to push for alternative methods of economic development, believed to be more effective than large-scale industrialisation in eliminating global poverty with less costly results to human beings.

The linkage between populism/neo-populism, development and public participation has had a profound influence on participatory development.

### **2.2.3 The conventional community development and public participation**

As De Beer and Swanepoel (1998:1) have observed, throughout the history of community development, a number of key themes stand out: participation, institutions, project management, training, community, coordination, funding and political influence on community development. According to De Beer and Swanepoel, these themes formed the

debating points around which the idea of community development evolved and developed.

Due to the fact that the concept community development has no firm, precise and generally agreed upon meaning, its history illustrates the use of its meaning to refer to a number of programmes or policies emanating in different countries for different reasons (Botes 1999; De Beer & Swanepoel 1998). The early practice of community development dates to the history of early civilisation when humanity started initiating actions from which groups or parts of groups gained in some way or another (De Beer & Swanepoel 1998:1). While the origin of community development is attributed to the practice of agricultural extension instituted in 1870 in some states of the United States of America – a claim criticised by authors such as Holdcroft (1978) and Ponsioen (1962) – a more realistic starting point for explaining community development is offered by the attempts made by the Institute for Rural Reconstruction established in India in 1921. The purpose of this institute was

*to bring back life in its completeness, making the villagers self-reliant and self-respectful, acquainted with the cultural tradition of their own country and competent to make efficient use of resources for the fullest development of their physical, social, economic and intellectual conditions*

*(De Beer & Swanepoel 1998:2).*

The Institute for Rural Reconstruction (IRR) in essence emphasised the use of local resources and the need for an integrated approach to development. The British colonialists took many lessons from the rural reconstruction and later on incorporated these into new colonial development policies. Several development programmes were then introduced in India and other parts of the British colonies, and limited success was achieved based on the IRR model.

The United Nations Department of Economic and Social Affairs defined community development as follows:

*A process by which the efforts of the people themselves are united with those of government authorities to improve the economic, social and cultural conditions of*

*communities ... This complex of processes is therefore made up of two essential elements: the participation of people themselves in efforts to improve their level of living with as much reliance as possible on their own initiative; and the provision of technical and other services in ways which encourage initiative, self-help and mutual help and make these more effective ... It is expressed in programmes designed to achieve a wide variety of specific improvements*

*(Theron 2005a:114).*

The popularity of community development reached its peak during the 1950s and the 1960s at the time the United States and the Soviet Union were locked in the so-called Cold War. It is during this period that community development was used as a mechanism to lure people away from communism and its spread in the world. By the early 1960s, community development programmes were spread to around sixty countries (De Beer & Swanepoel 1998:3).

Community development favoured village elites in most instances and its popularity suffered because of its failure to improve the lives of the poor majority. Contemporary public participation protagonists criticised community development, claiming that its implementation failed because of its bureaucratic administration – that is, its top-down decision-making characteristic, blueprint planning and implementation, which is a planning process that pursues economic goals and largely relies on economic theories (Kotze & Kellerman 1997:39–40).

Nevertheless, it is evident that community development contributed to the emergence of the participatory development approach as its connection with public participation cannot be ignored.

#### **2.2.4 Public participation and the Latin American conscientisation**

Perhaps another significant contributing force to the development and growth of participatory development is the work of Brazilian participation pioneer, Paulo Freire, an educator who wrote *Pedagogy of the oppressed*. Freire worked with impoverished people and later developed a theory based on the conviction that every human being, no matter

how 'ignorant' or submerged in the culture of silence, is capable of looking critically at his or her world, and that, provided with the proper tools, can gradually perceive his or her personal and social reality and critically deal with it (Long 2001:7).

As correctly noted by Burkey (1993:53), the development assistance provided by foreign agencies was not helping the poor to regain their confidence because it taught them that they are helpless, that foreign strangers are needed to do things for them, and that they are ignorant and backward. With the stimulation of self-reflected critical awareness (conscientisation), the poor and oppressed are enabled to become active and to reflect on their reality, and to struggle in order to transform their conditions through their conscious collective action. Burkey (1993:55) argues that a self-reflected critical awareness is achieved by looking into one's self and using what one hears, sees and experiences to understand what is happening in one's own life.

This is contrary to the conventional development thinking that views economic growth alone as a principal instrument to improve the quality of life. Long maintains that, over time, as a result of Freire's work of empowering communities, many participatory processes and tools were created to enable development practitioners to work effectively with the poor.

### **2.2.5 Public participation and the basic needs approach**

The basic needs approach emerged in the mid-1970s and was developed by the World Bank after the realisation dawned that there are inherent limits to extending modern science and technology to developing countries in order to address underdevelopment problems. The basic needs approach as a variant of community development was popularised by the World Bank and the International Labour Organisation (Theron 2005a:107). Major development organisations like the World Bank acknowledged that economic growth in the aggregate did not necessarily eliminate poverty and underdevelopment, whereas poverty had in fact escalated (Burkey 1993:31).

The stark reality that faced communities was not the issue of resources, but their availability to all. The school of thought on basic human needs argued that human beings

were not to follow luxurious standards for all, and that if the focus was on fulfilling basic needs, then the world will still have enough resources to meet the needs of all. The basic needs approach became the current policy of the 1970s and thus shifted the focus from grand theory to approaches directed towards poverty alleviation through programmes that included the building of schools, hospitals and support for social welfare programmes.

The basic needs and bottom-up development approaches are often discussed in tandem, that is, that one approach is used to explain the efficacy of the other. For example, it is stated that the basic needs approach was a response to the failure of development attempts imposed on communities without seeking their participation. On the other hand, the bottom-up approach implies that development geared to the satisfaction of fundamental human needs cannot by definition be structured from the top downwards. It cannot be imposed by law or decree. It ought to emanate directly from the actions, expectations and self-reflective critical awareness of the poor themselves. Given this situation, instead of being the objects of development, people must take a leading role in development and by implication be the subjects of development (Botes 1999:18; De Beer & Swanepoel 1998:5; Theron 2005a:108).

Burkey (1993:31) notes that the discussions on meeting basic needs have been useful in creating awareness that economic growth alone does not necessarily benefit the poor, but that the important question was how these needs could be met. De Beer and Swanepoel (1998:5) stress that, while this approach succeeded in shifting focus to the basic needs of the poor (*the what*), it however never developed the methodology to achieve the satisfaction of these basic needs. Consequently, in the early 1980s, it lost its appeal as a separate approach to enhancing human potential in the development of Third World or poor countries (De Beer & Swanepoel 1998:5).

The basic needs approach, however, did contribute towards the discourse on the process of development, especially towards participatory development.

### **2.2.6 Public participation in Western social work and political activism**

Although social work is concerned primarily with the problems of impoverished individuals and their families, it has also, since its inception in the late nineteenth century, focussed on communities seeking to organise and mobilise people to improve local amenities and social services (Botes 1999:16; Lombard 1991:88–89). According to Stephen Valocchi (2007), although there are many approaches making their mark in American society, there have been three dominant approaches in the twentieth century around which people organised themselves and mobilised support for their interests, namely social work, political activism and neighbourhood maintenance, or community development approaches.

The social work approach, one of the earliest examples of community organisation in the United States of America, was found in the social settlement movement in the first two decades of the twentieth century and concentrated mainly in the industrial cities of the East and Midwest. Social settlements were houses set up in working class neighbourhoods by the college-educated descendants of the middle-class communities who were disturbed by the massive social problems that accompanied rapid industrialisation, urbanisation and immigration. Many of these settlements brought philanthropic resources to deliver specific services ranging from education, sewing, wood and sheet metalworking. According to Valocchi (2007), despite service delivery, political activism and the attempt to involve the community, even the extended approach of social work in the form of the War on Poverty programme, was still seen as a top-down approach to the community, which was subject to the bureaucratic restraints and political infighting and turf building characteristic of most government programmes.

During the 1960s, the American style of community work and organisation transformed the conventional methods of community work: instead of seeking to help deprived communities to improve their social and environmental circumstances, the new community work activists urged that people take direct political action to demand changes and improvements (Botes 1999:16). Public participation in matters that affect their lives became a rallying cry of activists or radicals.

Valocchi (2007) states that Saul Alinsky emerged as a community organiser whose approach and thinking emphasised several features. Firstly, in his view, organisations should emphasise democratic decision making and encourage indigenous leadership. Second, organisations should be open to all members of the community. A third feature of Alinsky's approach involves the organiser's relationship with the community, which requires the organiser to gather the support of the traditional leaders in the neighbourhood. A fourth attribute of his approach has to do with goals: any organisation should be geared to meeting people's self-interests no matter how they are defined. The goal here was to let people decide no matter what they decide. Another important element of Alinsky's approach was its strategy premised on the belief that "power concedes nothing without a fight" (Valocchi 2007) and that using conflict strategies yields the greatest gains for the organisation. The final feature was to fight for concrete victories because winning builds organisation. These last two strategies, in his opinion, emphasised a two-fold approach, that is, the gaining of power and the building of stable, durable organisations.

As Valocchi (2007) has observed, many political activist organisations emerged out of the Civil Rights Movement and student movement in the 1960s, but while similar to the Alinsky model in that they emphasised democratic practices and confronting power with power, they were fundamentally different from Alinsky in their goals. Their goals emphasised radical, fundamental social changes and they were profoundly ambivalent about building stable organisations. They consequently did not last long because they sometimes dissolved on their own and at other times they were infiltrated by the FBI (e.g. Economic Research Projects of the Students for a Democratic Society) and their leaders harassed, jailed or murdered (as in the case of the Black Panther Party).

The third approach to community organising is considered the loosest of the three approaches. According to Valocchi (2007), as the recession hit and urban problems grew in the 1970s, more and more community activists recognised the limitations of organising in one area against issues that were less local and more national in origin. Out of this realisation, as Valocchi argues, a variety of organisations emerged that were neighbourhood focused but received their agendas and their funding from the state or

their national affiliates – their central task was to build power across neighbourhoods and communities. A variant of these state-sponsored organisations was the neighbourhood associations or clubs that were mainly concerned with the protection of homeowners' property values, and to lobby local officials and business to improve service to the neighbourhood.

Community action ideas have had some popularity in social work circles in developing countries and many non-governmental organisations also adopted radical community work methods in contesting the authority of colonial governments (Davids 2005b:68)

### **2.2.7 Public participation as a key to sustainable development**

Mitchell (1997:26) states that sustainable development was popularised in the report known as *Our common future* prepared by the World Commission on Environment and Development in 1987, a report which is commonly referred to as the Brundtland Report, named after its chair, Gro Harlem Brundtland – then prime minister of Norway. Mitchell (1997:26) highlights the terms of reference of the commission as having been the following:

- To propose long-term environmental strategies for achieving sustainable development by the year 2000 and beyond; and
- To identify how relationships among people, resources, environment and development could be incorporated into national and international policies.

According to Mitchell (1997:27), the commission focused on population, food security, loss of species and genetic resources, energy, industry and human settlements. Furthermore, the concept of sustainable development was judged to involve limits that were not absolute, but were relative to the state of technology and social organisations, and to the capacity of the biosphere to absorb the effects of human activity. The commission then came up with a statement that defines sustainable development “as development that meets the needs of the present without compromising the ability of the future generations to meet their own needs” (Mitchell 1997:27). Mitchell further notes

that, following the publication of the Brundtland Report, a considerable effort has been made to develop guidelines or principles for sustainable development.

Key among these sustainability principles is to ensure increased public participation in the development, interpretation and implementation of sustainable development concepts. To achieve this, one of the key socio-political criteria is to establish an open, accessible political process that puts effective decision-making power at the level of the government closest to the situation and the lives of the people affected by a decision. Mitchell (1997:155) observes that, as a matter of principle, most important sustainable development includes powerful elements such as the empowerment of local people, self-reliance and social justice.

Mitchell suggests that the rationale for public participation in resource and environmental management stems from the conviction that by consulting with and ensuring the participation of the people living in a region who will be affected by a policy, programme or project, it is possible to:

- Define the problems more effectively;
- Access information and understanding that fall outside the scientific realm;
- Identify alternative solutions that will be socially acceptable; and
- Create a sense of ownership for the plan or solution, which facilitates implementation.

In the final analysis, it can be argued that the bottom-up participatory planning approaches have found their anchor in making development processes more environmentally sustainable.

### **2.2.8 Public participation as an important dimension of people-centred development**

The current status of participatory development is reflected in what has become known as “people-centred development”, a paradigm which draws largely on approaches and experiences discussed above. Many authors argue that the Manila Declaration on

People's Participation and Sustainable Development drawn up by 31 NGO leaders in June 1989 is the manifesto of this particular approach (Korten 1990:67; Roodt 2001:474; Theron 2005b:112).

David Korten is the president and founder of the People-Centred Development Forum (PCD Forum) and a leading spokesperson for PCD. He defines people-centred development

*as a process by which the members of a society increase their personal and institutional capacities to mobilise and manage resources to produce sustainable and justly distributed improvements in their quality of life consistent with their own aspirations*

*(Korten 1990:67).*

Korten and his colleagues are against growth-centred development which puts economic growth ahead of people and the ecology on which their well-being depends.

People-centred development – drawing from its vision and some of the principles – stresses the following:

- The participation of the majority of the population (particularly the hitherto excluded components such as women, youth and the illiterate) in the process of development;
- The return of control over resources to the people and their communities to be used in meeting their own needs;
- The broadening of political participation, building from a base of strong people and participatory local government;
- Sovereignty resides with the people, the real social actors; and
- Those who assist people with their development must recognise that it is they who are participating in support of the people's agenda and not the reverse.

There are a number of reasons behind the support for people-centred development, the strongest view being that it has become a part of a global shift away from centralised state control or manipulation to regional and local democratisation. According to Roodt

(2001:474), people-centred development places emphasis on a move from local government to local governance, which implies that the local authority moves beyond the regulation of activities within its domain and enters into an equal dialogue with participants, thus creating new democratic rules. Another view is that people-centred development offers members of the society a freedom to unleash their creative potential rather than become only recipients of development benefits by participating in the planning, implementation and evaluation of projects intended for their development.

Public participation in this sense justifiably represents an important non-economic dimension of people-centred development.

### **2.2.9 Public participation as globally institutionalised development**

Most of the historical experiences so far identified and analysed provide an overview of the sources and the evolutionary inspiration for current public participation theory. However, the coherence in participatory development was not achieved (or taken into account) until the major development agencies and some leading world governments took upon themselves the task of institutionalising public participation. This was done by adopting reforms and innovations to incorporate public participation in the policies and development programmes of such governments and agencies (Long 2001:93).

Amongst those institutions that formalised public participation were specialised agencies and other autonomous organisations within the United Nations (UN) system. In Table 2.1 below, relevant examples of some of the UN agencies and specialised programmes are indicated.

**Table 2.1: Some UN programmes and specialised agencies**

1	<b>UNDP:</b> (United Nations Development Programme) was established in 1965. Managed by an executive board representing both northern and southern countries. Provides grants for sustainable development. Resources directed to the world's poorest countries. Its budget consists of voluntary contributions from members of the UN.
2	<b>UNICEF:</b> (United Nations Children's Fund) was established in 1946 to address emergency needs of children. Its selective primary health care programme for impoverished countries has since 1980 attracted more funds.
3	<b>FAO:</b> (Food and Agriculture Organisation) was founded in 1945. Its main aims are the promotion of rural development through improvement of agricultural production and increasing of food security. Sometimes it provides food relief in conjunction with World Food Programme.
4	<b>WHO:</b> (World Health Organization) is a UN specialised agency established in 1948. Its main function is to provide worldwide guidance in the field of health. Cooperates with governments in health planning and evaluation of programmes and helps with transfer of health technology.

Source: Adapted from Davids & Maphunye (2005:93)

Davids and Maphunye (2005:93) explain that the World Bank and the International Monetary Fund are important development organisations that were established in 1944 and whose agenda at that time was to address the reconstruction of Europe after World War II.

According to Long (2001:1), at the onset of the 1990s, the NGO networks and supporters had begun to point out the need for a bottom-up, participatory development approach. The NGO Working Group on the World Bank decided to advocate the need for this approach with the World Bank. A significant milestone of these efforts was achieved when leading UN agencies adopted public participation into their policies on projects and other programmes.

As early as the 1970s, the emphasis on popular thinking was formalised by the UN with the publication of two major documents, "Popular participation in development" (1971)

and “Popular participation in decision-making for development” (1975) (Botes 1999:20). Through the influence of these international development agencies and governments, developing countries have acknowledged the importance of adopting the strategies that emphasise community-based development.

### **2.3 Conclusion**

This chapter has provided an overview of the historical and theoretical roots of participatory development. The causes that triggered a shift in development thinking from a top-down, blueprint approach to a bottom-up, participatory development approach owe their existence to the massive failures resulting from previous development efforts, which in the main excluded those for whom they were intended – in the planning, implementation, control and evaluation stages.

As Theron (2005b:106) shows, the search for new or alternative development themes encompassed the formulation of a more appropriate development lexicon, focusing on the people at grassroots and their basic needs, i.e. at the so-called micro-level. In retrospect, explains Theron (2005b:104), we now understand why the concept of development has suffered so much abuse and why development graveyards are scattered all over the world.

This was simply because the essence of the social reality and meaning-giving context of people and communities at grassroots were never accorded the attention they deserved. Kotze (1997:67) argues that the meaning-giving context of the local people is the framework within which development initiatives obtain meaning for either permitting or blocking development, depending on whether or not there is a ‘fit’ between development initiatives and context.

Participatory development was developed primarily in a Third World context and grew out of a wide range of divergent ideas, theories and paradigms (as illustrated in Figure 2.3) from all over the globe, which were largely connected to the emerging number of alternative development strategies (Botes 1999; Burkey 1993; Coetzee 2001; De Beer & Swanepoel 1998; Theron 2005b).

Participatory development, according to Burkey (1993), follows James Yen's (1920) philosophy:

- Go to the people
- Live with them
- Love them
- Work with them
- Start with what they have
- Build on what they have
- And in the end
- When work is done
- The people will rejoice:
- 'We have done it ourselves!'

Indeed, the emergence of public participation as an alternative paradigm has been phenomenal. Public participation is presently a dominant and popular topic, to such an extent that its practice has become mandatory for donor agencies and many governments in developed as well as in developing countries.

In the next chapter (Chapter 3), the context of public participation will be highlighted and related issues discussed as a prelude to Chapter 4 in which the legislative framework for public participation in South Africa around the IDP process will be analysed.

## CHAPTER THREE: PUBLIC PARTICIPATION IN CONTEXT- THE INTERNATIONAL RATIONALE

### 3.1 Introduction

The preceding chapter has to a great extent demonstrated how a major reappraisal of development has resulted into a universal consensus towards an increased need for greater participation of ordinary people in development processes. Oakley et al. (1991:3) also point out that participation will not only change the nature and direction of development interventions, but will also lead to a kind of development that will be more respectful of poor people's position and interest.

Illich (1969; quoted in Oakley et al. 1991:3) argues that underdevelopment, as well as being a function of physical impoverishment, is a state of mind and that understanding it as a state of mind, or as a level of consciousness, is critical in bringing about change. On this basis, Oakley et al. (1991) warn that it is necessary for the broad, sweeping commitments to processes such as "participation" to understand the powerful contextual barriers that perpetuate people's isolation or lack of participation in development. In other words, participation should be viewed as a process which seeks to reverse these barriers that entrench this state of mind. Oakley points to Freire's (1972) writings on the "culture of silence", which Freire regards as a condition wherein

*the poor had no voice, no access and no participation in development initiatives; poverty in this regard is not only a lack of physical resources for development, but also implies powerlessness or the inability to exert influence upon the forces which shape their livelihood*

*(Oakley et al. 1991:3).*

The challenge to a concept such as participation is therefore to seek to make contact with and involve those whose lives will be affected by development at all stages of development intervention – from planning, implementation, evaluation and control.

In the next sections, an attempt will be made to contextualise public participation by examining how it is defined, understood and practiced by different international perspectives.

### **3.2 Public participation concept defined**

Participation means different things to different people, and the way it is defined largely depends upon the context and background in which it is applied (Kumar 2002:23). Oakley et al. (1991:6) state that participation defies any single attempt at definition or interpretation. Theron (2005b:113), however, regards this as being positive in itself, because definitions should not serve as “blueprints” but should be dealt with as part of a social learning process, particularly those that relate to grassroots interaction.

While there are no final or near-final definitions of participation, the current literature has enlarged our understanding of the concept to such an extent that it is impossible to suggest a development strategy or intervention which in some way is not “participatory” (Oakley et al. 1991:6; Theron 2005b:113). Nonetheless, it seems necessary to review a number of different definitions or statements about participation with a view to contextualising the concept and doing so against its broad and complex nature. These definitions are presented below and incorporate a range of past to present definitions from different sources, as indicated:

Definitions of participation:

- i. Participation is defined as a voluntary contribution by the people in one or another of the public programmes supposed to contribute to national development, but the people are not expected to take part in shaping the programme or in criticising its contents (Economic Commission for Latin America, 1973; quoted in Kumar 2002:24).
- ii. Community participation is an active process by which beneficiary or client groups influence the direction and execution of a development project with a view to enhancing their well-being in terms of income, personal growth, self-reliance, or other values they cherish (Paul, 1987; cited in Kumar 2002:24).

- iii. Participation includes people's involvement in decision-making processes, in implementing programmes, their sharing in benefits of development programmes and their efforts to evaluate such programmes (Cohen & Uphoff 1977; quoted in Kumar 2002:24).
- iv. Participation is meant to denote a fundamentally transforming exercise of state power leading to an increase in the scope and depth of subordinate group participation, leading to authoritative and sustainable resource allocation (Heller 2001; quoted in Mogale 2003:223).
- v. Participation is a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them (World Bank 1996: ix).
- vi. Participation is viewed as an active relationship and dialogue between people and the state. It is not only gathering evidence and opinion but is an educative, discursive and inclusive process that has value in itself in building fuller citizenship. It is seen as a means of strengthening representative democracy rather than being in opposition to it, or offered as an alternative model (Scottish Parliament 2004:4).
- vii. Participation is a process by which people – especially disadvantaged people – can exercise influence over policy formulation, design alternatives, investment choices, management, and monitoring of development interventions in their communities (Bhatnagar & Williams 1992:2; quoted in Botes 1999:27).

As Kumar (2002:24) explains, a review of the literature on participation and the manner in which participation is operationalised reveal different conceptualisations and understandings of the concept. Theron (2005b:113) notes that these differing concepts add to the confusion in which public participation debate is steeped, in South Africa and everywhere else. However, in order to cope in this situation, it is necessary to look into some of the interpretation attached to the meaning of participation, which is the object of the next section.

### 3.3 Interpretations of participation

Rahman (1993:150; quoted in Theron 2005b:113) insists that defining public participation should relate to the experience and exposure of that part of the process or intervention, hence it is imperative that definitions should not be cast in stone. Since this study does not preoccupy itself with the details of the debate concerning participation or the content of its varying interpretations, it provides some experts' views on these different definitions.

An assessment of the definitions provided above indicate that, collectively, these statements depict the very essence of the participation debate, which is that participation means different things to different people. Oakley et al. (1991:7) explain the first three statements as follows:

- Statement (i) basically denotes an understanding of participation in terms of economic incentives to participate and be rewarded by some tangible economic benefit;
- Statement (ii) depicts an ideal state which projects may hope to attain; and
- Statement (iii) provides a comprehensive form of analysis in which decision-making, implementation, benefits and evaluation as key elements in the process of participation are launched.

Groenewald (1989: 258) on the other hand, summarises the interpretations associated with definitions of participation as follows:

- Participation is an organised activity of the people concerned. Its primary unit is a collective of persons who stand in relation with the state.
- Gaining access to programmes is a central feature for taking initiatives by the collective.
- The origin of initiatives for programmes and projects is based on the people's own thinking and deliberations which direct their collective activities.

- The control of the process of action lies in the hands of people who initiated the programme and project.
- The needs of a particular group of people called a ‘community’ lie at the heart of the programme.

In line with international thinking and the overall understanding of participation, this study does suggest that all projects will locate participation in one of these statements, but rather agreed with Oakley et al.’s (1991:7) argument that the differences in these statements imply that different forms of participation will be applied for different purposes.

This thinking impels us to explore other broader approaches that may be employed in order to differentiate alternatives within such an all-embracing concept. One such approach is to distinguish between participation as a means or as an end (Oakley et al. 1991:7). On the one hand, Theron (2005b:114) explains that, as a result of the varying ways in which public participation is enlisted, several researchers (Arnstein 1969; Pretty 1994; Pretty et al. 1995) were prompted to develop typologies of public participation.

On the other hand, Kumar (2002:25) provides a useful instrument in which participation is viewed along a spectrum, with passive participation at one end and self-mobilisation at the other end, which makes more sense considering the range of public participation, whether referred to as modes, typologies or levels (Theron 2005b:116). We will now turn to deal with these approaches separately.

### **3.3.1 Comparative analysis: Participation as a means and/or end**

This approach is very useful in determining the aim of the implementing agency or government. Participation as a means focuses on the results of participation in that the achievement of some predefined targets become important rather than the act of participation itself (Oakley et al. 1991:7). When participation is viewed as an end, it becomes a long-term process, the purpose of which is to develop and strengthen the capabilities of people in order to participate directly in development initiatives. This comparative analysis will be presented briefly below:

**Table 3.1: Comparative analysis: Participation as a means and/or an end**

Participation as a means	Participation as an end
Implies the use of participation to achieve some predetermined goal or objective	Attempts to empower people to take part in their own development
Attempts to utilise existing resources in order to achieve the objective of the project/programme	Ensures increased role of people in development initiatives
Common in government programmes, specifically for mobilising community to improve efficiency of delivery system	More favoured by NGOs than by government
Stresses the achievement of the objective rather than the act of participation itself	Focuses on improving the ability of the people to participate rather than just achieve predetermined projects objectives
Participation is generally short term	Becomes a long-term learning process
Participation take a more passive form	Is relatively more active and dynamic

Source: Oakley (in Kumar 2002:26)

### 3.3.2 Typologies and modes of public participation

These approaches become more relevant when the impact of participation is assessed in relation to a programme or project objectives, and the degree of participation becomes a central feature in this regard. Sherry Arnstein (1969) provided a “ladder of participation”, which became a standard spring board for subsequent development of instruments for interpreting public participation. In 1995, Pretty et al. also developed “seven typologies” to demonstrate the different conceptions with regard to public participation, as set out below in Table 3.2 (Theron 2005b:114–115).

**Table 3.2: Typology of participation**

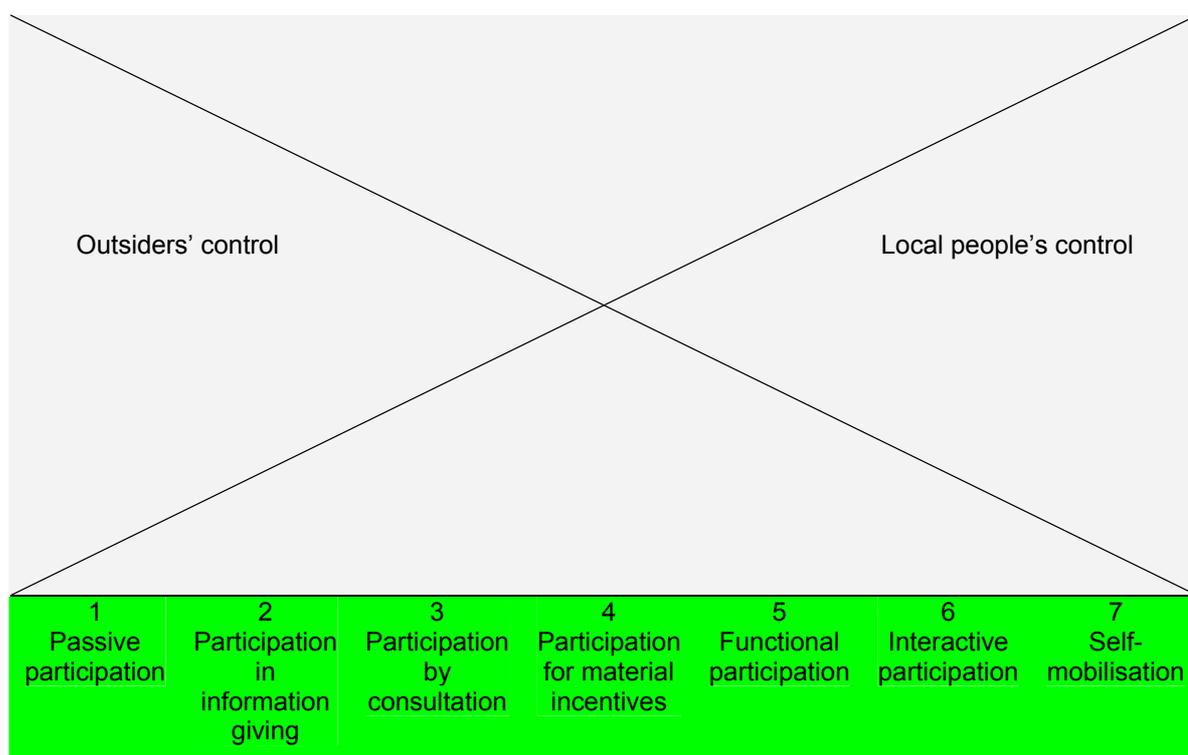
1.	Passive participation	People participate by being told what is going to happen or has already happened. In this case, participation relates to a unilateral top-down announcement by the authority. The outsider owns this information.
2.	Participation in information giving	People participate by answering questions posed in questionnaires or telephone interviews or similar participation strategies, thus have no opportunity to influence proceedings as the findings of the research are neither shared nor evaluated for accuracy.
3.	Participation by consultation	People participate by being consulted, while professionals, consultants and planners listen to their views. The problems are defined and solutions modified by the professional in the light of people's input only. No shared decision-making process involved and as such no obligation on the part of the professional to consider public's views.
4.	Participation for material incentives	People participate by providing resources such as labour in return for food or cash. This is typical of a situation in rural areas where farmers may provide fields for experimentation but do not benefit from the process through learning.
5.	Functional participation	People participate in a group context to meet predetermined objectives related to the project. Involvement occurs once major decisions have been made and not at the beginning of the project planning.
6.	Interactive participation	People participate in joint analysis, the development of action plans and capacity building. Participation is regarded as a right.
7.	Self-mobilisation	People participate by taking initiatives independent of external institutions to change systems. This is a bottom-up approach wherein people establish contacts with external contacts and institutions for advice and resources while retaining control over the use of these resources.

Source: Modified from Theron (2005b)

In an attempt to explain the utility of these typologies, Theron (2005b:115) emphasises the value of Oakley and Marsden's (1984) view that public participation is associated with the actions of communities to improve their current situation. Therefore, in this instance, the process of public participation through which a community "moves away from a less desirable to a more desirable situation" can be presented as a continuum that covers four modes, which overlap with the seven typologies above. Theron (2005b:115) presents these modes as follows:

- i. **Anti-participatory mode:** Public participation is regarded as a voluntary contribution in a programme or project aimed towards development, with no expectation from the public in shaping the content and outcome of project.
- ii. **Manipulation mode:** The public participates in decision-making, implementation and evaluation processes and shares in the benefits.
- iii. **Incremental mode:** Participation is geared to increase control over resources in given social situations for groups hitherto excluded from such control.
- iv. **Authentic public participation:** Participation in this mode is an active process by which the public influences the direction and execution of a programme or project with a view to enhancing their well-being in terms of income, personal growth, self-reliance or other values they cherish.

The continuum in Figure 3.1 depicts how the typologies and modes discussed above can be combined to view where a 'participation process' lies on the continuum and whether it progresses from passive participation (where people are told what to do) to self-mobilisation (where people are in control of the process).



**Figure 3.1: Spectrum of public participation – seven typologies**

Source: Kumar (in Theron 2005b)

The most frequently quoted “ladder of participation” developed by Sherry Arnstein (1969) is based on the understanding that public participation can differ in scope and depth, which can be depicted in one of the eight levels that indicate the extent of the contribution made by the public (Theron,2005b:116).

In this regard, within these eight levels formulated by Arnstein (1969), Theron (2005b:118) describes the linkage between the modes distinguished by Oakley and Marsden with the seven typologies developed by Pretty et al. (1995) as follows:

1.	<b>Public control</b>	The public possesses the degree of power to govern a programme, project or institution without the influence of the powerful	<b>Degree of public control and power</b>
2.	<b>Delegated power</b>	The public acquires the dominant decision-making authority over a particular plan or programme	
3.	<b>Partnership</b>	Power becomes distributed through negotiations between the public and those in power	
4.	<b>Placation</b>	A few handpicked members of the public are appointed to committees; tokenism remains the main motive of the powerful	<b>Degree of tokenism</b>
5.	<b>Consultation</b>	The public is allowed to provide opinions on relevant issues but with no assurance that these opinions will be considered	
6.	<b>Informing</b>	This is a one-way, top-down communication in which the public is informed of their rights, responsibilities and options only	
7.	<b>Therapy</b>	Instead of focusing on the programme or project, the public's attitudes are shaped to conform to those in power	<b>Non-participation</b>
8.	<b>Manipulation</b>	The public is part of powerless committees and the notion of public participation is a public relations vehicle for the powerful	

**Figure 3.2: Arnstein's levels of participation**

Source: Adapted from Theron (2005b)

Theron (2005b:118) explains that the “ladder” moves from manipulation and non-participation, level 8, to public control and power, level 1. However, it has been discovered that few of the eight levels are classified as “public control and power”, which means that these levels are effectively outside what is classified as “authentic and empowering participation”. Theron (2005b) cautions that the most appropriate levels would be levels 1 to 3 for any participatory process to be authentic and empowering. From the explanations provided with regard to the position of participants at level 1, it is quite difficult to determine who owns the participation process because in most instances programmes and projects are initiated by authorities or an outsider, and as such this signifies participation of an outsider.

However, in the view of Meyer and Theron (2000:4–5; cited in Theron 2005b:119), particularly in relation to South Africa, if a government's approach took Arnstein's (1969) levels 1, 2 and 3 as a framework, the public would stand a better chance of emerging from their "cluster of disadvantages", namely poverty, physical weakness, isolation, vulnerability and powerlessness, and transforming themselves into citizens with rights and responsibilities. On the other hand, for Theron (2005b:119), in order to achieve these lofty ideals of moving from "less desirable" to "more desirable" living conditions would require an approach that incorporates the building blocks of development, as outlined below.

### **3.3.3 The building blocks of development**

Using the contextual factors influencing people-centred development, as highlighted in Chapter 2, Meyer and Theron (2000:4) suggest that in whatever context the complex concept of development is used, it must be seen as a "building block" consisting of the following processes in a logical sequence:

- **Public participation:** This is the first building block of development which is a component of human growth. Public participation is as complex as human nature, it is an integral part of human development, it is one of the essential conditions for true development, it is a basic human need and this means that the most important role player is and ought to be the public – the people or the beneficiaries themselves (Burkey 1993:59; Theron 2005b:120; Theron & Barnard 1997:38).
- **Social learning process:** The social learning process approach has its origin in the concept of the learning organisation, which extends the principle of bottom-up planning and public participation by arguing that all parties to development should adopt a learning attitude (Theron 2005b:121).
- **Self-reliance:** Public participation and self-reliance mean the full participation of the beneficiaries of development by dismantling the top-down, prescriptive and often arrogant knowledge transfer and communication styles normally imposed on communities by outsiders (Theron 2005a:106). Self-reliance is the assertion and exercise of "people power", the value of which is seeking to gain and enhance control

over the processes that shape their destiny. Rahman (1993:45) asserts that people realise that their indigenous knowledge-building may require the assistance of outsiders, while they are at the same time aware from bitter experience that blind submission to external knowledge dehumanises them and, instead of raising their capabilities, makes them dependent.

- **Capacity building:** Capacity building is mostly understood as the way and means required for performing a specific act or task. Frank and Smith (1999:18) are of the opinion that community capacity building is based on the assertion that community sustainability can be improved over time and that capacity or lack thereof will be reflected in people, their economy, environment, culture, attitude and appearance.
- **Empowerment:** According to Oakley et al. (1991:9), there are two basic views to empowerment. The first view of empowerment refers to the development of skills and abilities that enable people to manage better and have a say or negotiate better with the development delivery system. The second view of empowerment is considered to be more fundamental and essentially a process concerned with equipping people with the power to decide and take actions regarding their own development (Theron 2005b:123).
- **Sustainability:** This is the last building block of development that, together with public participation, implies local choice in development simply because people are the local experts. According to Theron (2005b:123), public participation and sustainability involve a devolution of power wherein ordinary people should have access to decentralised institutions that will honour their priorities.

Public participation in this sense establishes a reciprocal relationship, a partnership in learning (Theron 2005b:121). As the purpose of this study is to assess public participation in the IDP process of Dihlabeng Municipality, achieving this objective also requires a close scrutiny of the IDP process, mainly because the success or failure of IDP inevitably depends on how this reciprocal relationship is managed by the municipality at the grassroots level. On this note, it would be appropriate to look into what comprises the advantages of public participation as well as analysing obstacles to authentic participation. This will be done in subsequent sections.

### **3.4 The advantages of public participation**

When analysing the theoretical contributions of participation in development, it is commonly agreed that, due to the different interpretations attached to 'participation', arguments for and against participation have turned the subject into a broad field, which is impossible to cover. These contributions are therefore grouped in terms of dimensions such as empowerment, efficiency, effectiveness, accountability and sustainability in order to analyse the importance of participation. These dimensions will be discussed briefly below, with the point of departure being the theoretical origins and history of participatory development outlined in Chapter 2.

Participation theory points out that participation empowers the primary beneficiaries of development programmes or projects by helping them to break away from a dependency mentality as well as by promoting self-awareness and confidence (Burkey 1993:53). Participation contributes by leading people, especially the poor, to learn to examine and find solutions to their problems. Poverty is one major cause of powerlessness and exclusion from participation on the part of the poor; powerlessness expresses itself in the form of discrimination, isolation and lack of human rights (Chambers 1997:45). Empowerment is therefore crucial in poverty alleviation as it enables people to have direct access to productive resources, thereby increasing their earning to secure the goods and services needed.

Efficiency is normally regarded as a measure of how economically a process of intervention has been delivered in respect of results (outputs) produced in relation to costs and timing. It is a general assumption that by taking part the beneficiaries will help to improve the process of development and as such reduce costs. Participation is assumed to promote efficiency where local rather than external resources are employed in a programme or project.

Another contribution of participation stems from the theory that development interventions in the past have failed because of lack of primary stakeholders' participation. The effectiveness of a development intervention can be understood as the extent to which an intervention is successful in achieving its objectives. In other words,

despite the fact that an intervention delivered an appropriate service or goods, it is still necessary to understand what the outcomes of such a performance have been. If local people participate actively in the planning, implementation, control and evaluation of a programme or project, they become more committed and thus increase its success (Oakley et al. 1991:17). One condition that is critical for the effectiveness of development activities is that, through participation, local people will ensure that these activities are based upon indigenous knowledge and are more relevant to local needs (Theron 2005c:138). If local people are also allowed to participate in the monitoring of programmes or projects, it helps to detect problems early before they develop into serious conflicts, which in the end become destructive – the reason why development graveyards are scattered throughout the world (Theron & Barnard 1997:35).

Severo (2002:16) explains that effective accountability can be understood as giving account to another party who has a stake in what has to be achieved. Consequently, accountability in the context of development demands that all who have interests or who are certain to be affected by development activities should be fully informed, and to agree to their obligations and rights, which is a sign that they trust that others too will act accordingly. It is only when people have knowledge of what resources are available and how these resources will be utilised that they can hold those given responsibility accountable (Severo 2002:17). In this sense, when primary stakeholders can hold other stakeholders accountable, power shifts to them. Participation by poor people therefore affords them the opportunity to develop appropriate skills of control, reporting and joint decision-making. As a result of appreciating the role each stakeholder has to play, this in itself helps to improve understanding of the role of other stakeholders, as well as the limitation of technical and financial resources, and thus minimising conflicts (Stein 1998; quoted by Severo 2002:17).

The last dimension, which is the ultimate goal of participation, namely sustainability, can be explained in three parts: project sustainability, social sustainability and environmental sustainability. The sustainability of a project emphasises the maintenance of its goals and the continuance of its purpose long after the withdrawal of the intervention. A social sustainability approach is a type of development that brings about an equitable

distribution of power and resources, and that promotes social learning and social mobilisation during the entire process of development (Roseland 2000; cited by Severo 2002:17). Environmental sustainability focuses on the use of natural resources without compromising the access of future generations; it represents the maintenance of adequate environmental assets (Severo 2002:17). Participation and inclusion of local people have dominated many environmental programmes mainly for achieving success and reducing the costs of such programmes.

This international rationale for the promotion of public participation rests on the belief that if the public participates in development programmes, then these programmes will be seen as legitimate (Theron 2005b:111).

### **3.5 Obstacles to public participation**

Oakley et al. (1991:10) points out that the practice of participation does not take place in a vacuum, but is, on the contrary, susceptible to a range of factors that could hinder and indeed constrain its promotion. These often lead to resurgence of non-participation. Such obstacles prohibiting participation abound, ranging from institutional to socio-cultural, to technical, to logistical, and are even spread over a seemingly endless spectrum (Botes 1999:69).

Oakley further states that, while a substantial amount of literature now suggests the existence of “problems” with the practice of participation and suggests solutions, more fundamentally serious obstacles can inhibit participation in some instances where there is only a clear recognition with no apparent suggestion of remedies. Botes (1999:69) classifies these obstacles as being either external, internal or both. External obstacles refer to those factors outside the end-beneficiary community, such as biases emanating from the role of development professionals, the broader government orientation towards promoting participation, the tendency by development agencies to apply selective participation, and their technical and financial biases. Botes (1999) also identifies internal obstacles that can be attributed to the agendas of conflicting interest groups, gate keeping by the elites and, unsurprisingly, a lack of public interest in participation or a general

resistance to becoming involved. These obstacles are summarised in the following sections.

### **3.5.1 The paternalistic predispositions of development experts**

In most instances, the majority of development programmes or projects are initiated by outsiders, either by government or development agencies, and they rarely originate within the beneficiary communities. The professional outsiders or experts often dominate decision-making and manipulate rather than facilitate the development process. Chambers (1997:33–55) describes how professionals, construct realities, their interpretations and ways of construing the world, which are quite ignorant of the complex, diverse, dynamic and unpredictable realities of local people. Botes (1999:69) supports this view, stating that it is because professionals are trained to tell others what to think and do, thus disempowering them in the process. Their trademark is that they know all and their mission is to transfer expert knowledge to ‘apathetic’ communities.

The paternalistic predisposition of these professionals has, according to Cadribo (1994:22; cited in Botes 1999:69), for the past four decades contributed to development graveyards in developing countries due to the high failure rate of development projects. Public participation is not genuine in most cases, but rather becomes a ‘platform’ from which people are informed about an already concluded proposal.

### **3.5.2 The restraining and prescriptive character of state**

Botes (1999:71), citing Gilbert (1987), explains that although there is generally an agreement about the benefits of public participation, its achievements in practice have often been vastly exaggerated and its outcomes have often damaged the interests of the weaker groups in society. This has happened because the advocates of participation have frequently played down the political dimension of public participation.

Most importantly, Botes (1999) concludes, as far as the state is concerned, it appears that the main purpose of public participation programmes is less about improving the living conditions of the poor than about maintaining existing power relations in the society and ensuring the silence of the poor. This is true particularly in many developing countries,

and also in other less democratic states. Public participation takes on a form of manipulation and is used as a means of legitimising the political system and as a form of social control (Botes 1999:71).

At its worst, participation is constrained at state level by political leanings, funding restrictions, resistance of bureaucrats at local and national spheres of government and by the state's general inability to respond effectively to the felt needs of the people at grassroots level.

### **3.5.3 Selective participation**

This is one of the most painful practices whereby the needs and issues at stake are determined by people who do not actually experience poverty in society. According to Botes (1999:72), it is often the most visible and vocal, the wealthiest and more articulate and educated groups that are allowed to be partners in development, without serious and ongoing attempts to identify less obvious partners. Meeting men more than women, elites more than the poor and the users more than the non-users of services is one of the anti-poverty biases of rural development tourism, the phenomenon of the brief rural visit by urban-based professionals (Chambers 1997:111).

Botes (1999) refers to Friedman's (1993) warning against the practice of many development agencies to engage exclusively with particular sections of the community as representatives. He also points out that poor community penetration by NGOs and CBOs is one of the major impediments to public participation. In most cases, community organisations are not democratically elected and the participation of local leaders therefore often represent the voice of a group of self-appointed people who may not necessarily reflect the views and aspirations of the broader members of the community, especially the poor (Botes 1999:72).

One of the worst manifestations of selective participation occurs when the development agency 'buys' the goodwill and support of key interest groups, or co-opt best-known members of the community to serve in a committee, often resulting in public participation being turned into manipulation or therapy, and the misappropriation of

resources. In short, selective participation as an impediment can be perfected to the extent that it can turn poverty into an industry where participation is traded at a price between the haves and the have-nots.

#### **3.5.4 Lack of community interest in participation**

Numerous reasons have been cited for lack of interest on the part of communities to participate in development matters. However, what seem to dominate as a reason for this unwillingness stems from the past experiences of participation, especially where expectations were not fulfilled. In aggregate, it has been discovered that beneficiaries will not be active when the country does not have a social tradition supportive of participation, when inadequate technology inhibits proper service delivery, when the government is perceived by beneficiaries to be a satisfactory medium and when governments are reluctant to establish participation channels and build participation into their projects designs (Botes 1999:78).

#### **3.5.5 Conflicting interests within end-beneficiary communities**

In the first instance, along with the development process goes the allocation of resources. When these scarce resources are introduced to the marginalised communities, it is like introducing a rare opportunity, which in turn often increases the likelihood of development becoming a divisive force (Botes 1999:74). According to Stiefel and Wolfe (1994:54), where the mobilisation of the poor threatens to change control or distribution over the resources, rapid counter-mobilisation from those sectors and social forces that stand to lose or fear disorder will erupt. Development is always the result of decisions that in one way or another reflect choices about whose needs are to receive priority, and accommodating some interests at the expense of the others, which consequentially breeds conflict among different groups of the community (Botes 1999:74).

Competition among community based organisations for access to resources, especially when perceived to contain a real threat to turn violent (and deadly in some instances), is a major deterrent to authentic participation.

### **3.5.6 Influence or gate-keeping by the elite**

In the absence of any levelling mechanism, the upper, well-known, wealthier community members become the leadership. As explained above, the community elite will feature in most development initiatives at various levels and in various capacities. Where community leadership favours a project, the chances of success are far greater than where such leaders are opposed to it (Botes 1999:75). Whenever the leaders suspect that the ordinary mass will gain access to a development project and control its resources to their own benefit, thereby leading to the exclusion of leaders, there is a likelihood that these leaders will not provide their support and may even cause the project to fail.

Botes (1999:75) maintains that this behaviour of dominant groups has often deprived the weaker and more vulnerable social segments of participation in community affairs.

### **3.6 International Association for Public Participation**

In the light of efforts to put public participation into perspective, as well as highlighting obstacles to it, Theron (2005b:129) argues that, although many people (particularly decision makers) feel uncomfortable with the idea of public participation, it offers valuable opportunities to rectify the inequalities of past top-down, prescriptive approaches and improves the chances of achieving sustainable development

Along with this thinking and in support of public participation, the International Association for Public Participation (IAP2) has developed seven core values according to which participatory interventions in development could be planned. According to Theron (2005b:112), these core values offer guidance for better decision-making that will ensure that the interests and concerns of the affected communities are taken into account. These values are confirmed by, amongst others, the following three global declarations:

- 1989: Manila Declaration on People's Participation and Sustainable Development;
- 1990: The African Charter for Popular Participation in Development and Transformation; and

- 1992: The United Nations: Agenda 21 – An Agenda for Sustainable Development into the 21st Century.

Core values for the practice of public participation: (IAP2)

- i. Public participation is based on the belief that those who are affected by a decision have a right and therefore a say in decisions about actions that affect their lives;
- ii. Public participation includes the promise that the public's contribution will influence the decision;
- iii. The public participation process communicates the interests and meets the process needs of all participants;
- iv. The public participation process seeks out and facilitates the involvement of those potentially affected or interested in a decision;
- v. The public participation process involves participants in defining how they participate;
- vi. The public participation process communicates to participants how their input affected the decision; and
- vii. The public participation process provides participants with information they need to participate in a meaningful way.

Burkey's (1993:56) definition of public participation is crucial in relation to these values:

participation is an essential part of human growth, that is the development of self-confidence, pride, initiative, creativity, responsibility, cooperation ... without such a development within the people themselves all efforts to alleviate their poverty will be immensely more difficult, if not impossible ... this process whereby people learn to take charge of their own lives and solve their own problems is the essence of development.

Having looked at how public participation is viewed from different perspectives, this study will now proceed to consider what participation strategies have emerged in the public participation landscape.

### 3.7 Public participation strategies

There is no definite method that can be used to come up with a one-size-fits-all combination of strategies, because strategies range widely in complexity, creativity and impact. Their efficacy depends on other factors, such as the competence of the public participation practitioner and the appropriateness of technology in use. Therefore, the route to effective, efficient public participation depends on selecting the right combination (Theron 2005b:119, 126). Among the most relevant strategies are those that relate to

- Pretty et al.'s (1995) typology 7: Self-mobilisation
- Oakley and Marsden's (1984) mode 4: Authentic Public Participation
- Arnstein's (1969) level 1: Public Control

Strategies can further be grouped according to the perceived overall purpose that they serve or intend to achieve, depending on one's aims in using these strategies. For example, with several options linked to each, these strategies may be classified into three levels of influence, as follows (Theron 2005:126–128):

- Level 1: Public participation through information-sharing strategies
- These strategies basically do not constitute public participation proper in that they are merely intended to inform the public to judge or become aware of an already completed task or project. In some instances, they may be used to solicit participation, as when tenders are advertised and the public should respond by submitting proposals. Options commonly utilised under this strategy include legal notices, advertisements, newsletters, technical reports, press conferences and background information materials.
- Level 2: Public participation through consultation strategies
- The gist of the strategy is to keep the public informed, but in this case formal arrangements are engaged to ensure that relevant stakeholders are contacted and assembled at a specific point to deliver the message. However, whatever may be discussed and agreed upon is not necessarily guaranteed to be part of the decision-

making process. In other words, public participation is considered a voluntary contribution by the public, although they are not expected to take part in shaping the programme content and outcomes (Theron 2005b:115). Options in this regard include public meetings, public hearings, comments and response sheets, briefings, surveys and polls, and interviews or group discussions.

- Level 3: Public participation through empowering strategies
- The vital and yet unique character of this strategy is that the options frequently engaged provide a reciprocal learning relationship between the beneficiaries and the developer. Where task forces are established, the team members are expected to develop and implement a proposal. *Imbizos* in the South African context are interactive meetings at which government officials, particularly ministers, engage directly with the community on governance issues. With reference to participatory research, ordinary people are guided by research officials to conduct research and to find solutions to issues that affect their lives directly.

As Theron (2005b:128) warns, there may be problems with the way these levels are interpreted in some quarters, and their overlapping can cause interference in making the right decision during the selection of strategies. However, he also advises, as a golden rule, to select the right combination of strategies for the task at hand. Chambers (1997:116) supports this view and suggests that change agents should “use your own best judgement at all times.”

### **3.8 Conclusion**

The fact that participation means different things to different people forms the starting point for a comprehensive overview of this concept. This chapter has illustrated that, because of the different interpretations of how participation is understood and applied, different forms of participation will be applied for different purposes.

A better knowledge and understanding of the different typologies, modes or levels of participation will be critical for public participation practitioners when decisions are made about the purpose of development programmes and projects. In other words, this

knowledge should assist in determining what the objective of each programme or project would be, especially when people are expected to participate in those programmes. Furthermore, it will be in the interest of all parties that people are contacted as early as possible to prepare for participation, especially when development programmes and projects will affect their lives.

Since there will be obstacles in the process of participation, particularly where women, children and the poor are concerned, it is recommended that, to avoid repeating failures of the past, participation practitioners should be alert to potential pitfalls at all times.

This study will now proceed to explore public participation policy frameworks in South Africa around the process of Integrated Development Planning (IDP), which is a micro-level development strategy at local government level. Chapter 4 will focus on the concept of developmental local government as its point of departure.

## **CHAPTER FOUR: POLICY FRAMEWORK FOR PUBLIC PARTICIPATION IN SOUTH AFRICA WITH SPECIFIC REFERENCE TO THE IDP PROCESS AT MUNICIPAL LEVEL**

### **4.1 Introduction**

The policy framework for public participation in the IDP process at any municipality level in South Africa should be analysed within the policy intent of developmental local government. According to Pieterse (2002:3), the local government policy framework is a

commanding, complex, forward-looking and optimistic manifesto to systematically realise a participatory local governance system that is at the heart of an intergovernmental effort to achieve democratic citizenship, integrated development and reconciliation between the divided communities of South Africa.

It can therefore be deduced that the mandate of the state is to ensure effective service delivery in a manner that will primarily fulfil the basic needs of all communities within the boundaries of the respective municipalities, and, secondarily, to create conditions that are conducive for economic growth (White Paper on Local Government, 1998). However, Pieterse (2002) highlights the fact that whatever the manner in which this mandate is executed, it must give expression to and consolidate participatory democracy. By implication, as these imperatives are best executed at local government level, this simultaneously places an enormous challenge upon this sphere of government, given the capacity and resource constraints prevalent in most municipalities.

Although these imperatives are expected to be executed at this level, they are entrenched within the nationally defined policy structure that sets standards and norms as basic parameters for local action. The object of this chapter is to explore these policy imperatives at the municipal level rather than at district level, which is a second tier of local government. The reason for this is mainly that municipalities are local and therefore uniquely positioned to address the specific needs and problems of local people. They are consequently politically accountable to their own communities for the developmental

choices made. This chapter will commence with an analysis of the philosophy of developmental local government from which most national legislation draws expressions for public participation. The researcher will thereafter proceed to look into the process of the IDP generally and then outline the public participation plan of Dihlabeng Municipality, followed by a summary of the chapter.

## **4.2 Developmental local government philosophy**

Several relevant policies and legislations describe the way in which local government should function and they provide a framework for municipal interaction with local communities. The following is a brief summary of the provisions these legislations make, with specific reference to public participation. In discussing these pieces of legislations, it is important to move back and forth instead of discussing them in their chronological sequence. In this way, a coherent and holistic picture of a developmental government will be maintained.

### **4.2.1 The Constitution of the Republic of South Africa, 1996 (Act 108 of 1996)**

The Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), which is the supreme law of the country, provides through section 151 (1) that the local sphere of government be constituted of municipalities that must be established for the whole of the territory of the Republic. In terms of section 152 (1) of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), the objects of local government are as follows:

- i. To provide democratic and accountable government for local communities;
- ii. To ensure the provision of services to communities in a sustainable manner;
- iii. To promote social and economic development;
- iv. To promote a safe and healthy environment; and
- v. To encourage the involvement of communities and community organisations in the matters of local government.

The developmental duties of the municipalities are further amplified through section 153 of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), which stipulates that a municipality must:

- i. Structure and manage its administration, and budgeting and planning processes to give priority to the basic needs of the community, and to promote the social and economic development of the community; and
- ii. Participate in national and provincial development programmes.

The developmental role of local government is also contained and expressed in terms of basic values and principles governing public administration in South Africa. In this regard, section 195 (1) (e) of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), requires that people's needs must be responded to and that the public must be encouraged to participate in policy-making.

#### **4.2.2 The White Paper on Local Government, 1998**

The vision and policies for ensuring that local government fulfils its developmental role are set out in the White Paper on Local Government, 1998. This document largely relives the spirit of the Reconstruction and Development Programme (RDP), which was in principle the original manifesto of the African National Congress and which later became a policy of the Government of National Unity. It was published in 1994 as an "integrated, coherent socio-economic policy framework which sought to mobilise all South Africans and the country's resources towards the final eradication of apartheid and the building of a democratic, non-racial and non-sexist future" (ANC 1994:1).

The White Paper on Local Government, 1998, defines developmental local government as "local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives." The launch of the White Paper on Local Government in 1998 established a landmark "blueprint" for the transformation of local government in South Africa. It lays down the guidelines which all municipalities must adhere to in their attempt to provide local development through promoting the creation and sustenance of jobs and advancing local economic development.

A municipality is required in terms of section 152 (2) of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996) to take reasonable steps within its financial and

administrative capacity to realise these objectives. Furthermore, a provision is made in which some municipalities may develop structures to ensure meaningful participation and interaction between councillors and members of the community through a ward committees system. Ward committees are envisaged to facilitate local community participation in decisions that affect the local communities, to articulate their interests and to represent them within the municipality. The notion of a “developmental local government” therefore mirrors a vision of a local government that centres on working “with” local people to find sustainable ways to meet their needs so as to improve the quality of their lives (Theron 2005c:135).

#### **4.3 Other legislations and policies concerning public participation**

In terms of section 164 of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), any other matters concerning local government not dealt with in the Constitution may be prescribed by national legislation or by provincial legislation within the framework of national legislation. Furthermore, what is unique about these legislation is the way in which they are designed to create a harmonious intergovernmental relationship between these three spheres of government, that is, between the national, provincial and local spheres of government. This relationship thus grants the local sphere some degree of autonomy, with the result that municipalities are no longer seen as a function of national and provincial governments.

Based on the two provisions stated above, and pursuant to the fulfilment of the “developmental role of local government”, the White Paper on Local Government, 1998, states that there are three interrelated approaches that must be pursued at municipal level in order to achieve these desired developmental outcomes. These are as follows:

- Integrated development planning, budgeting and performance monitoring;
- Performance management; and
- Working together with local citizens and partners.

As the object of this study is to assess participation in the IDP process of Dihlabeng Municipality, additional legislations pertaining to community participation in relation to the IDP process will be discussed in the following sections of this chapter.

#### **4.3.1 Municipal Structures Act, 1998 (Act 117 of 1998)**

Chapter 4 (part 4) of the Municipal Structures Act, 1998, stipulates that the municipality must establish ward committees for the purpose, amongst others, of promoting participatory democracy. It further places an obligation on the municipality to make rules regulating the procedure to elect members of the ward committees. The ward committees system is a structured mechanism which encourages the participation of the community in the affairs of their municipality. Through this Act, a framework is provided for the powers and functions of the ward committee. Very importantly, this Act underscores the attempt on the part of the South African government to institutionalise public participation.

The Municipal Structures Act, 1998, requires that a Category A municipality with a sub-council or ward participatory system, or a Category B municipality with a ward participatory system and executive committees or mayors must report annually on the participation of communities and community organisations in the local affairs of the municipality.

#### **4.3.2 The Municipal Systems Act, (Act 32 of 2000)**

It is appropriate at this stage to indicate to the reader that in both the Municipal Structures Act, 1998, and the Municipal Systems Act, 2000, a statutory framework has been established which provides a broad outline of a system of participatory democracy. Both these Acts can be described as potent legislative mechanisms through which the objects of local government and the developmental duties of the municipality must be fulfilled. However, it is important to note that the Municipal Structures Act (1998) lays the scaffolding for the ward committee system, whereas the Municipal Systems Act (2000) devotes the whole of its Chapter 4 to public participation.

The legal requirements for public participation in terms of the Municipal Systems Act, No 32 of 2000 are embodied in the following key sections:

**(a) The rights and duties of the members of the community**

- Section 5(1) (a)
- All members of the local community have the right through mechanisms and in accordance with processes and procedures provided for in terms of this Act or other legislation to contribute to the decision-making process of the municipality and to exercise this right through submission of written or oral recommendations, representations, including complaints to municipal council or its administration.
- Section 5(2) (a)
- Through this section, the legislation makes it quite clear that when exercising their rights, members of the community have also a duty to observe the mechanisms, processes and procedures of the municipality.

**(b) Developing a culture of community participation**

- Section 16(1)
- A municipality is expected to develop a culture of municipal governance that complements formal representative government with a system of participatory governance. For this purpose, the municipality must encourage, and create conditions for the local community to participate in the preparation, implementation and review of its IDP. The municipality must further contribute to building the capacity of its local community, councillors and staff to promote participation. To achieve this, it must also use its resources and annually make provision in its budget to realise these objectives.

- (c) Processes and procedures
- Section 17(2)
- Public participation must be focused in order to succeed. Accordingly, the municipality must establish appropriate mechanisms, processes and procedures to ensure participation by local community in its affairs.
- Section 17(3)
- When a municipality establishes the mechanisms and procedures referred to above, it must take into account the special needs of people who cannot read, or write, people with disabilities, women and other disadvantaged groups.

**(d) Communications for and to the community**

- Section 18(1) (a)
- The municipality must generally communicate to its community information concerning public participation, and specifically communicate what are the available mechanisms, processes and procedures in order to encourage and facilitate participation.

**(e) Notice and admission to meetings**

- Section 19
- The municipal manager must give notice to the public, in a manner determined by the council about the date, time and venue of every ordinary meeting of the council and every special or urgent meeting of the council, unless time constraints make this impossible.
- Section 20
- Meetings of the council and those of its committees are open to the public, including the media, and neither the council nor its committees may exclude the public and media. However, the council reserves the right to take reasonable steps to regulate public access and public conduct during its meetings.

#### **4.4 The Integrated Development planning system**

##### **4.4.1 The birth of a new planning and development system**

The White Paper on Local Government, 1998, contextualised integrated development and planning as a tool for developmental local government with the intention of enabling municipalities to:

- Help to align scarce resources behind agreed policy objectives and programmes;
- Ensure that activities are prioritised around urgent needs;
- Facilitate integration with other spheres of government by serving as a tool for communication and interaction with them; and
- Provide a platform for engaging with local communities in assessing and addressing their needs.

The birth of IDP - as thinking - is a process which was informed by numerous other historical processes. IDP was further conceived as a tool to be used by municipalities to face the development challenges in South Africa brought about by, amongst others, the following current and past historical factors (Theron 2005c:134):

- The need to re-establish a culture of public participation;
- Entrenched modes of decision making, administration and service delivery based on separate development policy;
- Skewed settlement patterns, which are inefficient and costly to maintain;
- Concentration of taxable economic resources in so-called white areas that demand redistribution;
- Backlogs in service infrastructure in underdeveloped areas;
- Creating viable municipal institutions for dense rural settlements;
- Spatial separation and disparities between towns and townships, and urban sprawl, which increase the costs of service provision and transport;

- Creating municipal institutions that recognise the linkages between urban and rural settlements;
- Variations in capacity between different municipalities; and
- Inability to leverage substantial private resources for development.

The philosophy of developmental local government, which in essence moulded the development of IDP thinking, has four important characteristics (Theron 2005c:135; White Paper on Local Government, 1998):

- **Maximising social development and community growth:** Local government powers and functions should be exercised to have an impact on the social development of communities, which in particular meets the basic needs of the poor.
- **Integrating and coordinating:** Developmental local government must provide vision and leadership, and use IDP as a strategy to achieve this role.
- **Democratising development, empowering and redistribution:** A central principle of the Reconstruction and Development Programme (RDP) is the empowerment of poor and marginalised communities. In this regard, municipalities should seek to promote the participation of marginalised and excluded groups in community processes. Public participation strategies and capacity building interventions should ensure the participation of communities in the design and delivery of programmes and projects at municipal level.
- **Leading and learning:** Municipalities should become more strategic, visionary and influential towards achieving the developmental objectives assigned them, which will build strong social capital and a sense of common purpose to find lasting local solutions for increased sustainability.

Theron (2005c:135) explains that the White Paper on Reconstruction and Development, 1994, is a key point of departure because it puts forward a vision for developmental local government that centres on working with local communities to find sustainable ways of meeting their needs and improving their quality of life.

#### **4.4.2 What is an Integrated Development Plan?**

As stated in the IDP for Dihlabeng Municipality (2006:iii), an IDP is a written plan that results from the IDP process – a process through which municipalities prepare the strategic development plan for a five-year period. It is the single, inclusive and strategic plan of the municipality which links, integrates and coordinates plans, and takes into account proposals for the development of the municipality. The IDP supersedes all other plans that guide development at the municipality; it is intended to align the resources and capacity of the municipality with the implementation of the plan and forms the policy framework and general basis on which annual budgets must be based.

According to Dihlabeng Municipality's IDP and in line with section 26 of the Municipal Systems Act (2000), the IDP contains nine core components which must be reflected in its IDP, and are listed as follows:

- The council's vision for long-term development with emphasis on its internal transformation needs;
- An assessment of the municipality's existing level of development which includes the identification of those sections of the community who are in need;
- The municipality's development priorities and objectives for its elected council's term, including its Local Economic Development (LED) aims and its transformation needs;
- Development strategies which are aligned with national and/or provincial sectoral plans and planning requirements binding on the part of the municipality in terms of the legislation;
- The council's spatial development framework, which must include the provision of basic guidelines for land use management system for the municipality;
- The council's operations strategies;
- The council's disaster management plans;
- The council's financial plan with a budget projection for three years; and

- The council's key performance indicators and targets determined in terms of section 41 of the Municipal Systems Act (2000).

IDP can be considered as the overarching fulcrum around which municipalities' developmental and regulatory responsibilities revolve, and where properly designed and implemented can serve as a tool for integrating both rich and poor neighbourhoods, as well as distributing goods and services equitably (Mogale 2003:232; Theron 2005c:136).

#### **4.4.3 The Integrated Development Planning and revision process**

In addition to the legislative requirements and specific methodological fundamentals the IDP approach has to conform to, as outlined above, to arrive at a complete plan, the municipality has to follow a number of distinct phases. The full IDPG which takes place every five years is a process normally lasting about nine months and involves a wide range of role players from within and from outside the municipality.

##### **4.4.3.1 The full process**

The full process goes through the following phases (Dihlabeng IDP 2006; IDP Guide Pack 2001):

#### **Phase 0: Preparation phase**

Before any municipality can commence with planning, some preparations have to be done. The municipality's management under the leadership of the municipal manager is responsible for ensuring a well-organised planning process. This responsibility in essence entails the preparation of a programme for different planning steps, procedures for consultation and participation, and identification of binding plans and planning requirements.

**Phase 1: Analysis**

The analysis phase deals with the existing situation. It assesses the existing level of development through the compilation of existing information on a range of issues, such as lack of basic services, unemployment and crime.

**Phase 2: Strategies**

Once the municipality comprehends the problems affecting its communities and the causes thereof, appropriate solutions must be formulated to address these problems. The next step that the municipality should take involves the formulation of a vision, objectives and strategies, and the identification of the projects.

**Phase 3: Projects**

The design and specification of projects for implementation must take into account and link directly with those priorities identified in the previous phase. A preliminary budget allocation for capital and operational costs must be made.

**Phase 4: Integration**

Once the projects are identified, it is the responsibility of the municipality to align these projects with its objectives and strategies. It is imperative for the municipality to utilise this phase to synchronise the projects in terms of contents, location and timing so as to arrive at a consolidated and integrated programme, for example, integrated sectoral programmes (LED, HIV, poverty alleviation, gender equity, etc.)

**Phase 5: Approval**

Once it is complete, the council must satisfy itself that the IDP complies with the legal requirements. The council must also be content that this document reflects issues or problems affecting the community and that the strategies and projects contemplated will contribute towards a progressive realisation of the objectives as outlined in the IDP.

### **Phase 6: Provincial assessment**

Once the municipality has adopted its IDP, it must forward a copy of it, together with the process plan, to the MEC for local government for assessment. It is the duty of the MEC to assess whether the IDP complies with the requirements of the legislation, but not necessarily to approve the IDP.

The current Dihlabeng Council, which resumed its term of office from March 2006, has adopted the previous Council's IDP, which was developed and improved on immediately after its election in December 2000.

#### *4.4.3.2 The annual IDP review process*

The annual IDP review process in Dihlabeng Municipality commences from March each year and has been planned for completion in time to be reflected in the new financial year. The IDP review process in Dihlabeng (as in any other municipality) is undertaken with the intent to review what has been achieved during the implementation of the IDP and to use the insights gained to make the necessary changes to the IDP and also to feed into the budget for the following financial year. This process is required in terms of section 34 of the Municipal Systems Act (2000), which stipulates that a municipal council.

- i. must review its IDP
  - annually in accordance with an assessment of its performance measurements in terms of section 41; and
  - to the extent that changing circumstances so demand; and
- ii. may amend its IDP in accordance with a prescribed process.

The purpose of review is to ensure that the IDP remains relevant as a municipality's strategic plan. It is imperative to inform other components of the municipal business processes, such as financial planning and budgeting, inter-governmental planning and the budgeting cycle. This process goes through the following six phases:

**Phase 1: Preparations for IDP review**

This phase largely entails preparations for institutional arrangements, such as the responsibilities of the IDP staff and senior management. The preparations include designing an action programme, assigning roles and responsibilities, and finalising procedures and mechanisms for public participation.

**Phase 2: Monitoring**

This entails the gathering of information on the progress of delivery against key objectives, indicators and set targets. This information relates to the progress of the implementation of programmes and projects, the achievement of objectives and new information that is likely going to have an impact on the initial plans set out in the IDP.

**Phase 3: Evaluation**

Evaluation of the information will necessitate making adjustments to improve delivery. Relevant information may arise when gaps are identified in the process, or in the light of new legislation and trends, or as a result of a new understanding of the implications of priorities.

**Phase 4: Review**

The process at this stage calls for an assessment of the content of the existing IDP and the effecting of appropriate changes that must take into account sectoral plans and programmes (e.g. LED programme, spatial development framework and financial plan).

**Phase 5: Adoption by council**

The municipal council has to adopt the revised IDP in accordance with the process as outlined in the Municipal Planning and Performance Regulation of 2001.

## **Phase 6: Preparation of annual budget**

Once adopted, the Municipal Systems Act (2000) requires that the budget must be informed by this IDP and that the budget must reflect the objectives, programmes and projects contained in the revised IDP.

### **4.5 Public participation plan in IDP process of Dihlabeng Municipality**

This study has shown in the previous sections of this chapter how, in terms of Chapters 4 and 5 of the Municipal Systems Act (2000), public participation is outlined and how the IDP process should be conducted. Since the researcher's aim is to assess the quality, value and extent of public participation in Rosendal-Mautse, a part of Dihlabeng Municipality, the municipality's public participation plan will be discussed next. This discussion lays the groundwork for Chapter 5 where the conceptual framework for the assessment of public participation is explained. The reader will consequently be able to assess the results and interpretations presented in Chapter 6 and the conclusions drawn and recommendations offered at the end of the study in Chapter 7.

#### **4.5.1 Framework and structures for participation**

The municipality has adopted an approach which in terms of the requirements of the Municipal Systems Act (2000) conforms to a large extent to these legislative provisions. The council of Dihlabeng Municipality has also in terms of its public participation plan and methodology adopted the following principles of public participation as its guidelines (Dihlabeng 2006:16):

- The elected council is the ultimate decision-making forum on IDPs;
- The role of participatory democracy is to inform and negotiate with stakeholders and to give the opportunity to provide input on the decisions taken by council;
- In order to comply with the legislation, the municipality has undertaken to create appropriate conditions that will enable participation as a minimum requirement; and
- Community and stakeholders will be encouraged to get involved.

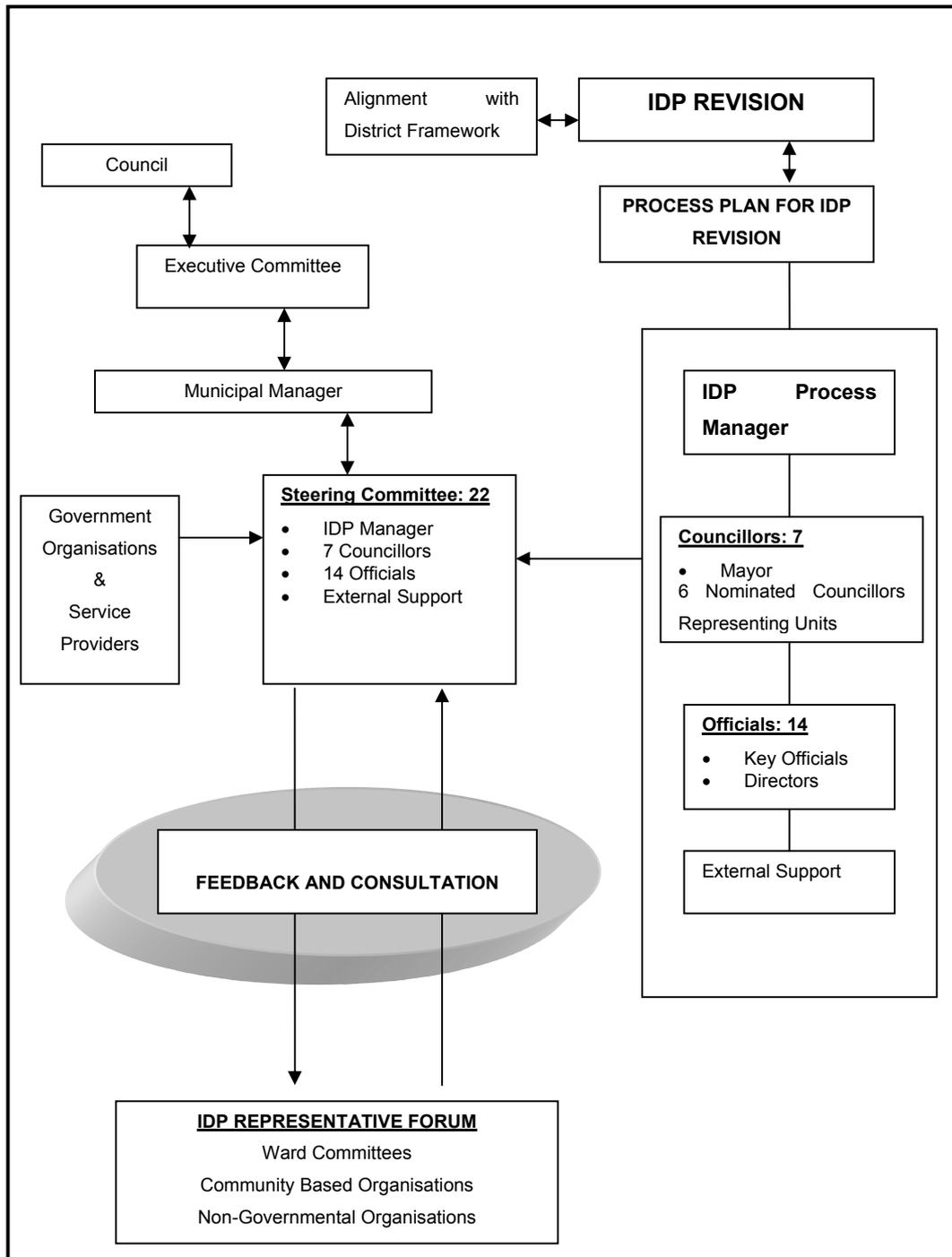
Because Dihlabeng Municipality covers a vast area and has an average total population of 141 000, it decided to structure the public participation process and make rules and procedures specifying

- who will participate;
- who will not directly participate, but must be consulted on particular issues (e.g. adjacent municipalities); and
- on which issues direct participation or consultation should take place.

The municipality has decided to utilise existing structures, which comprise 19 wards with their elected ward committees, each chaired by the ward councillor concerned. Nominated representatives from NGOs and CBOs have to provide proof of their organisational mandate in order to participate in the IDP process, and it has been made clear that newly registered participants will not be allowed to hold back the progress of the process.

One of the conditions laid down by the council is that council meetings regarding the approval of the reviewed IDP will be open to the public. The council has also undertaken to publish information about the IDP process in the local media to reach as many people as possible, as well as directly communicating information to registered participants. As shown in Figure 4.1 below, the municipality's IDP process is conducted within an organisational structure that consists of the following:

- Council
- Executive Committee
- Municipal manager
- Steering Committee
- A Representative Forum: consisting of:
  - Ward Committees
  - Community Based Organisations and
  - Non-Governmental Organisations



**Figure 4.1: Dhlabeng Municipality IDP organisational structure**

Source: Adapted from Dhlabeng (2006)

In order to commence and implement the Process Plan, the Municipality will submit a notice in advance to all residents in the various towns, inviting representatives to a Report Session, held separately for each unit. The aim of these public sessions is to

- Inform communities and stakeholders about the IDP Review process;
- Confirm the previous community and stakeholder level assessment; and
- Confirm the strategic contents of the current IDP (i.e. priorities, strategies, etc.).

With reference to the legislative framework provided through the Municipal Structures Act (1998) and Municipal Systems Act (2000), it can be argued that the IDP process followed by Dihlabeng Municipality generally complies with the minimum requirements as stipulated in these legislations.

#### **4.6 Summary**

In the wake of the crisis brought about by the failure of development attempts during the 1980s, the participation of and partnerships with civil society became the dominant themes in the gamut of development theories, as illustrated in Chapters 2 and 3 of this study. The advocacy position around the prioritisation of poverty alleviation and the participation of communities in decision making about development initiatives intended to affect their lives gained significant influence, to the extent that development agencies and donor and recipient governments insisted on policies that somehow incorporated participation.

As argued in Chapters 2 and 3 of this study, approaches to participation fall into two broad groups: one that sees participation as a valuable course to legitimate the actions of the state and to forge compliance; and the other, more radical version that focuses on civil society empowerment and democratisation as the principal functions of participation (Pieterse 2002:7; Theron 2005b:111).

In South Africa, because of this development, participation, efficiency and partnerships are the three central themes that dominate in the White Paper on Local Government. To give effect to the policy intent of developmental local government as outlined in the

White Paper on Reconstruction and Development, 1994, the Constitution of the Republic of South Africa (Act 108 of 1996) laid the foundation for the White Paper on Local Government, 1998, and the ratification of other legislations such as the Municipal Structures Act (Act 117 of 1998) and the Municipal Systems Act (Act 32 of 2000), not forgetting various provincial and local government policies. At the time of writing this research report, the South African National Participation Policy was in draft form, dated 2005.

In view of the desire to provide a better life for all, the government of South Africa, in order to mandate grassroots development, introduced the IDP as a vehicle to achieve this goal (Rauch 2005:1; cited by Theron 2005c:133). This chapter confirmed the contribution of the policy framework on public participation in South Africa and that public participation is pitched at a consultative level. The next chapter will consider the methodology followed in this study and will provide the conceptual framework through which public participation had been assessed.

## CHAPTER FIVE: RESEARCH METHODOLOGY

### 5.1 Introduction

The aim of this chapter is to highlight specific methodologies and procedures that the researcher applied in this study. The purpose of this study is to assess Rosendal-Mautse participation in the IDP process of Dihlabeng Municipality and its focus is the assessment of the quality and degree of participation, both of which are difficult or even impossible to quantify. In essence, the study attempts to gauge people's experiences and perception of participating in the IDP process, and, consequently, to see to what extent those perceptions influenced the level of participation in communities.

The literature review has shown that participation is a process in which stakeholder's influence and share control over development initiatives, decisions and resources that affects them. As such, public participation is linked directly to development, which, unsurprisingly, is the most widespread context in which public participation is invoked. The IDP as a tool for development represents the developmental mode adopted by the South African government at municipal level.

This chapter gives an overview of the techniques used to assess the quality of the municipal plans for participation and the level of participation in Rosendal-Mautse. The aims, objectives and hypotheses articulated in Chapter 1 inform the selection of the research paradigm.

This chapter commences by noting the basic distinctions between qualitative and quantitative research paradigms, after which the method used in this study is explained. In view of the different ways in which participation is interpreted and consequently applied, the researcher decided to construct a conceptual framework for the assessment of participation. Details are provided to clarify how each element of the framework was applied. Since one process (public participation) is assessed within the context of another (IDP process), this conceptual framework is subjected to a brief evaluation to identify the ethical considerations taken into account and the unavoidable limitations experienced, as

well as to lay a foundation for the reader to evaluate the relevance of the findings of this study.

## 5.2 Reasons for choosing a qualitative research paradigm

According to Maxwell (2005:36), one of the critical decisions that a researcher will need to make in designing the study is the paradigm or paradigms within which he or she will locate the study. Maxwell further explains that the term “paradigm” refers to a set of very general philosophical assumptions about the nature of the world (ontology) and how we can understand it (epistemology), assumptions that tend to be shared by researchers working in a specific field or tradition. It is therefore important that a research design states explicitly which paradigm(s) it will draw on, since a clear stance helps to guide design decisions and their justification.

Before doing so, it is necessary to explain what each research paradigm entails since research aims can lend themselves to either one or both of these paradigms – that is, qualitative or quantitative research paradigms. Welman, Kruger and Mitchell (2006:8–9) provide an explanation of these paradigms by contrasting their nature and purpose as follows:

- **Quantitative research methodology** relies upon measurement and analysis of causal relationships between variables rather than involving investigation of processes. The purpose of quantitative research is to evaluate objective data consisting of numbers using complex structured methods to confirm or disprove hypotheses. These methods furthermore focus on abstraction of reality rather than the everyday life by seeking a science based on probabilities derived from study of large numbers of randomly selected cases. As the quantitative researcher attempts to understand the facts of the research investigation from an outsider’s perspective, he or she should be detached from the research process in order to avoid being biased or subjective in judgement. The researcher, in order to keep the process stable, has to exercise control over the research process and structure of the research situation through identification and isolating of variables. The methods focus more on reliability and stability in measurement of data to ensure that this can become replicable.

In contrast to the above, Padgett (2004:3) states that a qualitative paradigm offers an approach that is both complementary to, and transcendent of, conventional scientific inquiry, while its central tenets of flexibility, exploratory and captivation situate the qualitative researcher in a different position away from the blind pursuit of answers toward thinking about questions, compared to the quantitative researcher. Welman, Kruger and Mitchell (2006:8-9) provide the following explanation:

- **Qualitative research** deals with subjective data which are generated by the minds of respondents or interviewees. Data are presented in language in place of numbers and as such the researcher attempts to understand the meaning which respondents attach to their situation. Qualitative researchers examine the constraints of day-to-day life and base their findings on such events, including the behaviour of people. By talking to subjects and observing their behaviour, researchers gain a first-hand experience of the object under investigation, thus producing the best data. A holistic approach is adopted in which a vast array of data is collected from documents, records, photos, interviews, case studies and observations. The validity of data as well as the study becoming representative of the population is what matters most in qualitative research.

Because there are many ways in which public participation can be evaluated, in view of the fact that an assessment of people's experiences and perceptions on public participation is the object of this study, a predominantly qualitative approach has been adopted, but not to the total exclusion of the quantitative approach, because some data have to be sourced through quantitative methods such as structured questionnaires. Qualitative research is considered to be descriptive in nature and as such allows the researcher to locate the meaning people give to the process and structures affecting their lives.

Open-ended and close-ended questions were used, as well as analyses of documents and structured questionnaires for municipal officials and community participants. Apart from these methods, an in-depth interview with a group of residents was also conducted to gain an inclusive view of the municipal participation plans, the experiences of personnel and

the community, and to triangulate information to ensure the validity and relevance of the study.

### **5.3 An analytical guide for assessing public participation**

In order to gauge Rosendal-Mautse participation in this IDP process of Dihlabeng Municipality, the researcher used both Arnstein's Ladder of Participation and the Core Values for the Practice of Public Participation developed by IAP2 as an analytical guide. In accordance with the aims and objectives of this study, this analytical guide was adopted in order to access the thoughts of participants as well as to provide criteria for determining the quality and level of participation. Because such studies are rare and there is no theory to be tested, the analytical guide provided should be appropriate for assessing the participation process.

Through this framework, the researcher will attempt to address the following goals:

- To explore the experiences and perceptions of municipal personnel and of the community with regard to public participation; and
- To establish to what extent public participation has been practiced, whether obstacles exist and how this process can be improved, if necessary.

#### **5.3.1 Operationalisation of the research framework**

To be able to define the investigation parameters for this research, a problem statement was identified and hypotheses were formulated as tentative answers as well as signposts to guide this study. These hypotheses provide specific assumptions, which this study will attempt to prove as either correct or incorrect. The hypotheses that guided the study are as follows:

- Meaningful public participation will depend on the effective communication of the principles and concepts of participation by change agents and their understanding by the concerned community.
- Public participation will increase in relation to the degree of control possessed by participants over the allocation of resources for development.

Based on the above hypotheses, the study formulated the following research questions:

- Do the current municipal plans and structures have the capacity to ensure and sustain authentic public participation to the extent that the Rosendal-Mautse community can confirm changes to their socio-economic conditions as a result of their participation in the IDP process of Dihlabeng Municipality?
- At what level of Arnstein's ladder is public participation pitched, to what extent does it comply with the core values in its practice in terms of the Dihlabeng IDP process, and what effect does it have on the willingness of the Rosendal-Mautse community?

These research hypotheses and questions will be dealt with in Chapter 6 of this study when the results are presented.

#### *5.3.1.1 Planning of surveys*

One of the strategies that researchers prefer to employ is surveys. According to Denscombe (2005), the advantages of surveys are that the emphasis tends to be on producing data based on real-world observations, that they are associated with large-scale research covering many people or events, and that they are cheaper in terms of time and costs relative to experiments and ethnography, and lend themselves to qualitative data.

In an attempt to compile the two questionnaires, selecting field workers and the population sample, the researcher took into account the following aspects:

- **Accuracy of results:** To achieve greater accuracy, the researcher has increased the size of the sample to include at least 20 per cent of the total number of households in Rosendal-Mautse.
- **The likely response rate:** It is a recognised fact that surveys rarely achieve a response from every contact, as some respondents may refuse or be unavailable to participate in the survey. The researcher therefore built into the sample size an allowance of 2 per cent of the selected sample size.

#### *5.3.1.2 A sampling frame*

To achieve these goals, the researcher undertook the following steps:

- Before the two survey questionnaires were developed, the researcher conducted a face-to-face unstructured interview with municipal officials in order to gain an overview of the structural arrangement in operation.
- The participants (local people) and municipal personnel survey questionnaires were customised to be compatible with the aims of the study and to obtain, as far as possible, the experiences and perceptions of these respondents.
- As a sampling frame should ideally contain a complete and up-to-date list of all those that comprise the population for research, the researcher used the municipal residential plan to select the required sample size, which was selected systematically by choosing every tenth household.
- As a result, 150 people were chosen as sample size. This number represents approximately 20 per cent of the number of households in Rosendal-Mautse.

#### *5.3.1.3 Municipal personnel survey questionnaire*

The design and purpose of this survey (see Annexure A) was to obtain information from officials connected with public participation and the IDP process. The questionnaire further sought to highlight details regarding municipal plans for public participation, its implementation and challenges faced by officials.

#### *5.3.1.4 Local people survey questionnaire*

A separate survey questionnaire was developed (see Annexure B) for the purpose of obtaining information from ordinary residents. The information in general includes their views about their socio-economic conditions and their experiences and perceptions about development and participation in IDP process. The target of this survey is mainly residents of Rosendal-Mautse who comprise the sample selected on the basis outlined above.

#### *5.3.1.5 Secondary data*

The researcher used different sources, such as books from the libraries of Stellenbosch University and Free State University, reports from the Dihlabeng Municipality, the

Internet and journals. The literature review on public participation in Chapters 2 and 3, and the policy framework in Chapter 4 attest to the study of public participation that the researcher undertook.

#### *5.3.1.6 Focus group meeting*

The researcher spent some time in the community before a focus group was established. This group consisted of a small number of about six people who were brought together to explore attitudes and perceptions, feelings and ideas about public participation. The researcher adopted a less neutral role because he had to stimulate interaction for eliciting response.

#### *5.3.1.7 Presentation of results*

The context and practice of public participation as discussed in Chapter 3 were adopted to determine the community's experiences and perceptions of its participation in the IDP process. Against this background, the IDP was therefore interpreted to be a mechanism for ensuring the eradication of poverty through various projects and programmes decided on jointly by the community and the council, and that these developments would affect the lives of the residents by bringing positive socio-economic changes.

The survey and other data collected are interpreted in Chapter 6. Important facts are inferred to form the basis for relevant and significant conclusions and recommendations presented in Chapter 7.

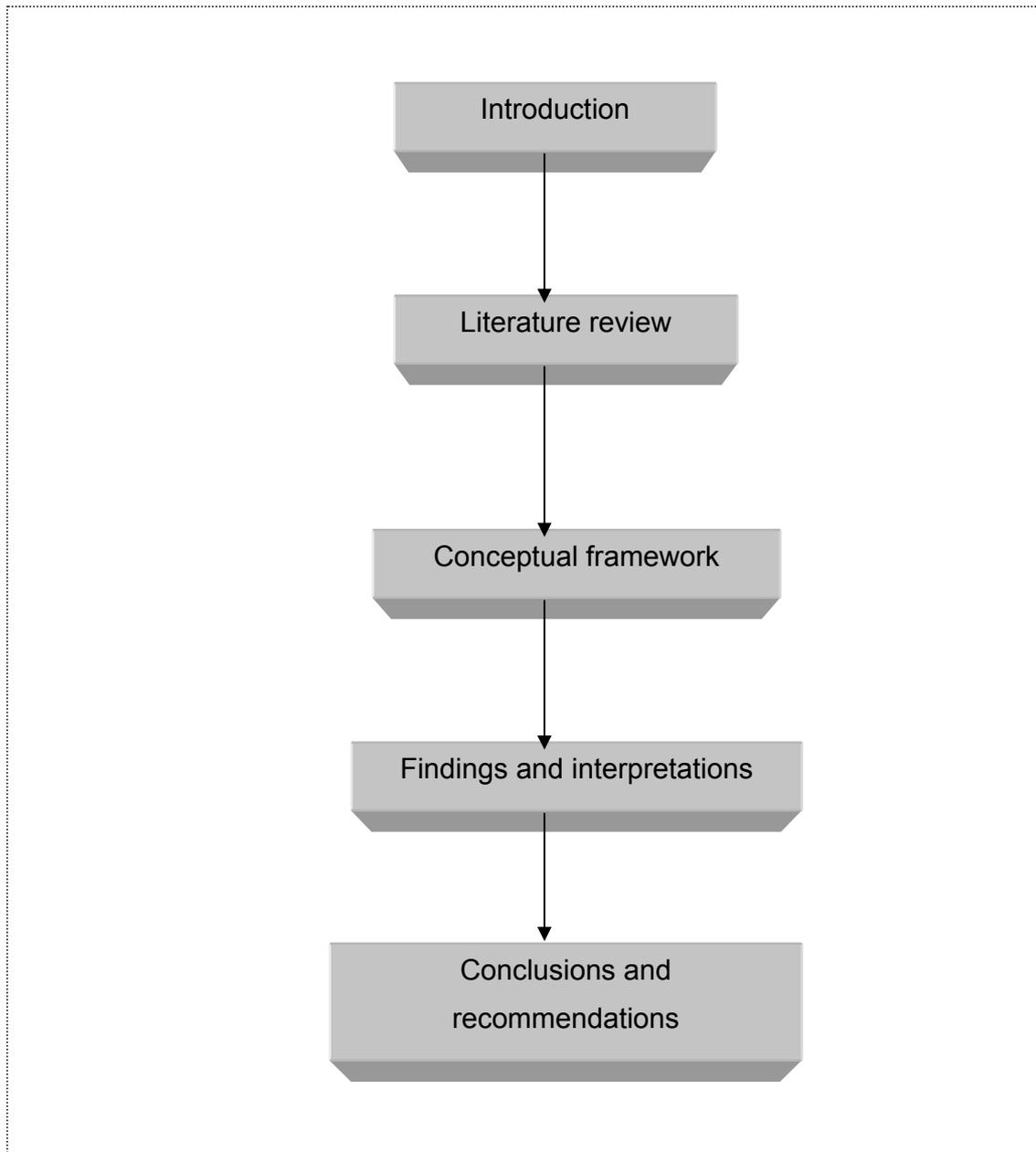
#### *5.3.1.8 Ethical considerations*

The researcher requested and was granted permission to conduct this study from Dihlabeng Municipality. All participants were assured that any sensitive information would be kept confidential as this study was done for academic purposes only and not for profit, and that it was not commissioned by the municipal authorities.

### *5.3.1.9 Limitations of the study*

Apart from limitations or disadvantages associated with qualitative research, this study experienced specific situational problems. The researcher had to travel extensively to access municipal records because the municipal head office is situated in Bethlehem, which is about 110 km away from the area of study (Rosendal-Mautse). Some municipal personnel were difficult to contact because they were unavailable when needed, which affected the gathering of important data. Furthermore, some officials in key positions did not return their completed questionnaires. Since this research project did not have a financial sponsor, the researcher had to rely on his own resources. Highly sensitive information, particularly where it could be linked to the source, could not be included in the study.

The diagram below (Figure 5.1) illustrates the flow of the research report.



**Figure 5.1: Flow of the research report**

## **CHAPTER SIX: PRESENTATION OF RESULTS AND THEIR INTERPRETATION**

### **6.1 Introduction**

This chapter presents and discusses the results based on the data collected in two types of survey questionnaires and a group interview. One type of survey questionnaire was directed at municipal officials connected with IDP and ward councillors in Rosendal-Mautse, while the other questionnaire was directed at the local community of Rosendal-Mautse.

Results are presented and discussed in the context of the theoretical approaches discussed in Chapter 2 and with reference to the contexts within which public participation is practised as outlined in Chapter 3 and 4 of this study. The researcher used remarks representing common responses rather than idiosyncratic ones.

The researcher used a map of Rosendal-Mautse and, out of a total 727 households, 150 households were selected for the administration of the local community questionnaire (see Annexure B). These 150 households represent about 20.60 per cent of the entire households in Rosendal-Mautse. As stated in Chapter 1, the average household size is put at 3,17 people per household. Five fieldworkers assisted the researcher to ensure that an interactive survey took place wherein respondents were taken through the questionnaire while allowing them to provide their opinions/views. The researcher and his team took six days to complete the survey, while the group interview was conducted on the seventh day.

Ten questionnaires were handed to municipal officials, one to a councillor (see Annexure A), and only six questionnaires were returned. Among these responses were those from the IDP and LED directorates, which are situated at the head office in Bethlehem. Responses from the officials in other departments were not obtained, although these are key positions where critical information is located.

## **6.2 Analysis of municipal officials' and councillors' experiences and responses**

(Please refer to Annexure A)

Question A1: What is your understanding about public participation in the IDP process?

The following common responses were given by the respondents:

- Public participation is the process through which it can be ensured that people become part of decision making on projects that they themselves would like to see being implemented.
- This process helps them to review their needs annually.

Question A2: What is the purpose of IDP?

- The purpose of IDP is to integrate the planning of current activities; to close the gap of inequality created by past apartheid system or policy of separate development; and to integrate the people of South Africa through this democratic system of planning.

Question A3: Which of the following strategies/mechanisms does the municipality use to engage the public in IDP process?

Frequently used mechanisms : Ward Committee meetings

: IDP Representatives Forum

: Public meetings

Less frequently used mechanisms : Ward Sub-committee meetings

: Work group discussions

: Brainstorming sessions

Question A4: How would you rate and describe the extent of public participation over the following years in terms of either being low or high? (Provide reasons for your answer.)

NB: Although respondents were given the latitude to use either the total population in the area or the number of attendees against the number of invitations dispatched as a base, not one used this information in rating the level of participation in this regard. Nonetheless, respondents went ahead and provided their views as follows:

2005: Participation is rated high.

Participation is described as having been high because IDP was highly embraced and so people were eager to know about it. The other important fact is that legal requirements made it imperative for the municipality to comply with the provisions on public participation.

2006: Participation is rated low compared to 2005.

During this period, the level of participation had declined as more and more technical issues were discussed, of which the bulk of the community had no knowledge.

2007: Participation is rated as being even lower than in 2006.

While officials could, at that stage, be regarded as being able to master the IDP process, public participation was however even lower due to the lack of interest on the part of the community. It has also been observed that, as the number of projects with greater jobs spin-offs have diminished, participation has also declined further. Because the community was aware that direct benefits could no longer be derived from continued participation, the process of participation has produced a small number of regular participants only. Sometimes participation became an issue-driven affair.

Question A5: In your view, which strategy or strategies ensure a meaningful participation?

Bottom-up strategies (like *Imbizos*) provide more meaningful participation, because “you hear the needs from the people themselves and this makes them to feel ownership of their development”.

Question A6: In your opinion, which strategies are less successful?

Top-down strategies (like press conferences) where “you first do things and come to tell people about these things of which you do not know whether they will satisfy their needs or not”.

Question A7: In your opinion, when would you regard participation as being meaningful?

Common to all respondents was that “Participation is about deepening democracy and when people are able to decide their own destiny, you then have a meaningful participation.”

Question A8: What challenges do you face concerning public participation in IDP process?

Sometimes people expect things to happen fast, unaware or unable to understand that there are procedures that ought to be followed before implementation can take place.

Question A9: What is your feeling about the community’s capability towards participation in general?

We need to come up with measures that will educate people on why it is important for them to be part of the decision making. In general, people in this area show great interest, but still more capacity building should be provided to the community.

Question A10: Can you specify any training which you have received in relation to IDP and public participation?

Respondents indicated that they have received training in the following areas:

- IDP process planning and implementation
- Service delivery budget implementation
- Local economic development
- Batho Pele principles

Question A11: Do you have any knowledge of conducting research?

One councillor indicated that he has received training on how to conduct research. All other municipal officials that have responded indicated that they have not yet received any training in this regard.

When asked which research methods and skills would they like to acquire, the majority of officials said they want to learn how to conduct social development research, including methodologies such as participatory action research (PAR), participatory rural appraisal (PRA) or participatory learning and action (PLA).

Question A12: To your knowledge, in which projects have the community participated in making the initiative, planning, implementation, monitoring and evaluation?

Respondents agree on the following projects:

- Mautse Cultural Village
- Fencing of graveyard
- Paving of access road to the township

Question A13: In your opinion, does the community benefit from participating in the IDP?

Respondents agree that little has been achieved, although people have benefited in terms of jobs created, albeit on a short-term basis. Furthermore, the community become enthusiastic when they see the development of things they had requested taking place.

Question A14: If not, what could be the obstacles?

Respondents point out that poor communication between the council and community is the major obstacle. Lack of time is another impediment, affecting the majority of those who otherwise would have taken part.

Question A15: What are the main purposes of public participation in the IDP? (Please rank the following, where (1) is the most important and (6) the least.)

The results obtained from respondents ranked these statements as follows:

To meet statutory requirements	3
To develop best value initiatives/projects	2
To gain information on citizen views	5
To develop/empower local community	1
To decide between particular options	6
To increase citizen awareness	4

To develop/empower local community seems to be the common purpose to all respondents.

Question A16: What are the main problems affecting participation in IDP? (Please rank the following statements, where (1) is the most important and (6) the least.)

Respondents provided the following information:

Lack of community interest	3
Lack of officer support	5
Lack of time	2
Lack of support from councillors	4
Lack of resources	1
Lack of mechanisms and procedures	6

Lack of resources, lack of time and lack of community interest are the most prominent problems affecting participation, according to the respondents.

Question A17: It is accepted that public participation may not occur at all stages of the development of IDP. During which phase of the full IDP process or its review is public participation either low, high or none? (Please choose one option per phase. Indicate your answer by X.)

Respondents provided the results as indicated below:

IDP full process				IDP review process			
Phase	Options			Phase	Options		
	High	Low	None		High	Low	None
Preparations		X		Preparations	X		
Analysis		X		Monitoring		X	
Strategies		X		Evaluation		X	
Projects	X			Review	X		
Integration	X			Adoption	X		
Approval	X			Budgeting	X		

Question A18: The following statements show how public participation may be practised during the different IDP stages. Please indicate the degree of agreement or disagreement with these statements. (Please rank the following statements, where 1 = Strongly agree; 2 = Agree; 3 = Neither agree nor disagree; 4 = Disagree; 5 = Strongly disagree.)

		1	2	3	4	5
(a)	It is a right for those affected to participate			X		
(b)	The public's contribution influences decisions		X			
(c)	The process reflects the interests and meets the needs of participants		X			
(d)	All affected are deliberately sought and engaged in the process		X			
(e)	The public also participates in defining how they should participate			X		
(f)	Participants are informed on how their inputs affected decision			X		
(g)	Process provides information needed to participate meaningfully		X			

The table above gives an indication of how the officials view the practice of public participation, which obviously differs drastically from the community's views.

Question A19: The following statements show the degree of control and power-sharing between participants and authorities during the IDP process and thus indicate at what level public participation is taking place. (Please indicate your degree of agreement or disagreement with these statements.) Please rank these statements, where 1 = Strongly agree; 2 = Agree; 3 = Neither agree nor disagree; 4 = Disagree; 5 = Strongly disagree.

		1	2	3	4	5
(a)	The public initiates, controls and owns projects and programmes		X			
(b)	The public's decisions dominate plans and programmes		X			
(c)	The public and authorities share power equally in processes		X			
(d)	Only a few selected members of the public participate				X	
(e)	Although the public provides its views, these are not considered				X	
(f)	The public is told what has happened or will happen				X	
(g)	The public is persuaded to accept decisions already made				X	
(h)	Authorities use public participation to test legitimacy of their power				X	

Officials' views again differ from those of the community on these statements. This, however, seems to be normal and should be regarded as their perception of what they wish to see taking place.

Question A20: Does the municipality have systems of measuring public participation?

Respondents stated that records are kept but could not elaborate further.

If yes, please state or attach this information (e.g. stakeholder profile, list of representatives, other records, etc.).

Respondents stated that attendance registers are circulated at meetings, there is a list of organisations registered on the database and organisations send their profiles to the head office.

Although the researcher can confirm seeing attendance registers and invitation letters, other documents relating to stakeholder profile, list of representatives and other records could however not be obtained to substantiate the respondents' allegations, despite having made this request in the same questionnaire.

Question A21: If not, how does the municipality monitor participation?

Respondents stated that there is a monitoring committee, which is responsible for this purpose.

The researcher could not establish with certainty whether such a committee exists or contact those attached to this committee, as some key personnel did not respond to the questionnaire.

Question A22: In your opinion, what should be done to improve public participation in the IDP?

Respondents stated that

- More capacity building workshops are needed for the community, ward committees and NGOs in general;
- Communication between local community, other stakeholders and officials should be improved;
- Batho Pele principles should be implemented; and
- A community profile should be conducted.

Question A23: If there is anything that you would like to bring to the attention of the researcher, which is not covered in this questionnaire, please state it here and explain, or use a separate sheet.

- There is a need to interact with farm dwellers and labourers around here.
- Public representatives (councillors) must ensure that they comply with all these pieces of legislation, and cannot run away from this responsibility.

- As change agents, officials feel that they need to learn more about the community, hence the need to compile a community profile, but they do not know exactly how and where to start.

### 6.3 Analysis of community members' responses

Question B1: Home language of the respondents

Language	Number of people
Sesotho	143
Afrikaans	2
English	1
Ndebele	1
Xhosa	1
Zulu	2

Question B2: Indicate which other languages you can speak, write or understand.

Gender	Other languages (English/Afrikaans)	None other than home language
Male	36	8
Female	68	38

Question B3: Indicate your age group

Age group	Male	Female	Total per age group	Percentage of sample population
18–21	5	4	9	6.00%
22–35	17	36	53	35.30%
36–50	11	37	48	32.00%
51–75 & over	11	29	40	26.70%

## Question B4: Educational qualification

Education level	Male	Female	Total	Percentage of total sample
No education	6	20	26	17.30%
Grade 1–3	3	10	13	8.70%
Grade 4–9	6	40	46	30.70%
Grade 10–12	21	34	55	36.70%
Undergraduate	2	1	3	2.00%
Graduate	5	0	5	3.30%
Postgraduate	1	1	2	1.30%

Majority of participants (101) or 67% were in the education category Grade 4–12 and are mainly female.

Question B5: Do you own the house at which you are staying? If not, what is your relationship with the owner?

Ninety respondents indicated that they own their house, while 60 respondents stated that the property belongs to their families with whom they stay.

Question B6: Do you belong to any community-based organisation? If yes, please provide the name of the organisation.

Answered	Male	Female	Total of sample
Yes	15	37	52
No	29	69	98

One organisation featured prominently, namely Lekgotla La Mohau, a burial society.

Question B7: Do you take part in community meetings? Circle one answer.

Answered	Male	Female	Total	As percentage of total sample
Yes	31	85	116	77.33%
No	13	21	34	22.67%

A considerable number, 77.33%, indicated that they do attend community meetings. However, although B13 confirms this fact, the high percentage of attendance shows that it is in meetings other than the IDP meetings.

Question B8: If not, please provide your reasons for not participating.

The most prominent reasons advanced by respondents are the following:

- They are discouraged by high levels of conflicts displayed at these meetings.
- Lack of direction; politically charged atmosphere; little discussion of development-related issues.
- People are sometimes too busy with other personal matters, which makes it impossible for them to attend.
- Most of the time, decisions already made are forced upon them without engaging in debating those issues.

As one of the objectives of this study was to determine the level of participation in the IDP process, Questions B9, B10, B11(a) and B11(b) were used to identify only those respondents who had participated in IDP meetings and establishing how often they participated.

Question B9: Do you know about Municipality's IDP process?

On this issue, the survey produced the following results (i.e. out of the total sample of 150 respondents):

- Thirty respondents (20%) had actually participated in IDP and this is indicated by their responses to B9, B10, B11, B13, B14 and B17 – to which other respondents had either partially responded or not responded at all.
- Twenty respondents (13.33%) indicated that they do not know about IDP.
- One hundred respondents (66.67%) stated that they have merely heard about IDP but have not attended or participated in IDP processes.

Question B10: Have you ever attended a meeting where IDP was discussed?

Thirty respondents out of a total 150 respondents have attended and taken part in several IDP meetings, either in their personal capacity or as representatives of their organisations.

Question B11 (a): If yes, what was the primary objective of the meeting?

The answers common to those 30 respondents relate to discussions of the following:

- Planning
- Projects
- Budget

Question B11 (b): How often did you participate in such IDP meetings?

The respondents indicated that they had on average attended or participated in three meetings (as confirmed by B17) and, in this case, 60% of these 30 respondents indicated that their participation had been frequent.

Question B12: If not, did you know that it is your right to attend and participate in such meetings?

The results are as follows:

- Thirty-six respondents (20%) of the total sample said they did not know that they have a right to partake in these meetings.
- Seventy respondents (46.67%) of the total sample said that they know about this right but were not keen to participate, citing some of the following important reasons:
  - Not enough information is provided about these meetings; and
  - Their participation does not benefit them at all.
- Forty-four respondents (29.33%) stated that they knew about this right, without providing further explanation.

Question B13: Indicate whether you have attended any of the meetings convened by the following (mayor, ward councillor, ward committee, IDP forum).

While the majority of respondents indicated high levels of participation in meetings convened by other structures of the municipality, only 30 respondents showed that they frequently participated in meetings convened for the purpose of dealing with the IDP (convened by the IDP steering committee or participated in the IDP Forum).

Question B14: In which capacity do you attend IDP Forum meetings?

The results show that the 30 respondents identified attended meetings in the following manner:

Personal capacity	18
As representatives of organisations	12

Question B15: Does the municipality make any efforts to inform the community about processes and procedures concerning public participation in IDP? Please circle your answer.

Answered	Male	Female	Total
Yes	19	44	63
No	13	37	50
No comment	12	25	37

Question B16: If yes, please explain what you have experienced.

Most respondents indicated that the municipality's officials drove around in a residential area and used a loudspeaker to make announcements regarding the type of meeting, date, time and venue. They also stated that notices are posted at municipal offices, library and clinic.

However, public participation methods as envisaged in section 5(1) (a) of the Municipal Systems Act, 2000, were not mentioned by respondents.

Question B17: How many of these IDP meetings did you participate in?

On average, all 30 respondents indicated that they had attended three meetings.

Question B18: Are these meetings serving their purpose and do they meet your expectations?

Of the 30 respondents identified as being active participants in IDP processes:

- Three respondents have not commented on this issue;
- Six respondents said these meetings neither serve their purpose nor meet their expectations, citing, among others, the following reasons:
  - Promises are made but little is fulfilled;
  - Slow delivery of services; and
  - They are not happy because some of the RDP houses provided have structural defects;
- Twenty-one respondents agree but state that their expectations are partially met, indicating specifically changes made in terms of delivery of housing, sanitation, lights and provision of food parcels.

Question B19: Will you participate again when this opportunity arises?

- One-hundred-and-thirty-five respondents (90% of the total sample population) indicated that they would in future participate in IDP processes if they can be educated about IDP and are fully informed in advance about the meetings.
- Fifteen respondents (10% of the total sample population) indicated that they were not sure whether they would ever take part or not.

Question B20: What do you think should be done to improve public participation in IDP?

The following suggestions were provided by 90% of the respondents:

- Make improvements in communication channels;
- Divide the residential area into sections to be targeted for IDP education through workshops;
- Make presentations every six months;

- Engage community in development projects that are intended to alleviate poverty;
- Establish more CBOs and NGOs in the community in order to broaden their representation in the IDP Forum;
- Provide regular feedback by way of a newsletter; and
- Make copies of IDP available at several key points in the area.

Question B21: The following statements show how public participation may be practised during the different IDP stages. Please indicate your degree of agreement or disagreement. (Please rank these statements, where 1 = strongly agree; 2 = agree; 3 = neither agree or disagree; 4 = disagree; 5 = strongly disagree.)

This question is based on IAP2 core values for the practice of public participation. The results are based on responses obtained from 30 respondents identified as being active participants in the IDP process and show how respondents ranked each statement, indicating their degree of agreement or disagreement with each statement.

		1	2	3	4	5
(a)	It is a right for those affected to participate	18	8	1	2	2
(b)	The public's contribution influences decisions	7	10	8	1	4
(c)	The process reflects the interests and meets the needs of participants	5	11	9	3	2
(d)	All affected are deliberately sought and engaged in the process	4	7	13	2	4
(e)	The public also participates in defining how they should participate	8	10	3	6	3
(f)	Participants are informed how their inputs affected decision	6	8	5	5	6
(g)	Process provides information needed to participate meaningfully	4	7	4	7	8

By comparing the number of respondents, both those who agree and strongly agree (1+2) against those who disagree and strongly disagree (4+5) per each statement, it can be concluded that the respondents' perception is that the IDP process complies with almost

all the core values, but that a substantial number of respondents did not agree with the last statement (g), meaning that the process does not provide information needed to participate meaningfully.

Question B22: The following statements show the degree of control and power sharing between participants and authorities during the IDP process and thus indicate at what level public participation is taking place. (Please indicate your degree of agreement or disagreement with these statements, where 1 = strongly agree; 2 = agree; 3 = neither agree nor disagree; 4 = disagree; 5 = strongly disagree.)

This question is based on Arnstein's level of participation (Theron 2005b). However, participants were not shown to what level each statement corresponds. The results show how respondents ranked each statement, indicating their general degree of agreement or disagreement with such statements.

		1	2	3	4	5
(a)	The public initiates, controls and owns projects and programmes	1	10	6	5	8
(b)	The public's decisions dominate plans and programmes	5	9	8	3	5
(c)	The public and authorities share power equally in processes	4	5	10	7	4
(d)	Only a few selected members of the public participate	7	8	5	7	3
(e)	Although the public provides its views, these are not considered	11	8	4	3	4
(f)	The public is told what has happened or will happen	8	8	5	2	7
(g)	The public is persuaded to accept decisions already made	7	9	3	5	6
(h)	Authorities use public participation to test the legitimacy of their power	4	2	5	10	9

To see what level each statement corresponds to, refer to Figure 3.2 on page 49.

In terms of Arnstein's ladder of participation, these results show that power or control shifts from community to authorities and thus indicate that the public participation process is conducted on a consultative basis, as confirmed by the majority of responses through statements a, c, d, e, f, and g. In essence, these responses confirm and indicate non-participation and the practising of tokenism only.

If the majority of respondents agreed strongly with statements a, b and c, and strongly disagreed with statements d, e, f, g and h, this would have indicated that public participation is an active and authentic process with the ability to empower participants, which is in fact not happening.

Question B23: What do you think about community participation in general?

- Seventy respondents (46.70% of total sample population) had not commented on this issue.
- Fifty respondents (33.3% of total sample population) associated public participation with payment of services only.
- Thirty respondents (20% of total sample population) thought that public participation had to do with the community playing an active role in making decisions towards the development of their area, as well as improving their own living standards.

Question B24: Have you participated in an IDP process from project initiation stage, planning, implementation and monitoring to evaluation?

No respondent had ever had such an experience; they had participated in only one of these phases/stages.

Question B25: Are there any problems that you have experienced with regard to taking part in the IDP process?

No response could be solicited.

Question B26: In which way do you think you have benefited by participating in the IDP process?

Respondents indicated that they had indirectly benefited from the development of infrastructure and the improvement of services, such as the eradication of bucket systems, improved water reticulation, the building of RDP houses and the electrification of houses.

Only three respondents indicated that they had been employed during the implementation of one of the projects that took place in their area.

Question B27; B28 and B29 were intended to establish whether any person who is a relative of participants in households from which respondents were drawn have had any opportunity of participating in the IDP process.

Respondents stated that none of their relatives has ever participated in IDP processes of the municipality.

### 6.3 Focus group results

Summary of comments arising from the focus group:

Theme/s	Direct quotations
<p><b>1. In general what do we understand about participation</b></p> <ul style="list-style-type: none"> <li>• To have a say in development of our area</li> <li>• To choose representatives who will listen and look after our needs</li> </ul>	<p>...this thing is good if we can get information in advance concerning what is to be discussed.</p> <p>I think we are not given enough time to plan our future...there is always complaints that resources are scarce.</p>
<p><b>2. Why do you think you should participate when others can still represent you?</b></p> <ul style="list-style-type: none"> <li>• It is better to allow your voice to be heard</li> </ul>	<p>When decisions are taken, I must make sure that my views are taken into consideration. We do not have strong community organisations to drive our development in this area.</p> <p>If we do not talk, these people will always give what they think we need, whereas that may not necessarily be what we want</p>
<p><b>3. Have you gained from or do you see any benefits in participation?</b></p> <ul style="list-style-type: none"> <li>• Those who are taking part are sometimes able to benefit directly</li> </ul>	<p>Yes, if you attend meetings, which are sometimes [taking place at awkward times], you may be lucky to be listed among those who will be considered first when jobs come up.</p>

<p><b>4. How do you think the participation process should be organised?</b></p> <ul style="list-style-type: none"> <li>• Education or capacity building of community is a starting point</li> </ul>	<p>No one seems to care how we get information. You need to build contacts with officials to be informed.</p> <p>The process is not clear to us; we need more education about the programme.</p>
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#### **6.4 Hypotheses results**

The two hypotheses stated in Chapter 1 as well as in Chapter 5 will be revisited to determine whether the study results proved them right or false. These hypotheses will be assessed individually and comments made accordingly.

The first hypothesis stated that meaningful public participation will depend on the effective communication of the principles and concepts of participation by change agents and their understanding by the community concerned. Only 30 respondents were identified as being active and regular participants in IDP processes and displayed adequate knowledge of the process and understanding of the purpose of public participation. This inference is drawn from questions B9; B10; B11 (a); B11 (b); B12; B18; B19; B23. The study has thus proved this hypothesis to be true.

The second hypothesis stated that public participation will increase in relation to the degree of control possessed by participants over the allocation of resources for development. With reference to question B19 and B20, about 135 respondents (90% of total sample population) indicated that if the community can be engaged in development projects that are intended to alleviate poverty, they will certainly participate in IDP processes in the future. The respondents further argue that the establishment of more CBOs and NGOs will broaden their representation in the IDP Forum. In question B22, respondents unanimously disagreed with the statement that “the public initiate, control and owns projects and programmes” thus indicating also why participation is so low in Rosendal-Mautse. The data collected through these questions also prove the hypothesis to be true.

## 6.5 Research questions results

Two research questions were formulated in addition to the hypotheses discussed above. The first question was stated as follows:

- Do the current municipal plans and structures have the capacity to ensure and sustain authentic public participation to the extent that the Rosendal-Mautse community can confirm changes to their socio-economic conditions because of their participation in the IDP process of Dihlabeng Municipality?

Through question B26 of the questionnaire, respondents indicated that they have indirectly benefited from the development of infrastructure and the improvement of services, such as the eradication of bucket systems, improved water supply and the building of RDP houses and the electrification of houses in general. Nonetheless, only three respondents claim to have benefited through employment during the implementation of one of the projects that took place in this area. Their quest to be engaged in development projects earmarked to alleviate poverty attest to the fact that their condition still needs much attention.

The second question was stated as follows:

- At what level of the Arnstein's ladder is public participation pitched, to what extent does it comply with the IAP2 core values in its practice in terms of the Dihlabeng IDP process and what effect does it have on the willingness of Rosendal-Mautse to take part?

The researcher considers it safe to conclude that participation is conducted on a consultative basis only, a fact attested to by the provisions of the Municipal Systems Act, (Act 32 Of 2000), particularly through Chapter 4. It is also evident from the Dihlabeng IDP (2005/2006) document that the municipality does comply with these provisions. However, the study showed through question A16 that even municipal officials agree that lack of community interest has a major effect on public participation, in addition to the lack of resources and time.

## 6.6 Conclusion

When the researcher first undertook to work on this topic, he did not anticipate that serious deficits would be unearthed, exposing how little he and his colleagues knew about the true meaning of participation. Current participation mechanisms are evidently not accessible to the majority of the community, who are unfortunately still living in poverty even though legislation seems to enforce participation.

When public participation is practised on a consultative basis only, it becomes just a means through which a predetermined goal or objective is achieved rather than a means to an end in which people are empowered by participating in their own development meaningfully. Legislation should be reconsidered to change this selective and ineffective trend in public participation, which in essence creates only a small elite of participants that stands to benefit at the expense of the poor majority.

The study confirms that there are large numbers of respondents with very little knowledge, which in turn accounts for the low levels of participation in IDP. Despite a large number of respondents being in the education category Grade 4–12, the relationship between levels of participation and levels of knowledge of IDP shows that only those with appropriate information actually took part in the IDP process.

Concerning the question whether the municipality makes an effort to inform the community about processes and procedures relating to public participation in the IDP, none of the respondents indicated that they knew about section 5(1) (a) of the Municipal Systems Act, 2000, which stipulates that complaints should be submitted orally and in writing. The institution should have adopted, perfected and promoted process in the community.

## **CHAPTER 7: CONCLUSION AND RECOMMENDATIONS**

If a municipality pursues public participation only for the sake of complying with legislation, the human development or growth of its citizens will be left to chance rather than form part of a well-planned and coordinated programme, which must be developed to complement the enabling legislations. It is the duty of every municipality to create and sustain an environment that is accessible to the majority of its citizens, and conducive to building their capacity and enabling them to participate meaningfully in their own affairs.

Councillors and staff of the municipality have the obligation to foster public participation through the development of a culture of public participation in IDP processes, which complement the formal representative government. It is also imperative for the municipality to invest in the training of staff, especially in social development research, which must not be done to the exclusion of councillors. As we have learnt through the literature study, change agents should have embedded experience of the conditions affecting the community that they wish to help change. It will be of no help if a person who regards him or herself as a change agent has never experienced what it is like to live in a poverty-stricken place.

The municipality has an opportunity to embark on rigorous research to address the lack of public participation and simultaneously to launch an onslaught on poverty in this area. It is critical for the municipality to assess current policy and practice in IDP with a view to incorporating three of the 'value-adding elements' identified through this study, namely, authentic public participation, a social learning process and capacity building in communities.

In light of the overall findings of this study, it would be to the advantage of the municipality to revisit the policy on institutionalisation of public participation and revitalise the current public participation unit. This should of course be accompanied by resources for the training of ward committees, councillors and dedicated administrative personnel in this unit. The entire participation mechanisms should be realigned with IDP

to be able to make meaningful input, which could also be bolstered by being a broad-based civil organisation rather than a fragmented and weak plethora of organisations.

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## ANNEXURES

### Annexure A

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#### EXPERIENCES AND PERCEPTIONS OF COUNCILLORS AND OFFICIALS OF THE MUNICIPALITY ABOUT PUBLIC PARTICIPATION

While it is not possible to generalise across a broad range of issues concerning public participation, we are interested here in your views around public participation, especially in the IDP process of the municipality.

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**Objective: To assess views, attitudes and experiences held over public participation.**

**A.1.** What is your understanding about public participation in the IDP process?

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.....

**A.2.** What is the purpose of the IDP?

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**A.3.** Which of the following strategies/mechanisms does the municipality use to engage the public in IDP process? Indicate how often those applicable are used. (Mark once by means of **X**.)

<b>Mechanism</b>	<b>Frequently used</b>	<b>Sometimes used</b>	<b>Not used at all</b>
Public meetings			
Target group work sessions			
Workshops			
Work group discussions			
Information sessions			
Brainstorming sessions			

<b><u>Any other mechanisms (specify here below)</u></b>			

**A.4.** How would you describe the extent of public participation over the following years in terms of either being low or high and provide reasons for your answer? (Circle one answer in each year and where possible estimate number of participants as percentage of total population or number of invited participants.)

2005: High or Low

.....

.....

.....

2006: High or Low

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.....

.....

.....

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2007: High or Low

.....  
.....  
.....

**A.5.** In your view, which strategy or strategies ensure a meaningful participation and why?

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.....  
.....

**A.6.** In your opinion, which strategies are less successful?

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.....  
.....

**A.7.** In your opinion, when would you regard participation as being meaningful?

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.....

**A.8.** What challenges do you face concerning public participation in the IDP process?

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.....

**A.9.** What is your feeling about the community's capability towards participation in general?

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.....  
.....

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**A.10.** Specify any training that you have received in relation to IDP and public participation?

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.....  
.....

**A.11.** Do you have any knowledge of research methodologies?  
If yes, please specify.

.....  
.....

If not, which research methods and skills would you like to acquire?

.....  
.....  
.....

**A.12.** To your knowledge, in which projects have the community participated in making the initiative, planning, implementation, monitoring and evaluation?

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.....  
.....

**A.13.** In your opinion, does the community benefit from participating in the IDP?  
Please explain.

.....  
.....  
.....

**A.14.** If not, what could be the obstacles?

.....  
.....  
.....  
.....

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**Objective: To obtain data regarding the manner and level at which public participation is practiced.**

**A.15.** What are the main purposes of public participation in the IDP?

(Please **rank** the following, where 1 is the most important and 6 the least.)

To meet statutory requirements	
To develop best value initiatives/projects	
To gain information on citizen views	
To develop/empower local community	
To decide between particular options	
To increase citizen awareness	

**A.16.** What are the main problems affecting participation in IDP?

(Please **rank** the following statements, where (1) is the most important and (6) the least.)

Lack of community interest	
Lack of officer support	
Lack of time	
Lack of support from councillors	
Lack of resources	
Lack of mechanisms and procedures	

**A.17** It is accepted that public participation may not occur at all stages of the development of IDP. During which phase of the full IDP process and its review is public participation either low, high or none? (Please choose one option per phase. Indicate your answer by means of **X**.)

IDP full process				IDP review process			
Phase	Options			Phase	Options		
	High	Low	None		High	Low	None
Preparations				Preparations			
Analysis				Monitoring			
Strategies				Evaluation			
Projects				Review			
Integration				Adoption			
Approval				Budgeting			

**A.18.** The following statements show how public participation may be practised during the different IDP stages. Please indicate the degree of agreement or disagreement with these statements. (Please rank the following statements, where 1 = Strongly agree; 2 = Agree; 3 = Neither agree nor disagree; 4 = Disagree; 5 = Strongly disagree.)

		1	2	3	4	5
(a)	It is a right for those affected to participate					
(b)	The public's contribution influences decisions					
(c)	The process reflects the interests and meets the needs of participants					
(d)	All affected are deliberately sought and engaged in the process					
(e)	The public also participates in defining how they should participate					
(f)	Participants are informed on how their inputs affected decision					
(g)	Process provides information needed to participate meaningfully					

**A.19.** The following statements show the degree of control and power sharing between participants and authorities during the IDP process and thus indicate at what level public participation is taking place. (Please indicate your degree of agreement or disagreement with these statements). Please rank these statements, where 1 = Strongly agree; 2 = Agree; 3 = Neither agree nor disagree; 4 = Disagree; 5 = Strongly disagree.

		1	2	3	4	5
(a)	The public initiates, controls and owns projects and programmes					
(b)	The public's decisions dominate plans and programmes					
(c)	The public and authorities share power equally in processes					
(d)	Only a few selected members of the public participate					
(e)	Although the public provides its views, these are not considered					
(f)	The public is told what has happened or will happen					
(g)	The public is persuaded to accept decisions already made					
(h)	Authorities use public participation to test legitimacy of their power					

**Objective: To establish how public participation is being monitored**

**A.20.** Does the municipality have systems of measuring public participation?

If yes, please state or attach this information (e.g. stakeholder profile, list of representative, records).

.....  
 .....

**A.21.** If not, how does the municipality monitor participation?

.....  
.....  
.....

**A.22.** In your opinion, what should be done to improve public participation in the IDP?

.....  
.....

**A.23.** If there is anything that you would like to bring to the attention of the researcher, which is not covered in this questionnaire, please state it here and explain or use a separate sheet.

.....  
.....  
.....  
.....

**Thank** you very much for taking the time to respond to this survey.  
**Results will be communicated to you very soon.**

**Annexure B****LOCAL COMMUNITY MEMBERS**

**NB:** Please complete by marking with **X** in spaces provided or write down information as requested by this questionnaire.

**Objective:** To obtain general background about the participant

Initials and Surname: \_\_\_\_\_

Residential Address: \_\_\_\_\_

Female			Male	
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**B.1.** What is your home language?

.....

**B.2.** Indicate which other languages you can speak, write or understand.

.....

**B.3.** Indicate your age range.

18–21	
22–35	
36–50	
51–76	

**B.4. Educational qualification**

	No education at all	
Sub A – std 1	Foundation phase (Grade 1–3)	
Std 2 – std 7	General education and training phase (Grade 4–9)	
Std 8 – std 10	Further education and training phase (Grade 10–12)	
	Undergraduate	
	Graduate	
	Postgraduate	

**B.5.** Do you own the house at which you are staying? If not, what is your relationship with the owner?

.....

**B.6.** Do you belong to any community-based-organisation? If yes, please provide the name of the organisation.

.....

**B.7.** Do you take part in community meetings? Circle one answer.

Yes

No

**B.8.** If not, please provide your reasons for not participating.

.....  
 .....  
 .....

**B.9.** Do you know about the Municipality’s Integrated Development Planning process?

.....  
 .....  
 .....

**B.10.** Have you ever attended a meeting where IDP was discussed? Circle your answer.

Yes

No

**B.11. (a)** If yes, what was the primary objective of the meeting?

.....  
 .....  
 .....

**B.11. (b)** How often did you participate in such IDP meetings? (Please indicate by marking with **X** in the appropriate space.)

Frequently	
Sometimes	
Almost never	

**B.12.** If no, did you know that it is your right to attend and participate in such meetings? Explain your answer.

.....  
 .....  
 .....

**B.13.** Indicate whether you have attended any of the meetings convened by the following? (If you can recall, please state how many times you have attended.)

	Mark if yes only	Number of meetings
Ward councillor		
Ward committee		
Your organisation		
Branch manager		
Municipal manager		
Mayor		
IDP steering committee		
IDP Forum		

**B.14.** In which capacity do you attend IDP Forum meetings?

Personal capacity	
As representative of organisation	

**Objective:** To establish what role municipal officials play in encouraging the public to participate.

**B.15.** Does the municipality make any efforts to inform the community about processes and procedures concerning public participation in IDP? Please circle your answer.

Yes

No

**B.16.** If yes, please explain what you have experienced.

.....  
.....  
.....  
.....

**B.17.** How many of these IDP meetings did you participate in? Cross your answer.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
---	---	---	---	---	---	---	---	---	----	----	----	----	----	----	----	----	----	----	----

**B.18.** Are these meetings serving their purpose and do they meet your expectations?

Please explain your answer.

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.....  
.....  
.....  
.....

**B.19.** Will you participate again when this opportunity arises in the future?

.....  
.....  
.....

**B.20.** What do you think should be done to improve public participation in IDP?

.....

.....

.....

**Objective: To establish at what level public participation is being practised and which model applies in the opinion of participants.**

**B.21.** The following statements show how public participation may be practised during the different IDP stages. Please indicate your degree of agreement or disagreement with these statements. (Please rank the following statements, where 1 = Strongly agree; 2 = Agree; 3 = Neither agree nor disagree; 4 = Disagree; 5 = Strongly disagree.)

		1	2	3	4	5
(a)	It is a right for those affected to participate					
(b)	The public's contribution influences decisions					
(c)	The process reflects the interests and meets the needs of participants					
(d)	All affected are deliberately sought and engaged in the process					
(e)	The public also participates in defining how they should participate					
(f)	Participants are informed how their inputs affected decision					
(g)	Process provides information needed to participate meaningfully					

**B.22.** The following statements show the degree of control and power-sharing between participants and authorities during the IDP process and thus indicate at what level public participation is taking place. (Please indicate your degree of agreement or disagreement with these statements). Please rank these statements, where 1 = Strongly agree; 2 = Agree; 3 = Neither agree nor disagree; 4 = Disagree; 5 = Strongly disagree.

		1	2	3	4	5
(a)	The public initiates, controls and owns projects and programmes					
(b)	The public's decisions dominate plans and programmes					
(c)	The public and authorities share power equally in processes					
(d)	Only a few selected members of the public participate					
(e)	Although the public provides its views, these are not considered					
(f)	The public is told what has happened or will happen					
(g)	The public is persuaded to accept decisions already made					
(h)	Authorities use public participation to test legitimacy of their power					

**Objective:** To explore how the public regards their participation in IDP

**B.23.** What do you think about community participation in general?

.....

.....

.....

.....

**B.24.** Have you participated in an IDP process from project initiation stage, planning, implementation and monitoring to evaluation?

.....  
.....  
.....

**B.25.** Are there any problems that you have experienced with regard to participating in the IDP?

If yes, specify.

.....  
.....  
.....

**B.26.** In which way do you think you have benefited by participating in the IDP process (e.g. through employment; winning tenders; or improved service delivery such as roads, water or sanitation)? Explain your answer.

.....  
.....

**B.27.** Has any other member of your household participated in the IDP process?

Yes

No

**B.28.** If yes, how many of them have participated?

.....

**B.29.** Please explain their experiences and perceptions about participating in this IDP process?

.....  
.....  
.....  
.....

**Thank** you for taking your time to participate in this survey.