DEMOCRATIC TRANSITION IN SOUTH AFRICA

- A Case Study of the public participation in Development Planning on Local Authority level in the West Coast Region -

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i

DECLARATION

I, the undersigned, hereby declare that the work contained in this thesis is my own original work and that I have not previously in its entirety or in part submitted it at any university for a degree.

SIGNATURE

A R SMITH

DATE:

SUMMARY

The theme of this study is the practice of participatory democracy and its link to local development. The context is the current policy trend to consider the local authority as the core development agent. Governance is seen as a partnership between civil society and local state authority. The mechanism for linking democracy and development is the concept of integrated development planning. This study investigates the integrity of the process of public participation as reflected within integrated development planning. The democratic transition in South Africa forms the backdrop of the study. South Africa, a relatively newly formed democracy, has put legislation, political and social structures in place to support the transformation it intended. The question that remains and that is being researched in this study, is whether the IDP is a sincere attempt on the side of the government to install authentic participation on the part of the local community or is this another scheme for political expediency?

The study reflects the transition to democracy on social and political level and on all levels of governance. In the case of local government, it describes the transformation of the role of local government to that of development agent in its jurisdiction of governance. A case study approach is used. The democratic transition in the field of local government and its application in a specific rural development region are selected as case material. The West Coast Development Region, a demarcated development region of the Western Cape, has been chosen as a testing ground for a number of reasons, but most importantly, because this region has taken the lead to implement the newly passed policy of integrated development planning in South Africa. The region also offered the most favorable circumstances for the study as it has been subjected to systematic and sustained development and capacity building inputs from the state since the elections in 1994. These include capacity building of RDP forums and Spatial Development Initiative. An empirical study of the process of public participation within the integrated

development planning in this region was done after the first round of the process in 1997/1998. A group administered questionnaire is used to measure the knowledge and attitudes of participants who attended the workshops that were held by the local authority as medium of participation. Two measurements, one at the start of the workshop and one at the end, provided comparable data on changes in attitudes and levels of knowledge. The results indicated definite change in knowledge levels, but did not impact significantly on the attitudes of participants. The findings are presented here and form the basis of a wider study in local democracy and development to be proposed.

iii

OPSOMMING

Die tema van hierdie studie is die praktyk van deelnemende demokrasie en die verband met plaaslike ontwikkeling. Die konteks is die huidige beleidsrigting wat die plaaslike owerheid as die sentrale ontwikkelingsagent beskou. Regering word gesien as 'n vennootskap tussen die burgerlike gemeenskap en die plaaslike staatsowerheid. Die meganisme om demokrasie en ontwikkeling met mekaar te verbind, is die konsep van geïntegreerde ontwikkelingsbeplanning. Hierdie studie ondersoek die integriteit van publieke deelname soos dit manifesteer in geïntegreerde ontwikkelingsbeplanning. Die demokratiese transformasie van Suid Afrika vorm die agtergrond van die studie. Suid Afrika, 'n relatief nuutgevormde demokrasie, het wetgewing daar gestel om die voorgenome demokratiese oorgang te ondersteun. Die vraag wat gevra en ondersoek word in hierdie studie, is of die geïntegreerde ontwikkelingsbeplanning 'n opregte poging is om ware deelname aan die kant van die gemeenskap te bewerkstellig of is hierdie nog 'n skema vir politieke gewin. Die studie reflekteer die oorgang na 'n demokrasie op sosiale en politieke vlak sowel as in alle vlakke van regering. In die geval van plaaslike regering, word transformasie in die rol van die plaaslike owerheid na dié van ontwikkelingsagent in sy regsgebied beskryf. 'n Gevallestudie benadering word gebruik. Die demokratiese oorgang op die gebied van plaaslike regering en die toepassing daarvan in 'n spesifieke ontwikkelingstreek word gebruik as gevallestudiemateriaal. Die Weskus Ontwikkelingstreek, 'n afgebakende ontwikkelingstreek van die Wes-Kaap Provinsie is gekies as toetsingsgebied om verskeie redes. Die belangrikste hiervan is omdat hierdie streek die leiding geneem het om die nuutgeproklameerde wetgewing van geïntegreerde ontwikkelingsbeplanning in Suid Afrika te implimenteer. Die streek het ook die mees gunstige omstandighede gebied vir die studie, aangesien dit sedert die 1994 vekiesing onderwerp is aan volgehoue en sistematiese ontwikkelings- en

bemagtigende insette deur die staat. Dit sluit onder andere in kapasiteitsbouprogramme vir HOP forums en 'n ruimtelike ontwikkelingsinisiatief. 'n Empiriese studie is gedoen oor die proses van publieke deelname in die geïntegreerde ontwikkelingsbepanning in die streek kort na die voltooiing van die eerste rondte daarvan in 1997/1998. 'n Groepgeadministreerde vraelys is gebruik om die kennis en houdings van deelnemers wat werkswinkels bygewoon het, te toets. Hierdie werkswinkels is deur die plaaslike owerheid gehou as medium van deelname. Twee metings, een aan die begin en een aan die einde van elke werkswinkel is geneem. Dit het vergelykbare data om veranderings in kennis vlakke en houdings aan te dui, gebied. Die resultate het aangedui dat daar defnitiewe veranderings in kennis plaasgevind het, maar dit het nie beduidende verskil gemaak aan houdings van deelnemers nie. Die bevindinge word hier aangebied en vorm die basis van 'n wyer studie in demokrasie en ontwikkeling wat aanbeveel word.

iv

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v

CONTENTS

vii

List of Tables

List of Figures

CHAPTER 1

INTRODUCTION

This study investigates the integrity of the process of public participation as reflected within integrated development planning. The democratic transition in South Africa forms the backdrop of the study. A case study approach is used. The democratic transition in the field of local government and its application in a specific rural development region are selected as case material. The West Coast Development Region has been chosen as a testing ground for a number of reasons, but most importantly, because this region has taken the lead to implement the newly passed policy of integrated development planning in South Africa. A brief reference will also be made to the subjecting of this region since 1994 to systematic and sustained development and capacity building inputs from the state. These developments as well as an empirical study of the effects of public participation within the integrated development planning process are described. The results are presented here and form the basis of a wider study in local democracy and development to be proposed.

The thesis is divided into eight chapters and as follows:
This introduction will outline the contents of the thesis.

Chapter 2 follows the introduction reflecting the social scientific context of the study. The problem formulation gives a broad background of the historical events in South Africa that forms the backdrop and prompting of the study. The concepts that are relevant to the study are defined and clarified to enhance the understanding of the content. The technical design of the study follows by outlining the type of research done, the

methodology of data collection, analysis and interpretation and the formulation of hypothesis.

In **chapter 3** an outline is given of the historical events and its implications that marked the South African transition to democracy. It is argued that South Africa has undergone one of the most phenomenal political changes over the recent years when contextualised within the global trend. Then an overview of the debates about the national democratic revolution in South Africa is provided. Following Wolpe (1995) it shows that the Reconstruction and Development Programme (RDP) is seen by some interpreters of the historical process in South Africa as a mere precursor of the true democracy to come, i.e. a socialistic order of governance. The thesis does not support this view – or oppose it – but argues that authentic participation together with representation are basic democratic values in society. The main issues central to the transition are highlighted.

Chapter 4 explores the concept of participation as a system-transforming process and picks up on this notion of authentic participation. It is then contextualised within a broad typology of the state's attitude towards participation (following Midgley, 1986). This is linked with the concept of democracy as it unfolds in the South African history.

These two chapters provide a background to unlock an understanding of the development of local government since the early 1990s in South Africa. In **chapter 5** it is argued that the notion of developmental local government became a central idea for development planning and management. The construct of integrated development planning provides a framework for the embodiment of the new mission of local government in South Africa and personifies the heartbeat of the new democracy.

Central to successful integrated development planning is the process of public participation.

In **chapter 6** these developments are traced and assessed within the context of the West Coast Development Region that also represents the geographical space for the case study of the thesis. An overview is given of the various attempts in the recent past to build capacity in development and governance in this region. Reference is made to capacity building in RDP forums, regional development forums, community development, the spatial development initiative and integrated development planning.

With reference to integrated development planning, its philosophy, framework, as well as its implementation during the first year of a five-year cycle are described. Public participation was effected, inter alia, through workshops that involve local community interest groups as participants. Representatives of participating groups in the final round of the workshops that were held for the first year of planning were subjected to a group-administered questionnaire that contained evaluative statements about the participation process. A before-after design per workshop for eight workshops was followed and a total of 137 questionnaires were completed.

In **chapter 7** follows a description of the implementation of the research, the findings and an analysis of the findings. This generally indicated, firstly, that participants gained knowledge about the process of integrated planning through the workshops and, secondly, that they turned into a positive direction towards participating in the process. A general conclusion is that the way the process was managed contributed significantly to the integrity of public participation in integrated

4

4

CHAPTER 2

PROBLEM FORMULATION AND DESIGN

2.1   Problem Formulation

The political transition from white minority rule to equal representation of all ethnic groups in all levels of governance, started in South Africa in 1992. It was marked by a new era of relatively fast transferal of political power that was generally referred to as transformation. This transformation also implied a social transformation in terms of public participation in development processes. The Reconstruction and Development policy framework (RDP) as

"an integrated coherent socio-economic policy framework"
(ANC, 1994: 1-4)
gave direction to both political and social transformation processes. Public forums formed an important strategy of the RDP, because it was seen as an avenue to facilitate participation at grassroots level in order to reach the most oppressed classes.

The single value that stood central to these processes, was that of transition to a democracy. Apart from the elections that took place in 1994, there was also a process of democratisation on local authority level. It was envisaged that apart from establishing a new representative central government, that a representative local government should exist that would act as a catalyst in development. The formulation and advocating of the Growth, Employment and Redistribution (GEAR) strategy by the Department of Finance as well as the new governments'

Development Facilitation Act (Act 67 of 1995), Local Government Transition Act (Act 209 of 1993) and the White Paper on Local Government (1996) marked the last phase of this democratisation process. These pieces of legislation and policy form a framework within which local authorities are prompted to publicly consult before finalising any development planning or budgeting. The problem that evolves from this historical sequence of events and current initiatives, is whether the process of development planning on local authority level genuinely represents democratisation. The question to be answered is, is the process of public participation authentic and does it have integrity. The purpose of this study is to explore this integrity by using the implementation of development planning in the West Coast Region as a case study. The people, who attended the workshops being held as part of the public consultation in that region, were used as case material. It is hoped that this study will contribute to a clearer understanding of the complexities of such a process, but also give direction to further research that might lead to the improvement of the current legislation and directives on implementation of development planning.

2.2 Conceptualisation

The following concepts are relevant to this study.

Democratisation

This study explores the authenticity of participatory democracy in a society where representation of all groups was compromised for a long period in its history. For the purpose of

this study, the term democratisation refers to the South African transition from an unrepresentative, non-participatory, discriminatory race-based political system to one that is representative, enhances public participation and is non-oppressive. Each of these aspects will be explored as the thesis progresses.

Transition/transformation

The definition of Huntington (1968:344) as quoted by Wessels (1998) is used in this study as point of departure to explore this concept of transition/transformation, namely:

> "a change in the direction of greater social, economic or political equality, a broadening of participation in society and polity."

It can also refer to the phases of democratisation.

Local government

Cloete (1995:1) quotes Lockard (1968) on local government as follows:

> "Local government comprises local community management and administration. It encompasses the political and bureaucratic structures and processes that regulate and promote community activities"

In South Africa there are three tiers of government, namely national, provincial and local. This concept refers to the latter form of government.

Public participation

According to Glass (1979:180) public participation is

> "an over-generalisation that often is defined simply as
> providing citizens with opportunities to take part in
> governmental decision or planning processes."

It will become apparent in the study that the concept is not
simplistic and cannot be generalised as such. This basic
definition is used in the study as a point of departure to further
explore what critical aspects are to be included in the definition.

Integrated Development Planning (IDP)

The White Paper on Local Government (MPA&CD 1998:47)
defines Integrated Development Planning as

> "a process through which a municipality can establish a
> development plan for the short, medium and long term."

The steps and application of this process are further explored in
this study.

Reconstruction and Development Programme (RDP)

The RDP is defined as an integrated coherent socio-economic
policy framework. It seeks to mobilise all resources in the
country toward the final eradication of apartheid and the building
of a democratic, non-racial and non-sexist future. (ANC,

1994:1). The RDP became the official policy of the Government of National Unity is 1994 as reflected in the *White Paper on Reconstruction and Development.* (RSA, 1994)

DFA: Development Facilitation Act (Act 67 of 1995)

The goal of this Act is to guide any decision on land development, including the subdivision, utilisation and planning of land. It applies nationally to any Act dealing with land development promulgated after the DFA. As land development forms an integral part of IDP, reference will be made to this Act in the study.

LGTA:Local Government Transition Act (Act 209 of 1993)

This Act was amended 22 November 1996. It constitutes the heart of Integrated Development Planning as it is the formal policy that prescribes and directs the implementation of IDP to Local Authorities after the transformation process that will be described in full in the thesis.

West Coast Region

The demarcated development region between Atlantis in the south, Bitterfontein in the north, the coast line in the west and the mountains that separate the Breederivier region in the east. (See Appendix A)

GEAR Growth, Employment and Redistribution (GEAR) strategy by the national Department of Finance - a strategy for

rebuilding and restructuring the economy, by keeping it aligned with the goals set in the RDP.

2.3 Operationalisation

2.3.1 Literature study

An in depth literature study was undertaken to achieve the following goals:

- To determine what other researchers have said or done on the same or relevant topics
- To establish a theoretical framework within which the study was undertaken and the results interpreted.
- To study the relevant policies that impact on the processes observed.

2.3.2 Qualitative research

A qualitative study was undertaken to determine the details of the implementation of the process by the West Coast District Council. The following questions were explored:

- Logistical planning
- Implementation methodology
- Documentation method and results

This research consisted of reading official documents and interviewing the responsible officials.

2.3.3 Quantitative research

The quantitative study comprised of a group-administered questionnaire that was completed by people from the region who attended the workshops through which the public participation took place. The following measurements were done:
:

- Demographic data to determine the profile of the people who attended these workshops. This indicated the validity of the process in terms of the population distribution and representation.

- The perceptions of these people on the integrity of the process.

2.4   Data Collection

The data collection consisted of two actions.

Firstly, a questionnaire (Appendix B) was designed to cover all the areas to be measured. The first part of the questionnaire contained a letter to the respondent to explain the purpose of the study. This was followed by the demographic information about the respondent without identifying the person. The questions that measured the perceptions of the respondents, were structured in the form of a statement with a multiple choice of answers. These answers were designed to measure the knowledge level/understanding of the person pertaining to integrated development frameworks as well as the person's view in respect of the process.

Secondly, asking people to complete the questionnaire to collect the data. This took place on five different occasions during workshops. Two measurements were done at each workshop. The first took place shortly after the opening of the workshop. The purpose here was to measure the person's perceptions before the workshop. The next measurement took place just before closing the workshop after the person has received additional information about the subject as well as being subjected to discussions on the matter. The assumptions are:

- Peoples' views and knowledge levels will change after being exposed to information on the subject.
- Peoples' level of understanding will reflect their ability to participate in the process.
- People's ability to give an opinion about the process will be an indication of their understanding of it as well as their ability to really actively participate.

2.5   Data Analysis and Interpretation

The descriptive data is analysed to determine if the people who took part in the process reflected the population profile of the region. To get this profile of the respondents, the following variables will be analysed through univariate analysis: Age, gender, ethnic group and language.

Two other descriptive variables that were measured, are the number of workshops attended to indicate how much the person

has been exposed to the contents of the process and what stakeholder groups were represented in the sample.

The analysis of the quantitative data is mainly aimed at determining who had enough knowledge of the process to give a definite answer to the questions. Those who did not answer or answered "don't know" and "uncertain", were considered as people with no knowledge or too little knowledge to answer. Those people who answered "yes" and "no" were considered as having enough knowledge to give an opinion.

A comparative analysis of first questionnaire and second questionnaire answers pertaining to all choices indicates the difference in knowledge after information was given but also indicates a possible change of opinion about the matters tested.

By analysing these variables the following hypotheses are to be tested:

H1: The people who participate in the integrated development planning process are fully representative of all the citizens in the region.

H2: People gain information through the workshop process to empower them to make more informed decisions.

H3: People are informed about the process and participation is democratically sound.

2.6   Findings and Conclusion

The findings of the study are reflected in tables and figures to indicate the valid hypotheses. Conclusions are drawn and recommendations made for further study in this field.

2.7   Limitations of the Study

Integrated development planning is a recently initiated and progressing process that is bound to undergo continuous changes. This dynamic nature limits control over changes that might have occurred in the conducting of the workshops after the study was done or even as a result thereof. This means that some problems that were identified and reflected in this study might have already been overcome. The implication is that the value of the study might be compromised and readers should bear this in mind.

The researcher had no control over the sample and a next study of this kind might draw a complete different sample with different results. This limitation also related to the point made in the previous paragraph. The results must therefore be interpreted in the light of this being the first round of workshops in an infancy stage of the planning process. People might be more informed about the process in further rounds. This does not compromise the validity of the research as the scientific basis of the measurement, analysis and findings are sound within these limitations.

The whole sample did not complete both questionnaires as some of the respondents left before the end of the workshop. This makes the comparable group smaller pertaining to the impact of the workshop on the second set of answers. This did not create a major problem as the number of respondents that left before the end of the workshop, was small. Statistically sound deducing could be made from the group who completed the second questionnaire.

CHAPTER 3

TRANSITION TO DEMOCRACY

3.1   Democracy and civil society

Democracy refers to the way in which state power is ordered and what effect it has on civil society. Other forms of order may be totalitarian or authoritarian. According to Du Toit (1995:28), two definitional disputes characterise the literature on civil society and the state.

"The first deals with the relationship between the state and civil society. At issue is the question of the extent to which they are of necessity in an adversarial relationship or congruent and complementary to one another. The second dispute centres on the question of which voluntary groups are part of civil society and which are not."(p30).

These will both have a bearing on the link between civil society and democracy. It will determine to which extent the state itself will take responsibility for democratic values, norms and practices and to which extent civil society will dictate it.

According to du Toit, the Lockean tradition tends to view the state as a primary threat to liberty and therefore a force which democrats have to contain. It also reinforce the notion that state and civil society are of necessity antagonistic forces, with one serving as the locus and protector of democratic values and norms, and the other as the usurper thereof. (p34). This view

may be rigid, but in the recent South African history this conflict between state and part of civil society prevailed for a few decades in the pursuit of demolishing the policy of segregation. What follows here, is an analysis and description of the political and social changes that occurred during the transition to democracy in the South African context. The aim is also to show what role voluntary groups play in an evolving democracy.

In post-independent African states, according to the work done by Naomi Chazan (1982) the trend is a social pluralistic society where an intricate pattern of associations prevail in the public sphere. It consists of voluntary associations filling the middle ground between nuclear family and the state and thus appeared as potential building blocks for an emerging African civil society. (Du Toit, 1995:31). This implies that some form of institutionalisation must exist between the state and the informal groupings in society. It can also be argued that the democratisation is not possible in the absence of civil society, provided that citizens who actively involve themselves in public affairs, do not enter the public domain in pursuit of private interests only, but to the benefit of civil society as a whole.

3.2   Transition to democracy in South Africa

In the past few years, South Africa has undergone one of the most phenomenal processes of political transformation.(Wessels, 1998:66) Transformation, according to Huntington (1968:344) (as quoted by Wessels) is:

> "a change in the direction of greater social, economic or political equality, a broadening of participation in society and polity."

The implication here is one of a gradual transition to democracy. This form of democratisation is not uncommon globally. Rantete and Gilimee (1992:515) refers to three types of transition, namely, *transition after regime breakdown* within which the ruling elite have no control over transition, because they have been discredited and de-legitimised as in Greece and Portugal in 1974 and Argentina in 1982. Then there is *transition through extrication* where the regime manages to avoid breakdown or collapse, but for several reasons, is compelled to retreat from its position of power. The third type is *transition through transaction* where the balance of power is in favour of the regime that is reflected in the transactions it concludes with its democratic challengers. Spain and Brazil resemble this type of transition most closely and the author contends that South Africa also falls into this category. This change is however an ongoing process and unfinished in South Africa.

The transition to democracy in South Africa is characterised by the simultaneity of two democratic traditions namely that of traditional parliamentary or representative democracy, and that of grassroots participatory democracy. In this society social democracy is practiced through the forming of sectoral interest groups or stakeholders who draw their members from the different organisations within that sector. This corresponds with the notion of modern pluralism which means extensive

participation in the political process through competing and autonomous groups.(Wessels, 1998:71)

In the political arena of the country, a decentralisation of power was negotiated, resulting in the widely debated tripartite (national, provincial and local) structure of government. The final Constitution of South Africa (1996), promulgated by the Government of National Unity, prescribes intergovernmental relations between the three tiers of government, encourages co-operation, co-ordination and provides areas of exclusive competence and areas of shared or concurrent competence. (Constitution, 1996) This implies that tiers of government are at the same time independent from and interdependent.

The policy that was to give impetus to the social participatory democratisation is the *White Paper on Reconstruction and Development.* (RSA, 1994:4) According to the White Paper:

"... the integrated process of transformation must ensure that the country

- develops strong and stable democratic institutions and practices characterised by representativeness and participation (and) becomes a fully democratic and non-racial society,
- becomes a prosperous society having embarked upon a sustainable and environmentally friendly growth and development path that addresses the moral and ethical development of society."

This policy advocates two very important principles or values of democracy, namely participation and representation that are inter-linked and interdependent. According to Wessels, this implies not only direct (political) representation and participation through the political process, but also indirect representation (through interest groups). He considers representation as the very essence of both direct and indirect democracy. (Wessels, 1998:72)

3.3 Debates on Transformation

According to de Beer (1996:65), rhetoric that have become popular amongst senior politicians and officials, are quotes from the RDP White Paper for example

> "The purpose of transformation is to create a people-centred society" and it "represents a vision for the fundamental transformation of South Africa".

There are however also other debates on this issue.

In a recent paper on the *Reconstruction and Development Programme* (the RDP) the late Harold Wolpe (1995) expressed the following opinion about the transition from apartheid in South Africa:

> "From the standpoint of the ANC and its allies, what is at stake is the completion of the national democratic revolution" (p. 89).

The "national democratic revolution" refers to what the *White Paper on Reconstruction and Development* (RSA, 1994:4) calls a "fundamental transformation" of the social and economic order of society. According to Wolpe, this would mean

"the establishment of a democratic electoral order and parliamentary system and the electoral victory of the ANC are considered to provide the principal-enabling condition and instrument" (p. 89) for a "fundamental transformation".

Wolpe's interpretation of this phrasing of transformation is as follows:

"the detailed elaboration in the RDP would undoubtedly represent a fundamental transformation of the racially-structured apartheid social order. In other words, the RDP deals with the elimination of racial and gender inequalities, with the eradication of poverty which is prevalent particularly among black people, with non-racial democracy, with the deracialisation of the economy and so on.

"But what the RDP does not put in issue is the question of the continuity of the capitalist system in South Africa. All defined 'fundamental' transformations are to take place within the orbit of a transformed capitalism. In a sense, the RDP is an impressive programme for welfare capitalism coupled with a strong emphasis on the role of civil society and the democratisation of the economy." (p. 100)

What Wolpe points out, is that the contrasts between the goals of the RDP and socialism, (the latter seen as the **more** fundamental transformation) can be drawn out from the policy documents of the South African Communist Party where the RDP is viewed as the main content of the new phase of the National Democratic Revolution, and as the most direct route towards socialism. Socialism will be characterised by democracy, equality and the socialisation of the economy. Wolpe is of opinion that the RDP is silent on how it will provide the conditions for the transition to socialism whilst this is the concern of the SACP's policy formulations.

Another part of the debate and an important issue that stood central in the transition process, was that of land reform which was addressed by the *Development Facilitation Act* (Act 67 of 1995). This act was

> "....intended to speed up reconstruction and development programmes and project relating to land by creating a new land-use planning system." (Pycroft, 1998: 153)

This is an area where "fundamental transformation" is debated. Henry Bernstein (1997:21) along with Levin and Weiner (1996) observe that the democratic transition is "unfinished" in rural areas. In their analysis of the process of rural land reform, Levin and Weiner (1997) propose a democratic alternative, geared to "genuine popular participation" (p. 264):

"Successful national rural land reform necessitates the establishment of structures at a provincial level to co-ordinate the activities of local participation. Participation will have to be facilitated through local and community development forums where land committees and /or interest groups can be established." (p. 265)

In defence of this "alternative", Levin and Weiner (1997:265) point to the fact that public forums are part of the RDP strategy. Here seems to be a real question of fundamental transformation. Levin and Weiner (1997: 265) phrase the question or challenge, to my mind correctly, as follows:

"a major challenge will be in ensuring that their (public forums) establishment is democratic and can facilitate broad-based participation at a grassroots level by the most exploited and oppressed social classes."

Here the notion is underpinned that democratisation must be embedded in institutions that have the capacity to manage the process of participatory governance and development. It also suggests that all aspects of development must filter through to the lowest level of grassroots participation. The question that comes to mind is whether this suggestion is realistic and feasible in terms of the empowerment that is crucial to meaningful participation in development processes.

This is the area of participatory democracy and is one of the central concerns of the transition from apartheid and includes all aspects of transformation, as has been indicated above. Whether

it is going to lead to the rejection of capitalism, or the embracement of socialism, is not the concern of this study. My position is that the integrity of grassroots participation in processes of reconstruction and development should not be compromised by either outcomes but be seen as a value regarding transformation in its own right. There is a rich literature showing that participation is a precondition of empowerment, which seems to be the real concern of the RDP (see Tamasane, 1998).

The two values of democracy that are prominent and of central concern in the transition from apartheid, is representation and participation and includes all aspects of transformation as have been indicated above. In this study the focus will be on participation and investigate processes of participatory democracy in an institutional field and geographical region where it has been advanced most. The aim is to assess whether this process is delivering authentic participation. In what follows, the concept of participation in relation to the RDP, the notion of authentic participation, and subsequent representation structures will be further explored.

CHAPTER 4

DEMOCRACY AND PARTICIPATION

4.1 Viewpoints on the concept of participation

Philosophically it can be argued that the notion of participation is linked to the technological revolution and subsequent distrust among people and between people and institutions. Gallion and Eisner, (1986) quoted by Steÿn(1996:37) denotes:

> "In this age, where communications between outer space and earth could bring people in contact with each other to resolve their problems in peace and harmony, find instead that person to person communications are disrupted by clouds of suspicion and fear ..."

It is argued that this mutual distrust forges a necessity for people to interact on mutual matters.

In the practice of participation, it is mostly connected to the "doing" by communities, groups or individuals, of things related to the development, improvement or change of an existing situation to something presumably better. (de Beer 1996:66) When this practice pertains to public participation, Glass (in Steÿn 1996:66) defines public participation as:

> "an overgeneralization that often is defined simply as providing citizens with opportunities to take part in governmental decision or planning processes."

Public participation can however also be sought by non-governmental organisations in needs-assessment or empowerment exercises.

De Beer argues that in the South African context, the RDP rhetoric implies the strong interpretation of participation as a system-transforming process. This means that participation must concur with empowerment in contradistinction to the weak interpretation of participation as involvement, which is also referred to as a system-maintaining process. By looking closer at popular participation or empowerment, he identifies characteristics of this concept:

- Concrete and abstract human needs are addressed through empowerment.
- Empowerment is a learning process that means a problem-solving approach must be followed.
- Empowerment is a collective action and people engage in collective activity with a mutual interest.
- Empowerment is action at grassroots level.
- Empowerment creates self-awareness and mobilises internal potential within the community. (De Beer, 1996:67-68)

The ultimate result of empowerment is release and transformation of self-help skills of the community that is reiterated in the RDP.

The notion of people-centred development is also advocated by the RDP and does not only assume a focus on people as objects of development, but also see them as active partners in the development process. Since the 1990's this approach in

development has been systematically and actively promoted as **human development**. The United Nations Development Programme took the lead in this (Ul Haq, 1995). The idea of human development itself is not novel and has featured in a number of disguises during the twentieth century. Community development was developed as a specific methodology in this regard. The notion of community participation became central and eventually a specific theme in community development.

The emergence of community participation as a coherent approach amidst the various manifestations of community development, must be seen according to Midgley et al (1986:21), as a direct consequence of the United Nation's popular participation programme since the 1970s. The United Nations (1975) defined popular participation as follows:

> "participation requires the voluntary and democratic involvement of people in
>
> (a) contributing to the development effort,
> (b) sharing equitably in the benefits derived therefrom and
> (c) decision-making in respect of setting goals forming policies and planning and implementing economic and social development programmes." (as quoted in Midgley et al 1986:25)

From the different viewpoints, it can be concluded that public participation should aim to empower the citizenry to take responsibility as full partners in the planning and development process of their community. This implies knowledge,

understanding and skills on the side of civil society and docility on the government side to accept the input of the community with sincerity.

4.2 Participation, Representation and Institution-building

In order for public participation to become an instrument of empowerment as stated in the previous paragraph, it needs an infrastructure from where it can be initiated. It implies the notion of institution-building and representation. Special attention is given in development literature to the ways and means of promoting community participation. The importance of this can be ascribed to the fact that community development efforts are mainly directed to poor and deprived communities who are believed to be passive and disorganised with little potential for participation. In this study it pertains to government endeavouring to seek participation in integrated development planning. Various authors emphasise the catalyst function of the local level participatory institutions and the role of community workers in activating participation (Midgley et al 1986: 29-30). The notion of institution-building denotes:

> "... the creation of procedures for democratic decision-making at the local level and the involvement of people in these procedures to the extent that they regard them as the normal way of conducting affairs." (Midgley et al, 1986: 29)

Decision-making bodies should be fully representative, democratically elected and accountable, which implies that representation forms an equally important building block in the success of participation. The people who participate, should

represent the grouping they belong to and be accountable to them.

Community workers are often entrusted with the task of institution building. Sponsoring agencies that include external organisations to the local community, such as governmental bodies or non-governmental organisations usually supports community workers. The importance of institution-building will be to ensure that all the people in the community are represented through participation. The response of these external bodies to community participation will be most decisive for attaining authentic participation by the people.

4.3   The notion of authentic participation

Midgley et al (1986: 38-44) has constructed a typology to explain variations in state response or attitude to community participation, based on the criterion of the degree to which the state is willing to devolve power to local political institutions.   A four-fold typology is suggested:

- The *anti-participatory mode.* This mode of response holds that the state is not interested in the poor and that it supports neither community participation nor social development but rather the furthering of the interests of the ruling class, the accumulation of wealth and the concentration of power. This may be regarded as typical in capitalist societies (Midgley et al, 1986: 39).

- The *manipulative mode.* Typical of this position may be a strategy where the state seeks to gain control over grass-roots movements and manipulate them for its own ends. The state

supports community participation but does so for ulterior motives (Midgley et al, 1986: 40-41).

- The *incremental mode*. This mode of response may reflect the socialist attitude that directs policy measures towards the strengthening of the state and the promotion of central planning. Therefore community participation will suffer and local activities or participatory institutions will not be supported effectively. (Midgley et al, 1986: 42-43).

- The *participatory mode*. In this mode a real devolution of power is involved, perhaps characteristic of conditions of populism, anarchism or pluralism. The state fully approves of community participation and creates mechanisms for effective involvement of local communities in all aspects of development (Midgley et al, 1986: 43-44).

It goes without saying that the chances for authentic participation in community development will be optimal under conditions of a participatory response mode by the state. Authentic participation involves all three criteria specified in the United Nations (1975) definition of community participation quoted above. It is to be distinguished from pseudo-participation which limits community involvement to the implementation or ratification of decisions already taken by external bodies (Midgley et al, 1986: 26).

In some circumstances, the community might be negative towards the State, even in the face of genuine efforts to install participation. Botes (1999:7) takes up the debate about negativity towards the state in public participation. He asserts that if the state takes up the primary responsibility for initiating and implementing development, it will have a negative effect on the community. The tendency is that the

community waits for the state to deliver development and whilst lobbying for such deliveries, resources as well as time and energy are wasted instead of mobilising their own resources to the benefit of their own development. The state on the other hand, are generally unwilling to allow consultation to reach the point where it challenges their decision-making power and is perceived as using the top-down approach being only interested in objectives that fit in with their own planning.

The policy directions for local government development in South Africa and the degree to which community representation and participation should be sought and relevant approaches in this regard, are to be introduced next.

CHAPTER 5

INTEGRATED DEVELOPMENT PLANNING
–a policy framework–

5.1   Transition of local government

In the light of the important role assigned to it, local government stood central to the process of democratic transition in South Africa. The local government transformation process followed three well-defined phases.

- **The pre-interim phase** began with the enactment of the *Local Government Transition Act* in 1993 which created Local Government Negotiating forums, bringing together representatives from the established local government bodies (statutory) and those groups which had previously been excluded from local government but represent local people (non-statutory).   These forums resulted in pre-interim structures that performed local government functions during this phase which de-racialised local government.

- **The interim phase** was ushered in by municipal elections in November 1995 and June 1996. Transitional local structures were then implemented in metropolitan, urban and rural areas with different models of local government evolving according to local circumstances.

- **The final phase** followed an extensive process of research resulting in the White Paper on Local Government.   This

phase will introduce the final form of Local Government. (Pycroft 1998: 154)

Proposals for the implementation of the final phase are currently under consideration. These proposals are published in and followed the provisions made in the Constitution of the Republic of South Africa Act (108 of 1996).

5.2   Notion of Developmental Local Government

The Constitution of South Africa (1996) gives local government the mandate to:
- Provide democratic and accountable government for local communities.
- Ensure the provision of services to communities in a sustainable manner.
- Promote social and economic development.
- Promote a safe and healthy environment.
- Encourage the involvement of communities and community organisations in the matters of local government.

(MPA 1998:15)

The *White Paper on Local Government* (MPA, 1998: 17-36) promotes the idea of **developmental** local government. Developmental local government is defined 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." (p. 17)

Development on the local level is seen as linked to the democratisation process and the inclusion of citizens and community groups in the design and delivery of municipal programs (p. 20). Four key development **outcomes** of local government are aimed at, viz. (p. 22):

- Provision of household infrastructure and services.

- Creation of livable, integrated cities, towns and rural areas.

- Local economic development.

- Community empowerment and redistribution.

The tools and approaches for achieving these outcomes are classified under three **headings** (p. 26):

- Integrated development planning and budgeting.

- Performance management.

- Working together with local citizens and partners.

5.2.1   Integrated development planning

Integrated development planning (in short IDP) is supported by existing legislation, viz. the *Development Facilitation Act* (67 of 1995) and the *Local Government Transition Act* (209 of 1993, *Second Amendment Act*, 1995). According to the DFA, municipalities are required to produce land development objectives (LDOs) (except in the Western Cape and KwaZulu-Natal). The *Local Government Transition Act* requires municipalities to produce IDPs. Municipalities should see the development of land development objectives as part of their IDPs and not as a separate planning process (p. 28).

A specific methodology is prescribed for an IDP. Local authorities need to understand the various dynamics operating within their area of jurisdiction, develop a concrete vision for the area, and strategies for realising and financing that vision in partnership with other stakeholders (p. 27). IDP is therefore a process through which a municipality establishes a development plan for the short, medium and long term. A specific sequence of steps in producing an IDP is proposed and comprises the following (p. 27):

- An assessment of the current social, economic and environmental reality in the municipal area.
- A determination of community needs through close consultation.
- Developing a vision for development in the area.
- An audit of available resources, skills and capacities.
- A prioritisation of these needs in order of urgency and long-term importance.
- The development of integrated frameworks and goals to meet these needs.
- The formulation of strategies to achieve the goals within specific time frames.
- The implementation of projects and programmes to achieve key goals.
- The use of monitoring tools to measure impact and performance.

IDPs should be viewed as incremental and accumulative plans that need to be reviewed annually and adapted as priorities change. It is a normal and required municipal function – "IDPs are not 'add-ons' and should not be 'farmed out' to consultants" (p.

28). They help municipalities to develop a holistic strategy for poverty alleviation, and need to be comprehensive and therefore multi-sectoral. It is a requirement that IDPs will meet the requirements of the different departments that deliver services in their area of jurisdiction such as the Department of Water Affairs and Forestry, the Department of Transport, the Department of Housing and the Department of Environmental Affairs and Tourism (p. 28).

IDP should lead to institutional plans, financial plans and strategies that are intended to guide municipalities in delivery and in transformation.

5.2.2 Performance management

Performance management is critical to ensure that plans are being implemented, that they are having the desired development impact and that resources are being used efficiently. Communities should be involved in developing measures of performance, or Key Performance Indicators (KPIs). Internal stakeholders should also be consulted in order to develop a shared organisational vision and common goals for improved performance and delivery (pp. 31-32).

5.2.3 Working together with local citizens and partners

The White Paper (MPA, 1998: 33-35) sees building local democracy as a central role of local government and states that municipalities should develop strategies and

mechanisms to continuously engage with citizens, business and community groups. Four levels of active participation by citizens are required (p. 33):

- As voters – to ensure maximum democratic accountability of the elected political leadership for the policies they are empowered to promote.
- As citizens who express, via different stakeholder associations, their views before, during and after the policy development process in order to ensure that policies reflect community preferences as far as possible.
- As consumers and end-users, who expect value-for-money, affordable services and courteous and responsive service.
- As organised partners involved in the mobilisation of resources for development via profit business, non-governmental organisations and community-based institutions.

With regards to participation in the policy process, municipalities are encouraged to develop mechanisms to ensure citizen representation and participation in policy initiation and formulation, and the monitoring and evaluation of decision-making and implementation. Five approaches to achieve this are proposed:

- Forums, to initiate policies and/or influence policy-formulation, as well as participate in monitoring and evaluation activities. Forums should be involved

community-wide development visions or issue-specific policies rather than formulating multiple policies.

- Structured stakeholder involvement in Council committees that are dealing with specific issues over a limited period of time.

- Participatory budgeting initiatives aimed at linking community priorities to capital investment programmes.

- Focus group participatory action research conducted in partnership with NGOs and CBOs, to generate detailed information about a wide range of specific needs and values.

- Support for the organisational development of associations, in particular in poor and marginalised areas where the skills and resources for participation will be less developed than in better-off areas. This is important because citizens tend to participate via associations rather than as individuals.

(p. 33-34)

The White Paper envisages therefore an active developmental role for local government and is emphatic that this role needs to be supported through participation by local citizens who are represented through stakeholders. The White Paper furthermore proposes various approaches and means for achieving participation. Integrated development planning is a methodology that will maximise participatory development. In South Africa this policy framework was met with widespread reaction both positive and negative from academics and practitioners alike. What follows is an attempt to capture some of the main points of criticism.

5.3   Decentralisation Implications

According to Pycroft (1998: 153) an attempt to control development planning from the center in South Africa, has proved to be difficult, if not impossible. The decentralised model on the other hand is not that simple either or without complexities. All three tiers of government referred to earlier, are concerned with its relative autonomy from encroachment by others, which operates against centralised control. He discusses the following constraints to the implementation of the newly assigned role of Local Government:

- Democratising local government does not necessarily mean it is equipped to perform the developmental role ascribed to it like managing its own administration, budgeting and planning process.
- It is not geared to overcome the inadequacies of the past as expected from it, due to the fact that under apartheid it performed a narrow range of traditional local government functions such as water, electricity, internal roads, street lighting, storm-water drainage, sewerage, etc and played a minimal developmental and redistributive role. Often these services were performed in a paternalistic, non-consultative way.
- The expectation of the local council to co-ordinate the development activities within its jurisdiction that are undertaken by other tiers of government, both provincial and national are mostly far beyond its capabilities.
- Local, provincial and national government operate as equal partners in a given municipal area in contrast to the more

traditional hierarchy of government tiers. This does not mean that it happens without difficulties as local government is in certain instances entirely dependent on subsidies from provincial government. (Pycroft, 1998: 154-157)

It is expected that these factors will effect the ability of the local government to create an atmosphere where public participation can take place without constraints. In the case study that follows, the majority of these concerns surfaced in practice and it becomes apparent that even under the most favourable circumstances, the process does not take place without its fair amount of problems. The question that remains unanswered in this study, is if the representation and participation works according to plan, will the standard of governance see this process through to delivery? Malan makes a strong statement about this:

"At first glance it appears that IDP's have been adopted wholesale, however more rigorous empirical analysis suggests that while the rhetoric has been adopted the practice of planning differs, sometimes fundamentally, between contexts. Indeed, the definition of IDP's, the nature of their implementation and their outcomes differs so markedly that it is debatable whether a coherent approach to achieving a 'developmental' system of local government can be said to exist." (Malan, 1999:2)

Despite this critique, the local government system has embarked upon the implementation of this policy with rigorous effort to pursue whatever growing pains it might experience. What follow, is an overview of the modus operandi followed by the West Coast District Council to implement the policy.

CHAPTER 6

CASE STUDY: WEST COAST REGION

6.1   Choice of case study

The West Coast Development Region is selected as a case study for the following reasons:

The author is an inhabitant of the region, has been involved in social development activities in a professional capacity in the West Coast over a prolonged period of time and has gained an intimate knowledge of local conditions and communities in the region.

The West Coast has been designated as one of eight "Spatial Development Initiative" (SDI) locations in the country (WCII, 1997). The intention of the initiative is to focus interest, effort, and investment in a specific location of potential, with under-utilised infrastructure and resources. The initiative is managed under the name West Coast Investment Initiative (WCII) and has as its focus the opportunities created by the mini mill of Saldanha Steel as well as the under-utilised opportunities in agriculture, tourism and fishing in the region. The SDI programme is driven by the national Departments of Trade and Industry and Transport and has specific aims namely, job creation, realisation of growth potential, encouraging of small, medium and micro enterprises, and developing of the export potential of the region. One of the key aspects is public-private partnerships which means a participatory mode is intended. The

focus includes agriculture and tourism and therefore the WCII is regarded as important for the rural development of the region.

The West Coast is a development region with a rural profile. It is demarcated as development region in terms of the *Provincial Development Council Act* of the Western Cape Province and it comprises two sub-regions, a southern part and a northern part. Industrial activities are concentrating in the Saldanha-Vredenburg area in the south. The hinterland's economy is based mainly on agriculture with products such as wine, grain, deciduous fruit and vegetables. Other industries include fishing, forestry, mining and tourism. The population is spread over the two sub-regions with stronger concentrations in the southern sub-region (two-thirds) and in the local towns and settlements. The population (total 233,632) is made up of coloureds (73%) and whites (20%). Blacks are still a minority (5%) (Census 1996) but it is expected that this group will grow in future. The dominant language is Afrikaans.

The West Coast has been earmarked, in the previous dispensation as well as in the current period, for special projects. Important for the purposes of this study are two initiatives: **One**, capacity building of RDP forums and **two**, timeous commencement with integrated development planning of the region as a whole as well as that of the different towns and rural districts and settlements. Both of these matters pertain to the institutional infrastructure of the region.

6.2   Institutional Infrastructure of Region

The institutional infrastructure of the region is considered as an important factor that impacted on the results of this study and is briefly discussed here.

6.2.1 RDP Forums

With reference to the first initiative, RDP forums, it should be noted that they have been actively promoted in the Western Cape since the national election of 1994. The idea of forums is not novel. In fact, forums have proved to be a vehicle for representation and promoting democracy and to assist in the process of transformation during the pre-interim period of local government as mentioned earlier. According to Bekker (1994) forums developed on national, regional and local levels during the pre-1994 period of negotiation as a result of three factors:

- The acknowledgement of the South African Government (pre-April 1994) that its illegitimacy precluded effective unilateral decision-making;
- The abandonment of the 'old pattern struggle politics' in which non-participation was elevated to binding principle; and
- A growing understanding, fuelled by constitutional negotiations, that an array of stakeholders needed to be drawn into the decision-making process.

Based on the relative success of forums and their wide spread occurrence, a forum culture has been created in South Africa. Forums are seen as frameworks for managing information,

opinion-formation, diversity, convergence of contrasting ideas, and for consultation, negotiation and participation regarding planning and development.

During the post-1994 period immediate steps were taken to install forums on national, provincial, regional and local levels of government. In the Western Cape Province this seemed to be a necessary instrument on the provincial, regional and local levels to institutionalise consultation and negotiation with civil society. RDP forum formation did not prove to be an easy process, due to past divisions on local communities, and because knowledge and expertise was lacking regarding the role, functions and responsibilities of RDP forum participants (see Groenewald, 1997:379-399). Accordingly, the Western Cape provincial government started a pilot project of training and capacity building of RDP committee members. The West Coast Development Region was selected as the target area for the pilot project. The project comprised a number of consecutive phases. An initial training and capacity building phase was presented first during 1994. A follow-up programme was installed after the lapse of about one year with training sessions based on a needs assessment. Fifteen RDP committees were included in these training sessions. Training modules included aspects such as leadership and organisational processes, strategic planning, conflict resolution, and so on. These RDP forums did not become the effective vehicles as was envisaged and with the demise of the RDP office in 1996, the mat was pulled out under it in terms of national and provincial support. The work that was done to empower the different communities, was not lost. The remains of the RDP forums served as the

basic structures for consultation in establishment of the Provincial (PDC) and Regional Development Councils (RDC) according to the Western Cape Development Council Law, no 5 of 1996. The functions assigned to the PDC according to the Act is that of coordinating, facilitating and initiating consensus amongst stakeholders on provincial, regional and local development planning, policy objectives and development strategies to the PDC. (PDC 1998:7) In the West Coast the RDP forums as well as the RDC served as a point of departure in terms of representation for the integrated development planning process that followed during 1997/8. The PDC established a framework in terms of stakeholder representation that was adopted by the West Coast region. The framework suggests the following stakeholder groups to be included in developmental consultative processes.

- Regional Business
- Regional Environmental Groups
- Local Government
- Non-Governmental organisations
- Regional Labour
- Specialist Committees
- Participants by Invitation
- Regional Community-Based Organisations
- Regional Farm Workers
- Regional Farm Organisations
- RDP/Local Development Forums
   (PCD 1998:12)

6.2.2 Integrated Development Process

Regarding the second initiative of integrated development planning the Provincial Administration of the Western Cape initiated during the latter half of 1997 the IDP process in the province. It issued a guideline (PAWC, 1997) and held training workshops on how to conduct the process on local authority level. With reference to the non-metropolitan areas, three local authority levels were implied:

i.   Regional level government structures – District Councils

ii.   Transitional Local Councils for urban areas (TLCs)

iii.   Transitional Rural Councils, for non-urban communities (TRCs)

District Councils were servicing TRCs and small TLCs. All councils, regardless their level and jurisdiction, were expected to complete their IDP in due course and to serve as the basis for the budgeting of the next financial year. District Councils were responsible for the IDPs of TRCs and smaller TLCs. Again the West Coast Development Region was seen as a region to serve as a model for other development regions in the province. Accordingly, the West Coast District Council was instructed by Province to manage the IDP process for the region and the smaller TLCs and TRCs.

Guidelines for the IDP process were presented by provincial officials to local authorities at workshops at different venues. These guidelines described the methodology referred to above in the White Paper more or less (at least in spirit) identical to the

White Paper's subsequent proposals. It consisted of a ten phase planning process that was graphically presented as in Figure 1.

Figure 1: Phases of IDP
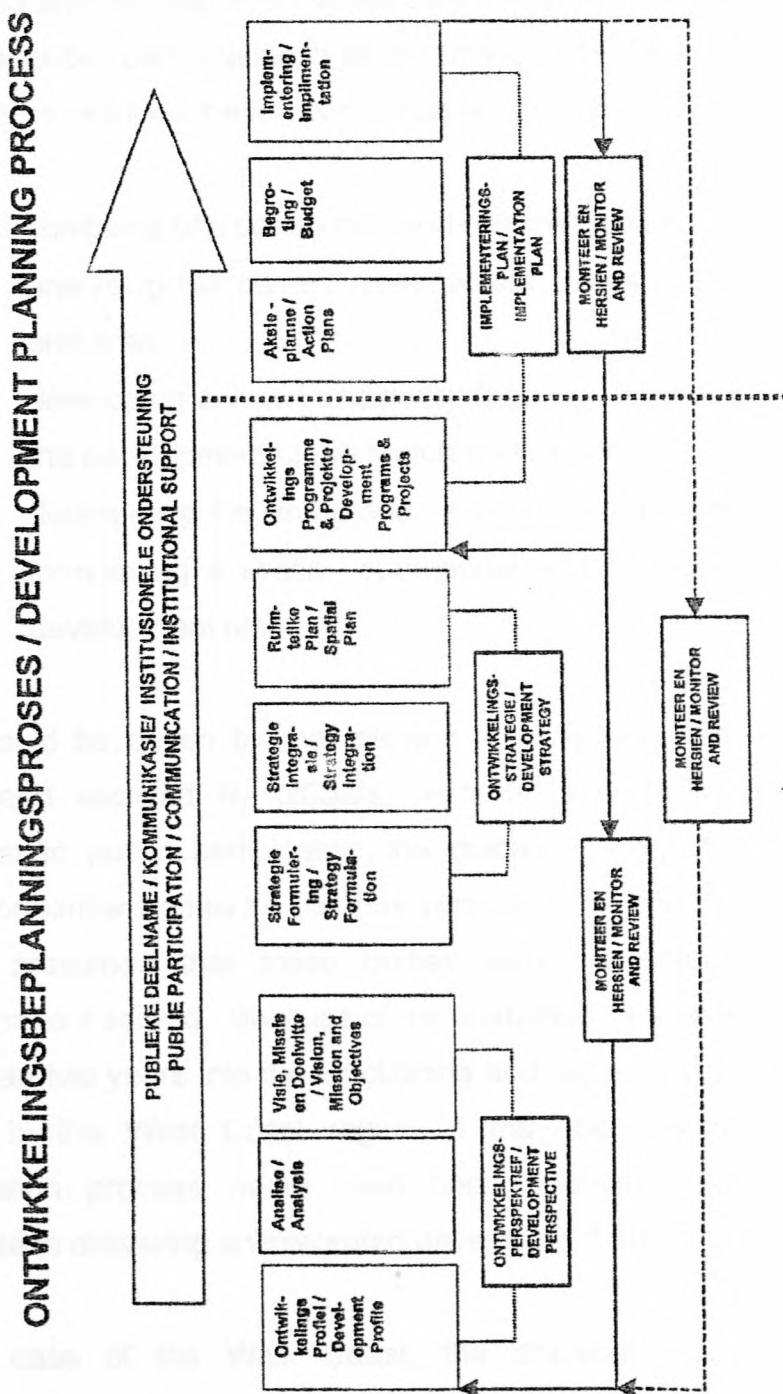
The IDP process' intent is to deliver a five-year development plan for a specific local government area. The five year cycle started for the financial year 1998/99 (midyear). The plan was to be revised (upgraded and refined) every subsequent year. This should be based on proper public participation in all the phases of the planning process. The process includes the following phases namely:

- compiling of a community and regional profile,
- analysing the current development status of the population and area,
- developing a vision and mission as well as general goals for the development of the region and its people,
- determining the strong and weak points of the region, and
- formulating a spatial, operational and financial (budgeting) development plan.

This should be driven by the relevant local authority (or its service agent) and assisted by officials, "experts" and facilitators. With reference to public participation the guideline suggested that RDP forums or similar bodies be used as vehicles for public consultation as it was presumed that these bodies were representative of the communities it served. Because of the sustained input over a period of more than two years into the functioning and capacity building of RDP forums in the West Coast region, it may be assumed that the consultation process would have been relatively successful and legitimate in delivering an integrated development planning output.

In the case of the West Coast, the practical mode for public participation was to conduct so-called community-liaisons (or workshops) that consisted of invited representatives of all local interest

groups and stakeholders. A facilitating agency was contracted through a tender procedure to lead the community-liaison.

An empirical monitoring was conducted in eight instances during the final series of public consultation workshops. The aim was to measure the effect of such public consultation on the integrity of the process followed as perceived by the participants in the workshops. The author was also part of the organisation that was contracted to facilitate the first and the last of the workshops held in that specific region. This involvement offered the opportunity to do qualitative research during the course of the process. A description of the research and its outcomes follow.

CHAPTER 7

RESEARCH IMPLEMENTATION, FINDINGS AND ANALYSIS

7.1 Introduction

It is assumed for the purposes of this research that the community-liaison or workshop constitutes the heart of the matter of participation. Assessment of whether the process has been perceived as authentic will accordingly focus on the functioning of this aspect of the process, but also briefly refer to the interdependence of participation and representation. The research has been driven by the question to what extent the people to be affected by the outcomes of the IDP have been participating in the process of development planning and to what degree they have experienced such participation as authentic participation.

7.2 Geographical demarcation

For the purposes of the research a selection of the following local authorities and community liaisons were made:

- West Coast District Council (WCDC), representing three subdivisions or community liaisons
- Five TRCs (councils for rural districts) representing one community liaison each

These community liaisons represent, firstly, the total region and its population as serviced by the WCDC as well as all rural districts under the auspices of the relevant TRCs. It excludes all towns governed by TLCs. Furthermore, the above-mentioned selection of local authorities covers the total region and the rural districts, which by nature consist of dispersed populations. It is assumed that the most difficult conditions for participation are represented in this sample. Should a favourable outcome be recorded by the research in these instances, it may be concluded that the process driven by the above-mentioned authorities indeed pass the test for creating a process of authentic participation.

7.3   Research implementation

The measurement of the integrity of the process of participation was done at the various community liaisons or workshops. These workshops were the last in a series of workshops that were held since October 1997 over a period of twelve months. The author started the qualitative research at the first workshop in the series that was intended for orientation of the participants and to constitute a sound base of representation at the workshops. Extensive effort by the local authority officials to invite all the relevant interest groups under their jurisdiction, was put in to ensure participation. Invitations were sent to 700+ organisations all over the region. The choice of organisations invited, rested on the stakeholder groups identified by the PDC during its incubation. (See list par 6.2.1)

The people who attended the first workshop were then requested to indicate if any interest group were left out. Lists were compiled and used to do the next round of invitations.

The second phase consisted of a number (four to five) of workshops that had the aim to produce the basic framework of the plan that would enable the officials and experts to complete the development plan and give input to the budget procedure. The author was then again involved in the final phase that comprised of one workshop each for the various local authority areas to finally accept and endorse the development plan (or framework as it is called) as **their product**. It was during this last round of workshops that the empirical measuring of participants' representation profile and perceptions were made that is after completion of the first round of IDP.

A structured questionnaire (Appendix B) was compiled and tested at one non-selected workshop to be submitted in a group-administered fashion to participants. The same questionnaire was administered twice during the same session, first at the beginning of the session and later at the end of the session. On average the workshop length were about two to two-and-a-half-hours.

The workshop programme included the following items:

- a detailed explanation of the IDP process, a submission of the development framework (document) and a detailed explanation of its contents,

- an opportunity to debate the document and to correct the community profile, and finally,
- to accept the framework as a true reflection of the community's input and participation.

Observations made at the workshops that could have impacted on the responses were:

- Attendance of workshops was affected by long distances, the absence of public transport and the constraints of obtaining leave from work to attend meetings. Workshops were scheduled according to the circumstances of the majority.
- The explanation of the process was long, technical and not interactive. People were given time to ask questions.
- People indicated that the process was time-consuming and questioned the cost effectiveness and its potential to deliver.
- A cynicism was expressed by the community members about the ability of the local authority to fulfil its role as development agent, while councillors had concerns that expectations for delivery was not aligned with fiscal abilities.
- This was the first round of the process and pressured by time frames of the budgeting process. The participants had doubts about the feasibility of the process to align the spending of the budget with the needs expressed.

The attitudes reflected in these observations, can relate to the argument by Botes (1999) that initiatives by the state are sometimes met with distrust and suspicion and lead to apathy on the side of the community.

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7.4   Questionnaire Design

The questionnaire was designed to cover twenty specific aspects of the IDP process. It consists of twenty statements to which the respondent was supposed to express an answer on each item with a choice of four possible answers. All respondents were required to answer according to this answer set. All items were put to the respondents twice, first in the beginning of the session and second at the end of the session.

These twenty statements were divided among seven broad areas of the IDP process (see Figure 2). Five items dealt with respondents contribution to the process (Question 2); three with needs assessment (Question 3); three with decision-making (Question 4); three with representation and accountability (Question 5); three with the role of the local authority as a development agent (Question 6); two with the characteristics of the process (Question 7); and one with the state's motive with the IDP (Question 8).

QUESTION 2: CONTRIBUTION TO THE PROCESS

2.1 I understand all the steps and the contents of the process.
2.2 I had full opportunity to participate in the process.
2.3 I have contributed to process up till where it is now.
2.4 I was part of the process of budgeting.
2.5 My interest group has been served through the participation.

QUESTION 3: NEEDS ASSESSMENT

3.1 The community had a say in the assessment of the needs.
3.2 The process brought forward the real needs of the community.
3.3 The community will gain from this process.

QUESTION 4: DECISION-MAKING

4.1 The community participated in decision-making about the goals.
4.2 The community participated in decision-making about planning.
4.3 The community will participate in decision-making about implementation.

QUESTION 5: REPRESENTATION/RESPONSIBILITY

5.1 The group that participated in this process was representative of the community.
5.2 The group that participated in this process will be accountable to the community.
5.3 The community is in control of this process of integrated planning and implementation – not the consultants.

QUESTION 6: LOCAL AUTHORITIES AS DEVELOPMENT AGENT
6.1 The local authority is the body that should **facilitate** the process of development planning.
6.2 The local authority is the body that should **manage** the process of development planning.
6.3 The local authority is the body that should **implement** the process of development planning.

QUESTION 7: THE NATURE OF THE PROCESS

7.1 This process of integrated development planning is exceptional and above the normal.
7.2 This process of integrated planning is normal and ought to be like this.

QUESTION 8: STATE'S MOTIVE WITH THE IDP

8.1 The state is sincere in its advancement of participation on the local level – there are no hidden motives.

Figure 2: Key to statements

Statements were developed from the criteria or indicators of participation in the IDP process reflected in the theory of authentic participation and the policy framework as outlined in Chapters 3 to 5 above. The indicators that were measured, were the following:

- Empowerment to participate (2.1) as primarily advocated in the White Paper on Reconstruction and Development (1994) and supported by [1]others.

- Opportunity to participate (2.2) and
- Participation in budgeting process (2.4) as prescribed to Local Authorities by the White Paper on Local Government (MPA,1998: 33-35)

- [2]Participation through interest group (2.5) and
- Participation in identifying needs and [3]gaining from it (3.1-3.3) according to the White Paper on Local Government (MPA,1998: 33-35)
- Contribution to development effort (2.3) and
- Decision-making about goals, planning and implementation (4.1-4.3) according to the United Nations (1975) definition of popular participation.

- Qualities of decision-making bodies (5.1-5.2) and

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[1] De Beer, (1996:67-68).
[2] See also Levin and Weiner (1997a:265)

[3] See also "sharing equitably in benefits" in the United Nations (1975) definition of popular participation. (Midgley et al, 1996:25)

- Participation as a normal way of conducting affairs (7.1-7.2) as stated by Midgley et al (1986:29)

- Community must be in control and not consultants as prescribed by the White Paper on Local Government (MPA,1998:28)

- Motive of State is sincere and it advances participation relating to the four-fold typology by Midgley et al (1986)

It was expected from the respondent to respond to each of the statements on the Items as per questionnaire by marking one of four answers:

- I do not know
- Uncertain
- Yes
- No

These answers were chosen after a pre-testing was done with ordinal answers. In a pre-test, respondents were asked to express their agreement with the statements. The ordinal answers "Strongly disagree", "Disagree", "Agree", "Strongly Agree" were used. The respondents could not understand or relate to those answers. The answers were then changed and interpreted as below.

7.5 Interpretation of responses on answer set

Two dimensions of participation were measured namely, knowledge and attitude. Knowledge was indicated by the measurement process as the level of knowledge and as change of knowledge level. Attitude was indicated as the change of attitude.

Firstly, pertaining to knowledge, respondents who answered by endorsing "I do not know" or " Uncertain" were taken as persons who did not have information or knowledge about the item at the time. (A few respondents who did not offer a response were also included in this "no information" category after close inspection of the response patterns). Those who answered "Yes" or "No" were seen as persons with the necessary knowledge to express an opinion on the item, whether positive or negative. Thus, the item carried a knowledge dimension that was measured by two response sets respectively. On the one hand, "I do not know" and " Uncertain" (as well as "No response") indicated no knowledge or not enough knowledge about the item to express an opinion while "Yes" and "No" on the other hand indicated enough knowledge on the part of the respondent to express an opinion. This represented the determination of the knowledge level.

Secondly, because two measurements were taken, it was also possible to establish whether a certain respondent had changed from a position of no (or not enough) knowledge in the first measurement to a position of definite knowledge about the matter in the second measurement. These cases would be

indicated by a change from either "I do not know" or " Uncertain" (as well as "No response") to either "Yes" or "No" in the second measurement. The Sign test for two related samples (Bryman and Cramer, 1997:137-8) compares the number of positive and negative differences between two scores from matched samples but ignores the size of these differences. This test was applied to measure the change from a position of "No knowledge" to "Knowledge" (a positive difference) or vice versa (a negative difference), or a "tie" (where no change was recorded between the two measurements.)

Thirdly, it was possible to determine a change in attitude with respect to each item among those respondents who have had already knowledge about the item at the first measurement. For example: A respondent who changed his/her answer from "No" in the first measurement to "Yes" in the second measurement, did not only have the necessary level of knowledge to express an opinion[4] but also changed that opinion from a negative to a positive during the interval between the two measurements. Therefore, through selecting respondents with the necessary level of knowledge about an item during the first measurement the change in opinion or attitude about the item could be determined by comparing the first and second response on the same item. The McNemar test for two related samples (Bryman and Cramer, 1997:127-9) is considered to be an appropriate test to determine the significance of such changes in opinion or attitude about the various items and was applied accordingly.

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[4] For the purpose of this study, attitude is considered to be reflected by the expression of an opinion about a particular subject.

7.5.1 Profile Variables

The following variables were included in the questionnaire in order to determine the representation of the sample used:

- The relevant IDP workshop (this referred to the local authority that the workshop pertained to) [Local authority]

- Age of the respondent [Age]

- Sex of the respondent [Sex]

- Race group of the respondent (three categories were applied: Black, Brown and White) [Race]

- Language of the respondent (home language was implied; three categories were suggested: Afrikaans, English and Xhosa; an open category "Other" was provided as well) [Language]

- The interest group represented by the respondent (this was an open category and responses were classified after completion of the questionnaires by the researchers) [Interest group]

- The number of workshops attended since October 1997 by the respondent in the IDP series [Number of workshops]

7.5.2 Role of Workshop Attendance

The number of workshops attended since October 1997 by the respondent in the IDP series, served the purpose of giving an indication of the representation in the sample as well as determining the origin of the knowledge before the first measurement. It is assumed that exposure to workshops will contribute to a better knowledge level. Further analysis of the link between those with knowledge and the number of workshops could therefor be determined by firstly re-coding those who have never attended workshops as "no workshops" and those who attended 1-5 workshops as "attended workshop". Respondents with knowledge were those who could answer YES or NO and those with no knowledge were those who could not answer YES or NO. A cross-tabulation was then made of those respondents with knowledge and the workshops they attended. This was done for both measurements. This indicated the influence of prior attendance of workshops on the respondents' knowledge as well as the workshop during which the measurements were made.

7.6   Findings

Altogether 137 questionnaires were returned at eight workshops; 77 (56%) were collected at West Coast District Council workshops and 60 (44%) at TRC workshops. Not all respondents stayed throughout the workshops to complete the second round of measurement. Eighteen questionnaires were not completed fully. A total of 121 questionnaires were therefore

available for comparing the two sets of answers of the two measurements.

The sample gained showed the following characteristics (based on N=137).

The mean age of the group is 44 years (SD=12.37 years). The age groups and sex are reflected in Table 1.

Table 1: Age Groups and Sex

AGE GROUP	MAN	WOMAN	TOTAL
20-39 years	29.9%	12.4%	42.3%
40-59 years	33.6%	7.3%	40.9%
60+ years	15.3%	1.5%	16.8%
Total	**78.8%**	**21.2%**	100.0%

In terms of sex representation, men are over represented. The regional population reflects an even representation of men and women which is not the case here. The age groups of the region were not available in these intervals, but it appears that all age groups were equally represented according to ratio.

The ethnic grouping of the participants are compared to that of the region and are reflected in Table 2.

When rounded off this table reflects 56% are white and 42% brown; only 1 person each was black and Asian. This does not correspond with the profile of the region. It is fair to deduce that the majority of participants were white, Afrikaans speaking

males because the sample also reflects that the majority of the participants are [5]Afrikaans speaking (98%).

Table 2: Ethnic grouping

ETHNIC GROUP	REGION	SAMPLE
White	20%	55.5%
Brown	73%	41.6%
Black	5%	0.7%
Other	2%	2.2%
TOTAL	100.0%	100.0%

The interest groups represented by the participants were re-grouped and is reflected in Table 3.

It is evident from this table that 57% were representing NGOs and 43% government organisations. The latter comprised of government departments and local authority. This implies that just over half of the respondents were from "civil society". In terms of representation, it will be expected that more persons from the community should be present at these workshops to authenticate participation. On the other hand it can be argued that councillors are also part of civil society which will rule the first argument invalid. If it is valid that councillors rather represent government, the attendance profile with high numbers of government representatives can be expected in the first round of such a process where the local authority is still finding its feet.

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[5] Afrikaans is the official language of 91% of the region's inhabitants.

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Table 3: Interest Groups

INTEREST GROUP	FREQUENCY	PERCENTAGE
No Answer	1	0.7
Agriculture	11	8.0
Political Party	1	0.7
Non-governmental Organisations	3	2.2
Church Organisations	5	3.6
Regional Organisations	4	2.9
Community Based Organisations	6	4.4
Community members	13	9.5
Business	6	4.4
[6]Government Departments	13	9.5
Labour	4	2.9
Safety and Security	7	5.1
Development Forums	13	9.5
Tourism	4	2.9
[7]Local Authority	46	33.6
Total	137	100.0

It is presumed that the attendance of workshops contributed to the level of knowledge about the process. 31% of the participants were attending these workshops for the first time, the rest have attended one or two workshops (27%) or more (42%) in the past.

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[6] These were all officials from Government Departments.
[7] Respondents identified themselves as representing a local authority and it is not clear whether they were councillors or officials. Observation by the researcher supports the notion that the majority were councillors.

In the following section an overview of responses that portray the distribution and changes of answers to the statements put to the participants in the workshops is presented.

First, the spread of responses to the statements in both measurements is provided (Tables 4 and 5). The first level of creating a new variable – the level of knowledge about integrated development planning – will also be indicated. Two measures are possible and shown in the two respective tables. Secondly, the change in the level of knowledge is indicated and assessed for statistical significance according to the Sign Test (Table 6). Finally, the change in opinion about the integrated development planning process among those who have claimed to be knowledgeable from the outset is detailed and assessed according to the McNemar Test (Table 7). In all cases the total sample is used.

With respect to Table 4 – showing the responses of the first measurement – the low percentage of no response is noticeable and possibly an indication of a high motivation among the participants to give their support to the research.

Secondly, the highest percentages are found among the Yes-responses, except for item 2.4 where a percentage of 62.8% was recorded in the No-category. This item refers to the budgeting process (see Figure 2) to which the participants did not [8]contribute directly. A number of items drew fairly large percentages of responses under the Uncertain-column.

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[8] Explanation: Generically their input into the planning process is interpreted as a **part** of the budgeting process as the item claimed. If the respondents understood this, their answer will

Table 4: Responses to first measurement

QUES-TION NUM-BER	RESPONSE TO STATEMENTS PERCENTAGE (N=137)					PERCENTAGE WITH KNOWLEDGE
	No response	I do not know	Uncertain	Yes	No	
2.1		2.9	16.8	75.2	5.1	80.3
2.2	.7	3.6	4.4	70.1	21.2	91.3
2.3	.7	2.9	8.0	59.1	29.2	88.3
2.4	.7	2.2	11.7	22.6	62.8	85.4
2.5	.7	5.8	21.2	64.2	8.0	72.2
3.1	.7	10.2	20.4	63.5	5.1	68.6
3.2	1.5	8.0	27.7	56.2	6.6	62.8
3.3		8.8	15.3	73.7	2.2	75.9
4.1	.7	9.5	23.4	57.7	8.8	66.5
4.2	.7	8.8	27.0	51.1	12.4	63.5
4.3		12.4	31.4	51.8	4.4	56.2
5.1	.7	10.9	32.1	44.5	11.7	56.2
5.2	.7	6.6	21.9	69.3	1.5	70.8
5.3		6.6	31.4	49.6	12.4	62.0
6.1		3.6	5.1	85.4	5.8	91.2
6.2	.7	3.6	2.2	87.6	5.8	93.4
6.3	1.5	2.9	8.0	83.9	3.6	87.5
7.1	.7	6.6	32.8	38.7	21.2	59.9
7.2	1.5	3.6	16.8	73.0	5.1	78.1
8.1		4.4	24.1	65.0	6.6	71.6

Explanation (Table 4):

The percentage respondents with knowledge are calculated by adding the percentages in the Yes and No columns.

The level of knowledge that was calculated from the responses in Table 4 indicates fairly high levels across the list of items. Never was a minority percentage (below 50%) encountered. The lowest levels were found among items in Question 3 (Needs

be yes on this question. In that particular phase of the process, no explicit budget process took

assessment), Question 4 (Decision-making), Question 5 (Representation) and Question 7 (The nature of the process). The two items under Question 7 were opposites and could be an indication of the reliability of the measure. If a respondent answered No on Item 7.1 it could be expected that he/she should have answered Yes on Item 7.2 (or vice versa). A test (by means of a cross tabulation for both measurements between items 7.1 and 7.2) showed that in the first measurement 27 of the 29 respondents who answered No for item 7.1 indeed responded with a Yes in item 7.2. Likewise did all 31 respondents who answered No for item 7.1 answered Yes for item 7.2. The reverse was not true. Of the 53 respondents who answered Yes for item 7.1 only 4 answered No for item 7.2. The corresponding figures for the second measurement are 62 Yes-answers and only 2 No-answers. One could argue together with item 7.1 that the process is indeed exceptional, and once a person endorses this fact he/she would agree that this should become the norm (along with item 7.2). All-in-all one should not deduce too much from items 7.1 and 7.2.

From Table 5 (concerning the response pattern for the second measurement) it is quite clear that a shift towards Yes-responses appeared. Less No-, Uncertain- as well as Don't know answers were recorded. Item 2.4 (about budgeting) still draws a majority No-answer (52.9%). The level of knowledge about the IDP-process increased on all items.

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place, which could explain the high percentage of No answers.

Table 5: Responses to second measurement

QUESTION NUMBER	RESPONSE TO STATEMENTS PERCENTAGE (N=121)					PERCENTAGE WITH KNOWLEDGE
	No response	I do not know	Uncertain	Yes	No	
2.1			1.7	93.4	5.0	98.4
2.2			5.8	82.6	11.6	94.2
2.3			6.6	79.3	14.0	93.3
2.4	.8		14.9	31.4	52.9	84.3
2.5	.8	2.5	14.9	78.5	3.3	81.8
3.1	.8	2.5	11.6	83.5	1.7	85.2
3.2	2.5	1.7	13.2	76.9	5.8	82.7
3.3	.8	3.3	9.1	86.0	.8	86.8
4.1		4.1	16.5	75.2	4.1	79.3
4.2	.8	4.1	19.0	68.6	7.4	76.0
4.3	.8	5.0	13.2	72.7	8.3	81.0
5.1	.8	4.1	21.5	62.8	10.7	73.5
5.2	.8	1.7	12.4	81.8	3.3	85.1
5.3			18.2	79.3	2.5	81.8
6.1	.8	.8	7.4	84.3	6.6	90.9
6.2		1.7	5.0	86.0	7.4	93.4
6.3	1.7	.8	5.0	90.1	2.5	92.6
7.1		3.3	19.8	51.2	25.6	76.8
7.2	2.5		9.1	86.0	2.5	88.5
8.1		3.3	14.9	79.3	2.5	81.8

Explanation:

The percentage respondents with knowledge are calculated by adding the percentages in the Yes and No columns.

Table 6 deals with the question whether the direction of the shift is a positive one, i.e. from a position of No knowledge to a position of Knowledge, and whether this shift is statistically significant. Except for item 2.4 (budgeting) and 6.1 (facilitation) all positive differences were larger than the negative differences or remained the same on item 6.2 (managing). The majority of the changes were significant on the .05 or

Table 6: Changes in the level of knowledge from the first measurement
to the second measurement

QUESTION NUMBER	PERCENTAGE WITH KNOWLEDGE	PERCENTAGE WITH KNOWLEDGE	NEGATIVE DIFFERENCE (N) -	POSITIVE DIFFERENCE (N) +	TIES (N)	SIGNIFICANCE
	1 st measurement N=137	2 nd measurement N=121	Based on both measurements N=121 Sign Test			
2.1	80.3	98.4	0	20	101	.000
2.2	91.3	94.2	4	6	111	.754
2.3	88.3	93.3	4	8	109	.388
2.4	85.4	84.3	9	6	106	.607
2.5	72.2	81.8	7	19	95	.031
3.1	68.6	85.2	5	25	91	.001
3.2	62.8	82.7	5	28	88	.000
3.3	75.9	86.8	2	17	102	.001
4.1	66.5	79.3	8	24	89	.008
4.2	63.5	76.0	5	22	94	.002
4.3	56.2	81.0	4	34	83	.000
5.1	56.2	73.5	2	22	97	.000
5.2	70.8	85.1	4	20	97	.002
5.3	62.0	81.8	10	32	79	.001
6.1	91.2	90.9	6	5	110	1.000
6.2	93.4	93.4	6	4	111	.754
6.3	87.5	92.6	4	9	108	.267
7.1	59.9	76.8	5	28	88	.000
7.2	78.1	88.5	4	16	101	.012
8.1	71.6	81.8	7	16	98	.093

Explanation (Table 6):

A **negative** difference implies a change from "Knowledge" in the first
measurement to "No knowledge" in the second measurement while a
positive difference means a change from "No knowledge" in the first
measurement to "Knowledge" in the second measurement. A **tie**
means that no change occurred between the two measurements.

lower level. Exceptions are item 2.2 (opportunity for participation), 2.3 (contribution to the process), 2.4 (budgeting), 6.1 (facilitation), 6.2 (managing), 6.3 (implementation role of local authorities) and 8.1 (state's sincerity). All these items reflected positive differences but they were not statistically significant. The reasons for this will become clearer in Table 7 (below) where the significance of the change of opinion is measured.

Table 7 assessed whether changes occurred in the opinion expressed by participants with a sufficient level of knowledge on the various aspects of the IDP-process. The majority finding is that no change was experienced. This is specifically true among the YES-YES responses. It could be argued that if a participant answered YES to an item in the first measurement, the chances are exceptionally high that the same response will be forwarded at the second measurement. Where the respondent answered NO in the first measurement, a fair chance existed that the answer would change in the majority or equal number of cases to a YES. This happened in 13 of the 20 items. Not all changes were significant. Only four of the total change patterns were statistically significant on a level of .05 or lower. They are 2.2 (opportunity to participate), 2.3 (contributed to the process), 2.4 (budgeting) and 5.3 (community controls process). The reason for this will become clearer below in the integrated analysis of Tables 6 and 7. Pertaining to the change of opinion, the general finding is that among those who have a sufficient level of knowledge of the IDP-process to assess the items, only a small number of changes were brought about in their opinion about the process through their participation in the workshop.

Table 7: Changes in opinion from the first to the second measurement

QUES TION NUM BER	YES- YES (Tie) (N)	YES-NO (Change) (N)	NO-YES (Change) (N)	NO-NO (Tie) (N)	TOTAL (N)	SIGNIFI CANCE
	McNemar Test (Based on both measurements)					
2.1	91	1	4	3	99	.375
2.2	82	2	12	12	108	.013
2.3	72	0	16	17	105	.000
2.4	21	4	14	57	96	.031
2.5	72	0	4	4	80	.125
3.1	76	0	2	0	78	.500
3.2	61	3	5	3	72	.727
3.3	85	1	2	0	88	1.000
4.1	62	3	5	2	72	.727
4.2	58	0	5	7	70	.063
4.3	54	5	4	1	64	1.000
5.1	51	4	3	9	67	1.000
5.2	80	1	1	1	83	1.000
5.3	55	0	11	1	67	.001
6.1	95	4	2	4	105	.687
6.2	98	4	2	5	109	.687
6.3	97	2	3	1	103	1.000
7.1	37	7	5	16	65	.774
7.2	85	1	3	2	91	.625
8.1	75	2	5	1	83	.453

Explanation (Table 7):

YES-YES: Respondent answered YES in the first measurement and YES in the second measurement. No change is indicated in opinion about the item.

YES- NO: Respondent answered YES in the first measurement and NO in the second measurement. A change in opinion about the item is implied.

NO-YES: Respondent answered NO in the first measurement and YES in the second measurement. A change in opinion about the item is implied.

NO-NO: Respondent answered NO in the first measurement and NO in the second measurement. No change is indicated in opinion about the item.

When integrating the results in Tables 6 and 7, further analysis reflects the following:

The indication in Table 6 is that the level of knowledge increased during the workshops, generally at a significant degree. The high levels of knowledge in both measurements on the items 2.2 - 2.4 can be attributed to the nature of the question. The answer in these cases could be either based on the opinion of the respondent or on knowledge of the process or both. The changes in answers on these items do not signify a change in knowledge but in opinion. (see 2.2 - 2.4 in Table 7) It can therefor be deduced that the input of the workshop did not change level of knowledge In this case but it did lead to change in opinion. This explains why the change in knowledge levels is insignificant (Table 6) and the change in opinion is significant (Table 7). In the case of 5.3 (community controls process), it is fair to deduce that knowledge levels increased significantly (Table 6) and in this case lead to a change of opinion about being in control of the process. (Table 7) In the case of Question 6 (Local Authority as Development Agent) and Question 8 (Sincerity of State) it appears that neither knowledge levels nor opinion levels changed significantly (Tables 6 and 7). It can be deduced that respondents did not gain any further knowledge on these issues or changed their opinion significantly. It appears that once the respondents have gained

knowledge about the role of the Local Authority and the sincerity of the state, no further input will contribute significantly to change that.

The cross-tabulation of with workshop attendance and knowledge are reflected in Table 8.

Table 8: Percentage with knowledge according to workshop attendance

QUESTION NUMBER	(a) NO WORKSHOPS ATTENDED		(b) 1-5 WORKSHOPS ATTENDED	
	PERCENTAGE WITH KNOWLEDGE		PERCENTAGE WITH KNOWLEDGE	
	1st measurement (N=42)	2nd measurement (N=39)	1st measurement (N=95)	2nd measurement (N=82)
2.1	66.7	94.9	86.3	100.0
2.2	81.0	92.3	95.8	95.1
2.3	83.3	94.9	90.5	92.7
2.4	85.7	89.7	85.3	81.7
2.5	57.1	79.5	78.9	82.9
3.1	47.6	71.8	77.9	91.5
3.2	42.9	69.2	71.6	89.0
3.3	66.7	79.5	80.0	90.2
4.1	47.6	69.2	74.7	84.1
4.2	50.0	64.1	69.5	81.7
4.3	42.9	79.5	62.1	81.7
5.1	40.5	64.1	63.2	78.1
5.2	47.6	84.6	81.1	85.4
5.3	52.4	82.1	66.3	81.7
6.1	88.1	82.1	92.6	95.1
6.2	85.7	92.3	96.8	93.9
6.3	85.7	92.3	88.4	92.7
7.1	47.6	69.2	65.3	80.5
7.2	59.5	79.5	86.3	92.7
8.1	69.0	79.5	72.6	82.9

Explanation

Respondents with no prior workshop experience (31% of the total sample) were divided into two categories, those with knowledge and those without. In Table 8 (column (a) the percentage noted in each cell is the percentage of those with knowledge on that specific item out of the total who had no workshop experience. The percentages for both the first and second measurement are given. The respondents with prior workshop experience (69% of the total sample) were similarly divided. In column (b), the percentage reflected in each cell is the percentage of those with knowledge on that specific item out of the total who had prior workshop experience. The percentages for both the first and second measurement are given.

The analysis of the influence of attendance of workshops on respondents with knowledge, indicates that those respondents who have never attended workshops before, reverted more to "no knowledge" answers than those who have. That explains the lower percentages (i.e. those with knowledge) in the "no workshop" category. Subsequently, the percentage respondents with knowledge were much higher in the category of workshop attendance. In the first measurement this was the case in all the items or practically the same in the case of 2.4. In the second measurement it was evident that the percentage with knowledge of those who did not previously attend workshops were much higher in comparison with the first measurement in all the items except in the case of 6.1 (facilitation). In terms of the counts, this only represents 2-3 respondents. This was also the case with those who had prior workshop experience, although it did not occur in all the items namely 2.2, 2.4 and 6.2. The implication is that workshop information input most probably increases the level of knowledge to participate.

In what follows, the research findings are interpreted, conclusions drawn and recommendations made.

CHAPTER 8

CONCLUSION AND RECOMMENDATIONS

8.1 Overview of Study

The theme of this study is the practice of participatory democracy and its link to local development. The context is the current policy trend to consider the local authority as the core development agent. Governance is seen as a partnership between civil society and local state authority. The mechanism for linking democracy and development is the concept of integrated development planning. South Africa, a relatively newly formed democracy, has put legislation, political and social structures in place to support the transformation it intended. The question that remains and that is being researched in this study, is whether the IDP is a sincere attempt to install authentic participation on the part of the local community or is this another scheme for political expediency?

The West Coast Development Region (coinciding with the area of jurisdiction of the West Coast District Council) has been selected as a testing ground for this question. A number of preparations have been installed to put the post-1994 democracy into practice. The main reason however for choosing this region is the leadership taken by the WCDC to develop integrated development frameworks for the various local authority areas under its jurisdiction. A research opportunity was granted accordingly to investigate the integrity of the process of participation.

The study were conducted on the following assumptions:

- Peoples' views and knowledge levels will change after being exposed to information on the subject.
- Peoples' level of understanding will reflect their ability to participate in the process.
- People's ability to give an opinion about the process will be an indication of their understanding of it as well as their ability to really actively participate.

With these assumptions in mind, the aim of the study was to test if the method of installing democracy in this instance was successful. The hypotheses formulated to test this, are the following:

H1: The people who participate in the integrated development planning process are fully representative of all the citizens in the region.

H2: People gain information through the workshop process to empower them to make more informed decisions.

H3: People are informed about the process and participation is democratically sound.

The first hypothesis (H1) was tested through comparison of the profile of the people in the sample with that of the region's population as well as collecting data on their interest group and workshop experience.. The second and third (H2 & H3) were tested by determining the knowledge levels gained by the

workshops and the respondents ability to express an opinion as a result thereof.

8.2   Main findings of case study

The main findings of the West Coast Study are as follows:

- Pertaining to H1 (representation), the profile of the people who attended these workshops does not demographically reflect that of the population of the region. It does however represent the language ratio and include all age groups, both sexes, all ethnic groups as well as most of the interest groups that were indicated in the model of the PDC (1998) On face value, it appeared that a high percentage of governmental organisations were represented. When it is argued however that the majority of local authority representatives were probably councillors who are also part of civil society, it reflects a better representation of the latter. In the face of these arguments H1 can not be considered valid, but it does not compromise the validity of the study. It does however have implications for the future of the process. It appears that local authorities will have to clarify the nature of representation that will serve democracy. They might have to make a choice between the amount of effort they are going to pursue to ascertain a non-elitism representation and the efficiency of the process.

- A continued series of workshops and repeated attendance by the same participants provided the opportunity to practice

local democracy in aid of development planning. A main spin-off was that a fairly high level of information and knowledge (understanding) of the process of development planning evolved among the local people. In this instance, workshops constituted the heart of public participation. In testing H2 (empowerment), knowledge levels were generally high about all the aspects of the IDP process. Higher levels of knowledge were encountered in cases where respondents were subjected to prior informative and interactive workshops. It was found that peoples' knowledge levels changed significantly on most of the aspects after the workshop where the testing was done which implies that empowerment took place (See Table 6). The hypothesis (H2) that people gain information through the workshop process to empower them to make more informed decisions, is therefore valid.

- The workshops however do not necessarily affect civil society's opinion or perception about the development planning process. The aspects where the opinions changed significantly[9], reflected a positive attitude about their contribution and that they perceive their contribution as putting the control in the hand of the community. This can be interpreted as a reflection on the fact that people feel the process is democratically sound. On the other aspects fixed attitudes apparently do not change easily. Mostly these attitudes are positive but informal observations point to the fact that cynicism prevails in certain areas and among certain

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[9] See Table 7: "full opportunity to participate", "contributed", "part of process of budgeting" and "community is in control".

groups. Attendance numbers are low and interest in the process is dwindling. In reference to observations of workshop procedure, information dissemination was non-interactive except for clarification. This could have impacted on the fact that attitudes did not change significantly.

- The process followed by the West Coast District Council leaves no doubt that all mechanisms were put in place to create the most ideal situation for authentic public participation. This has a bearing on efforts to install sound representation through interest groups as well as the nature of information given to empower people to participate. The results of the first round of integrated development planning must be interpreted against the background of the multiple constraints faced by local authorities in the early stages of a newly passed policy. It is fair to say that pertaining to the H3, there is no reason to believe that the process was not democratically sound and it is considered as being valid. This does not mean that the next round should not be pursued with the necessary caution keeping in mind the fundamental limitations of the current local authority system to meet the requirements of policy as outlined in par 5.3.

The following conclusions can be drawn according to the interpretation of the main findings of this study:

The general conclusion is that the study has a bearing on the provincial and national process of Integrated Development Planning. In a recent provincial guide document, the importance of public participation in development planning is reiterated and

sanctioned by a number of legislation and policies as being part of the practice of democracy. (PAWC, 1999:59) In this directive, guidance is given on how to conduct public consultation. No indication is given of the type of problems that local authorities may encounter in the process. This study contributes to a better understanding of the problems (as the ones stated above) that can be expected during similar processes in the rest of the country. Measures can be taken to ensure that these constraints are overcome and/or prevented. Pertaining to this, the conclusions drawn, are the following.

➢ Representation and participation are invariably inter-linked as civil society should participate equitably if democracy is to be served through authentic participation. The equivocal character of this conclusion is reflected in the conflicting choice of a local authority to choose between the efficiency of the process and the empowerment of civil society and calls for clarification on this matter.

➢ The workshop as an instrument of information dissemination and participation contributes to higher levels of knowledge and subsequent empowerment of participants. Together with representation, clarification is needed on the most efficient content of as well as method of conducting these workshops.

➢ Despite extensive effort to ensure an ideal situation for authentic participation and subsequent democratisation, the policy embeds fundamental limitations that will have to be ironed out as the process evolves in forthcoming rounds.

8.3   Case Study Findings - Relation to Other Research

Other research has been or is being done about the implementation and outcome of Integrated Development Planning as an instrument of participatory democracy. A review, containing a series of case studies were done of eight municipalities in the Western Cape Province, some of them within the regional boundaries of the West Coast Region by Malan (1999). This study shows that municipalities have had little success to date in reaching intended policy outcomes, with the majority still pursuing a traditional approach to municipal planning and management. Three ideal-typical approaches are identified. One of these is the so-called governance approach that supports the content and findings of this study. The focus of this approach is on developing ongoing, iterative and participatory planning processes that deliver actual services, based on identified needs, that are targeted toward the poor. Malan recognises that a fresh approach is needed in local governance and suggests "re-invention" of methods. (Malan, 1999:9) In her study, she also indicates that participation in al the phases of the process is not practical. One of the issues that were identified, was that the line of authority between officials, councillors, public representatives and community organisations need to be clarified and different levels of decision-making should be acknowledged. (Malan, 1999:10) It was not clear from the West Coast experience in which of the phases of development planning public participation is necessary and on which level it should occur.

During April 1999, the Development Society of Southern Africa dedicated one track out of five over two days at its biennial conference to the issues of public participation and governance. [10]Papers pertaining to or supporting particular issues in my study from all round the country and abroad were presented at the conference. Louw (1999) referred to a similar process that was followed in the Orange Free State and recognised issues like the democratisation foundation of the process, representation, empowerment and local authority system limitations. The present study can therefore be considered as part of a wider and continuing research in the field of participatory democracy and local governance in Southern Africa.

An international conference with the theme "Public Participation and Innovations in Community Governance" was held at the [11]University of Luton, England in June 1999 that the author attended. Academics and practitioners from all over the globe attended and presented papers at this conference. Generally it was evident that the situation in South Africa is not unique and that local and regional authorities across the globe grapple with the same issues as portrayed in this study. My study relates strongly to studies forthcoming from the United Kingdom (for example, McLaverty, 1999) where decentralised local government is a very recent constituted model of governance. These studies reflected a multitude of similarities to the South

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[10]Examples are: David Pottie: Institutional relations and operational problems of local government in SA.; Hilde Opuku & Paul Opuku Mensah: Local government as a catalyst for sustainable development. The case of the Municipality of Trondheim, Norway. Also see Botes (1999); Malan (1999); and Louw (1999).

[11] The University of Luton has a Centre for the Study of Public Participation in its Department of Politics and Public Policy.

African situation. The instruments of public consultation there are written communication, voting and area committees. A paper by Peter McLaverty assessed the desirability of participation and supported the findings in this study with the following statements:

- People change their mind through participation.
- People feel better when they participate and develop personally.
- Participation must be part of a process and not a once off action.
- People must have a choice on how they want to participate. Voting is criticised because it lacks deliberation.
- Participation must be real and not manipulative.

(McLaverty, 1999:2-8)

Other countries presented different instruments of public participation for example [12]Spain that has citizen juries, the [13]Norway has neighbourhood councils and [14]Russia has civil voluntary organisations. Alternatives to the workshop or other instruments of participation in South Africa should be noted from these studies and its possible application on the South African situation. The research referred to in South Africa, including mine can be considered as an opportunity for comparative studies with those in the international academic arena.

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[12] Joan Font: 'Citizen Juries in Spanish Local Government: Analysis of Six Experiences'.
[13] Nils Aarssaether, Torill Nyseth, Asbjorn Roiseland: 'Neighbourhood Councils - Municipal Instruments of Grass-Roots Movement?'
[14] Boris Gousseletov: 'Civil Voluntary Organisations' Impact on Local Authorities and Activity in Contemporary Russia (The Urals' Region Experience)'.

8.4   Recommendations

The process of integrated development planning on the local level has entered its second phase currently.   The indications are that the process has established itself firmly and that it has raised expectations.   Simultaneously, indications are that interest in participating in the process is dwindling and needs to be regenerated. This could be observed in the low numbers of people who attended workshops as well as the gap in representation.   A new and fresh approach will have to be developed to reinstall interest that could promote more balanced representation and consequent participation.

The recommendations as a result of this study are as follows:

➢ The issue of representation should be reviewed, clarified and addressed by all local, provincial and national authorities to ensure that participation of all population and interest groups takes place. It is suggested that the role of councillors in identifying and motivating the relevant people to participate be explored.

➢ Further research is suggested to re-evaluate the process of public participation in local governance and researchers are challenged to pursue further studies in this area:

   • Focus should be on determining the level of participation and in which phases it should manifest.

- Special attention should be given to the notion of workshops as a method of consultation or alternative methods explored.
- Research should be furthered beyond the borders of South Africa as indicated above. It should be determined exactly what the construct and contents of these liaisons should be to ensure empowerment and authentic participation.
- A model should be designed to shape directives, policies and legislation and subsequently the implementation of the process.
- The recommended research should reflect a broader perspective and subsequently contribute to the generic principles of participation and democracy.

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Appendix A
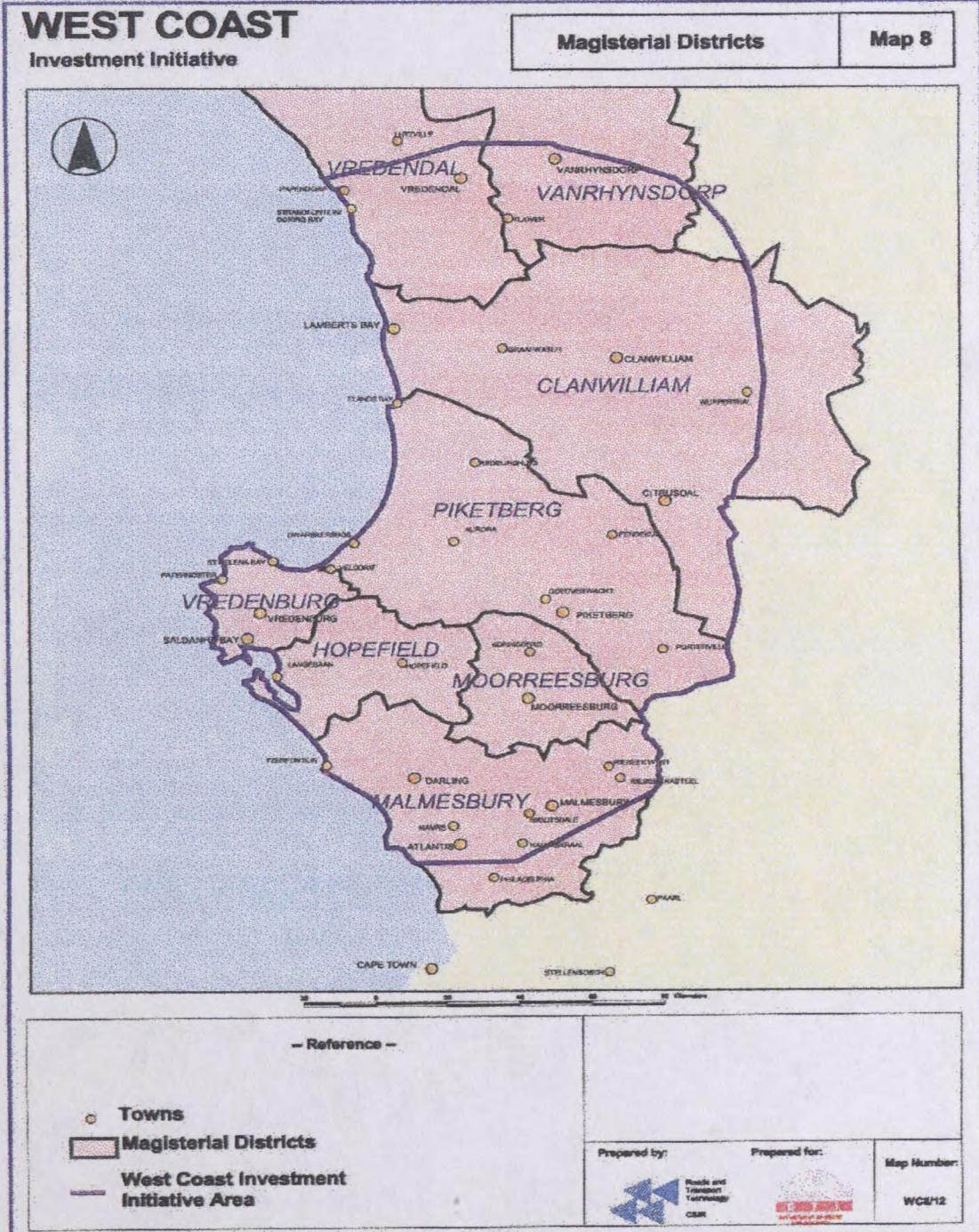
Appendix B

VRAELYS

Vir die implementering van navorsing oor Geïntegreerde Ontwikkelingsraamwerke in die Weskusgebied

Geagte Respondent

Die Department Sosiologie van die Universiteit Stellenbosch is besig met navorsing oor die verloop van die Geïntegreerde Ontwikkelingsraamwerk proses deur die menings van gemeenskappe te toets wat daarmee gemoeid is. Die Weskus is geselekteer as studie gebied. Die inligting sal gebruik word om die proses te evalueer en 'n publikasie daaroor uit te bring. Die resultate sal ook deel vorm van 'n nagraadse studie in Waarde en Beleid Studies. Die navorsers is Prof Cornie Groenewald en Me Antoinette Smith. U plaaslike owerheid sal waarskynlik baat vind uit die resultate vir die opstel van die volgende rondte van die raamwerke.

Dit sal waardeer word indien u die vraelys so volledig moontlik sal invul. U as persoon word nie deur u antwoorde geïdentifiseer nie en u vul ook nie u naam in op die vraelys nie. Daar word net van u verwag om sekere demografiese gegewens te verskaf en dan die daaropvolgende stellings te lees en EEN antwoord met 'n kruisie aan te dui. Daar is nie regte of verkeerde antwoorde nie. U moet net u eerlike mening oor die stelling aandui.

Baie dankie vir u gewilligheid om deel te neem.
Cornie en Antoinette

Stellenbosch University http://scholar.sun.ac.za

2

VANDAG SE DATUM			
GEOGRAFIESE GEBIED	Vredendal		
	Clanwilliam		
	Vanrhynsdorp		
	Piketberg		
	Moorreesburg		

VRAAG 1: Vul asseblief die volgende ten opsigte van uself in. Merk die toepaslike een met 'n kruisie.

OUDERDOM:	………………………			
GESLAG	Man		Vrou	
ETNIESE GROEP	Wit		Bruin	Swart
TAAL	Afrikaan	Engels	Xhosa	Ander

WATTER BELANGEGROEP IN DIE GEMEENSKAP VERTEENWOORDIG U?
…………………………………………

Hoeveel werkswinkels t o v die GOR het u al bygewoon sedert Oktober 1997? (vandag uitgesluit)

0	1	2	3	4	5

Die volgende vrae bestaan uit een of meer stellings oor 'n saak. U het 'n keuse uit VIER.

"JA" beteken u stem saam met die stelling.

"NEE" beteken u verskil met die stelling.

"ONSEKER" beteken u weet nie genoeg van die stelling om 'n standpunt te neem nie en

"WEET NIE" beteken u weet glad niks van die saak om te antwoord nie.

Merk net EEN by elke stelling.

	VRAAG 2: BYDRAE TO DIE PROSES	Wet nie	Ons eke r	Ja	Nee
2.1	Ek verstaan al die stappe en inhoud van die proses				
2.2	Ek het ten volle geleentheid gehad om deel te neem aan die proses.				
2.3	Ek het 'n bydrae gelewer tot die proses waar dit nou is.				
2.4	Ek was deel van die proses van begroting.				
2.5	My belangegroep se belang is gedien deur die deelname.				
	VRAAG 3: BEHOEFTEBEPALING				
3.1	Die gemeenskap het seggenskap gehad in die bepaling van die behoeftes				
3.2	Die proses het die werklike behoetes van die gemeenskap na vore gebring.				
3.3	Die gemeenskap sal voordeel trek uit hierdie proses.				
	VRAAG 4: BESLUITNEMEING				
4.1	Die gemeenskap het deel gehad aan die besluitneming ten opsigte van doelwitte.				

4.2	Die gemeenskap het deel gehad aan die besluitneming ten opsigte van beplanning.	We et nie	Ons eker	Ja	Nee
4.3	Die gemeenskap sa deel hê aan die besluitneming ten opsigte van implementering.				
	VRAAG 5: VERTEENWOORDIGING/VERANTWOORDELI KHEID				
5.1	Die groep wat deelgeneem het aan hierdie proses is verteenwoordigend van die gemeenskap.				
5.2	Die groep wat deelgeneem het aan die proses is verantwoordelik aan die gemeenskap.				
5.3	Die gemeenskap is in beheer van hierdie proses van Geïntegreerde beplanning en uitvoering – nie konsultante nie.				
	VRAAG 6: PLAASLIKE OWERHEDE AS ONTWIKKELINGSAGENT				
6.1	Die plaaslike owerheid is die instansie/liggaam wat die proses van ontwikkelingsbeplanning moet **fasiliteer**.				
6.2	Die plaaslike owerheid is die instansie/liggaam wat die proses van ontwikkelingsbeplanning moet **bestuur**.				
6.3	Die plaaslike owerheid is die instansie/liggaam wat die proses van ontwikkeling moet **implementeer.**				

	VRAAG 7: DIE AARD VAN DIE PROSES	We et nie	Ons eker	Ja	Nee
7.1	Hierdie proses van geïntegreerde ontwikkelingsbeplanning is uitsonderlik en bo die normaal.				
7.2	Hierdie proses van geïntegreerde ontwikkelingsbeplanning is normaal en behoort so te wees.				
	VRAAG 8: STAAT SE MOTIEF OOR GOR				
	Die staat is opreg in sy bevordering van deelname op die plaaslike vlak – daar is nie bymotiewe daarby nie.				

BAIE DANKIE VIR U DEELNAME