A CRITICAL ANALYSIS OF THE ROLE OF PUBLIC PARTICIPATION IN GOVERNANCE AND SERVICE DELIVERY WITH SPECIFIC REFERENCE TO THE BUFFALO CITY MUNICIPALITY

BY

NONDUMISO MAPHAZI

A RESEARCH THESIS SUBMITTED TO THE FACULTY OF ARTS AT THE NELSON MANDELA METROPOLITAN UNIVERSITY IN FULFILMENT OF THE REQUIREMENTS OF THE DEGREE: DOCTOR OF PHILOSOPHIAE IN PUBLIC MANAGEMENT

SUPERVISOR   :   PROF. DEREK TAYLOR

CO-SUPERVISOR   :   PROF. THOKO MAYEKISO

DATE   :   JANUARY 2012

ACKNOWLEDGEMENTS

DECLARATION

I, Nondumiso Maphazi, 2030882487 hereby declare that the thesis for Doctor of philosophy degree in Public Administration is my own work and it has not previously been submitted for assessment or completion of any post graduate qualification to another University or for another qualification.

NONDUMISO MAPHAZI

DEDICATION

This study is dedicated to my late parents, Welile and Nomsa Ranuga, for the solid foundation they laid for my success. I am what I am because of you, and I am still persisting on the path you indicated for me. To my late sister, Ncumisa ('Pori'), you contributed much to my development, and I miss you. All of you have served as inspirational sources in my life, and have played a part in my achievements. I am proud of you.

ABSTRACT

This study undertook a critical analysis of the role of public participation in local governance and service delivery, with specific reference to the Buffalo City Municipality. The main aims of the study were to identify possible deficiencies in public participation processes, the development of strategies to enhance public participation, the development of mechanisms to ensure coordinated, integrated and focused public participation initiatives and the development of a normative model for improved public participation. The triangulation research methodology was employed with emphasis on the quantitative and qualitative methodologies. The sample comprised of councillors, officials and ward committee members. Questionnaires, with open and closed questions, were employed for the councillors and focus group interviews were conducted with ward committee members. Statistical procedures were utilised to interpret and analyse the quantitative data to determine the results using the Statistica package for data analysis. The qualitative data analysis involved thematic content analysis.

Findings suggest that the current public participation strategies are inadequate. The correlation of results further reveals that a significant negative relationship exists between the councillors, officials and ward committee members. Despite various legislative prescriptions pertaining to public participation requirements in local government, the results imply that the Buffalo City Municipality has not fully complied with such prescriptions and national policy directives.

The thesis proposes specific recommendations on how the Buffalo City Municipality can address the current short comings in terms of its public participation programmes and strategies. Recommendations include the establishment of a centralised Public Participation Unit, the empowerment of ward committee members and ward councillors, adequate resource allocation for ward committees, enhanced coordination between the various community structures, improved interaction with local communities, enhanced public participation initiatives and the need for additional anti-fraud and anti-corruption strategies within the municipality. A normative model, for enhanced public participation in local government, is also proposed in the thesis.

TABLE OF CONTENTS

PAGE

CHAPTER ONE

CHAPTER TWO

HISTORY OF LOCAL GOVERNMENT IN SOUTH AFRICA

PAGE

CHAPTER THREE

CRITICAL ANALYSIS OF ROLE AND EVOLUTION OF PUBLIC PARTICIPATION IN SOUTH AFRICAN LOCAL GOVERNMENT

PAGE

CHAPTER FOUR

RESEARCH METHODOLOGY

CHAPTER FIVE

DATA ANALYSIS

CHAPTER SEVEN

RECOMMENDATIONS AND CONCLUSION

LIST OF TABLES

PAGE

LIST OF FIGURES

LIST OF ABBREVIATIONS/ACRONYMS

ANC	African National Congress
BCM	Buffalo City Municipality
CBO	Community-based Organisation
CBP	Community-based Planning
CDW	Community Development Workers
CFO	Chief Financial Officer
DPLG	Department of Provincial and Local Government
DPSA	Department of Public Service and Administration
IDASA	Institute for Democracy in South Africa
IDP	Integrated Development Plan
LED	Local Economic Development
LGNF	Local Government Negotiating Forum
MAD	Make A Difference
MFMA	Municipal Finance Management Act
MSA	Municipal Structures Act
MSA	Municipal Systems Act
PALAMA	Public Administration Leadership and Management Academy
PMS	Performance Management System
RDP	Reconstruction Development Programmes
SALGA	South African Local Government Association
SANCO	South African National Civic Organisation
SDBIP	Service Delivery and Budget Implementation Plan
TBVC	Transkei, Bophuthatswana, Venda and Ciskei
TLC	Transitional Local Council
TMC	Transitional Municipal Council
TRC	Transitional Rural Council

CHAPTER ONE

1.1   INTRODUCTION AND BACKGROUND TO THE STUDY

Generally there are accepted truisms in the Public Administration space that are also applicable to South Africa, namely the advent of democracy which heralds the notion of public participation and requires the active involvement of citizens in decision-making. In a nutshell, the consolidation of democracy refers to the institutionalisation of democracy. It is a process of deepening democracy through public participation. "It is a process of strengthening democratic institutions and allowing them to operate independently" (Breakfast, 2009:63). This research is meant to assess the status of public participation in the light of service delivery, with specific reference to local government. In a democracy, a constitution is a contract between the government and the people, which determines how they are governed. This people-centred focus is by and large also reflected in the system of government operating in the relevant country (www.clgf.org.uk). One of the key tenets of democracy is public participation. The post-apartheid dispensation in South Africa saw the development of a new pro-people Constitution that entrenched public participation in government processes. In terms of Section 152(1) and (2) of the Constitution of the Republic of South Africa, Act 108 of 1996, Constitutional obligations are conferred on local government to perform the following:

"152.(1)(a)   To provide democratic and accountable government for local communities;

(b)   To ensure the provision of services to communities in a sustainable manner;

(c)   To promote social and economic development;

(d)   To promote a safe and healthy environment; and

(e)   To encourage the involvement of communities and community organisations in matters of local government."

This Constitution heralded a new system of local government, mandated to also play a developmental role. Furthermore, in terms of the new status it became a sphere of government equal to the other two spheres, namely the national and provincial spheres. The enhanced status of local government augurs well for the future of democracy in South Africa, since local government is the sphere of government closest to the people.

The developmental role of local government can be fully realised only if the people, who are the true beneficiaries of development, take part in shaping their own destiny. In this regard, the White Paper on Local Government (1998) defines developmental local government as 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.

National government has since identified that local government needs assistance in achieving demonstrable change and accelerated capacity building to enhance service delivery. In this regard, national government launched Project Consolidate in October 2004 as hands-on support for local government to enable municipalities to fulfil their Constitutional obligation of delivering quality services. A survey was conducted among all 284 municipalities in the country to determine their capacity to function effectively. Initially, 136 municipalities were identified as needing support. Encouraged by the successes of Project Consolidate, government urged all municipalities to follow the principles of Project Consolidate in their day-to-day operations. In addition to service delivery, one of the key focus areas of Project Consolidate is to improve local governance. This implies not only a review of governance structures to improve their effectiveness and efficiency, but also a strong focus on public participation (Molefe & Dlamini, 2006).

Key local government legislation, which includes the Local Government: Municipal Systems Act 32 of 2000, makes provision for mechanisms, structures and systems to promote participatory governance. The Local Government: Municipal Structures Act 117 of 1998 introduced Ward Committees. All this enabling legislation has created an

environment conducive to public participation, in which people are encouraged to participate in decision-making processes. However, service delivery protests, which have become a feature of many South African towns and cities, are indicative that current public participation programmes may not be adequate. This points to the possibility that the aforementioned public participation systems, mechanisms and structures are either not effective in providing people with a platform to voice their views, or that municipalities have failed to sufficiently address the priorities identified by their communities. Other, underlying factors such as poor communication of the services delivered and political motivation may also have played a role in the protests.

It is against this background that the researcher proposes to embark on this critical analysis of the role of public participation in governance and service delivery, with specific reference to the Buffalo City Municipality, which is situated in the Eastern Cape Province of South Africa, to ensure that service delivery is enhanced and that South African local government becomes a truly democratic and responsive organ of state.

The Buffalo City Municipality has been selected as a case study, because it is both a local municipality and an aspiring metropolitan municipality, thus reflecting characteristics of both. Secondly, the jurisdiction area of the Buffalo City Municipality encompasses both rural and urban communities. The Eastern Cape is one of the poorest provinces in South Africa, while the rural element of the Buffalo City Municipality presents an opportunity to investigate how poor and marginalised communities can take part in shaping their own destiny by participating in planning and decision-making processes at the sphere of local government.

1.2   PROBLEM STATEMENT

This research proposed to critically analyse the role of public participation in governance and service delivery, with specific reference to the Buffalo City Municipality in the Province of the Eastern Cape, South Africa.

Among the concerns identified by the researcher were widespread and often violent service delivery protests at the local government sphere; a weak and ineffective Ward Committee system; lack of institutionalisation, monitoring and evaluation of public participation processes and programmes; limited public participation in key decision-making processes, such as the IDP and budget processes; absence of criteria to critically analyse the role of public participation in governance and service delivery; and failure to fulfil the constitutional obligations of democratising local government and providing effective and efficient services.

1.3   DEFINITIONS

Definitions of key concepts used in this proposal are outlined below:

1.3.1   Governance

Theron, Van Rooyen and Van Baalen (2000:29) define governance as a process in which power and authority is exercised between and within institutions in the state and civil society, around the allocation of resources. Therefore, it refers to the environment in which the government and its stakeholders interact.

1.3.2   Local Government

Cameron and Stone (1995:100) suggest that local government is the sphere that interacts most closely with citizens through service delivery and that can respond most speedily and effectively to local problems.

1.3.3   Developmental Local Government

The White Paper on Local Government (1998), defines developmental local government as government committed to working with the 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.

1.3.4   Sustainable Development

Sustainable development is development that meets the needs of the present generation, without compromising the ability of future generations to meet their own needs. Liebenberg and Stewart (1997:126) define it as a holistic development strategy that is multi-sectoral and that requires environmental, social and economic integration in order to ensure the long-term wellbeing of citizens.

1.3.5   Empowerment

According to Friedman (1992:33), empowerment is said to involve three kinds of power:

- **Social power** – Social power is concerned with the access of households to productive and reproductive resources, including skills, material goods, information and finance.
- **Political power** – Political power is concerned with the involvement of individuals in the decision-making processes that affect their lives. It is therefore not restricted to the power gained through formal elections only, but between elections as well.
- **Psychological power** – Psychological power describes an individual's sense of potency, based on the extent to which that person believes that he/she is able to influence the situation around him/her.

Davids, Theron and Maphunye (2005:21) state that the importance of empowerment as a building block of people-centred development in South Africa is illustrated by a statement in the White Paper on Reconstruction and Development (1994:8), to the effect that development does not entail the delivery of goods to a passive citizenry, but involvement and growing empowerment. This includes the participation of the previously disadvantaged sectors, especially women and other vulnerable groups.

1.3.6 Capacity building

Capacity building encompasses the country's human, scientific, technological, organisational, institutional and resource capabilities. A fundamental goal of capacity building is to enhance the ability to evaluate and address the crucial questions related to policy choices and modes of implementation among development options, based on an understanding of environment potential and limits, and the needs perceived by the people of the relevant country (http://www.tgci.com).

1.3.7 Integrated Development Plan (IDP)

In South Africa, an Integrated Development Plan (IDP) is a municipality's principal strategic planning document. Importantly, it ensures close co-ordination and integration between projects, programmes and activities, both internally and externally with other spheres of government. The IDP therefore ultimately enhances integrated service delivery and development and promotes sustainable, integrated communities, providing a full basket of services, as communities cannot be developed in a fragmented manner (Nelson Mandela Bay Municipality's Integrated Development Plan, 2008).

1.4 RESEARCH QUESTIONS

This research proposes to answer the following questions:

1.4.1 *What are the challenges facing local government, and the Buffalo City Municipality specifically, in terms of fulfilling its constitutional mandate of creating democratic, transparent and responsive governance?*

1.4.2 *Does the Buffalo City Municipality adequately budget for public participation?*

1.4.3 *How does the Buffalo City Municipality ensure that communication and public participation initiatives are aligned?*

1.4.4   *What are the key underlying causes of service delivery protests in Buffalo City?*

1.4.5   *Has the Buffalo City Municipality introduced community capacity development and awareness programmes to ensure that the community is educated regarding the role and operation of local government?*

1.4.6   *What policies, strategies and structures exist in the Buffalo City Municipality to promote and encourage public participation?*

1.4.7   *Do the IDP and Budget processes of the Buffalo City Municipality provide the public with sufficient opportunity to take part in their development, implementation and evaluation?*

1.4.8   *Are the public participation structures and programmes in the Buffalo City Municipality monitored and evaluated on an annual basis, to improve performance?*

1.4.9   *Does the Buffalo City Municipality have a functional Ward Committee system and do the Ward Committees meet on a regular basis?*

1.4.10 *Are the Ward Committees properly capacitated in terms of training, development and support (human resources and office equipment)?*

1.4.11 *Can suitable criteria to analyse the role of public participation in governance and service delivery be extracted from existing literature and used as guidelines to promote service delivery and the democratisation of local government?*

1.4.12 *Can a normative model for public participation that is universally applicable to all South African municipalities be constructed?*

1.5   ASSUMPTIONS

The study was based on the assumption that the Buffalo City Municipality, like other municipalities in South Africa, was confronted by numerous challenges with regard to effective public participation and service delivery, which is why it is experiencing widespread service delivery protests.

1.6   RATIONALE

Local government has been mandated by national government to provide residents with adequate basic services, such as water, electricity and sanitation. In addition, it has also been charged with the responsibility of ensuring that the public participate meaningfully in decision-making and planning processes at the local government sphere. Any failure on the part of local government to fulfil these obligations undermines the Constitution. The often violent service delivery protests in South African towns and cities over recent years indicate widespread dissatisfaction in local communities with service delivery and the level to which local government consults and involves them in planning and decision-making on important issues affecting them. If this situation is not addressed, the stability of the country could be prejudiced and investor and tourist confidence could be compromised.

Cloete (1997:12) states that, prior to 1996, the national government displayed scant interest in municipal affairs and contributed scarcely to the development of local government and administrative systems appropriate for South African areas. Although certain principles of developmental local government were conceived as early as 1995 through the Development Facilitation Act 67 of 1995, Chapters 2 and 7 of the Constitution of the Republic of South Africa, 1996 laid the founding principles of developmental local government in the country.

According to Shaidi (2007:2-3), the principles of developmental local government were later developed and shaped through, *inter alia*, the White Paper on Local Government, 1998, the Municipal Demarcation Act 27 of 1998, the Municipal Systems Act 32 of 2000, the Public Finance Management Act 1 of 1999, the White Paper on Municipal Services Partnerships, 2000, the Municipal Systems Act 32 of 2000 and the Municipal Finance Management Act 56 of 2003.

Shaidi (2007:3) further states that the principles of developmental local government include the following:

- Community and stakeholder participation in matters of local government.
- Consultation processes with communities at the sphere of local government.
- Integrated development planning which allows for community participation.
- Redressing of apartheid irregularities and imbalances that resulted from the segregated development policies of the apartheid era.
- The Batho Pele principles.
- Partnership agreements between the private sector, community organisations, non-governmental organisations and donor communities in the delivery of public goods and services.

From the above, it is clear that community participation in matters of local government is a Constitutional imperative and one of the challenges facing municipalities in South Africa. It also constitutes the core of developmental local government principles. Community consultation and participation to enhance local service delivery remain key major challenges facing municipalities and are prescribed in terms of Section B of the White Paper on Local Government, 1998.

A study of this nature could offer insights into and solutions to the major challenges relating to public participation and service delivery currently confronting South African local government.

This study comprised the following:

1.6.1   A presentation on the research methodology followed and how chapters are organised.

1.6.2   A theoretical background on the history of local government in South Africa.

1.6.3   A critical analysis of the role and evolution of public participation in South African local government.

1.6.4   Public participation: planning, budgeting and development.

1.6.5   An empirical survey involving the Executive Mayor, Mayoral Committee, Speaker, Ward Councillors, Ward Committee members and officials responsible for public participation in the Buffalo City Municipality.

1.6.6   The development of a normative model for public participation that can be used by the Buffalo City Municipality as well as other municipalities in South Africa.

1.6.7   The formulation of conclusions and recommendations on how best to deal with issues of public participation in governance and service delivery.

1.7   AIMS OF STUDY

Public participation in local government is a Constitutional obligation. It is also embedded in all current local government legislation in South Africa. It should therefore become a reality in all local government processes and practices. The section on the background and reasons for the study outlined deficiencies in the application of public participation in local government. The aims of this study were therefore as follows:

1.7.1   The identification of gaps and deficiencies in public participation processes in local government, with specific reference to the Buffalo City Municipality.

1.7.2   The development of mechanisms to enhance public participation in South African local government.

1.7.3   The development of mechanisms to ensure coordinated, integrated and focused public participation initiatives in South African local government.

1.7.4   Recommendations and lessons learnt to ensure that the public takes part in local government planning and decision-making, particularly with regard to service delivery.

1.7.5   The development of a normative model for public participation that can be used by the Buffalo City Municipality as well as other municipalities in South Africa.

1.8   LITERATURE REVIEW

As the sphere of government closest to the people, public participation is a vital prerequisite for the successful functioning of local government. It is also one of the key tenets of democracy. Public participation has become a buzz-word in local government. However, it is important that public participation in governance and service delivery becomes a reality, experienced and lived by all communities.

The literature review undertaken on this subject provided an opportunity for the researcher to critically analyse public participation inputs, outputs and impacts in planning and decision-making at the local government sphere. This exercise involved the review of the existing body of literature in the relevant discipline, which included books, journals, legislation and other research on public participation. Since the local government sphere and its operations are regulated by the Constitution of the Republic of South Africa, Act 108 of 1996, a legislative review was imperative.

1.8.1   What is public participation?

According to Burkey (1993:42), participation is a process of conscientisation. An analysis of this definition reveals the importance of communication in empowering people to participate in local government planning and decision-making processes. The Nelson Mandela Bay Metropolitan Municipality's Communications Strategy (2008 – 2012) defines communication as a two-way process that involves the constant flow of information by people for people. Effective and efficient communication is an integral part of service delivery, as well as a prerequisite for public participation.

According to Yadav (1990:87), public participation encompasses the following:

- Participation in the decision-making process.
- Participation in development programmes and projects.
- Participation in the monitoring and evaluation of development programmes and projects.
- Participation in sharing the benefits of development.

In South Africa, public participation is also a Constitutional obligation in terms of Section 152(1) of the Constitution of the Republic of South Africa, Act 108 of 1996, which lists the objects of local government as follows:

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

According to Tsatsire (2008:166), public participation is both a Constitutional and a legal requirement. A number of statutes promulgated after the 1994 democratic elections make provision for public participation. These are all underpinned by and based on possibly the most famous statement ever to emanate from South Africa, that is, the Freedom Charter.

1.8.2   Why is public participation important?

The key principle of the Reconstruction and Development Programme (RDP) is people-centred development. The RDP does not advocate the role of the state as delivering goods and services to a passive citizenry. Rather, it emphasises growing empowerment and reliance on the energies of communities. In support of this, Bekker (1996:75) states that citizen participation can serve as a means of converting dependants into

independants – that is, converting the poor from the passive consumers of services into the producers of those services, thereby benefiting both economically and socially by taking part in governing. This includes taking advantage of opportunities such as tendering for government contracts and forming co-operatives.

According to Pope (2000:247), an informed citizenry, aware of its rights and asserting them confidently, is a vital foundation for a national integrity system. An apathetic public that does not take part in governance provides a fertile ground for widespread corruption, fraud and maladministration. Furthermore, participation in government empowers citizens with information and the vital tools to shape their own destiny.

1.8.3   How can communities participate?

Tsatsire (2008:185) states that the new system of developmental local government provides scope for involvement in local governance by ordinary people. Such involvement could take various forms, including the submission of recommendations and complaints to the municipal council, access to information and a number of disclosures and declarations by both officials and politicians on matters affecting them directly.

Chapter Four of the Local Government: Municipal Systems Act 32 of 2000 provides for processes, mechanisms and procedures for public participation and the communication of information concerning community participation, notification of Council meetings and communication between Council and local communities. The public can also participate in local decision-making through their active involvement in the development and implementation of Integrated Development Plans, budgets and performance management systems.

A vital channel for public participation is the Ward Committee system. The Local Government: Municipal Structures Act 117 of 1998 makes provision for the establishment of Ward Committees. These institutionalised channels of communication

are representative of communities and complement and work together with Ward Councillors, who currently chair Ward Committee meetings.

Ward Committees are made up of not more than ten representatives and represent various special interests in a Ward. Ward Committees give community members the opportunity to express their needs and opinions on issues that affect their lives. Ward Committees are the essence of democracy, since they allow for participation on grass-roots level (www.capegateway.gov.za).

To promote and entrench democracy and public participation, the Nelson Mandela Bay Metropolitan Municipality introduced the concept of Ward-based Planning in the 2006/07 financial year, which encourages a bottom-up approach to planning, as opposed to the customary top-down approach. This approach also empowers communities, since selected community representatives receive relevant training, thereby ensuring that the knowledge gained can be ploughed back into the communities. Ward-based Plans form part of the Integrated Development Plan of the Nelson Mandela Bay Metropolitan Municipality (Nelson Mandela Bay Metropolitan Municipality's Integrated Development Plan, 2008).

Sections 53 to 55 of the White Paper on Local Government (1998) state that municipalities require public participation at four levels, namely –

(i)   As voters, to ensure maximum democratic accountability of the elected political leadership for the policies they are empowered to promote.

(ii)   As citizens, who express, via various 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.

(iii)   As consumers and end-users, who expect value-for-money, affordable services and courteous and responsive service.

Based on the above legislation, all municipalities are required to institutionalise community participation for it to be effective.

The public can also participate through public meetings such as *izimbizo's* (outreach programmes), customer care surveys and media participation. The key vehicle for public participation is the election process, where the public elect into office the government and representatives that uphold the values and policies that they wish to see implemented. Should the government of the day not honour the values and policies it propagated during the election process, it may not be returned to power at the next election. However, whilst elections are important, participation between elections is also important, hence the emphasis on the other public participation mechanisms as discussed above.

1.8.4   When should public participation be introduced?

Public participation should be an integral part of the planning, implementation, monitoring and evaluation of the delivery of government programmes. These programmes should be informed by the needs of communities, identified through ongoing community involvement and engagement. After implementation, monitoring and evaluation, communities should also be consulted to establish the impact of and their level of satisfaction with the programmes implemented. It can therefore be said that public participation is a continuous cycle and does not have a beginning or an end.

1.8.5   Principles around participation

According to the Communications Strategy of the Nelson Mandela Bay Metropolitan Municipality (2008–2012), public participation and communication can never be viewed as a matter of legislative compliance only; it lies at the heart of good corporate governance. In order to become a reality, public participation must be underpinned by *inclusivity; diversity; transparency; flexibility; accessibility; trust; accountability;* and *integration.* In the South African local government context, the *diversity* of the population

profile demands a good understanding of the differences associated with race, gender, religion, ethnicity, language, age, socio-economic status and sexual orientation. *Accessibility* – at both mental and physical levels – ensures that the participants in a public participation process fully understand its aims, objectives and methodologies, and are empowered to participate effectively. Finally, *integration* is vital: public participation processes must be integrated into mainstream policies and services, such as the IDP process and service planning.

1.9 THEORETICAL FRAMEWORK

According to Sen (1999), improving service delivery requires a new praxis, a more flexible approach, which builds on existing processes. This assumes that it is useful to learn from what works contextually, while at the same time aspiring for the larger freedom that sustainable development implies. According to McLennan (2007), delivery is political, because it implies the use of institutionalised power through the state to ensure the effective management of resources for development. It involves complex relationships between the stakeholders and the distribution and utilisation of power and authority networks, with legitimate resource distribution and development. In this way, delivery is also linked to development and the politics of achieving equitable and sustainable growth (McLennan, 2000).

The notion of the developmental state includes to some extent the more traditional understanding of the state that drives development through regulation (Leftwich, 2000). However, in South Africa, the development state is also seen as a strong administrative state, that is, a state that can deliver on its promised mandate and, more specifically, a state that benefits the poor and marginalised (Levin, 2004).

It can be argued that as South Africans strive to overcome the social, economic and political challenges caused by the policy of separate development and its psychological impact, the concept of development has been refined and the term "integrated, people-centred development" has become important (Davids, Theron & Maphunye, 2009:18).

Following South Africa's first democratic election in April 1994, government policy reflects an integrated, people-centred development approach and a commitment to promoting a democratic, non-racial and non-sexist society (White Paper on Reconstruction and Development, 1994:7), characterised by integration between the decision-makers from the public, private and voluntary sectors and the intended beneficiaries, the community.

Kotze (1997:36) states that the principles of people-centred development, formulated as the building blocks of developmental local government, that is, public participation, social learning, empowerment and sustainability, feature strongly in the integrated, people-centred approach advocated by the Reconstruction and Development Programme. According to Kotze (1997:37), public participation became part of the development lexicon during the late 1960s and early 1970s. Initially, the idea of public participation was not well received by the governments of most developing countries, because it was perceived as a threat to their existence. Today, however, public participation cannot be separated from the people-centred development approach, which is particularly relevant in the context of developmental local government in South Africa (White Paper on Local Government, 1998). According to Davids *et al.* (2009:19), public participation should be understood in the sense of participation in the decision-making process, participation in the implementation of development programmes and projects, participation in the monitoring and evaluation of development programmes and projects, and sharing the benefits of local development.

The above should be viewed against the background of the importance of, *inter alia*, the Integrated Development Plan (IDP), Local Economic Development (LED) and Public-Private Partnerships (PPPs), which form an integral component of the new developmental mandate assigned to local government in South Africa and which places additional responsibilities on municipalities in terms of promoting and enhancing public consultation and participation initiatives.

1.10   RESEARCH METHODOLOGY

1.10.1   Research design

This study employed both quantitative and qualitative research methodologies. Denzin and Lincoln (2000:391-392) refer to this approach as methodological triangulation and further describe methodological triangulation as using more than one research method within one study. Duffy (1987:133) states that methodological triangulation provides richer data by possibly exposing information that may have remained undiscovered if a single approach had been used.

The quantitative research design used in this study was meant to generate important information from the target sample. Quantitative research is perceived to be objective in nature and involves examining, and concentrating on, measuring the phenomena being studied. It involves the collection and analysis of numerical data and the application of statistical tests (Tonono, 2008:40). Quantitative research is more focused and aims to test assumptions, whilst qualitative research is more exploratory in nature. Quantitative research concerns aspects that can be counted. One of its most common disciplines is the use of statistics to process and explain data and to summarise research findings. In general, quantitative research is concerned with systematic measurement, statistical analysis and methods of experimentation (Fox & Bayat, 2007:7).

Dzimbo (1995:17) states that the qualitative research method is referred to as the interpretative ethnographic model of social science research, because it focuses on understanding the people deriving meaning from their world. According to Badenhorst (2008:92), qualitative research relies on data in the form of words; researchers seek meaning in human action. These researchers depend on description to express their data. However, Badenhorst (2008:23) holds the view that this does not mean that quantitative researchers cannot interpret their data for meaning or that qualitative researchers cannot use statistics to argue a point. What it does imply, is that the

research project carries a consistency that extends from being primarily based in a qualitative or quantitative paradigm (Badenhorst, 2008:23).

1.10.2   Population and sampling

According to Cooper and Schindler (2003:179) and Babbie and Mouton (2003:100), a population constitutes the entire collection of elements or groups in respect of which inferences must be drawn. The sample for the proposed study was drawn from the following:

- Members of the Mayoral Committee (10);
- Ward Councillors (45);
- Ward Committee members (225);
- Heads of Department (8); and
- Officials responsible for public participation strategies in the Buffalo City Municipality: a total of seven.

As members of the Mayoral Committee (10) and Ward Councillors (45) fall into the category of local government councillors, it was proposed that they would form Group A for the purposes of the empirical survey. The members of Mayoral Committees were full-time Councillors and each Ward Committee comprised ten members, as prescribed in terms of the Local Government: Municipal Systems Act, No. 32 of 2000. The 45 participatory Ward Councillors represented the 45 wards in the area of jurisdiction of the Buffalo City Municipality. They were all part-time Councillors directly elected by their respective communities (Wards) in the geographical area of jurisdiction of the Municipality. Data was collected from this group using the quantitative research method. A questionnaire was used as a research instrument. The questionnaire comprised three sections, divided as follows: Section A required biographical information; Section B consisted of brief statements, using the Likert Rating Scale and a number of open-ended questions. Section C comprised a SWOT analysis.

Ward Committee members are the link between the Ward Councillor and the community and their primary function is to inform the Ward Councillor of community needs. Ward Committee meetings are chaired by the respective Ward Councillors, as prescribed in the Systems Act 32 of 2000. For the purpose of this study, the 225 Ward Committee members formed Group C of the empirical survey; again, the numbers were prescribed by the Systems Act, 32 of 2000. With this group (C), the researcher intended to have focus groups, as Ward Committee members are the representatives of the communities who are the beneficiaries of local services. Accordingly the qualitative research methodology would be followed with this group. Semi-structured interviews are guided conversations, in which broad questions are asked, which does not restrict the conversation and new questions are allowed to arise as a result of the discussion. It was proposed that four questions be put to each and every focus group in this category.

The eight Heads of Department and seven officials from the Buffalo City Municipality who were involved in strategies to enhance public consultation and participation formed Group A of the empirical survey. This group included appointed career officials required to implement the resolutions of the Councillors comprising Group A. The quantitative approach was followed with this group, using the same questionnaire as Group B (the Councillors).

Before the fully-fledged questionnaire was implemented, a pilot study was undertaken, using a convenience sample in order to enable the researcher to eliminate any ambiguous areas or questions, to refine the questionnaire and to gauge the standard of the questions.

1.10.3   Data collection instruments

1.10.3.1 Questionnaire

Data for the proposed study were be collected from groups A and B through a self-administered questionnaire consisting of the following two main sections:

Section A: Biographical particulars from the respondents, including occupational categories, educational qualifications, mother tongue, age and gender.

Section B: Pertaining to administrative and institutional capacity to promote public participation and service delivery, the level of public participation in decision-making, community involvement in the IDP and budgeting processes, public participation initiatives and programmes, the resourcing thereof, and service delivery protests. Use was made of both close-ended and open-ended questions.

The researcher trained and made use of two research assistants to distribute and collect the questionnaires. The questionnaires were distributed by hand and electronically. The participants were given 15 days to complete the questionnaire. If necessary, an extension was granted. The completed questionnaires were put in envelopes, which were then sealed to ensure confidentiality.

1.10.3.2 Documents to be reviewed

The researcher reviewed a number of documents for the purpose of the study. These included relevant books, journals and other publications on the topic of community participation, local service delivery and policy formulation at the local sphere of government. A review and analysis of a variety of "developmental" local government legislative prescriptions were also embarked upon. Legislation consulted, included, but was not limited to, the White Paper on Local Government, 1998, the Batho Pele White Paper, the Municipal Planning and Performance Management Regulations of 2001, the Structures Act 117 of 1998, the Systems Act 32 of 2000, the Municipal Financial Management Act 66 of 2003, and the 1996 Constitution. Additional information was also obtained from a review of the Buffalo City Municipality's Integrated Development Plan (IDP), any by-laws on public consultation, minutes from Council and Standing Committee meetings and any other official policy documents on public participation strategies formulated by the Municipality. Finally, a review of applicable periodicals,

theses, published and unpublished material, newspaper articles, and other key municipal documents, as well as internet searches was undertaken.

1.10.4 Data analysis

The data interpretation and analysis undertaken, consisted of the following:

- Determining relative values pertaining to the established criteria that emerged from the literature study and empirical survey and transforming such data into codified form and capturing it in a computer database;
- Statistical procedures utilised to interpret and analyse the quantitative data to determine the results; Statistical package was utilised for data analysis, including percentage and frequency of occurrence.
- The qualitative data analysis involved thematic content analysis.

1.10.5 Model development

Based on the literature study and empirical research, a model for public participation was developed for municipalities in South Africa.

1.11 ETHICAL CONSIDERATIONS

Babbie and Mouton (2003:520) contend that ethical issues arise out of interaction with other people, other beings (such as animals), and the environment, especially where there is potential for, or is, a conflict of interests. The aforementioned authors further explain that ethical conduct entails conforming to the standards of conduct of a given profession or group. It can be clearly seen that, fundamentally, ethics is concerned with morality, that is, with what is right or wrong.

In this study, the researcher observed the principles, ethics and procedures of dealing with humans in the process of searching for the truth. Below are the fundamental principles the researcher adhered to:

- Respect for persons or voluntary participation;
- Non-malfeasance (do no harm to others);
- Beneficence (do good to others);
- Confidentiality (Babbie & Mouton, 2003:523).

Participation was on a voluntary basis; respondents had a right to refuse to take part. Secondly, the researcher was given permission by the Executive Mayor and Municipal Manager of the Buffalo City Municipality to conduct the research. Thirdly, the researcher reassured respondents of the confidentiality of their participation.

1.12   LAY-OUT OF THE REPORT

This thesis comprises seven chapters:

Chapter One – Introduction and background to the study**.**

Chapter Two – History of local government in South Africa.

Chapter Three – A critical analysis of the role and evolution of public participation in South African local government.

Chapter Four – Research methodology.

Chapter Five – Results and discussion

Chapter Six – Development of a model for public participation.

Chapter Seven – Conclusion, limitations and recommendations**.**

CHAPTER TWO

HISTORY OF LOCAL GOVERNMENT IN SOUTH AFRICA

2.1   INTRODUCTION

This chapter seeks to present an overview of the history of local government in South Africa and the establishment of developmental local government. The roots of local government can be traced back to early tribal villages and primitive communities. It is often referred to as the third tier of government, the first and second tiers being the provincial and national government (Cloete, 1995:1). The legal framework of local government is derived from the Constitution of the Republic of South Africa, Act 108 of 1996. In terms of Section 151 of the Constitution, local government is recognised as a distinct sphere of government with both legislative and executive authority. According to Heymans and Totemeyer (1998:2), local government is a decentralised representative institution with general and specific powers devolved to an identified restricted geographical area within a state. It is clear that local government is the crucial and critical sphere of government for effective and efficient service delivery.

Local government in South Africa has gone through various stages of restructuring and transformation. These structural changes were, to a large extent, influenced by the political changes that took place at provincial and national levels of government. Major changes occurred from 1994, following the demise of the apartheid regime and the establishment of contemporary democratic government. This meant that all apartheid structures throughout the country had to be dismantled and replaced by structures that were more acceptable in a democratic, non-racial society (Cloete, 1995:3-6). This fundamental transformation saw the erstwhile over 1200 racially based local authorities, four provincial administrations and ten Bantustans being replaced by 284 democratically elected municipalities, nine provinces and a strong national government, which was forced by the crisis that was taking place in local government (Pieterse, 2002:9-15).

The idea was to form bigger and more viable municipalities and to ensure that some of the previously disadvantaged areas were incorporated into the better resourced areas, so that the former could also benefit from the available resources, thereby narrowing the gap between those who have and those who do not have in terms of development. Local government in South Africa is composed of three categories of municipalities, namely metropolitan, district and local municipalities.

Below is an overview of history and legislative framework of local government in South Africa.

2.2   LOCAL GOVERNMENT IN SOUTH AFRICA FROM 1948 – 1993

The historic norm in South Africa was racial segregation and firm control of the influx of Black citizens into cities (Pieterse, 2002:25). Before the advent of democracy, local government structures in South Africa were based on race. The local authorities created during the apartheid era were based on the four main racial groups. The "White" local authorities were generally well represented, resourced with superior facilities and services and well established with vibrant business and industrial areas, while the local authorities serving the Coloured, Indian and Black population were inferior, with poor facilities, as they were being prevented from developing to their full potential (Cloete, 1995:2). Urban Blacks were particularly dissatisfied with the apartheid system; which dissatisfaction manifested itself in massive protests at local government level.

The downtrodden masses intensified their struggle for freedom, demanding democratic, non-racial local authorities and the redistribution of resources among communities. They refused to pay for municipal services; forcing many Councillors to resign. This led to the total collapse of Black local government structures. All this culminated in local government negotiations, which resulted in the promulgation of the Local Government Transition Act, 1993 (No. 209 of 1993), which paved the way for the transformation process that followed in local government. The former homelands of Transkei, Bophuthatswana, Venda and Ciskei (TBVC) were reincorporated into South Africa

(Cloete, 1995:3-6). The transformation of local government initially took place in three phases, namely the pre-interim, interim and final phases (Cloete, 1995:7). The importance of these three phases will be discussed elsewhere in this chapter.

South African local government structures have generally been designed to reproduce the urban system, in accordance with the policy objectives of the government of the day, as can be seen from legislative prescriptions contained in, *inter alia*, the various Constitutions that South Africa has had. Racial segregation, the influx control of Blacks into urban areas and the disenfranchisement of certain racial groups characterised the history of local government during the Apartheid era.

According to Ismail, Bayat and Meyer (1997:42), apartheid local government had many distinct features, such as strict control over the urban population, partly in an attempt to stem the tide of "illegal" Black migration; the racial segregation of settlements; racially divided local authorities; and racial disparities regarding access to services and housing. Policies perpetuated the differentiation of structures and systems according to race or population group. For example, "White" local authorities served Whites; while Management Committees served the Coloureds and Indians (Local Affairs Committees served the Indians in Natal). Black local authorities served the Africans. These apartheid policies significantly influenced the development patterns of local authorities throughout the country.

2.3   RACIALLY BASED LOCAL GOVERNMENT DURING APARTHEID ERA

2.3.1   White local government institutions

With the establishment of the Union of South Africa in terms of the South African Act, 1909, each of the then four provinces (Cape, Natal, Orange Free State and Transvaal) already had its own system of municipal authorities. The Republic of South Africa Act (No. 32 of 1961) provided for the establishment of the municipal government that already existed in the four provinces. The local authorities that existed in White urban

areas continued under the control of provincial authorities (Cloete, 1988:239). According to Cameron (in Ismail *et al.,* 1997:52), when the National Party came to power in 1948, municipal voting rights and electoral eligibility were extended to Whites only in the then Transvaal and Orange Free State Provinces. In the Cape and Natal Provinces, Coloureds and Indians were on a similar legal footing and appeared on the same voters' roll as Whites, if they met the voting qualifications. However, the system of electoral representation was based on the ownership of property of a certain value. This criterion served to restrict the eligibility to vote of the majority of Coloureds and Indians. Cameron (in Ismail, *et al.,* 1997:49), states that in 1961 the Niemand Committee of Investigation was instructed to investigate the development of local government for urban Coloureds. The Committee's recommendations resulted in the following:

- The creation of Consultative Committees consisting of nominated members with advisory powers only, functioning under the guidance of the White local authority of the area in which they were geographically situated.
- The establishment of Management Committees, with some members being elected and others nominated, entrusted with advisory powers. However, in addition to these advisory powers, certain powers could be delegated by the "parent" White local authority.
- Granting fully-fledged municipal status to the Management Committees, equivalent to that of the White local authorities. Before this could take place, they should have been specially appointed to become local authorities. Certain essential prerequisites, such as sufficient revenue, trained staff, minimum area size and the capacity to be geographically consolidated, had to be fulfilled before such a step could be taken.

According to Cameron (1989:131-132), Local Affairs Committees were established in the former Natal Province, instead of Consultative and Management Committees. These Local Affairs Committees enjoyed greater powers than the Management and Consultative Committees. As corporate bodies, they could sue and be sued and,

furthermore, greater executive powers could be delegated to them by their "parent" White local authorities.

From 1964 onwards, Management Committees and Local Affairs Committees were established on a large scale. Their administrative staff complements were, however, employed by the White local authorities in their specific areas.

The areas of jurisdiction of both the Local Affairs and the Management Committees resembled those of Black Local Affairs Authorities. They were characterised by few or no rates-generating commercial, industrial and mining areas, as well as by low-ratable, low-cost housing, a shortage of trained staff, and ill-suited appointments in vacancies. In Black suburbs, little attention was paid to everyday spatialities, such as home environment and the social construction of living space, contrary to what was happening in White cities, in which all these aspects enjoyed exaggerated attention, with, ample parks, libraries, schools and public facilities provided (Zegeye & Maxted, 2003:1).

Caulfield and Schultz (1993:4) state that local authorities draw their legitimacy from the results of elections. The electorate should, therefore, not be treated as an incidental feature of local government, but as an essential component of the institution, legitimising the value choice. The electorate is the prime organisational characteristic that distinguishes a public institution from all other organisations in South African society. The fact that this key characteristic of democracy was being denied to Black South Africans, meant that the local government structures that existed during the Apartheid era lacked legitimacy. The deepening of democracy is dependent on the participation of citizens in civil society and a political system. Moreover, such participation must be inclusive of all members of society.

Heymans and Totemeyer (1998:2) define legitimacy as a normative concept, referring to the positive response of the public to the moral basis of government. This response, in turn, depends on a number of factors, such as the viability and credibility of local government, its representivity, fairness, equality, sensitivity, and accountability. It may,

therefore, be concluded that a public institution is usually regarded as properly elected through democratic mechanisms. Under the former Nationalist government, the Black majority of the South African population did not have the vote. Consequently, they never accepted the former Nationalist government, or many of the powers that were entrenched in the Interim Constitution of the Republic of South Africa (No. 200 of 1993).

When the Republic of South Africa Constitution Act, 1983 (No. 110 of 1983), was passed, a new structure of government was introduced with three "own affairs" Houses of Parliament, namely the House of Assembly for Whites, the House of Delegates for Indians, and the House of Representatives for Coloureds. However, local government and administration remained under the Provincial Government Act, 1986 (No. 69 of 1986). The Department of Constitutional Development and Planning then became responsible for some aspects of local government affairs (Cloete, 1988:239-240).

2.3.2   Coloured and Indian local government institutions

The Group Areas Act, 1950 (No. 41 of 1950), which subsequently became the Group Areas Amendment Act, 1957 (No. 77 of 1957), provided for the policy of separate development in urban areas. Naudé (2001:15) deemed the Group Areas Act as one of the most notorious of Apartheid legislation, legislating the residential segregation and compulsory removal of Africans from urban areas. This Act was repealed by the Group Areas Act, 1969 (No. 36 of 1969), which provided for the establishment of Consultative Committees for Coloureds. These were advisory bodies to be consulted by the White local authority concerned. Consultative Committees could develop to become Management Committees, which could be given certain powers and functions by the relevant White local authority. The Management Committees could eventually become fully-fledged local authorities. Only one Coloured area ever reached that status. The aim of creating these structures (Consultative and Management Committees) for Coloureds was to enable them to be well versed in local government and administration in urban areas (Cloete, 1988:244-246).

Indians were treated in the same manner as Coloureds under the Group Areas Act, 1966. However, in Natal, the local government structures introduced for Indians were Local Affairs Committees (Cloete, 1988:247). Craythorne (1997:6) maintains that "… the consequences of the establishment of a management or local affairs committee is that the residents of the area concerned may no longer be voters for the election of municipal councillors, but that from then on, they may only vote in elections for members of these committees, that is their franchise is restricted to a particular group area".

2.3.3   Black Local Authorities

Separate development legislation classified South Africans into different racial groups and then devised separate structures of governance. The Black Urban Areas Act of 1923 (No. 21 of 1923) provided for segregated urban areas. African communities fell under the jurisdiction of Black local authorities. These structures were beleaguered from their inception due to inefficiency, graft and collaboration with the interests of Whites (Shubane, 1991:59). Through this Act, Black Advisory Committees were appointed to advise the White local authorities responsible for administering townships. These Advisory Committees had no policy-making powers themselves; all decisions were made by the White local authorities, in conjunction with the then Department of Native Affairs, later renamed the Department of Co-operation and Development.

According to Reddy (1997:54), in terms of the Group Areas Act, Blacks were not allowed to own property outside of the so-called homeland areas. In the rest of South Africa, they were treated as temporary visitors; their presence in urban areas therefore involved temporary living arrangements only. Blacks were not allowed to vote in these urban areas, because they were required to exercise their political rights in their homelands. The basic services provided to Black townships were also of a temporary, sub-standard nature. This meant that urbanisation at that time was not properly acknowledged and managed, which explains the current problems surrounding

urbanisation and poor infrastructure and service delivery in South Africa's formerly disadvantaged urban areas (Tsatsire, 2001:28).

The presence of Blacks in urban areas was dependent on their contribution to the urban economy. Blacks, who had no formal employment in urban areas, were not allowed to stay in such areas. According to Naudé (2001:12), the Group Areas Act of 1950, one of the most notorious cornerstones of apartheid legislation, promoted racial residential segregation. The homelands were generally poor and saddled/confronted with high unemployment. This forced economically active people to seek employment in urban areas, robbing the homelands of economically active inhabitants. Despite the oppression experienced by the urban Blacks living in townships, many of them preferred to remain in urban areas, because the living conditions were better than in the homelands. The homeland economies were not growing; no jobs were being created; and the few that were available constituted cheap labour (Reddy, 1997:54).

The result was a steady influx of Blacks into South Africa's urban areas. Despite attempts to keep the Blacks out, the number of urban dwellers was swelling; the presence of Blacks in White urban areas could no longer be ignored. Although the then National Party government finally acknowledged the permanent nature of Blacks residing in urban areas, it was still resolute to keep urban areas separated along racial lines. In 1950, the government passed the Group Areas Act (No. 41 of 1950). This Act instituted strict residential segregation and the compulsory removal of Black people to "own group" areas.

Separate residential areas were created for the different population groups. The then government insisted that urban areas populated by different population groups should be governed and administered separately, even if they were located close together and municipal services overlapped or were duplicated. This greatly concerned the democratic movements at the time and whilst they continued with their resistance, they took time to draw a picture of the ideal South Africa they were striving for. In 1991, the Interim Measures for Local Government Act (No. 128 of 1991) was passed, creating

space for the participation of statutory and non-statutory bodies in the Local Government Negotiation Forum (LGNF), which gave birth to the Local Government Transitional Act (No. 209 of 1993), which laid the basis for the evolution of the local government system (Buhlungu & Atkinson, 2007:5).

According to Tsatsire (2008:37), in 1961, Urban Bantu Councils were established in terms of the Urban Bantu Councils Act 1961 (No. 79 of 1961), replacing the Advisory Committees. Although they were in many respects similar to the Advisory Committees, the White local authority in charge of a particular township could delegate powers to the relevant Urban Bantu Council. Until 1971, Black local government affairs were administered by White local authorities. They were then placed under various boards, which were first called Bantu Affairs Administration Boards and offered the option of becoming urban Bantu Councils, and later Development Boards (except those in national states and self-governing territories).

Although these Councils were later given certain administrative and executive powers, the key areas of taxation and finance were still reserved for the White local authorities. All these Boards were abolished in terms of the Abolition of Development Bodies Act, 1986 (No. 75 of 1986). Black local authorities were similar to White local authorities. Craythorne (1990:6-7) states that the Provincial Administrator could establish a city or town committee, and determine the number of Councillors to be elected as members of that local authority who had a franchise to vote. Both the Councillors and voters had to meet certain criteria laid down in the Black Local Authorities Act, 1982 (No. 102 of 1982).

According to Pieterse (2002:25), the crisis in local government was a major force leading to the national reform process that began in 1990. Civil organisations were established in the townships to galvanise and steer community resistance to the policies of the former government. The South African National Civics Organisation (SANCO) was the most dominant and powerful of such civic organisations. In an effort to quell uprisings and civil resistance in townships, the government introduced Black local

authorities. It was the civics who launched the rent and services boycotts, thereby ensuring that no revenue would be forthcoming from townships, rendering the affected municipalities largely unviable, ungovernable and unsustainable. The Black Local Authorities Act of 1982 (No. 102 of 1982) facilitated the introduction of Black local authorities for Black communities in urban areas. The four Provincial Administrators that existed at the time in the Cape, Orange Free State, Transvaal and Natal Provinces were given the responsibility of administering and controlling these local authorities. However, policy directives were still given to the Black local authorities by the central government, in the form of legislation (Tsatsire, Taylor, Raga & Nealer, 2009:136).

Historically, local government revenue in urban South Africa was largely self generated, mainly through property taxes and the delivery of basic public services to residents and businesses. This particularly suited the White municipalities, which had small populations to serve and large concentrations of economic resources and tax bases. Racial regulations barred most retail and industrial developments from Black areas. This limited tax base forced residents and retailers to spend most of their money in White areas. Municipalities in Black areas were, therefore, deprived of the means to meet the needs of local residents.

Black local authorities were beset with difficulties right from their inception. Firstly, they lacked political legitimacy among Blacks themselves. In addition, they were beset with fiscal inadequacy problems, since they did not have a proper tax base. Without an adequate tax base, the Black local authorities were automatically rendering inferior and substandard services. They were generally rejected by the Black population, as was manifest in violent activities and community mobilisation in the mid-1980s (Tsatsire, 2001:28).

Ismail *et al.* (1997:52) comment that there were no visible improvements in living conditions in South African townships, due to the absence of reliable tax bases. No businesses wanted to invest in the townships; in effect, they were discouraged by the former government from doing so. The rent and service charges boycotts initiated by

numerous township communities in response to politically "illegitimate" institutions such as local authorities further compounded the financial problems of these local authorities.

In the 1980s, the former government attempted to prop up the collapsing Black local authorities and ease the escalating political tensions by redirecting funds to disadvantaged areas. A system of *ad hoc* intergovernmental grants was developed to channel resources to the collapsing townships. Regional Services Councils and Joint Services Boards were established to channel funds to the Black areas. However, this did not put an end to community resistance, but further inflamed the increasingly politicised communities. This rejection of Black local authorities led to popular uprisings in townships all over South Africa (www.polity.org.za/article/localgovernment html).

Realising that the racial separation of urban areas was unrealistic and needed to be abandoned, the government passed the Abolition of Racially Based Land Measures Act (No. 108 of 1991). This Act removed restrictions on the freedom of individuals to acquire land anywhere in South Africa. In an attempt to create an integrated local government system, the government introduced the Interim Measures for Local Government Act 1991 (No. 128 of 1991). However, pressure from both Black communities and the international community escalated. The changes proposed by this Act were viewed as largely cosmetic by the African National Congress (ANC) and SANCO. They argued that the arrangement to create integrated local authorities would never lead to truly non-racial and democratic local government.

2.4   TRANSFORMATION OF LOCAL GOVERNMENT IN SOUTH AFRICA

The transformation of local government in South Africa has brought about the democratic dispensation in South Africa. As society is constantly changing and adapting to changing circumstances, a government has to institute reforms to accommodate such changes, when required (Cloete, 1995:1). The Constitution of 1996 was crafted to achieve the transformation of the local government system that existed in South Africa.

The initial national debate about the future of South African local government took place in the Local Government Negotiation Forum, which mainly comprised the two major conflicting parties, namely the National Party and the African National Congress in 1993. This Forum negotiated finances and services, allowing for the writing off of arrears, as well as the acceptance of the Local Government Transitional Act 1993 (No. 209 of 1993). The Act defined the transition and transformation of local government, but did not provide a blueprint for developmental local government (Cloete, 1995:2).

The Act made provision for three phases in the transformation of local government, viz:

- The pre-interim phase (from 1993 to 1995).
- The interim phase (from 1995 to 1999).
- The final phase (from 1999 to the local government elections of 5 December 2000) (Cloete, 1995:3).

2.4.1   Pre-interim phase

During this phase, negotiations took place between various local authorities established by the former apartheid regime along a racial basis. The discussions focused on the integration of such bodies into one single local authority for a specific area. The negotiations culminated in the formation of Transitional Local Councils and Transitional Rural Councils. These structures would effectively take over the functions of existing municipalities (Local Government Transitional Act (No. 209 of 1993: Sec v (8). This phase began in February 1994 and lasted until December 1995, when Transitional Local Councils were established. This phase was characterised by the racial profiling and determination of all municipalities in South Africa, resulting in the creation of approximately 1200 municipalities. A prominent feature of this phase was the division between statutory and non-statutory members. New and inactive organisations that were not involved in the past represented the non-statutory group, which comprised the ANC aligned members (Cloete, 1995:12).

2.4.2   Interim phase

The interim phase commenced in November 1995 in seven provinces and in May and June 1995 in the Western Cape and KwaZulu-Natal provinces respectively. At the beginning of the interim phase, transitional structures were established. The phase ended in December 2000, when democratic municipal councils were elected, based on a common voters' roll, the Constitution of the Republic of South Africa, 1996 (No. 108 of 1996); the Municipal Electoral Act, 2000 (No. 27 of 2000); and the Local Government: Municipal Structures Act, 1998 (No. 117 of 1998).

During this phase, the Local Government Demarcation Act, 1998 (No. 27 of 1998) provided for the establishment of the Local Government Demarcation Board, which consolidated the old municipal boundaries. As a result, the number of municipalities was reduced from 1200 to 843 (Steytler, 2006:187). The newly established interim structures were in the form of Transitional Local Councils (TLCs) and Transitional Municipal Councils (TMCs) for urban areas and Transitional Rural Councils (TRCs) for rural areas. There were also District Councils to perform functions assigned to them by acts of central government. Sixty percent of the Councillors were elected on a Ward basis, and forty percent through proportional representation.

2.4.3   Final phase

The third and final phase of the transformation of local government in South Africa is not mentioned in the Local Government Transition Act, 1993, but would, according to Cloete (1995:6), be regulated by the 1996 Constitution. Section 155 of the Constitution of the Republic of South Africa, 1996, provides for the implementation of this phase. With the publication of the White Paper on Local Government (March 1998), the focus on local government shifted from transition to transformation (Craythorne, 1997:11).

This signalled the official start of a deliberate legislative and transformation process, anticipated to last three years, up to the 2000 Local Government Elections. Local

government is, therefore, both the most complex and the newest sphere of government in South Africa. The new structure of local government was finalised by the Municipal Demarcation Board as recently as mid 2000, with the first democratic Local Government Elections taking place on 5 December that same year. According to Bekink (2006:27), in order to facilitate the transformation of local government, the Constitution of the Republic of South Africa (No. 108 of 1996) mandated national government to enact laws in order to facilitate the new municipal dispensation.

In 1997, the then Ministry of Provincial Affairs and Constitutional Development initiated a policy formulation process for the final local government system. The conference that took place in 1997, parliamentary debates and public hearings and the 18 months of consultation culminated in the development of the White Paper on Local Government in March 1998. According to the then Minister of Local Government and Traditional Affairs, Mr Valli Moosa, this White Paper could be regarded as the constitution of local government in South Africa, and this White Paper gave birth to developmental local government.

The White Paper on Local Government (1998) was a forerunner to two key pieces of legislation on local government, namely the Local Government: Municipal Structures Act (No. 117 of 1998) and the Local Government: Municipal Systems Act (No. 32 of 2000). It became clear that local government could not deliver on its new mandate with the then structures and systems; hence the need for these two Acts. The Local Government: Municipal Demarcation Act (No. 27 of 1998) had already set new boundaries creating a wall-to-wall system of inclusive viable municipalities (Constitution of South Africa, 1993, Section 151(1)).

The Local Government: Municipal Structures Act of 1998 provided a legal framework for the amalgamation of municipalities, resulting in the reduction of the number of municipalities from 843 to 284. This culminated in the so-called wall-to-wall municipalities, which fall into three distinct models, namely:

- *Category A:* Metropolitan Municipalities are defined as large urban areas with high population density. They have exclusive municipal executive and legislative authority.
- *Category B:* Local Municipalities exist in smaller cities and towns. They share legislative and executive authority with Category C.
- *Category C:* District Municipalities cover a wider geographic area than local councils and have legislative and executive authority in an area with more than one municipality, through powers vested in them by Section 155 of the Constitution of the Republic of South Africa, 1996 (No. 108 of 1996). District Councils enable better regional planning and bulk infrastructure (www.localelections.org.za/municipality)

Within the 284 municipalities South Africa, for the first time, six Metropolitan Councils were formed, namely:

- Johannesburg Metro.
- Pretoria (now Tshwane Metro).
- Ekurhuleni.
- Ethekwini Municipality.
- Nelson Mandela Bay Metropolitan Municipality.
- Cape Town.

2.5 STATUS OF LOCAL GOVERNMENT

According to Section 151 of the Constitution of the Republic of South Africa (No. 108 of 1996), the local sphere of government consists of municipalities. The executive and legislative authority of a municipality is vested in its municipal council. The municipality has the right to govern, on its own initiative, the local affairs of its community, subject to national and provincial legislation, as provided for in the 1996 Constitution. However, national and provincial government may not compromise or impede a municipality's ability or right to exercise its powers or perform its functions. The above provision in the

Constitution positions local government as an independent sphere of government, interrelated and interdependent with national and provincial government. According to the South African Yearbook (2002/2003:35), the formal recognition of local government in the Constitution as a separate sphere of government has enhanced the status of local government as a whole, as a new, dynamic instrument to deliver services by the structure closer to the people.

The transformation continued with the adoption of the Local Government: Municipal Systems Act (No. 32 of 2000), which detailed developmental local government as espoused in the White Paper on Local Government, 1998. Developmental local government will be outlined in the paragraphs that follow.

2.6 DEVELOPMENTAL LOCAL GOVERNMENT

2.6.1 Introduction

The transformation of South African local government, as in the preceding paragraphs discussed above, has a number of important implications. The first implication is that the status of local government has changed: it has been given more responsibilities; structures have had to change to suit these new responsibilities; planning has had to be integrated and be developmental; and municipal performance has had to be measured and judged by the municipality itself, by residents, and by both the Provincial and National governments (Section 155 of the 1996 Constitution). Another added responsibility and requirement includes the need for local government to be self-sustaining so as to be developmental. This has been followed by greater insistence that local government should improve its financial management, budgeting and other credit controls within a framework of acceptable accounting standards and principles (Local Government: Municipal Finance Management Act No. 56 of 2003).

The closeness of local government to the areas where needs are felt, means that it is strategically located to perform its mandate of providing basic services to communities,

as a first step towards developing such communities in South Africa. The effectiveness of municipal governance institutions is a precondition in order to reap the benefits of decentralisation. National government cannot render certain basic services to all residents, because of the vastly different needs from locality to locality. It is here where local government fits in the governing structures, since it is in the ideal position to determine the needs of local communities (Heymans & Totemeyer, 1998:17).

Cloete (1995:7) sees local government as the management and administration of local authorities in order to regulate and promote the activities of such communities.

According to Craythorne (1997:70), the purpose of local government is twofold:

- Administrative; and
- Provision of services.

The delivery of basic services greatly assists in poverty eradication and community development (Turok & Watson, 2001:119).

Local government is now also expected to render limited free basic services to community members who cannot afford to pay for such municipal services through the Assistance to the Poor Programme, targeted at households whose monthly gross income is R2000, which is minimum living level. On a monthly basis, these community members receive 6 kl of water, 50 kW of electricity and free refuse collection, as per the 2000 Election Manifesto of the ruling ANC government. This Manifesto views access to basic services as universal and a constitutional requirement (ANC Manifesto: 2000 elections). As part of its developmental role, local government is expected to form a partnership with its communities, as indicated by the new definition of a municipality, which focuses on municipal structures and community consultation and participation.

These requirements will be dealt with in more detail in the next chapter, which deals with public community participation. Furthermore, local government cannot fulfill its

mandate without a partnership with the Provincial and National governments. Section 156 of the 1996 Constitution positions local government as an independent sphere of government, interrelated to and interdependent on the national and provincial governments.

2.6.2   Developmental Local Government Defined

Section B of the White Paper on Local Government (1998) defines developmental local government as 'local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of lives'. The emphasis is entirely on the developmental nature of local government as a sphere of government that improves the lives of communities. Legislative changes to governmental systems after 1994 give a very different meaning to the concept of local government. Raga and Taylor (2005:246) state that the term developmental local government encapsulates a new mandate, which will be intrinsic to the developmental role local authorities, are required to perform.

The main aim of developmental government is to promote the economic and social development of communities. The first task of developmental local government is to overcome the injustices of the past, to clean the urban slate, and to open opportunities for integrated holistic planning. The Municipal Systems Act mandates that all municipalities must ensure that all communities have access to basic services; that communities participate in decision-making and planning, that the local economy grows; that jobs are created; and that the available resources are utilised effectively to improve the quality of life of everyone.

2.6.3   Role of Developmental Local Government

Section 23(1) of the Local Government: Municipal Systems Act (No. 32 of 2000) presents the following vision of developmental local government, as envisaged in the Constitution of the Republic of South Africa, Act (No. 108 of 1996):

"A municipality must undertake developmentally orientated planning so as to ensure that it –

- strives to achieve the objectives of local government set out in Section 152 of the Constitution;
- gives effect to its developmental duties as required by Section 153 of the Constitution. "

As stated in Chapter One of the White Paper on Local Government (1998), developmental local government is government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives.

The South African Local Government Association (SALGA) has expressed concern that there appears to be a lack of common understanding, both within and outside local government, of what developmental government really means. It argues that being developmental means that local authorities need to shift their focus from infrastructural services to social and economic development. This implies a shift from an emphasis on service delivery to the impact of service delivery outputs on the quality of life of communities. SALGA argues that this approach necessitates the formulation of a corporate development strategy that is not just the sum of the service delivery objectives or individual functions, but represents a set of decisions or choices about what interventions need to be made within a municipality's external environment to produce the desired development impact (www.hologram.org.za).

The Constitution of the Republic of South Africa, Act (No. 108 of 1996) further commits government to take reasonable measures, within its available resources, to ensure that all South Africans have access to adequate housing, health-care, education, food, water and social security. The White Paper on Local Government (1998:59) cautions that the reality of South African cities, towns and rural areas differs dramatically: many

communities are still divided; and millions of South Africans live in dire poverty, isolated from services and opportunities. The previous local government system did little to address the greatest needs of South Africans, while the current system has not yet been able to reverse these long-standing patterns of inequality and unmet human needs.

2.6.4 Legislative framework for development of Local Government in South Africa

2.6.4.1 Constitution of the Republic of South Africa (No. 108 of 1996)

The preamble of the Constitution sets the tone for development by emphasising the need for the "improvement of living conditions of all citizens". The South African Constitution in its preamble states that South Africa shall be "a democratic and open society in which government is based on the will of the people …." According to Currie and De Waal (2001:27), the Constitution also advocates inclusivity in that it envisages the establishment of a South African society based on democratic values and social justice. It has laid the foundation for citizen protection by law. Section 152 of the 1996 Constitution posits local government as a critical development agent by the constitutional objects and developmental duties of local government. Significantly, Chapter 7, Section 153 states that municipalities must be managed and structured in such a way that their budget and planning give priority to the basic needs of communities in order to facilitate and promote social and economic development.

The next document, which gave birth to developmental local government in South Africa, is the White Paper on Local Government, 1998.

2.6.4.2 White Paper on Local Government, 1998

The 1998 White Paper on Local Government took its lead from the 1996 Constitution of the Republic of South Africa (No. 108 of 1996) in implementing a new form of

developmental local government. The White Paper on Local Government, 1998, is a broad statement of government policy that lays the basis for the transformation of existing local government (Williams, 2003:5). Sections 15 and 16 of the 1998 White Paper refer to municipalities as a necessary vehicle for the implementation of policies and programmes and stipulate that they must play a developmental role by committing themselves 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".

In terms of its developmental contribution, this piece of legislation is a comprehensive plan that advocates a more accountable government for all South Africans. The aim is to link development, delivery and democracy. As the perceived role of local government is to build local democracy, municipalities are required to continuously engage citizens, business and community groups in a participative manner.

Local government legislation has had two consistent themes: the developmental role of local government in planning, implementing and monitoring; and the obligation imposed on local authorities to consult with their stakeholders in the performance of their tasks. SALGA (1998:54) acknowledges the importance of participation in local government by stating that in order to reconstruct and develop South Africa, there is a need for popular participation. According to Houston (2001:211), the White Paper on Local Government, 1998, requires municipal programmes to encourage public involvement in planning and service delivery.

Another Act that provides for developmental local government is the Local Government: Municipal Demarcation Act (No. 27 of 1998). An overview of this Act is presented below.

2.6.4.3   Local Government: Municipal Demarcation Act (No. 27 of 1998)

The rationale behind this legislation was that the existing municipalities were based on irrational settlement patterns and were therefore disempowered to plan and provide in

the basic needs of their communities. In determining the new municipal boundaries, the Demarcation Board, as provided for by the above Act, took into consideration the following criteria:

- The mobility of the people, that is, where they stay and work.
- Factors related to the promotion of integrated areas and avoiding sprawl and fragmentation.
- The state of administration and financial capacity of the municipality to perform.
- Land use management.
- Topographical, environmental and physical characteristics.
- Function boundaries, namely voting, police, health, magisterial and census boundaries.

The Demarcation Board reduced the number of municipalities in South Africa from 843 to 284. The Demarcation Board came up with three different categories of municipalities, as presented below.

(a)   Category A – Metropolitan Municipalities

Metropolitan municipalities are characterised by a conurbation encapsulating areas of high population density, extensive development, massive economic activity and sparse settlement patterns; with strong interdependent social and economic linkages. These municipalities are relatively large and centered in certain cities in South Africa, and have exclusive authority to administer and make rules in their areas. The former National Minister of Local Government had the responsibility to determine the nodal points for metropolitan municipalities. Such determination was based on:

- population distribution in urban areas;
- employment distribution and employment structure in urban areas; and
- location pattern and movement.

(b)   Category B – Local Municipalities

Local municipalities are smaller, stand-alone towns with minimal population intensity and economic activities. These local municipalities exist in smaller cities and towns and share authority with the District Municipality in which they fall.

(c)   Category C – District Municipality

District municipalities contain, integrate and coordinate service delivery over a contingent of several local municipalities across a wider geographical extent. These municipalities have the authority to make rules in geographical areas wider than one local council. For example, Buffalo City is one of the municipalities in the Amathole District Municipality.

2.6.5   Characteristics of developmental local government

According to Rothchild (1994:54), local government has three essential characteristics:

- A set of local authorities or institutions with a separate autonomy and a legal status distinct from the central government.
- Power to raise revenue and to spend it on the discharge of its functions.
- Power of local institutions to make decisions as responsible organs in their own right and not as an extension of the central government.

In terms of the White Paper on Local Government (1998:38-42), developmental local government has four interrelated characteristics, namely:

- Maximising social development and economic growth.
- Integrating and co-ordinating.
- Democratising development.
- Leading and learning.

The four characteristics of developmental local government, as stated in the White Paper on Local Government (1998), are explained in detail below.

2.6.5.1   Maximising social development and economic growth

The powers and functions of local government should be exercised so as to maximise their impact on the social development of communities, particularly in meeting the basic needs of the poor and stimulating the local economy. To achieve economic growth, a municipality should play an active role in guiding local economic development by mobilising the available resources through the adoption of a Local Economic Development Strategy that will focus on supporting small medium and micro enterprise development and business retention, expansion and attraction (International Republican Institute and National Business Initiative, 1998:07). Local government is responsible for rendering quality services and should redistribute wealth through its preferential supply chain policies and progressive taxation policies.

Local government is expected to provide an environment conducive to investment, growth and prosperity. In addition, local government can initiate new policies and programmes, aimed specifically at alleviating poverty and enhancing job creation. Furthermore, the sphere of local government is a significant employer of people, thereby providing jobs as well.

Local government must also promote social development through arts and culture related activities, the provision of recreational and community facilities, and the delivery of aspects of social welfare services, in collaboration with the Provincial Department of Social Development. Municipalities should engage in programmes that focus on the empowerment of marginalised and disadvantaged groups, which is a critical contribution to social development. Municipalities should also seek to provide an accessible environment for people living with disabilities, so as to facilitate their autonomy and independence (Rogerson, 2000:399).

2.6.5.2   Integrating and coordinating

The importance of coordination and integration in government is underscored in Section 41(i)(h) of the 1996 Constitution of South Africa, which provides that all spheres of government and all organs of state within each sphere must co-operate with one another in mutual trust and in good faith. At municipal level, the desired co-ordination and integration can be achieved through Integrated Development Plans (hereinafter referred to as IDPs), which constitute powerful tools for municipalities to facilitate integrated and coordinated service delivery within their localities. According to the White Paper on Local Government (1998:6) a municipality should be able to create an environment in which development planning can be implemented effectively.

Local government should therefore establish coordinating structures, systems and processes to regulate joint planning. Sector departments from both national and provincial departments, parastatals, the private sector and other stakeholders can and should play a meaningful role in IDPs. Municipalities therefore need to work closely with other spheres of government and service providers and assume an active integrating and coordinating role (Centre for Scientific and Industrial Research, 2002 online).

2.6.5.3   Democratising development, empowering and redistributing

Democratising development is concerned with the involvement of the communities in matters of local development. It is about community participation. Ababio (2007:273) states that community participation has a variety of meanings. It could, on the one hand, describe the relationship between local government and the community, while, on the other hand, it could describe the extent to which a community influences decisions that affect their wellbeing. The Constitution requires local government to structure and manage its administration, budgeting and planning to prioritise the basic needs of the community and promote the social and economic development of the community (McIntosh, 1995:9).

The Municipal Structures Act of 1998 institutionalises citizen participation in local government through the establishment of Ward Committees to ensure active participation by communities in matters of local government. Raga and Taylor (2005:247) explain that Ward Committees are key mechanisms through which municipalities can communicate with local communities; they serve as links between communities and councils, and one of their foundational objectives is to enhance participatory local government. The Municipal Systems Act of 2000 further prescribes that local communities should be encouraged to participate in matters that pertain to the preparation of their municipality's performance, preparation, implementation and review of the IDP.

2.6.5.4   Leading and learning

Local government operates in a global and ever-changing environment. New and unique challenges arise from time to time because of the globalised nature of contemporary societies. These changes impact on local communities and local government should, therefore, be innovative and become learning institutions. Nel and Binns (2003:165) comment that a key feature of the late twentieth and the early twenty-first centuries is the apparent re-definition of the role and place of the city within national and global economics, as necessitated by global imperatives.

Developmental local government requires that municipalities become more strategic, visionary and ultimately influential in the way they operate. Municipalities have a crucial role as policy-makers, as thinkers and innovators, and as institutions of local democracy. A developmental municipality should play a strategic policy-making and visionary role and seek to mobilise a range of resources to meet basic needs and achieve developmental goals (White Paper on Local Government, 1998).

2.7 INTEGRATED DEVELOPMENT PLAN

In terms of the White Paper on Local Government (1998:27), IDPs are key planning and strategic frameworks to help municipalities fulfill their developmental mandate. They ensure the alignment of resources with objectives, the integration of planning, the prioritising of essential aspects, sustainability, the prioritising of poverty alleviation and the utilisation of scarce resources where they will make the greatest impact on improving the general welfare of society. The fact that they are reviewed annually, during which process new priorities are identified, makes them incremental, relevant and responsive to changing environments and circumstances. According to Bekink (2006:497), Integrated Development Plans have been introduced to local government planning processes in order to encourage municipalities to develop plans to address their developmental role with regard to community needs.

The Local Government: Municipal Systems Act 32 of 2000 defines the IDP as a "single inclusive and strategic plan" that:

(a)   links, integrates and coordinates a municipality's sector specific plans;

(b)   aligns the resources and capacity of the municipality to its overall development objectives;

(c)   forms the policy framework on which annual budgets rest; and

(d)   informs and is informed by similar development plans at national and provincial developments plans.

The main purpose of IDPs is, therefore, to enhance service delivery and fight poverty through an integrated and aligned approach between different roleplayers and stakeholders.

2.7.1   IDP Legislative Framework

The Constitution of the Republic of South Africa (No. 108 of 1996), states that a municipality must:

- "structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community and to promote the social and economic development of the community; and
- participate in national and provincial development programmes."

It is, therefore, imperative that IDPs prioritise key community needs through an integrated approach. National and provincial IDP hearings and engagements assist in integrating and aligning plans between the three spheres of government and also ensure that credible IDPs are developed.

In terms of the Local Government: Municipal Systems Act (No. 32 of 2000), each and every municipality must develop and adopt a single, inclusive and strategic plan for its development, which must be aligned with the plans of surrounding municipalities and other spheres of government. The Municipal Finance Management Act (later referred to as the MFMA) makes provision for the alignment of the IDP and budget through the Service Delivery Budget Implementation Plan (SDBIP). The IDP is the strategic plan for the organisation; it is, therefore, essential that the budget supports its objectives. The SDBIP is a one-year detailed plan providing Key Performance Indicators and Targets that are linked to the Key Performance Areas reflected in the IDP. Quarterly targets are identified in the SDBIP, and these are monitored and reported upon accordingly. The performance management of the institution therefore measures the implementation of the SDBIP.

2.7.2   Core components of IDP

Section 26 of the Local Government: Municipal Systems Act (No. 32 of 2000) lists the core components of integrated development plans as follows: –

"An integrated development plan must reflect –

- the municipal council's vision for the long term development of the municipality with special emphasis on the municipality's most critical development and internal transformation needs;

- an assessment of the existing level of development in the municipality, which must include an identification of communities which do not have access to basic municipal services;

- the council's development priorities and objectives for its elected term, including its local economic development aims and its internal transformation needs;

- the council's development strategies which must be aligned with any national or provincial sectoral plans and planning requirements binding on the municipality in terms of legislation;

- a spatial development framework which must include the provision of basic guidelines for a land use management system for the municipality;

- the council's operational strategies;

- applicable disaster management plans;

- a financial plan, which must include a budget projection for at least the next three years; and

- the key performance indicators and performance targets determined in terms of section 41."

Development has to be sustainable, which will reflect a process that meets the needs of present generations, without compromising the ability of future generations to meet their own needs. It is multidimensional and encompasses complex interactions between economic, social, political and environmental issues. It represents a development

framework that makes the reduction of poverty, the goal of full employment and the fostering of a stable, safe and just society the overriding objectives of developmental policy and interventions (South African Human Development Report, 2003:5).

2.8 TOOLS AND APPROACHES FOR DEVELOPMENTAL LOCAL GOVERNMENT

The White Paper on Local Government (1998:26) puts forward three interrelated approaches that can assist municipalities in becoming more developmental. These are:

- (a) Integrated developmental planning and budgeting.
- (b) Performance management.
- (c) Working together with local citizens and partners.

2.8.1 IDP and budgeting

The introduction of IDPs represents a fundamental departure from previous local authorities' governance and planning practices. Thus, integrated development planning involves new and complex governance and planning processes for local authorities. Local authorities are therefore obliged to involve civil society organisations in the formulation of budgetary planning and developmental priorities (Houston, 2001:207-208).

IDPs should inform all other key institutional policy documents, including the Budget and the Service Delivery and Budget Implementation Plan (hereinafter referred to as SDBIP). An IDP is a municipality's principal strategic planning instrument. In addition, the IDP ensures horizontal and vertical co-ordination and integration across the three spheres of government and provides a platform for community and stakeholder participation in the planning processes of municipalities. As the key guiding planning documents of municipalities, it is important that IDPs be credible and realistic.

The SDBIP comprises two layers. The upper layer is the one that must be presented by the Executive Mayor for approval within 28 days of passing of the budget to Council and be made public after approval. Once this is done, no targets may be changed without Council approval (MFMA, Circular No. 13, 31 January 2005).

The lower layer applies to directorates and forms the basis of their performance plans and agreements. This layer consists of additional indicators that support the indicators in the upper layer. The lower layer is the responsibility of the Executive Directors and Directors, who develop it in consultation with their staff. Legislation does not require lower layers to be approved by the Executive Mayor or Council (MFMA, Circular No. 13, 31 January 2005).

The IDP should have achievable targets and deliverables that can be periodically measured, monitored and evaluated through the implementation of a credible performance management system

2.8.2   Performance management

In terms of the White Paper on Local Government (1998:31), performance management is critical to ensure that plans are being implemented, that they are having the desired developmental impact, and that resources are being used efficiently. Increased pressures to control excessive spending and for the devolution of power to lower levels resulted in new demands for local government to be held accountable to the electorate and therefore for results based budgeting and results orientated public administration (Poister & Gregory, 1999:325). It is a strategic approach to management that equips leaders, managers, workers and stakeholders at different levels with a set of tools and techniques to regularly plan, implement, continuously monitor, periodically measure and review the performance of an organisation in terms of indicators and targets for efficiency, effectiveness and impact. This means that the performance on IDPs is constantly assessed to ensure effective and efficient service delivery to local citizens

and the effective participation of citizens in government processes (http://www.local.gov.za).

Performance management for local government is part of a government-wide attempt to promote and develop a performance culture and ethos in the Public Service. The White Paper on Local Government (1998) extended the Batho Pele vision to local government by proposing the development of a performance management system.

Much as there are clear guidelines to manage performance, in the empirical space out there, this is not happening. Local governments are replete with mismanagement and under-performance. It is this disjuncture between intention and implementation that bedevils relations, and results in service delivery protests.

The Local Government: Municipal Structures Act (No. 117 of 1998) and the Municipal Systems Act (No. 32 of 2000) were developed to further the vision of the White Paper on Local Government (1998), which includes the development and implementation of an effective performance management system (Government Digest, September 2003). Section 19 of the Municipal Structures Act 117 of 1998 stipulates that a municipal council must annually review:

- the needs of the community;
- its priorities to meet those needs;
- its processes for involving the community;
- its organisational and delivery mechanisms for meeting the needs of the community; and
- the overall performance in achieving the objectives set out in Section 152 of the Constitution.

The Local Government: Municipal Systems Act (No. 32 of 2000) also creates an enabling framework for the core processes of planning, performance management, community participation, resource mobilisation and organisational change (Government

Digest, September 2003). Chapter Six of the Municipal Systems Act (No. 32 of 2000) outlines the core components of a performance management system. Key performance indicators are statements that describe the dimensions of performance that are considered key when assessments and reviews are undertaken (http://www.local.gov.za).

2.8.3   Working together with local citizens and partners

The IDP is the official mechanism and framework within which local authorities harness public participation. Through the IDP, local authorities can give expression to participatory democracy. The Local Government Municipal Systems Act of 2000 encourages the involvement of local communities through consultation, to ensure that each and every member has equitable access to services. To achieve the general goal of local government – the attainment of a satisfactory quality of life – encouraging people to develop their own physical and mental abilities is essential (Gildenhuys, 1997:44). This is a kind of personal development that can take place only if a favorable atmosphere is created and equal opportunities are developed without external 'threats and constraints' to the personal environment of communities.

Reddy (1999:209) suggests that in terms of the developmental approach, local government, as a prerequisite to development planning, should form partnerships with "citizens, groups and communities to create sustainable human settlements in order to seek their fundamental goals in meeting social, economic and material needs in an integrated manner". These approaches, according to Reddy (1999:210), are as follows:

➢   To execute municipal powers and functions in such a way as to increase the impact on social development and economic growth.

➢   To integrate and co-ordinate public and private investment in jurisdiction areas.

➢ To build social capital by providing community leadership and vision and to empower the disadvantaged and excluded groups, including women and the youth (Reddy, 1999:210).

These challenges specifically focus on development outcomes, with a call for the representation of all citizens. Attempts should therefore be made by municipalities to promote the participation of all its communities in the IDP.

2.9 EXPECTED DELIVERABLES OF DEVELOPMENTAL LOCAL GOVERNMENT

In terms of the White Paper on Local Government (1998) the key deliverables that developmental local government seeks to achieve are as follows:-

2.9.1 Provision of household infrastructure and services

Local government renders the direct services that are needed for survival. These include the provision of infrastructure such as roads, water, electricity and sanitation. Apart from the fact that basic services are a constitutional right, these services are needed to promote the wellbeing of individuals. Furthermore, a municipality should provide infrastructure for local economic development.

2.9.2 Creation of livable, integrated cities, towns and rural areas

The former government's policy of apartheid separated communities along racial lines, thereby creating segregated communities. Spatial structures in South Africa are characterised by townships being located far away from towns and places of work. This is the reason why the development of a new Integrated Spatial Development Framework is crucial. An integrated Spatial Development Framework enhances social and economic development and reduces community costs. Unfortunately, the poor and the previously disadvantaged are particularly affected by the existing spatial structures.

Integration must ensure affordable mobility between work, home and recreation; combat crime, pollution and congestion; and promote the participation of the previously disadvantaged in the social and economic life of a municipality (White Paper on Local Government, 1998).

2.9.3   Local economic development

Developmental local government plays an important role in developing local economies, thereby creating jobs. Stimulating the local economy should start with rendering quality cost-effective services and providing an environment conducive for investment. Supply Chain Management policies should be able to ensure that it creates opportunities for Small, Medium and Micro Enterprises and the implementation should be more labour based in order to assist in job creation. Municipalities should expedite and simplify processes and procedures around the evaluation and approval of tenders, building plans and rezoning applications. Furthermore, user-friendly one-stop shops for both customers and investors should be established. Incentives can also be offered to attract investment and increase competitiveness. Investment in human capital should be given priority, because the availability of local skills plays an important role in attracting potential investors (www.dplg.gov.za).

2.10.   INTERGOVERNMENTAL RELATIONS

In order to give effect to the principle of co-operative government, the Intergovernmental Relations Framework Act (No. 13 of 2005) was enacted. This Act provides a framework for promoting intergovernmental relations between the spheres of government, as well as providing mechanisms and procedures for settling disputes. According to Fox and Meyer (1995:66), intergovernmental relations encompass all the complex and interdependent relations among the various spheres of government, as well as the co-ordination of public policies among national, provincial and local government, through programme reporting requirements, grants-in-aid, the planning and budgetary process, and communication between officials. Intergovernmental relations therefore also refer to

the fiscal and administrative processes through which spheres of government share revenues and other resources, generally accompanied by special conditions that must be satisfied as prerequisites to receiving assistance.

Intergovernmental relations are intended to promote and facilitate co-operative decision-making and make sure that policies and activities across all spheres encourage service delivery and meet the needs of citizens in an efficient way. In his State of the Nation Address in February 2006, the then President of South Africa, Mr Thabo Mbeki, commented that the integration of planning and implementation across the three spheres of government was an urgent priority, as these spheres could not function in isolation (www.dplg.gov.za).

According to Bekink (2006:90), the concept 'intergovernmental relations' that has emerged in South Africa's new governmental system gives more meaning to the foundation of co-operative government, which is protected in Chapter Three of the Constitution.

2.11   CO-OPERATIVE GOVERNMENT

In contrast to the former centralised tier/level system of government, local government now constitutes an independent sphere of government that is embedded in a context of co-operative government with the national and provincial spheres, under the Constitution of the Republic of South Africa Act (No. 108 of 1996). The term 'co-operative' is meant to express the distinction, interdependence and inter-relations of different government powers and functions at different spheres. The Constitution is based on the principle of corporative government, which seeks new ways in which the institution and structures of government relate to each other and to the citizens they serve (Moosa, 1997:1).

Sections 40(1) and (2) of the Constitution of the Republic of South Africa (No. 108 of 1996) give effect to the concept of co-operative government by stating that:

"(1)   In the Republic, government is constituted as national, provincial and local spheres of government which are distinctive, interdependent and interrelated; and

(2)   All spheres of government must observe and adhere to the principles in this chapter and must conduct their activities within the parameters that the chapter provides."

According to Caulfield and Schultz (1993:32), local government cannot manage to provide direct services in isolation. Certain services have to be provided in collaboration with other agencies of government, such as the national and provincial spheres. The role of local government is not entirely separate; it shapes, and is in turn shaped by, the activities of the other agencies of state. For example, health and social security services are also provided directly by other spheres of government, besides local government.

Sections 154(1) and (2) of the Constitution of the Republic of South Africa, (No. 108 of 1996), go a step further by stating that:

"(1)   The national government and provincial governments, by legislative and other measures, must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions.

(2)   Draft national and provincial legislation that affects the status, institutions, powers or functions of local government must be published for public comment before it is introduced in parliament or a provincial legislature, in a manner that allows organised local government, municipalities and other interested persons an opportunity to make representations with regard to the draft legislation".

In his foreword to the Guideline Document on Provincial and Local Inter-governmental Relations (2002), the then Minister for Provincial and Local Government, Mr Sydney

Mufamadi (1999:3) stated that the experience of governing had confirmed government's views that the only way to facilitate and expedite integration in service delivery was by engendering a sound co-operative ethic in the practice of government's new role.

Mufamadi (1999:7) further stated that whilst the South African Constitution provided for the distinctiveness of the different spheres of government, it by no means connoted exclusivity in the delivery of services. Co-operative government binds all spheres to put the collective national interest above parochial geographic/spherical interests and places an obligation for efficient intergovernmental collaboration on all three spheres. National, provincial or local goals, especially in relation to improving the lives of people, cannot be achieved by the endeavors of one sphere only, but by all spheres acting in unison.

To strengthen the status of local government conferred by the Constitution, the Organised Local Government Act (No. 52 of 1997) formally recognises SALGA, which provides a collective voice for local government, thereby enhancing its collective strength. SALGA has a mandate to represent the interests of organised local government in the country's intergovernmental relations system with a united voice. It is an association of municipalities in South Africa.

SALGA's business plans set the following series of objectives:

(a)   Promoting sound labour relations practices that can achieve high levels of performance and responsiveness to the needs of citizens.

(b)   Representing, promoting, protecting and giving voice to the interests of local government at national and provincial spheres, in intergovernmental processes and in other policy-making fora.

(c)   Building the capacity of local government to contribute towards a developmental and democratic governance system that can meet basic human needs. SALGA is funded through a combination of sources. These include a percentage share of the national revenue allocated to local government, membership fees from

provincial and local government associations that are voluntary members, and donations from the donor community that funds specific projects (www.gov.za/structure/local-gov).

CONCLUSION

Significant changes have taken place within government in South Africa, especially in the sphere of local government; with restructuring taking place in three phases, namely the pre-interim, interim and final phases. Old apartheid legal divisions have vanished and new administrations, which seek to integrate previously advantaged and disadvantaged areas, are in place and committed to providing basic services to all citizens, as well as addressing the issues of poverty alleviation and economic growth. Zegeye and Maxted (2003:1) contend that colonial and apartheid policies have left the majority of South Africans in a highly unequal society in which poverty and social dislocation have had profound traumatic effects on the social fabric.

In the final phase of local government restructuring, developmental local government plays an important role in the institutional change processes regarding the management of local space, change in leadership, economic growth and management of development, in an integrated and sustainable manner and in addressing the socio-economic inequalities of communities.

The evolution of local government into a developmental local government sphere emphasises participative planning and local economic initiatives through Integrated Development Plans, which are central strategies in identifying and prioritising the basic needs of communities and will also enable municipalities to manage horizontal and vertical programmes aimed at social and economic development. The IDP implies participative planning, which is further motivated in the White Paper on Local Government (1998) Section 3.3, entitled "Working together with local citizens and partners"; in essence, developmental local government advocates community involvement or community participation.

The following chapter will review the role of community participation in local government in South Africa, with the emphasis on the Buffalo City Municipality.

CHAPTER THREE

CRITICAL ANALYSIS OF ROLE AND EVOLUTION OF PUBLIC PARTICIPATION IN SOUTH AFRICAN LOCAL GOVERNMENT

3.1   INTRODUCTION

Public participation is a relatively new phenomenon in South African government. The erstwhile apartheid government created race-based municipalities to facilitate and regulate the suppression of participation by Black, Indian and Coloured communities. History reflects very little opportunity for community participation; as there was no constitutional or legislative framework that safeguarded it. Masango (2002:52) argues that prior to the introduction of a democratic dispensation, apartheid policies caused South Africa to be deprived of public participation in the making and implementation of policy.

However, the new South African government regards public participation as the cornerstone of democracy and service delivery. In post-apartheid South Africa, public participation is not a privilege, but a constitutional right. This is highlighted in Chapter 1 of the Constitution of the Republic of South Africa, Act 108 of 1996, which emphatically states that the Constitution is the supreme law of the Republic and that any conduct in conflict with it is invalid and that the obligations imposed by it must be fulfilled. A constitutional provision places an obligation on government to establish public participation structures and systems. However, public participation must be pursued not only to comply with legislation, but also to promote good governance.

For effective public participation to take place, communities must understand how government operates; not only local government, but all spheres of government. All spheres of government must, therefore, empower communities to ensure effective and meaningful participation in matters of government. However, local government is seen as the sphere of government closest to the community. To the public, 'government is

government', which underlines how important it is that the three spheres of government work together in a coordinated and integrated manner, as advocated in the Intergovernmental Relations Framework, (No.113 of 2005).

Democratic government promotes dialogue between government and its citizens. This is essential in establishing accountable government that addresses the needs of citizens. Citizens must therefore advise government what they need. The apartheid government denied people the opportunity to participate, give input and assist in decision-making. Most citizens were denied the right to vote, which is the initial and first step in public participation. True public participation entails much more than taking part in elections; it is an integral part of local government processes. Good governance requires civil society to participate in the decision-making processes in all spheres of government, most notably at the local government sphere, because of its closeness to the people (Bratton & Van Walle 1997:13).

Communities should ideally actively participate in local government planning and implementation processes, such as IDP and budget processes. Subsequently, the monitoring and evaluation of government's performance should follow through reports. The system of developmental local government is not complete without effective public participation structures and systems. Although public participation is prescribed in terms of a developmental government and a constitutional requirement it is, however, also one of the challenges confronting local government. One reason for this is that South Africa does not have a proud history of public participation (Held, 1993:15).

Local government is the most crucial and visible interface with citizens. The main purpose of local government is to provide the essential services and amenities required by households and businesses to support their daily activities and maintain a level of order and dignity in the lives of communities.

This chapter deals with the history, theories, principles and evolution of public participation, with specific reference to the legislative framework and implementation in

the local sphere of government in South Africa and presents some of the existing models of public participation.

3.2   PUBLIC PARTICIPATION EXPLAINED

Public participation is a process that provides individuals with an opportunity to influence public decisions and has long been a component of democratic decision-making processes. The roots of citizen participation can be traced to Ancient Greece and Colonial New England. Before the 1960s, governmental processes and procedures were designed to facilitate "external" participation. Citizen participation was institutionalised in the mid-1960s in the United States, when President Lyndon Johnson introduced his Great Society Programmes (Cogan & Sharpe, 1986:283). According to Madlala (2005:45), public participation is the creation of opportunities and avenues for communities to express their views and opinions in matters of governance, either directly or indirectly.

Public involvement ensures that citizens have a direct voice in public decisions. According to Kotze (1997:37), the concept of people's or public participation lies at the core of the people-centered development approach and may refer to the following aspects: involvement; communication; a new attitude from government; or a reciprocal influence. Davids (2005:19-29) offers the following definition of public participation: "an inclusive process aimed at deepening democracy through formal participatory mechanisms ..." Authentic public participation should entail participation in decision-making, implementation, monitoring and evaluation, as well as sharing the benefits of governance and developmental outputs and outcomes.

According to Meyer and Theron (2000:1), public participation includes people's involvement in decision-making processes, in the implementing of programmes, and in efforts to evaluate such programmes. Creighton (2005:7) argues that public participation is the process through which public concerns, needs and values are incorporated into

governmental and corporate decision-making. It is two-way communication and interaction, the overall goal being better decisions that are supported by the public.

Creighton (2005:7) summarises the difficulty of capturing the essence of public participation, noting that there are numerous definitions, as shown above. Most definitions include the following elements:

- Public participation applies to administrative decisions.
- Public participation is not just providing to the public – interaction is an important component.
- There is an organised process for involving the public.
- Participants have some level of impact or influence on the decisions being made".

Creighton (2005:8) notes that the word 'participation' has many different meanings and is best understood and illustrated as a continuum, has reflected below:

Inform the public. Listen to the public. Engage in problem solving. Develop agreements.
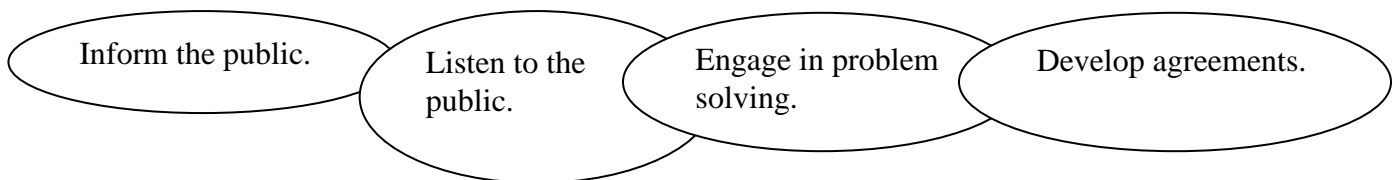
FIGURE 1 : Continuum of participation

Source: Creighton (2005:9)

According to Bekker (1996:41), public participation can broadly be divided into two main categories, namely the mere receiving of information by citizens from authorities about proposed actions; and the sharing of power with citizens to shape final decisions. It is, however, often argued that the mere provision of information cannot be regarded as participation, although the provision of information helps to empower and educate

citizens, equipping them with participation tools. Tangible benefits can be derived from effective citizen involvement programmes.

Public participation is a much broader issue than decision-making; it sets the scene for decision-making and continues during the decision-making process and beyond into the implementation, monitoring and evaluation phases. It therefore starts well before a decision is taken and extends well beyond it. Furthermore, acts of participation should not be viewed in isolation, but rather within a stream of interconnected acts (Bekker, 1996:41). Public participation is inextricably linked to democracy, and more specifically participatory democracy.

The term 'public participation' encompasses the notion of a two-way exchange of information between the people/communities and the legitimate government of the day. Public participation offers a multiplicity of benefits, including the provision of valuable information about the needs and aspirations of local people to public authorities in order to initiate and implement informed decisions. (White Paper on Local Government, 1998:46).

Participation by citizens in local government affairs is the very backbone of any democratic form of government. The Local Government: Municipal Systems Act (2000:30-34) defines community participation as follows:

Development of culture and community participation

"16(1) A municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance and must for this purpose: (a) Encourage and create conditions for the local community to participate in the affairs of the municipality, which includes:

(i) the preparation, Implementation and review of its integrated development plan in terms of chapter 5 of the MSA; (ii) the establishment, implementation and review of its

performance management system in terms of chapter 6 of the MSA; (ill) the monitoring and the review of its performance, including the outcomes and impact of such performance; (iv) the preparation of its budget; and structure and political office bearers of the municipality, when appropriate; consultative sessions with locally recognised community organisations and where appropriate, traditional authorities; and report back to local community.

When establishing mechanisms, processes and procedures in terms of subsection (2) the municipality must take account the special needs of:

- people who cannot read and write
- people with disabilities
- women; and
- other disadvantaged groups."

Public participation in decision-making is an imperative for a democratic government (Gildenhuys, Fox & Wissink, 1991:124). According to Beierle (1998:99), six social values are served by various forms of community participation:

- Educating the community.
- Incorporating community values into policymaking.
- Improving the substantive quality of community policy.
- Increasing community trust.
- Reducing conflict.
- Achieving cost-effective community policy.

Clearly, public participation in local government is the foundation for the development of trust between communities and their municipalities. Public participation in local government is a key prerequisite for enhancing good governance. Local government must be at the forefront of involving citizens in local governance and development by providing them with practical, effective and ongoing opportunities for participation.

However, there is a perception that citizen participation may lead to a variety of (perceived) negative consequences, such as an increased workload, additional resource requirements, increased level of public scrutiny, negative media coverage, and increased level of apathy or distrust of government (Callahan, 2002:45).

3.3   THEORETICAL BACKGROUND TO PUBLIC PARTICIPATION

A study of public participation in ancient democracies reveals the essentiality of public participation to the continued existence of democracy (Stewart, 1976:XI as cited in Clapper, 1996:70). According to Rejai (as cited in Clapper, 1996:52), the word "democracy" originally referred to the type of government in which the power to rule resided with the people; for example, the city states of Athens at the time of Pericles. The key characteristics of Athenian democracy, also known as a participatory democracy, were public control over public decisions and maximum public participation in making decisions and in holding public office (Brynard, 1996:52).

Parry and Moyser (1994:44-46), distinguish between "realist" theories of democracy which emphasise representation, responsible leadership and elite responsiveness as the key elements of democracy. Davidson (1998:14) is of the opinion that few people would disagree that public involvement in planning is a good thing.

The first sets of theories indicate that the degree of direct democracy that was exercised by citizens in the relative small assemblies of Athens is no longer possible in large, complex societies. The 'realist school' of thinking about democracy does recognise public participation as a feature of democracy and reduces it to only one manifestation, namely voting (Nel & Van Wyk, 2003:55). This theory recognises that not everyone is convinced that democracy should necessarily try to involve the public in intensive ways. Elite models of democracy understand that a vote into office is essentially a political blank cheque for elected representatives to proceed as they see fit (Ballard, 2007:17).

A second set of theories emphasises, on the other hand, that democracy in its original sense of 'rule by the people' is hardly conceivable without a whole range of participatory activities through which the public not only vote for the sake of appointing and monitoring representatives, but become political citizens in the full sense of the word (Nel & Van Wyk, 2003:56). Such is the enthusiasm for representative democracy (Cohen & Arato, 2003:276). Participation is important to make sure that government addresses the real needs of communities in the most appropriate way.

The concept of public participation features strongly in the debate about democracy advocating that wider sections of the population should be more directly involved in the decisions affecting them (Dahl, 1990:62). Barber (1984:151) talks about "strong democracy" and calls for active citizens to govern themselves, not necessarily at every level and in every instance, but frequently enough and in particular when basic policies are being decided and when significant power is being deployed. The participatory form further maintains that the exercise of power is good for the public. In this sense, democracy would allow the public, and not only the elite, to acquire a democratic political culture (Cohen & Arato, 2003:7).

The difficulty relating to participation is that many democratic societies experience a high degree of apathy among voters. In South Africa, this is particularly felt at local level. Many voters do not participate in elections at this level, due to dissatisfaction with service delivery. Consequently, electoral apathy has come to be seen as essential for maintaining stability, whilst mass participation has come to be associated with societal disorder and a tendency towards totalitarianism (Kornhauser, 1957 in Deegan, 1999:5).

The very act of participation is somehow educative and politically significant. Greater participation in the political sphere is seen as enhancing democracy; however, availability of structures to coordinate stakeholders and be at play. There is a tendency towards elite participation and representation by organised civil society, while the individual rarely participates. However, social movements often reject democracy as

operating through elected representatives only, advocating a strategy of direct democracy that seeks ongoing accountability (Ballard, 2007:20).

Public participation is considered standard practice and as an essential characteristic of a successful modern democracy. This is supported by Pimbert and Wakeford (2001:23 in Creighton, 2005:2), who state that democracy without citizen deliberation and participation is ultimately an empty and meaningless concept. The essential principle of democracy is that the public must be enabled to participate, should they choose to do so, through effective channels of communication and civil society, with the ultimate mark of liberal democracy being the freedom to choose whether to participate or not (Deegan, 1999:153). The type of participation envisaged in a participatory democracy, namely ongoing interaction between the people (public) and their elected representatives in all decision-making, is seen as contributing most to the enhancement of democracy in society. This would be the right approach to public participation, not what Pimbert (2003:23) states is just a tokenistic approach.

Participatory democracy is sometimes counter-posed to representative government. However, strategies to improve public participation can also be thought of as reinforcing and strengthening representative government by providing public representatives with information they would not otherwise have had, but which is necessary for effective and responsive decision-making (Ababio, 2007:615). Strategies to facilitate and promote public participation are also critical in ensuring the participation of marginalised and under-resourced constituencies in decision-making by representative bodies. In the absence of special measures, public decision-making is also vulnerable to "capture" by special interests (Cachalia, 2006). De Villiers (2001:135) states that there are many flawed and inadequate efforts, yet the long-term benefits of participation far outstrip the setbacks. Ballard (2007:86) argues that public participation is a costly exercise that raises premature expectations. One positive aspect is a heightened sense of public participation, as standard practice is perceived as more democratic, efficient and more likely to remain successful than democracies in which old top-down methods are used.

The proponents of what has become known as "participatory, deliberative democracy" believe that these three requirements can be met if the locus of decision-making is radically decentralised and brought closer to the citizens, and if deliberation becomes the mode of interest articulation and mediation" (Nel & Van Wyk, 2003:56-57).

Given the above, it is clear that participation is a centuries' old notion that is rooted in the first democracy proclaimed in Ancient Greece. Ancient Greece is a civilization belonging to a period of Greek history that lasted from 8th to 6th Century which lasted for 1300 years. Even then, it was understood that democratic rule was not possible without heeding the people's voice. Over time, the principle of participation was entrenched, formally or informally, in all democracies across the globe. In modern society, democracy is widely believed to be the regime among all regime forms that makes the best provision for public participation by institutionalising rule by, for, and of the people. However, given the various types of democracy that have emerged, one has to recognise that not all proponents of democracy would necessarily see public participation as a key indicator of democracy (Nel & Van Wyk, 2003:55).

3.4 THEORIES OF PUBLIC PARTICIPATION

3.4.1 Decision-making Structures

Citizen participation in public decisions makes increasing use of technology in public policy decisions (DeSario & Langton, 1987), as cited in Frankena and Frankena (1992:273). The authors conclude that public decisions are increasingly influenced by technology. The following two broad decision-making structures are defined and analysed:

- The technocratic approach; and
- The democratic approach.

The technocratic approach is defined as the application of technical knowledge, expertise, techniques and methods to problem solving. The democratic approach refers to citizen involvement activities in relation to government planning and policy making (DeSario & Langton, 1987:5). These approaches are described in greater detail below.

3.4.1.1 Technocratic Decision-making

The technocratic approach to decision-making has historically been applied in many service related decisions. Strong arguments can be made in favour of a technocratic decision-making approach. A key argument is that trained staffs are "experts" best suited to make complex technical decisions. Experts are increasingly becoming part of decision-making structures in both the public and private sectors (DeSario & Langton, 1987:7). However, Nelkin concludes that scientific and technocratic approaches "not only failed to solve social problems but often contributed to them" (Nelkin, 1981:274).

Techniques and methods applied by experts are most effective when considering technical decisions, as opposed to value or mixed decisions. Kantrowitz (1975:239) has identified three separate types of policy decisions:

(1)   Technical decisions, which are based solely on the application and extrapolation of scientific issues.

(2)   Value decisions, which are concerned with the resolution of important normative or societal issues.

(3)   Mixed decisions, which have both technical and value components.

Technical decisions rely on scientific techniques and extrapolations to determine the potential of "what is". Value decisions involve the normative determination of "what should be". Although scientific information can provide guidance with respect to value decisions, it is rarely the sole determinant (DeSario & Langton, 1987:8).

The technocratic approach to decision making is difficult to apply successfully to social problems, because social goals are often complex, conflicting and unclear (DeSario & Langton, 1987:9). According to Kantrowitz, the problem for experts is that the issues they most frequently confront when addressing social problems are "mixed decisions" – decisions involving both technical and value judgements (Kantrowitz, 1975:506).

One result of this skepticism is a heightened demand for greater citizen participation with respect to technological decisions (DeSario & Langton, 1987:11). As a result, technological progress will face increased public scrutiny as the deficiencies of technology and experts become more apparent. A variety of related factors indicates that there is a growing need for decision-making processes at all spheres of government that allow agencies to successfully integrate the public's demand for greater input, while incorporating agencies' expertise and desire for efficiency.

3.4.1.2   Democratic Decision-making

Democratic decision-making, in contrast to bureaucratic or technocratic decision-making, is based on the assumption that all who are affected by a given decision have the right to participate in taking that decision. There are different forms of public participation in decision-making. Gildenhuys *et al. (*1991:98) argue that public participation in decision-making is an imperative for a democratic government. Democratisation requires that the structures and functioning of public institutions be established in such a way that will allow and encourage public participation (African National Congress 1994:120-121). Democratisation refers to a transition towards democracy. It is about making a society that has been autocratic, democratic in nature. Participation can be direct in the classical, democratic sense, or can occur through representatives. In fact, public participation provides a mechanism for democratising decision-making processes in particular (Bekker, 1996:41). Kweit and Kweit (1986:22) further point out that the criteria for evaluating policies in a democratic process are the accessibility of the process and/or the responsiveness of the policy to those who are affected by it, rather than the efficiency or rationality of the policy.

3.4.2   Public Participation in Rational Policy making

Public participation paves the way for the process of policy implementation to run smoothly (Midgley, Hall, Hardiman & Narine, 1986:34). Anderson (1994:9) defines policy as a relatively stable, purposive course of action, followed by an actor or set of actors, in dealing with a problem. Different theories have more or fewer stages, but essentially the policy stages, widely recognised in policy processes are agenda setting; policy formulation; decision making; policy implementation; and policy evaluation (Howlett & Ramesh, 1995:11). Traditional rational planning and policy analysis processes typically have five or six steps. Patton and Sawicki (1986) outline six steps in the policy analysis process:

    (1)   Problem definition.

    (2)   Identification of goals and objectives.

    (3)   Development of alternatives.

    (4)   Development of evaluation criteria.

    (5)   Identification of the "best" alternative.

    (6)   Monitoring and evaluation of the outcome (Patton & Sawicki, 1986:26).

Different models are used in policy analysis. According to De Coning and Cloete (2006:38), one of the models is a group model, while another one is a policy network and communities model; this model recognises that government alone cannot make policy decisions. Kweit and Kweit (1986:21) suggest that policy analysis tends to concentrate power in the hands of a few experts and is most compatible with bureaucratic decision-making, which is "antithetical to citizen participation".

As such, the role of citizen participation in the traditional policy analysis process is minimised. Citizens often lack technical expertise and could become emotionally involved in issues of concern, rather than being detached and rational (Kweit & Kweit, 1986:22). However, input from citizen groups outside organisational boundaries can

help provide more comprehensive information on all aspects of the policy analysis process. In a democracy, it is the public that determines where it wants to go; and the role of its representatives and bureaucratic staff is to get them there. Simply put, the ends should be chosen democratically, even though the means are chosen technocratically (Kweit & Kweit, 1986:25).
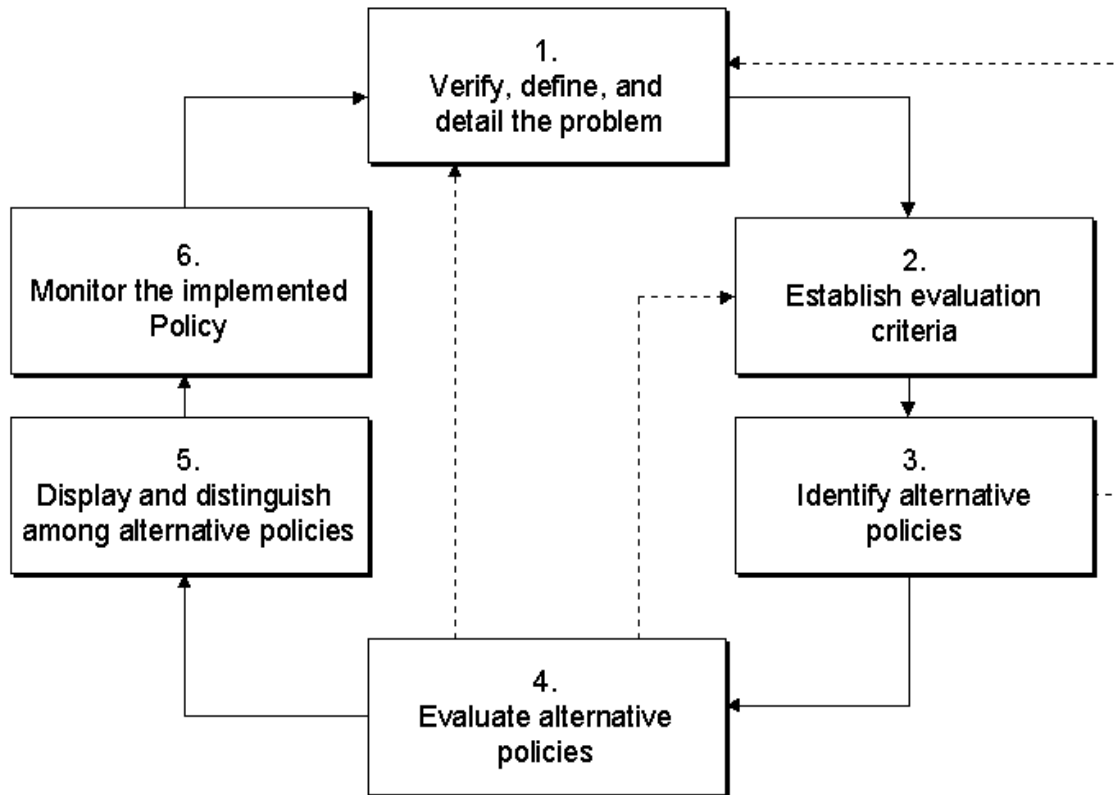
FIGURE 2 : Policy Analysis Process

Source: Priscoli & Homenuckm (1986)

Priscoli and Homenuckm (1986:67) point out that demand for public consultation in policy analysis and decision-making is part of a larger movement that evolved in the 1960s. The initial question they raise, is: *Who is the public*? They categorise the public into five groups, namely:

(1)   The organised public.

(2)   The general public.

(3)   Politicians.

(4)   Public interest groups.

(5)   Local experts (Priscoli & Homenuckm, 1986:68).

The second issue is: *Who does each group represent*? The answer is that some groups may be highly organised and know how to lobby, but may not reflect the views of the majority of the population. Priscoli and Homenuckm (1986:69) emphasise that it is essential that a public consultation programme be properly designed in order to establish a process that provides opportunity for all views to be identified and incorporated into the decision-making processes. The purpose of public consultation is to aid decision-makers by ensuring that views are identified, questions raised, answers provided, and judgements supported.

Priscoli and Homenuckm (1986:70) identify six goals or objectives for public consultation. While all six are rarely achieved, mixes can be achieved:

(1)   *To build credibility with those who will be affected, those who will pay and those who will use the services*. In terms of Section 17(2) of the Local Government Municipal Systems Act (2000), local government must provide mechanisms, processes and procedures for participation and if these are implemented expansively and they elicit involvement and accountability from all stakeholders, service delivery will be enhanced.

(2)   *To identify public concerns and values*. Many municipalities do this in a form that is relatively open and straightforward. Municipalities have put in place IDP Representative Forums, constituted by:

> ➢ Councillors.
> ➢ Traditional leaders.
> ➢ Ward Committee representatives.
> ➢ Officials from the relevant municipality, Provincial and National government.

The purpose of the IDP Representative Forum is to provide an opportunity for stakeholders to represent the interests of their constituency and serve as a structure for joint decision making.

(3)   *To develop consensus among the impacted parties, users and those who pay.* In difficult controversies, consensus is rarely achieved, but it is very satisfying when it is.

(4)   *To create the greatest number of "unsurprised" apathetics.* Not everybody needs involvement or wants to be involved. Most people are peripherally involved. Communities should not be surprised; rather, they should be informed.

(5)   *To produce better decisions.* Public consultation can produce better "technical" decisions than a strictly technically oriented decision-making process. According to Moodley and Govender (2006:831), Ward Committees were established as a tool to encourage community participation in local government. Their primary function is to be formal communication channels between Councils and communities and contribute to decision-making.

6.   *To enhance democratic practice.* Public consultation allows for and promotes participation, thus avoiding the issues that could arise when the public is excluded from decision-making processes. In South Africa, public participation is an essential component for enhanced and effective accountable governance.

3.5 PRINCIPLES OF CITIZEN PARTICIPATION

Cogan, Sharpe and Hertberg (1986:283-308) have provided a concise overview of citizen participation in the planning process. Lang (1986:35) suggests that traditional, comprehensive and strategic planning processes are insufficient for resource management planning, advocating a more interactive approach to planning. An integrated approach to resource planning must provide for interaction with the stakeholders in the search for relevant information, shared values, consensus and, ultimately, proposed action that is both feasible and acceptable.

Lang (1986:39) further suggests that conventional planning tends to be dominated by a technical/analytic style. According to Malefane (2009:469), one of the obstacles of public participation is when municipal officials gather in a boardroom, decide to build a project, put together a document, allocate resources, and then tell people what they have planned. Communities must be engaged from the planning to the implementation as well as the evaluation phases of a particular project, to ensure the transfer of skills to and ownership of the process by the local people. Therefore, the style of planning often brings about challenges in service delivery, which could lead to community uprisings against the local leadership.

The emphasis is on data collection and analysis as the means for finding the best solutions to problems and developing a technically sound plan. The implicit assumption is that better information leads to better decisions. Success in conventional planning is measured by the extent to which the objectives of the plan are achieved.

Lang (1986:39) states that interactive planning is based on the assumption that open, participative processes lead to better decisions. The planner engages directly with stakeholders to gain support, build consensus, identify acceptable solutions, and secure implementation. Success in interactive planning is measured by the extent to which balance can be achieved between competing interests and consensus is reached on appropriate actions.

TABLE 1: Comparison of interactive versus conventional planning

Interactive Planning	Conventional Planning
Includes information/feedback, consultation and negotiation.	Limited information/feedback; some consultation may take place.
Interaction with a full range of stakeholders occurs early on and throughout the planning process.	Early interaction with implementers; affected/interests parties are not involved until late in process.
Assumes that open participation leads to better decisions.	Assumes that better information leads to better decisions.
Planner as value-committed advocate.	Planner as value-neutral expert.
Focuses on mobilisation of support.	Focuses on manipulation of data.
Plan = what we agree to do.	Plan = what we should do.
Success measured by achievement of agreement on action.	Success measured by achievement of plan's objectives.

Source: Lang (1986:39)

Lang (1986:41) further suggests that planning practice is dominated by a perspective that is sometimes called "technical rationality". However, three other perspectives, are central to resource planning, namely organisational, political, and persona.

The White Paper on Transformation Public Service Delivery Notice 1459 of 1997 (Batho Pele) was promulgated to promote responses to the public needs, while the White Paper on Local Government (1998) provides the following principles for service delivery to guide municipalities in service delivery:

- **Inclusivity** – all views and opinions are embraced in the process of community participation.

- **Diversity** – in a community participation process, it is important to understand the differences associated with race, gender, religion, ethnicity, language, age, economic status and sexual orientation. These differences should be allowed to emerge and ways should be sought to develop consensus.

- **Transparency** – openness, sincerity and honesty must be promoted among all the roleplayers in a participatory.

- **Flexibility** – this entails the ability to make room for change for the benefit of the participatory process. Flexibility is often required in respect of timing and methodology.

- **Accessibility** – at both mental and physical levels, accessibility will ensure that the participants in public participation processes fully and clearly understand the aims, objectives, issues and methodologies of the process and are empowered to participate effectively.

- **Accountability** – all the participants in a participatory process accept full responsibility for their individual actions and conduct as well, as display willingness and commitment to implement, abide by and communicate all measures and decisions in the course of the process.

- **Trust, commitment and respect** – trust refers to faith and confidence in the integrity, sincerity, honesty and ability of the process and those facilitating the process.

- **Integration** – the integration of public participation processes into mainstream policies and services, such as the IDP process and service planning (www.dplg.gov.za: Batho Pele Principles).

The basic intention of Batho Pele (*People First*) is to encourage public officials to respond to people's needs by listening and responding swiftly.

3.6   PERCEPTIONS OF STAKEHOLDERS AND PLANNERS

The perception of stakeholders and planners is an important consideration in the development and implementation of any public participation programme. Public participation is often a requirement for planners; however, it is always optional for citizens. Citizens choose to participate, because they expect a satisfying experience and hope to influence the planning process.

Cogan *et al.* (1986:287) indicate that participation can offer a variety of rewards to citizens. These may be intrinsic to the involvement (through the very act of participation) or instrumental (resulting from the opportunity to contribute to public policy). Planners' expectations are also important, in that an effective public participation programme can lead to a better planning process and product, as well as heightened personal satisfaction.

Well-planned citizen involvement programmes relate the expectations of both citizens and planners. Public participation means different things to different people. In 1969 Arnstein published one of the most influential articles on public participation titled "A ladder of citizen participation" which described an eight-rung metaphorical ladder of participation. The rungs are organised into three levels: non-participation (manipulation and therapy); tokenism (informing, consultation, placating) and citizen power (partnership, delegated power, citizen control). Arnstein described the lack of meaningful participation in policy making in poor urban communities and termed "citizen control" as the proper definition of citizen participation in planning. This ladder constitutes a powerful critique of duplicitous participation processes that do not provide citizens with real power. In successful citizen involvement programmes, the disparity between planners and participants' expectations is minimal, whereas in a contrary situation, there is always a conflict. This conflict is damaging to the planning process (as

well as the agency's reputation), and to the relationship between the participants and the planner (Cogan, 1986:287).

Citizen participation programmes can increase costs and the amount of time that a project takes. There is a certain level of risk associated with citizen participation programmes. However, Cogan (1986:285) suggest that citizen participation programmes can make the planning process and planners more effective by:

- reducing the isolation of the planner from the public;
- generating a spirit of cooperation and trust;
- providing opportunities to disseminate information;
- identifying additional dimensions of inquiry and research;
- assisting in identifying alternative solutions;
- providing legitimacy to the planning effort and political credibility of the agency; and
- increasing public support.

An effective public participation programme may actually save time and money by ensuring that the proposed solution is acceptable to all the interested stakeholders.

3.7 TECHNIQUES OF CITIZEN PARTICIPATION

Techniques are specific tools for the practical implementation of public participation programmes. A variety of techniques are available to solicit public input in planning processes. These range from basic open meetings to more sophisticated techniques to ensure successful public involvement. These techniques can be graphically presented as a continuum, ranging from passive involvement to active involvement. According to the Public Participation Toolbox (2000-2004), different techniques could be utilised in public participation. The following present the different types of such techniques:

- Techniques for information sharing with the community/public.

- Techniques to consolidate input from public and provide feedback.

- Techniques to bring communities together, promoting interaction and sharing of views.

Cogan (1986:298) state that a successful citizen participation programme must be: integral to the planning process and focused on its unique needs; designed to function within the available resources of time, personnel and money; and be responsive to the citizen participants.

Each specific project will demand a different approach to public involvement. However, Cogan (1986:298) indicate that most successful citizen participation programmes contain certain common elements, such as:

- meeting legal requirements.
- clearly articulating goals and objectives.
- commanding political support.
- being an integral part of the decision-making structure.
- receiving adequate funding, staff and time.
- identifying concerned or affected publics.
- delineating clear roles and responsibilities for participants.

It is expected that public participation programmes that incorporate these elements will generally be effective in meeting the expectations of both planners and participants.

3.8 BENEFITS OF PUBLIC PARTICIPATION

Cogan and Sharpe (1986:284) identify five benefits of citizen participation in the planning process:

- Gaining information and ideas on public issues.

- Public support for planning decisions.

- Avoidance of protracted conflicts and costly delays.

- Reservoir of goodwill that can carry over to future decisions.

- Establishing of spirit of cooperation and trust between the agency and the public.

Creighton (2005:18-19) lists the following benefits of public participation:

- Improving quality of decisions.

- Minimising costs and delay.

- Consensus building.

- Increased ease of implementation.

- Avoiding worst-case confrontations.

- Maintaining credibility and legitimacy.

- Anticipating public concerns and attitudes.

- Developing civil society.

Theron, Ceaser and Davids (2007:2) maintain that public participation holds two main benefits for democratic policy-making processes, namely participation leads to better policy outcomes; and, secondly participation assists the public in developing the capacity for improving their lives. It also allows the input of the public to be taken into account during the processes of policy-making and implementation, since it could help to combating dictatorship and promote good governance (Masango, 2002:55-56).

According to Clapper (1996:76), public participation ensures that policy implementation run smoothly and also fosters a sense of ownership of and commitment to the process. It could therefore contribute to policy implementation by building support and eliminating resistance. Masango (2002:59) argues that it could save costs by minimising and/or eliminating the need for policing implementation. Importantly, continuous public

participation in policy-making and implementation could serve as a control mechanism to limit the abuse of authority. Clapper further claims that an informed citizenry could ensure that public officials use their discretion in a responsive and responsible manner.

Adding to the multiplicity of benefits already mentioned, public participation also provides valuable information about the needs and aspirations of local people to public authorities in order to initiate and implement informed decisions. Participation also offers a platform through which civic interest can be expressed, with the aim of influencing public managers (as well as Councillors) to adopt a particular direction of thinking. Through public participation, the general public is informed, involved and educated (Hanyane, 2005:267). Also, community institutions are created, which will enable the public to bridge the existing gap between themselves and public authorities.

Public participation is also vitally important in that it consolidates democratic beliefs (commitment), practices and principles that would otherwise not be observed by the majority of citizens in a democratic state. In practice, public participation constantly reaffirms one's identity and feelings of self-worth and dignity as a citizen, thereby giving effect to the principle of basic equality (Lawrence & Stanton, 1999:236). Public participation as the promoter of the realisation of civic interest has the capacity to enhance and consolidate the democratic culture of any aspiring nation (Hanyane, 2005:267). De Villiers (2001:99) adds that public participation in legislative and oversight processes is essential for long-term democratic stability. It enhances legitimacy and creates public support for legislation and government policies, thereby ensuring democratic stability.

Significantly, the greatest long-term benefit is that public participation is an important way of empowering communities. By engaging with governments on issues that affect their lives, civil society is brought into the mainstream and acquires skills, knowledge and capacity. It signals a new way of thinking about governance and democracy (De Villiers, 2001:135).

3.9 PUBLIC PARTICIPATION AND DEVELOPMENTAL LOCAL GOVERNMENT

The legacy of apartheid in South Africa is still visible in segregated human settlement patterns, as well as in the type and characteristics of municipal institutions. As such, transformation from the apartheid era to the new democratic government requires an understanding of the historical role of local government in creating and perpetuating local separation and inequality. Equally important is an understanding of the impact of apartheid on municipal institutions, as well as the history of resistance to the previous apartheid local government structures. Cloete (1997:13) confirms that from 1983 up to 10 May 1994, four separate systems of local authorities respectively serving Blacks, Coloureds, Indians and Whites) were operating in all the provinces of South Africa, with each operating on the basis of segregated spatial development planning. Cameron and Stone (1995:100) suggest that local government is the sphere that interacts most closely with citizens through service delivery and responds most effectively to local problems.

The then (1999) Minister of Provincial and Local Government, Mr Sydney Mufamadi, stated that local government is a dynamic system of governance whereby powers resided with the people of that locality and municipal authorities. In 2005, he further stated that in designing the new system of local government, care had been taken to ensure that the legacy of a system that had exposed White and Black South Africans to vastly different socio-economic environments would be eradicated. These interventions have made a positive impact on the way challenges such as public participation, programme management as well as creating conditions for sustainable service delivery and economic development are managed,

International experience has shown that citizen and community participation is an essential part of effective and accountable local governance. A number of statutes were promulgated after the 1994 democratic elections in South Africa to make provision for public participation. These are all underpinned by and based on arguably the most famous statement ever emanating from South Africa, the Freedom Charter. Further, in

order to undertake an overview of the need for public consultation and participation and consultation in South Africa, one needs to discuss the new mandate of local government.

The democratisation of local government means that communities have a say in the kind of services delivered to them and the fees/tariffs charged in the form of rates and taxes. Since democratization, not only has there been a change in co-operation between the different spheres of government, but institutional change has also occurred in a move from a 'racial and autocratic system' to an open, democratic and transparent system. A participatory development planning approach has been introduced. This hybrid process combines top-down and bottom-up approaches to planning processes (Du Mhango, 1998:5). Beside the above-mentioned structural changes that have occurred since 1994, Gildenhuys (1997:32) states that newly integrated municipalities have been formed, boundaries have changed, local council members are elected in a more democratic way, and staffing structures as well as service delivery mechanisms have changed.

Chapter 7 of the Constitution of the Republic of South Africa 1996 (Act 108 of 1996) requires local government to:

- provide democratic and accountable governance for local communities;
- ensure that services are provided in a sustainable manner;
- promote social and economic development;
- promote a safe and healthy environment; and
- encourage the involvement of communities and community organisations in the matter of local government affairs.

To achieve the general goal of local government, namely the attainment of a satisfactory quality of life by encouraging people to develop their own physical and mental abilities, is essential (Gildenhuys, 1997:43). This people-centred approach enhances the capacity of communities to participate in the development process (Kotze

& Keleman, 1997:95). This form of personal development can take place only if a favorable atmosphere is created and equal opportunities are developed without external 'threats and constraints' to the personal environment of said communities. Reddy (1999:209) suggests that in terms of the developmental approach, local government, as a prerequisite to development planning, must be able to form partnerships with citizens, groups and communities to create sustainable human settlements in order to meet their social, economic and material needs in an integrated manner.

3.10 LEGISLATIVE FRAMEWORK OF PUBLIC PARTICIPATION

In June 1955, all the leaders of movements that strove to end Apartheid rule in South Africa met in Kliptown, near Johannesburg. The meeting was called the Congress of the People, and it agreed to adopt a list of rights, called *Freedom Charter*. In terms of the *Freedom Charter*, South Africa belongs to all who live in it, Black and White, and no government can justly claim authority unless it is based on the will of all the people. The *Freedom Charter* pledges that the people shall govern, have equal rights and be equal before the law. It also contains a list of demands for rights that the majority of South Africans did not have, as a result of the Apartheid regime. However, the principles of the *Freedom Charter* could not take effect until they were promulgated into law through the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996).

It is clear that the *Freedom Charter* of 1955 already envisaged a new era of participatory democracy in which the people shall govern, through public consultation and participation, which is the cornerstone of developmental local government. It could therefore be argued that the *Freedom Charter* of 1955 was the origin of developmental local government.

3.10.1 PUBLIC PARTICIPATION PROVISIONS IN TERMS OF CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA, 1996 (ACT 108 OF 1996)

The preamble of the Constitution emphasizes the need for the improvement of the living conditions of all citizens. According to Currie and De Waal (2001:27), the Constitution also advocates inclusivity, in that it envisages the establishment of a South African society based on democratic values and social justice. Section 152(1)(e) of the Constitution of the Republic of South Africa, Act 108 of 1996 obliges municipalities to encourage the involvement of communities and community organisations in local government. The Act, through Section 152 (Objects of Local Government) stipulates that government shall engage with citizens when making decisions that affect their lives. The citizens can also participate in choosing a government of their choice, in terms of Section 195(e), (Basic values and principles governing public administration) people's need must be adhered to and the public must participate in legislative and policy-making processes, which goes well beyond the right to vote in periodic elections.

Furthermore, the 1996 Constitution emphasises the principles of accountability, transparency and openness. This has relevance for public participation, in that it imposes a general obligation on government, particularly its elected representatives, and creates a climate that encourages and promotes interaction (www.parliament.gov.za).

The Constitution of the Republic of South Africa, Act 108 of 1996, sees local government as key in fostering democratisation. In terms of Section 152(2) of the Constitution, municipalities must strive, within their financial and administrative capacity, to achieve the objects set out in Section 152(1), which emphasises, *inter alia*, the need to encourage the involvement of communities and community organisations in local government matters.

The 1996 Constitution clearly refers to the new developmental role of local government and hence the new mandate for local government. Although the Constitution does

provide for a new developmental mandate for local government, it does not stipulate the structural framework within which public consultation and participation should take place. It was the White Paper on Local Government (1998), with its strong emphasis on public participation, which provided a basis for developmental legislation.

3.10.2 PUBLIC PARTICIPATION PROVISIONS IN WHITE PAPER ON LOCAL GOVERNMENT (1998)

The White Paper on Local Government (1998) reviewed the state of local government at the time (1998), making several recommendations. In terms of Section B of the above White Paper, developmental local government is defined as government committed to work 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. In order to realise the concept of developmental local government, Section B of the White Paper on Local Government (1998) stipulates the following key components:

- Characteristics of developmental local government.
- Developmental outcomes of local government.
- Tools of and approaches for developmental local government.

The characteristics of developmental local government are listed as follows:

- Maximising social development and economic growth.
- Integrating and coordinating.
- Democratising development, empowering and redistribution.
- Leading and learning.

With regard to democratising development, Section 40 of the above-mentioned White Paper prescribes that municipal councillors should promote the involvement of citizens and community groups in the design and delivery of municipal programmes. It can

therefore be argued that developmental local government hinges on public consultation and participation.

The above White Paper further provides for the following tools and approaches for developmental local government:

- Integrated Development Planning (IDP), budgeting and performance monitoring.
- Performance management.
- Working together with local citizens and partners.

One of the strengths of integrated development planning is that it recognises the linkages between development, service delivery and democracy. According to Sections 53 to 55 of the White Paper on Local Government (1998), municipalities require public participation at the following four levels:

i) As voters, to ensure the maximum democratic accountability of the elected political leadership for the policies they are empowered to promote.

ii) As citizens who express, via various stakeholder associations, their views before, during and after policy development processes in order to ensure that such policies reflect community preferences, as far as possible.

iii) As consumers and end-users, who expect value-for-money, affordable services and courteous and responsive service.

iv) As organised partners involved in the mobilisation of resources for development via for-profit businesses, non-governmental organisations (NGOs) and community based organisation.

According to Houston (2001:211), the White Paper on Local Government requests municipal councils to involve communities in the design and delivery of municipal programmes. It is clear from the above that public participation takes place on four levels: the public as voters; as citizens; as consumers; and as organised partners in development.

3.10.3 PUBLIC PARTICIPATION PROVISIONS IN MUNICIPAL DEMARCATION ACT, 1998 (ACT 27 OF 1998)

The Municipal Demarcation Act, 1998 (No. 27 of 1998) was promulgated on 3 July 1998 to provide for criteria and procedures for the determination of municipal boundaries by an independent authority. The Act gives effect to the provisions of Chapter 7 of the Constitution of the Republic of South Africa, 1996. It should, however, be noted that the Act is not clear or specific as to the role of Ward Committees in the demarcation process.

In terms of Section 24(a)(i), one of the objectives of the Municipal Demarcation Act (1998) is the provision of democratic and accountable government for local communities. Sections 26(1)(b) and 28(1) both provide for the involvement of the public in demarcation processes. As such, it is evident that the Municipal Demarcation Act, (1998) is developmental legislation that encourages public consultation and participation in local government affairs.

The Act also makes it optional, in terms of Section 28(1), for the Demarcation Board to hold public meetings during municipal demarcation process. Municipalities must hold meetings with their communities to discuss the proposals of the Demarcation Board and submit what was agreed on. When demarcation is finalised, the public should again be informed of what that entails and its impact.

3.10.4 PUBLIC PARTICIPATION PROVISIONS IN MUNICIPAL STRUCTURES ACT, 1998 (No. 117 OF 1998)

As a result of the fact that local government is regarded as the sphere of government closest to the people, the core of all related legislation is to establish ways to ensure that citizens give input into the decisions that local municipalities make. The Municipal Structures Act, 1998 (No. 117 of 1998) was the first piece of developmental legislation

that dealt in specific terms with the structures and processes required to effect public consultation and participation in South Africa.

In terms of Section 72 of the Municipal Structures Act (1998), only metropolitan and local municipalities of a certain type may have Ward Committees. This means that there are a number of municipalities that need to develop public participation mechanisms other than the Ward Committee participatory system. The Buffalo City Municipality in the Eastern Cape Province belongs to the group of local municipalities that have established a Ward Committee participatory system.

In terms of Section 72(3) of the above Act, the object of a Ward Committee is to enhance participatory democracy in local government. This, in practice, is carried out through public participation and consultation.

3.10.5 PUBLIC PARTICIPATION PROVISIONS IN MUNICIPAL ELECTORAL ACT, 2000 (No. 27 OF 2000)

South Africa held its second democratic municipal elections in 2000. As such, the Municipal Electoral Act, 2000 (No. 27 of 2000) was promulgated in order to regulate municipal elections and to amend certain legislation that was not in line with the intention of this Act, which culminating in the December 2000 municipal elections.

In terms of Section 7 of the Municipal Electoral Act, (2000), any person may vote in a municipal election if registered as a voter on the certified segment of the voter's roll for a voting district that falls within his or her municipality. It is clear from the above that the provisions of the Municipal Electoral Act, (2000) give effect, at local government level, to the provisions of Section 19(a) of the Constitution, which allows all citizens, irrespective of their race, gender or origin, to participate in the governance of their areas by voting for a political party and public representative dedicated to community interests. Barichievy (2003:4) states that public participation entails much more than casting a vote every five years during election time.

3.10.6 PUBLIC PARTICIPATION PROVISIONS IN MUNICIPAL SYSTEMS ACT, 2000 (No. 32 OF 2000)

In the Preamble to the Municipal Systems Act (No. 32 of 2000), reference is made to the engagement of communities in the affairs of local government with regard to planning, service delivery and performance management. The Municipal Systems Act, No. 32 of 2000 defines a community as a body of persons comprising the residents of a municipality, the ratepayers of a municipality, the civic organisations involved in local affairs, and visitors who make use of the facilities and services within that municipality. It is, therefore, the responsibility of municipalities to ensure that these groupings participate in local governance to complement formal representative government (Carrim, 2001:14). The Municipal Systems Act (2000) defines "the legal nature of a municipality as including the local community within the municipal area, working in partnerships with the municipality's political and administrative structures … to provide for community participation". Section 16(1) requires a municipality to develop "a culture of municipal governance that complements formal representative government with a system of participatory governance".

In terms of Section 4 of the Act, a Council has the duty to:

(a)   encourage the involvement of the local community; and

(b)   consult the community about the level, quality, range and impact of municipal services provided by the municipality, either directly or through another service provider.

In terms of Section 5 of the Act, members of the community have the right to:

(a)   contribute to the decision-making processes of the municipality and submit written or oral recommendation, representations and complaints to the municipal council;

(b)   be informed of decisions of the municipal council;

(c)   regular disclosure of the affairs of the municipality, including its finances.

Section16 (1):

(a)   encourage and create conditions for the community to participate in the affairs of the municipality, including in the IDP, performance management system, monitoring and review of performance preparation of the budget, strategic decisions and municipal services;

(b)   contribute to building the capacity of the local community to participate in the affairs of the municipality and councillors and staff to foster community participation.

Section 42: A municipality, through appropriate mechanisms, processes and procedures, must involve the local community in the development, implementation and review of the municipality's performance management system, and in particular, allow the community to participate in the setting of appropriate key performance indicators and performance targets of the municipality.

Chapter 4 of the Municipal Systems Act, (No.32 of 2000) deals with the development of a culture of community participation, mechanisms, processes and procedures for community participation, the communication of information concerning community participation, public notices of Council meetings, and communication between the Council and the local community. Ababio (2007:68) contends that the Act provides the core principles, guidelines and mechanisms necessary for municipalities to pursue the ideals of developmental local government.

Section 16 of the Local Government: Municipal Systems Act (No.32 of 2000) recognises that by electing political representatives into government, the public is only indirectly participating in matters of governance, which is not sufficient. This Section calls upon municipalities to create favourable conditions for public participation. This includes

making it possible for the public to participate during the development of IDPs, budgets and performance management systems. Furthermore, adequate funding must be made available in order to realise this objective.

Section 18 states that whenever mechanisms have been put in place to promote community participation, these should be communicated to the community, together with the processes and procedures to be followed. The communication of the information should take into account language barriers and people with special needs. Section 19 states that Council meetings should be accessible to the public and that notices announcing Council meetings must appear in the media, clearly stating the relevant date, time and venue.

It is Section 17 of the Municipal Systems Act, 2000 (No.32 of 2000) provides for mechanisms, processes and procedures for community participation. In terms of Section 17(1) of the Municipal Systems Act, 2000, participation by the local community in the affairs of a municipality must take place through the following:

(a)   Political structures for participation, in terms of the Municipal Structures Act (1998).

(b)   The mechanisms, processes and procedures for participation in municipal governance, in terms of the Municipal Systems Act (2000).

(c)   Other appropriate mechanisms, processes and procedures established by the municipality.

(d)   Councillors.

(e)   Generally applying the provisions for participation, as provided for in the Municipal Systems Act (2000).

In terms of Section 17(2) of the Municipal Systems Act (2000), a municipality must establish appropriate mechanisms, processes and procedures to enable the local community to participate in the affairs of the municipality and must provide for the following:

(a)   the receipt, processing and considerations of petitions and complaints lodged by any members of the local community;

(b)   notification and public comments procedures, when appropriate;

(c)   public meetings and hearings by the municipal council and other political structures and political office-bearers of the municipality, when appropriate;

(d)   consultative sessions with locally recognised community organisations and, when appropriate, traditional authorities;

(e)   report back to the local communities.

In the above regard, the *Masithethisane* programmes that municipalities schedule to discuss their Integrated Development Plans (IDPs) could be viewed as one avenue for public participation. According to Makubalo (2003:50), an IDP is a planning methodology that a municipality uses in order to ensure that its planning is aligned with community needs.

It is clear from the preceding discussions that the Buffalo City Bay Municipality falls within the category of the public participation mechanism that involves political structures at community level using the Ward Committee system.

Section 21 of the Municipal Systems Act promotes the use of local media for communication with the public to ensure that all sections of the local community are reached. This should take into account the main languages that are spoken in the local area. Although the Municipal Structures Act, 1998, deals with the establishment of ward committees as a public participation structure, it does not provide for related procedures and processes.

3.10.7 PUBLIC PARTICIPATION PROVISIONS IN MUNICIPAL FINANCE MANAGEMENT ACT, 2003 (ACT 56 OF 2003)

The Municipal Finance Management Act, 2003 (No. 56 of 2003) was promulgated in order to secure the sound and sustainable management of the financial affairs of municipalities and other institutions at the local sphere of government and to establish treasury norms and standards for the local sphere of government.

Section 130 of the Local Government: Municipal Finance Management Act, No. 56 of 2003; subsequently referred to as the MFMA, prescribes that Council meetings, at which an annual report is to be discussed and decisions taken thereon, must be open to the public and organs of state and that a reasonable time must be allowed:

"(a) for the discussion of any written submissions received from the local community or organs of state on the annual report; and

(b) for members of the local community or any organs of state to address the Council."

In terms of Section 23(1) of the MFMA, a municipal council must consider any views of the local community when the annual budget of the municipality is tabled. This refers to the budget that is already linked and harmonised with the municipality's IDP, as prescribed in Section 21(2) (a) of the MFMA. The Municipal Property Rates Act (2004) stipulates that members of the public must participate in the determination of municipal property rates. Moodley and Govender (2006:130) argue that municipal property rates also attempt to achieve equity in local tax regime.

It follows from the above discussions that the Municipal Finance Management Act (2003) is in line with other local government developmental legislation by issuing specific instructions to ensure that the general public and communities participate in the financial matters of local government related to their needs.

Participatory governance refers to the manner in which municipalities govern between elections. It refers to a set of structural and procedural requirements to realise 'public participation' in the operation of local government. Wampler (2007:21) asserts that public/citizen participation in governance matters improves municipal performance and development and enhances the quality of democracy. Citizens are the best source of knowledge about their own needs and preferences and local conditions, and increased knowledge of local government affairs encourages a sense of social cohesion (Fox & Meyer 2008:109).

Ward Committees are formal and legislated structures for public participation in local government, thereby promoting 'participatory governance'.

3.11 BASIC ASSUMPTIONS ON PUBLIC PARTICIPATION

Public participation is defined as a democratic process of engaging people in deciding, planning and playing an active part in the development and operation of services that affect their lives (Draft National Policy Framework on Public Participation, 2007).

Research for the Department of Provincial and Local Government has shown that public participation is promoted for the following four main reasons:

a)   It is a legal requirement to consult.
b)   To make development for services more relevant to local needs and conditions.
c)   To hand over responsibility for services and promote community action.
d)   To empower local communities to have control over their own lives and livelihoods (WWW.DPLG.ORG.ZA) retrieved August 2010.

Basic assumptions underlying public participation include the following:

- Public participation is designed to promote the values of good governance and human rights.
- Public participation acknowledges the fundamental right of all people to participate in the governance system.
- Public participation is designed to narrow the social distance between the electorate and elected institutions.
- Public participation requires recognising the intrinsic value of all people, investing in their ability to contribute to governance processes.
- People can participate as individuals, interest groups or communities.
- In South Africa in the context of public participation, a community is defined as a ward, with an elected Ward Committee.
- Hence, Ward Committees play a central role in linking up elected institutions with the people; other forums of communication also reinforce these linkages with communities, such as *izimbizo's*, roadshows and makgotlas.

3.12 RATIONALE FOR PUBLIC PARTICIPATION

Public participation in local government extends beyond legislative compliance.

The rationale for community participation is not only that there is an inherent value in ensuring that people are able to influence activities that will affect them, but also that such participation helps to build capacity and contributes to empowerment. Through participation, people increase their control over their lives and livelihoods. A robust civic society is a clear indicator of a strong democracy. Debates over the last decade have at times created antagonistic relations between the state and civil society. There are two definitions of civil society. According to Gramsci (2003:206-229), civil society refers to all the political forces that are in opposition to government. Secondly, from a liberal perspective, civil societies are all the independent institutions from the state not necessary in opposition to government. A robust and vigilant civil society constitutes an

essential pillar of a mature democracy. A robust and active civil society complements institutions of government and plays an important role in generating good governance and economic growth (www.hologram.org.za).

Why is so much emphasis placed on public participation, and what is its relevance globally and in the South African situation? Public participation is beginning to be viewed as an integral part of democracy itself. Traditionally, the defining characteristic of democracy has been the right to elect the leaders of the government. "Democracy is intended precisely to give the people power over choices about the ultimate aims and goals of the government action" (Creighton, 2005:17). According to Gildenhuys, Fox and Wissink (1991:124), "a situation that encourages and/or allows participation in general elections only is, therefore, not entirely democratic. In fact, public participation in decision-making is an imperative for a government". Therefore, in any democratic country, public participation in the policy-making and implementation processes is a necessary requirement.

Public participation creates a new direct link between the public and the decision-makers in a bureaucracy. At its most basic level, public participation is a way of ensuring that those who make decisions that affect people's lives have a dialogue with that public before making those decisions. From the perspective of the public, public participation increases their influence on the decisions that affect their lives. From the perspective of government officials, public participation provides a means through which contentious issues can be resolved. Public participation is a long way of channeling these differences into genuine dialogue between people with different points of view. It is a way of ensuring genuine interaction and a way of reassuring the public that all viewpoints are being considered (Creighton, 2005:17).

Davids (2005:12) furthermore maintains that the key factor in preserving democratic practice may be participation. Participation rates – at least through legal channels – are one indicator of the legitimacy of a state and system. As long as people consider it worth their time to participate, they are assumed to have some level of efficacy, that is,

belief that participation matters (and that they still consider the system legitimate). This is supported by Midgley, Hall, Hardiman and Narine (1986:5), who note that the survival of government depends, among other things, on its legitimacy and that such legitimacy in policy-making and implementation makes a positive contribution to government legitimacy (Fagence, 1977:340).

Public participation is an essential ingredient of good governance in any democracy. Democracy is intended precisely to give the people power over choices about the ultimate aims and good of government action (Creighton, 2005:17). The role of public participation in facilitating the interaction between members of the public on the one hand and policy-makers and implementers on the other, shows that it should be encouraged and preserved. This becomes more apparent when considering the role of public participation in democratising and controlling the making and implementation of policy; facilitating the exchange of information between the government and members of the public; promoting responsiveness to public needs; and facilitating the processes of policy implantation and community development (Masango, 2002:63).

Beierle's (1998:4-5) 'social goals' framework incorporates all the evaluative measures heretofore discussed in a more compact form. The following six goals (or purposes of public participation) are distinguished: (1) educating and informing the public; (2) incorporating public values into decision-making; (3) improving substantive quality of decisions; (4) increasing trust in institutions; (5) reducing conflict; and (6) achieving cost-effectiveness.

According to Pope (2000:247), an informed citizenry, aware of its rights and asserting them confidently, is a vital foundation for a national integrity system. An apathetic, passive public, not interested in taking part in governance or in enforcing accountability, provides an ideal breeding ground for corruption, fraud and mismanagement, resulting in poor corporate governance. Rioting, according to the late Martin Luther King, is the language of the unheard. Therefore, the violent country-wide service delivery riots and protests that South Africa has been experiencing indicate that the problems that beset

local government represent more than a failure of delivery. Consultation, communication and involving our community involvement and engagement have also failed dismally (www.idasa.org.za).

According to Carrim (2001:19), in the new system of developmental local government, municipalities are meant to be firmly embedded in the residents. According to Bekker (1996:45), the rationale for direct public participation is that the public should share in development planning at the formative stage, rather than after officials have already committed themselves to particular choices.

3.13 OBJECTIVES OF PUBLIC PARTICIPATION

According to Madlala (2005:45), specific objectives for citizen participation can be outlined in order to activate at least some of the participants to do the following:

(a)   provide information to citizens;

(b)   obtain information from and about citizens;

(c)   improve public decisions, programmes, projects and services;

(d)   enhance the acceptance of public decisions, programmes, projects and services;

(e)   supplement public agency work;

(f)   alter political power patterns and resource allocation;

(g)   protect individual and minority group rights and interest;

(h)   delay or avoid complicating difficult public decisions.

The successful realisation of the foregoing objectives depends on a complex relationship between local government authorities and participants. It is important to understand that every form of participation entails a different set of interactions (Bekker, 1996:45). Although a number of factors limit public participation, its advantages are such that every effort should be made to ensure its success. Citizen participation is absolutely necessary to overcome powerlessness and apathy among citizens. When citizens believe in themselves and feel that they can influence government policy, then

they are bound to involve themselves in issues of governance and in planning and decision-making (Bekker, 1996:75).

Furthermore, citizen participation can serve as a means of converting dependency into independence – that is, converting the poor from the passive consumers of services into the producers of those services.

Several key reasons have been identified why community participation is vital. It is argued that it provides an equal opportunity to influence the decision-making process; secondly, based on popular sovereignty, it ensures that the government is sensitive to the needs of the people; thirdly, it counteracts a sense of powerlessness among the poor (Monyemangene, 1997:29).

Community participation in local government matters is crucial in multi-dimensional and integrated development plans (Gaventa & Valderrama, 1999:5). This is in line with the objectives of ensuring that communities own the process of development and that they are enabled to make a meaningful contribution to the development of their own lives. This can be translated into the creation of centres of economic and social opportunity, so that communities can live and work in safety and peace, as an essential basis for equitable standards of living. However, for participation to be effective, its nature should be meaningful and influential in the product of the process. Hence, community participation can only become a learning process if community members really participate. Participation does not mean that people should be brought into a project when physical labour is required. By that stage, communities should already have been involved for a long time. There is no better stage in which community members must begin to participate than right at the start of the project. Their right and ability to think, seek, discuss and make decisions should also be acknowledged (Swanepoel, 1992:3).

Arnstein (1969:34) states that there is a critical difference between going through the empty ritual of participation and having real power needed to affect the outcome of the process. As a result, the issue of whether planning should be technocratic or

participatory assumes special relevancy. Koenigsburger (cited in Monyemangene, 1997) asserts that the question of public participation becomes relevant if the public assume control of planning and development implementation areas that were in the past enclaves of the elite and the planning technicians, who drove development without consultation. Koenigsburger argues that public participation in planning and decision making is at best a luxury and at worst entirely unnecessary, due to the huge and adverse socio-economic problems existent.

3.14 CHARACTERISTICS OF PUBLIC PARTICIPATION

De Villiers (2001:159-160) maintains that the basic principles of public participation are pro-activity, inclusiveness, shared responsibility, openness throughout the process, access, transparency, and respect for public input. These principles point to some key aspects required to promote successful public participation policies and practices, which require firm, continuous commitment from government and civil society.

Sanoff (2000:12) identifies four essential characteristics of public participation namely:

- Participation is inherently good.
- It is a source of wisdom and information about local conditions, needs and attitudes, thus improving the effectiveness of decision-making.
- It is an inclusive and pluralistic approach through which fundamental human needs are fulfilled and user-value is reflected.
- It is a mean of defending the interest groups of people and individuals; a tool for satisfying their needs.

According to Creighton (2005:23), the one obligation of public participation is that the larger public must be kept informed of the impact of a decision, so that they can decide whether they wish to become involved in the public participation process. Therefore, it should be standard practice to establish and maintain an effective public information programme. Secondly, the public participation programme must be highly visible and

accessible to the public so that, should they decide to participate, they have a clear understanding of how and where this may be done.

According to Briand (2007:1), the International Association for Public Participation has adopted the following set of Core Values for Public Participation, which is intended to serve as the warrant and the touchstone for public participation principles, priorities and practices:

- The public should have a say in decisions about actions that could affect their lives.
- Public participation must include the promise that the public's contribution will influence the decision.
- Public participation must seek out and facilitate the involvement of those potentially affected by or interested in a decision.
- Public participation must promote sustainable decisions by recognising and communicating the needs and interests of all participants, including the decision-makers.
- Public participation must seek input from participants in designing how they participate.
- Public participation must provide participants with the information they need to participate in a meaningful way.
- Public participation must communicate to participants how their input affected the decision (Briand, 2007:1).

3.15 PUBLIC PARTICIPATION IN SOUTH AFRICAN LOCAL GOVERNMENT

The struggle against Apartheid left a powerful legacy of community management, community-based organising and mobilising against the overwhelming powers of the former Apartheid State, contrasting with widespread feelings of passivity and dependence. The immediate independence phase saw the emergence of project-based community participation. According to Masango (2002:60), the factors that could

contribute towards the realisation of an effective and sustainable process of public participation include cultivating a culture of participation, public education, organising for participation, capacity-building for participation, reforming attitudes towards participation, utilising appropriate methods of participation, and publicising local government affairs. This is confirmed by De Villiers (2001:98), who asserts that effective public participation is dependent on strategies aimed at education, information and outreach in order to provide the knowledge and means to access seemingly distant and incomprehensive institutions. Such strategies are focused on bringing people on the margins and periphery of society into the direct political process, creating a system of governance that is inclusive, responsive and transparent. The objective is to consolidate a form of democracy that engages with and recognises the interests of all people.

South African communities are now moving into a new phase of partnership and negotiated development and a people's contract; where communities recognise their rights, but also their responsibilities, and the state has a duty to respond and facilitate.

In terms of the ladder of participation, this demonstrates that we are moving into a partnership approach between citizens and government. This framework advocates that citizens, represented by Ward Committees, should have recognised powers, with delegated responsibilities**.** In other words, the aim is to move beyond the rhetoric of participation to practical means of empowering citizens to take charge of their own development, in partnership with government.

Participatory governance entails the active and meaningful involvement of citizens in the manner in which they are governed. This form of governance has been implemented by many democratic governments throughout the world, in an effort to bring government to the people. This implies that government should involve citizens in the day-to-day process of governing (www.idasa.org.za).

There is general agreement that participation is key to the success of the local development process. It is implicitly implied that there has to be a representative and

administrative system through which the views of citizens are heard and fed into policy formulation. Hence, it is essential to ensure that control over local municipalities and civil society is not restricted to the new urban elite in the South African context (Swilling & Monteiro, 1994:97). Swilling and Monteiro assert that the new type of government should promote exclusivity around development planning.

3.16 VEHICLES OF PUBLIC PARTICIPATION IN LOCAL GOVERNMENT

Participation is a complex mechanism; in effect, there is no single blueprint. Hence, each area is characterised by different dynamics and demographics. This view is held, whilst taking cognisance of the fact that development does not occur successfully if beneficiaries are not part and parcel of the process of planning and implementation (Parnell, Pieterse, Swilling & Woodrige, 2002:27). This raises the question as to whether public participation is the solution for social and economic development.

It could be argued that public participation could slow delivery, as it is a time-consuming and expensive process. This is supported by the fact that the formation of Ward Committees to facilitate development has been found to be potentially time consuming. According to the World Bank (1994:3), there is no perfect model for public participation, and its development experience has proven that the form public participation takes, is highly influenced by the overall circumstances and the unique social context in which action is being taken.

Participation between municipalities and the committees would be on the level of policy formulation, priorities and strategies; of which the implementation will be facilitated by the municipalities. If limited consultation on the implementation phase occurs with Ward Committees, this could jeopardise the legitimacy of the services. However, its long-term benefits, such as the empowerment and capacitation of communities, outweigh a situation in which participation does not take place. This approach is important at all levels of the planning cycle, decision making and problem solving, as these phases are integral to the process of empowerment and meaningful participation.

However, Heymans and Totemeyer (1998:97) contend that a fitting description of local government would be that local government in South Africa is in a state of flux. Hence, increased public participation in municipalities is of crucial importance if a democratic and representative framework is to become a success at local level. In the South African context, public participation is clearly essential for nurturing our young, emerging democracy, as it sets a sound foundation for government and societal relations. It is essential, as it serves to deepen democracy and increase the effectiveness of policy formulation and implementation.

According to Masango (2002:60), the factors that could contribute towards the realisation of an effective and sustainable process of public participation include cultivating a culture of participation, public education, organising for participation, capacity building for participation, reforming attitudes towards participation, utilising appropriate methods of participation, and publicising local government affairs.

According to Van Rooyen (2003:133), the White Paper on Local Government (1998) requires municipalities to put processes and structures in place to ensure effective participation. The following are different forms available to government in order to promote public participation:

- Legitimate structures for community participation (**Ward Committees**).
- Mechanisms for communities to plan (**Community-based Planning**).
- Integrating this planning with the **Integrated Development Planning** (IDP) process of local government.
- Support for wards to **implement** their plans, using **discretionary funds** that they control, and encouraging voluntary action to do so.
- Providing facilitation and support to ward committees and community groups using **community development workers.**

In contrast, according to Idasa in Moodley and Govender (2006:831-832), community participation is not limited to formal structures only.

3.16.1 Ward Committees

Craythorne (1997:106) records that the ward system first emerged in South Africa in 1786 in the Cape Colony, following intense pressure by Cape Burgers for a greater share in the government of the Colony. This body was later given certain municipal and policing functions. Over the years, their role evolved into a form of contact between the people and the municipal commissioners. It was rejected and opposed by the majority of Africans as being illegitimate. The birth of democracy in South Africa saw the entire country divided into wards. The new notion of wall-to-wall local government meant that every South African would have direct access to democratically elected representatives involved in the management of their local area through the functions and powers conferred on ward committees.

Ward Committees were first mentioned in the White Paper on Local Government (1998). In respect of their roles and responsibilities, the Municipal Structures Act states that Ward Committees may make recommendations on any matter affecting their wards to the relevant Ward Councilor and Municipalities. Ward Committees were given new meaning, roles and functions through Section 74 of the Municipal Structures Act, 1998, which stipulates that a Ward Committee –

(a)   May make recommendations on any matter affecting its Ward –

    (i)   To the Ward Councillor; or

    (ii)   Through the Ward Councillor, to the metro or Local Council, the executive committee, the Executive Mayor or the relevant Metropolitan Sub-council; and

(b)   Has such duties and powers as the Metro or Local Council may delegate to it in terms of Section 32 of the Act.

The then Minister of Provincial and Local Government published a Notice entitled 'Guidelines for the Establishment and Operation of Municipal Ward Committees' (Notice 965 of 2005), which presented the 'duties and powers' delegated to Ward Committees and emphasised that those powers did not include executive powers (Section 5(3)(d)), but rather focused on communication and mobilisation. This was made possible by legislation governing local government (Parnell, *et al.*, 2002:83).

According to Draai and Taylor (2009:117), there are four important expectations attached to Ward Committees:

- The object of Ward Committees is to enhance public participation and consultation in matters of local government.
- Ward Committees are structured communication channels between local government and its communities.
- Ward Committee members, with the exception of the Ward Councilors, are community representatives who perform their duties on a voluntary basis.
- Although the Act (No.117 of 1998) empowers municipalities to dissolve a Ward Committee that fails to fulfill its objectives, it does not provide for a monitoring and evaluation system to measure performance indicators.

Ward Committees are community elected area-based committees within a particular municipality whose boundaries coincide with Ward boundaries. Each Ward Committee is chaired by the relevant Ward Councillor and consists of up to ten people representing a diversity of interests in the Ward, with women 'equitably represented'. A Ward Committee is meant to be an institutionalised channel of communication and interaction between communities and municipalities (Bolini & Ndlela, 1998:116). Special efforts must be made to hear the views and issues pertaining to the most vulnerable through their representations to each and every Ward Committee. These groups include

women, the youth, the elderly, the unemployed and people with disabilities (Meyer and Theron, 2000:51).

Although Ward Committees are not the only vehicle for public participation, they provide a structured model for public participation. They are clearly meant to enhance constructive interaction between municipalities and local communities. This interaction gives effect to Sections No. 4 and 5 of the Local Government: Municipal Systems Act (No. 32 of 2000), which gives citizens the right to contribute to the decision-making processes of municipalities and to complain or make representations if their needs are not met (www.hologram.org.za).

A further limitation is that the establishment of Ward Committees is not mandatory for municipalities. Legislation makes it mandatory for municipalities to develop mechanisms to consult and involve communities in governing processes. It must, however, be stated that most South African municipalities have chosen to comply with this requirement by establishing Ward Committees (www.idasa.org.za).

Ward Committees should, furthermore, consult regularly with Ward residents on matters relating to the Ward, and should develop and submit reports and recommendations on such matters, as and when required, via their Ward Councillors to the Council. According to *ANC Today*, a weekly web-based publication of the African National Congress (27 April 2001), a defining feature of the new system, which represents the final phase of local government transition, is the scope it offers to ordinary people to become actively involved in local governance. Residents have the right to contribute to their municipality's decision-making processes. They have the right to submit recommendations and complaints to the Council, and to the regular disclosure of the state of affairs of the municipality, including its finances (www.anc.org.za).

Ward Committees are, however, largely perceived to have been ineffective in advancing citizen participation at local government level. This ineffectiveness is caused by lack of

capacity and lack incentives to pursue the betterment of their constituencies (Hicks, 2004:7).

Furthermore, Ward Committee structures were meant to represent formal, unbiased communication channels as well as co-operative partnerships between communities and councils and serve as mobilising agents for community action, in particular through integrated development planning.

FIGURE 3 : Areas covered by Ward Committees and their linkages
Source: National Policy Framework on Public Participation (2005:8).

A Ward can cover a wide range of sectoral issues (see Figure 2), depending on the situation in the Ward. In order for communities to be active and involved in managing their development, claiming their rights and exercising their responsibilities, Ward Committees as legitimate structures need to be effective. A number of practical mechanisms are required, as diagrammatically presented in Figure 3 below:

FIGURE 4: Feedback links between communities, Ward Committees and municipalities

Source: National Policy Framework on Public Participation (2005:13)

In Buffalo City, Ward Committees have been elected in all wards, and members have received training on their roles and functions in 2010, according to the Municipality's Department of Public Participation. There are plans to further capacitate Ward Committees in municipal performance management systems, as a way of strengthening municipal accountability. According to the Peer Review Report on Buffalo City, there is a need to review and evaluate Ward Committees, as some are no longer functional. The Report also suggests that positive incentives for Ward Committees should be introduced and the sustained participation of volunteer members should be encouraged, as many are unemployed (www.afesis.org.za/local government articles.

3.16.2 Community Development Workers

Community Development Workers (CDWs) are community-based resource persons who work with other local activists to help their fellow community members obtain information and resources from service providers. The CDW Programme was initiated by President Thabo Mbeki in his 2003 State of the Nation address, in which he stated that government would create a public service component of multi-skilled CDWs who would maintain direct contact with the people where they lived (www.idasa.org.za).

The main function of CDWs is to assist in progressively meeting communities needs, helping them achieve their goals, realise their aspirations and maintain their overall well-being. This may include assisting a citizen who does not have an ID to apply for one through the Department of Home Affairs. It may also involve helping a second beneficiary access a child support grant, in the event of the death of the primary beneficiary. CDWs are also expected to explain government policy to ordinary citizens in the language that people can understand (www.idasa.org.za). CDWs must be people who are multi-skilled and knowledgeable about all government departments and services, as their work cuts across all of these. They are required to have excellent listening and facilitation skills, as they are often required to act as mediators if and when problems arise in the community.

To be appointed, CDWs must:

(a)   live in the very communities in which they work;

(b)   show respect for the people, their norms and values;

(c)   realise that they are dealing with living entities;

(d)   acknowledge and accept leaders; irrespective of their political affiliation;

(e)   be open about positions and tasks;

(f)   get to know people and their circumstances;

(g)   deepen their insight into people's needs and resources;

(h)   begin to identify local structures with which they can work;

(i)   promote partnerships between themselves and local structures, such as Ward Committees; and

(j)   exchange information, guide and provide expertise, as well as enable, advocate and catalyse action (www.idasa.org.za).

Speaking at the launch of the CDW Programme in Winterveldt in the Western Cape in November 2005, former Public Service and Administration Minister Ms Geraldine Fraser-Moleketi, urged workers to help ensure that government was based on the will of the people and urged them to work, live, walk and talk to people in their own language (www.southafrica.info).

The implementation of the CDW Programme is coordinated by all three spheres of government (national, provincial and local). The Department of Provincial and Local Government facilitates the relationships between these three spheres around CDWs, while the Department of Public Service and Administration (DPSA) is responsible for the overall coordination of the Programme. Provincial administrations are the employers of the CDWs, while SALGA and municipalities, among other things, provide workplaces for the CDWs and create the necessary environment for them to perform their duties. Finally, Provincial Local Government Associations and the Offices of Speakers within municipalities are tasked with overseeing the creation of an enabling environment for CDWs (www.idasa.org.za).

In discharging their duties, CDWs should interact with Ward Committees and Ward Councillors. They serve the same constituencies; hence the need to work together and complement each other. They help to assure that government meets its target with regard to service delivery and poverty alleviation (www.southafrica.info). Presently, a key challenge is that these resources are not working together as expected. The first challenge is that as CDWs are appointed by Provincial government, they see themselves accountable to that sphere of government rather than to the Speaker's Office located in local government, as required. Secondly, Ward Committee members are given a transport allowance for attending meetings only. They feel that Councillors

and CDWs are paid for the work they are doing, while they are deprived of similar benefits. Presently, political glitches impact negatively on the relationship between the three structures.

Community Development Workers' role is to maintain direct contact with the people where they live and to ensure that government dramatically improves the qualities of the outcomes of public expenditure. The CDW Programme is an initiative of the National Executive; CDWs are employed and paid their salaries by the relevant province and deployed locally, although they are outside of the direct control of local government.

In a media briefing on the Cabinet Lekgotla, the then (2005) President of South Africa, Mr Thabo Mbeki, stated:

"There are instances in many municipalities where basic services are not provided to citizens, not on account of lack of resources, but because of poor planning. For instance, some new settlement projects with formal housing, water and electricity lack sanitation facilities; others suffer from ageing electricity networks and unreliable refuse removal services ……These challenges call for close monitoring of the content of Integrated Development Plans and their implementation, including support to Ward Committees and speedier roll-out of the Community Development Workers (CDWs) Programme."

Although CDWs are not a public participation institution, they are important in how they relate to existing public participation structures and mechanisms, especially Ward Committees, and potentially could assist in the further development of public participation. The CDW initiative is a very important and strategic initiative, providing grassroots staff of the government who can support Ward Committees and strengthen the communication links between communities and government.

FIGURE 5 : Support roles by CDWs

Source: National Policy Framework on Public Participation 2005:14

3.16.3 Community-based Planning/Ward-based planning (IDP)

Community-based planning is a form of participatory planning designed to promote community participation and linkage with the IDP. Community-based planning empowers communities to plan for themselves and enables local government to understand and plan better for community needs. It encourages a bottom-up approach to planning, as opposed to the customary top-down approach. Only an informed community can decide its own destiny. It presumes that the people who live in a community should have the right to set the course for their future. Community-based planning, in addition to creating community involvement, also creates a sense of community ownership for service delivery and development. More importantly, community-based planning ensures that the poorest of the poor and the marginalised

sectors of the society take part in local governance. It is only when people are empowered that they can make local government accountable (Community-based Planning and the IDP, Guide 2, 2005:4).

The previous section on legislative framework reflected the centrality of public participation in local government legislation and the 1996 Constitution. Public participation is also emphasized in key policy documents, most notably the *Freedom Charter* and the White Paper on Local Government (1998). Community-based planning therefore provides a mechanism for achieving this and entrenches community participation in planning and management at Ward level. Community-based planning strengthens all other participatory approaches. It closes the gap between municipalities, communities and Ward Committees, and between Ward Committees and communities, in key policy decisions, thereby institutionalising structured public participation. This has an impact on the IDP and Budget (Community-based Planning and the IDP, Guide 3, 2005:7).

3.16.4 IDP AND PUBLIC PARTICIPATION

Prior to the implementation of integrated development planning, the majority of stakeholders involved in development were technical personnel. According to Esman (1991:24), "development management roles should be designed to compensate people". IDP processes together with budgetary processes, are an agent for community action (DPLG, 2005:7). Planact (1997:41) is of the opinion that no standard recipe for community participation he further acknowledges the importance of participation in local government, stating that in order to reconstruct and develop South Africa; there is a pressing need for popular participation. According to Houston (2001:211), the White Paper on Local Government (1998) requests municipal Council members to involve communities in the design and delivery of municipal programmes. The White Paper on Local Government (1998) also encourages public involvement in developmental local government through the following:

- A community representative forum, which allows for community participation at local level.

- An effective communication system between the different departments' directorates within the administration, as well as the administration and the public.

- Municipalities must recognise the legitimacy of newly formed community-based organisations (CBOs) by actively incorporating these groups into decision-making processes and structures.

- The establishment of a capacity-building and mediation fund, especially in participation in programmes and activities.

- Avoiding the duplication of participatory structures (various sectoral committees).

Community participation must not be a once-off activity to fulfill legislative requirements in order to produce an IDP, but should rather be a continuum (Planact, 1997:41-43). The linkage between Ward plans, IDPs, provincial growth and development plans and the National Spatial Development Framework is diagrammatically presented below.
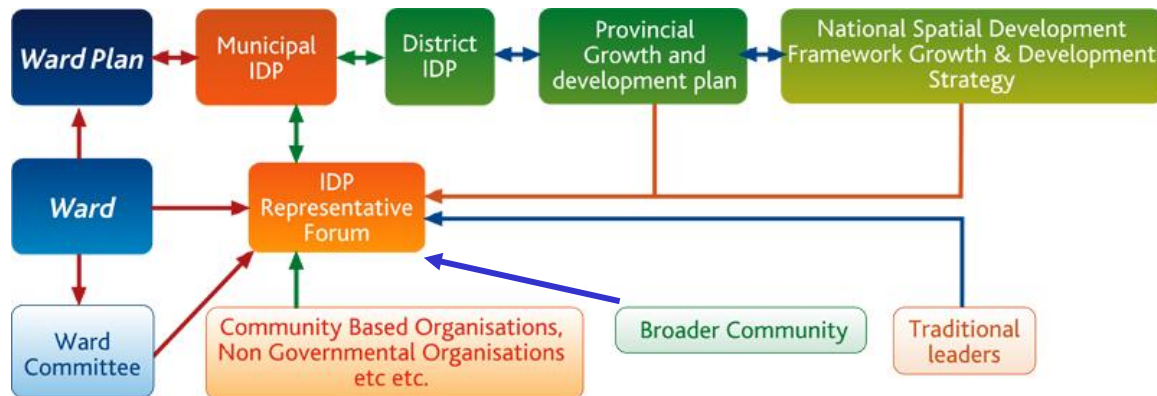
FIGURE 6: Linkage between Ward plans, communities and higher-level plans
Source: National Policy Framework on Public Participation 2005:9

3.16.5 TRADITIONAL AUTHORITIES

Traditional leadership is indigenous to South Africa and the rest of Africa. Its existence predates the colonial conquests and Apartheid era. Another important way in which communities, particularly traditional communities, can participate in local government is through traditional authorities. Chapter 12 of the Constitution makes provision for the formulation of national legislation that affords traditional leaders a role at local level. Traditional leaders play a role in community participation and are an important component of most constituencies, as they have a protracted record of facilitating community consultations. The Traditional Leadership and Governance Framework Act (No. 41 of 2003) recognises the tribal level as a link between communities and local government.

The ANC-led government amended Section 81 of the Local government: Municipal Structures Act to provide for and enhance the representation of traditional leaders in municipal councils to 20%, as it stands now. This Act further puts the institutions of traditional leadership at the centre of development. Chapter 2 (Section 4) of the Traditional Leadership and Governance Framework Act (2003) defines the primary functions of traditional councils as to facilitate the involvement of the traditional community in the development of municipalities' Integrated Development Plan (IDP), and recommend appropriate interventions to government that will contribute to development and service delivery within their jurisdiction areas.

This system of leadership is, however, still faced with challenges that deter community participation. It remains a daunting task to forge the coexistence of two diverse and conflicting systems of governance (modern democracy versus traditional authority). The party politicisation of tribal structures invariably compromises the credibility and autonomy of the institution and its leadership. Traditional leaders who are partisans bar efforts to spearhead community participation. The traditional leadership of 'Amakhosi' is flawed by a lack of clear-cut roles and functions. The Traditional Leadership and Governance Framework Act (2003), enacted to redeem these problems, has been

lambasted by the Amakhosi for being westernised in its provision and consultation. This has exacerbated the mistrust that exists between traditional and democratic authorities. There is also an ongoing dispute over traditional authority boundaries and the merger of tribes.

Other vehicles for public participation include advisory panels, focus groups, forums and sector groups. This is complemented by community *izimbizo's* (outreach programmes) and Masithethisane *(Come let us talk together)* Programmes, which aim to establish community needs and their feelings on governance and how it should be improved. Both the political and administrative leadership take part in these programmes to enhance public participation, thereby promoting good corporate governance.

3.16.6 Focus groups/Interest groups

Groups that share the same principles and interests usually organise themselves and lobby their municipality on the issues of their choice. They motivate the inclusion of their issues in the policy decisions of their municipality. Although environmental groups are the most common, other groups have recently emerged. These include sectors dealing with specific issues affecting the youth, gender and people with disabilities. These groups advocate for the inclusion of their issues in the local government agenda (www.idasact.org.za).

In addition, service delivery satisfaction surveys, complaints and suggestion boxes/schemes have become well established in local government. Fully developed websites can also play an important role in improving communication with communities, thereby promoting their involvement (www.idasact.org.za).

3.16.7 Public meetings

Public meetings are the most common form of public participation. The Local Government: Municipal Systems Act (No32 of 2000), provides for Council meetings to

be held in public, with notices announcing Council meetings published, stating the date, time and venue for these meetings. Public hearings are usually held to give the community a fair and open opportunity to state its case on a matter. They are commonly used by national and provincial legislatures as part of the process for making a law. Municipalities also embark on the same processes during the drafting of by-laws, budgeting processes and IDP and Performance Management reviews. This enables communities to own the development processes in their areas (www.idasact.org.za).

Public meetings could be an optimal platform for municipalities to share information about the needs of their communities and provide clarity on issues that are misunderstood by them. Integrated development planning could be promoted in this way. Community members and their leaders could use the opportunity to interact with officials during breaks and after meetings. The existing political structures, which may include local activists and local council members, could use these meetings to promote interaction between the Council and the community regarding developmental issues or matters of mutual concern (Meyer & Theron, 2000:40; Sewell & Coppock, 1997:36).

3.16.8 Report-back meetings

It is essential that the community be taken on board and informed of decisions taken by Council, on a regular basis. Some of these decisions could affect them directly, such as decisions that deal with service delivery and finance related issues (www.idasact.org.za). Furthermore, all municipalities are required to have an Integrated Development Plan (IDP) developed every five years. In this regard, different communities are required to raise their priority projects for a specific financial year through interaction with the municipal leadership. In preparation for budget processes, it becomes critical that, following the adoption of a request, report-back meetings are held to explicitly inform communities which of their priorities will be implemented in that financial year. Report-back meetings are crucial for public participation so that municipalities can inform residents of resolutions and the projects adopted.

3.17 GOVERNANCE AND PUBLIC PARTICIPATION

Theron, Van Rooyen and Van Baalen (2000:29) define governance as a process in which power and authority around the allocation of resources are exercised between and within institutions in the state and civil society. Good governance, as explained by Gildenhuys and Knipe (2000:9), is the attainment by government of its ultimate goal to create conditions good and a satisfactory quality of life for each citizen. Attention has to be drawn to the compatibility of public participation with democracy in general, in accordance with the ethos of representivity. This issue becomes more relevant in the South African context, where public participation is seen as not only playing a pivotal role, but also as enhancing local democracy.

Since the post-apartheid government took office in 1994, different expectations have been raised concerning policy and how government should relate to communities. However, there is general agreement that participation is key to the success of local development processes. By this, it is implicitly implied that there has to be a representative and administrative system through which the views of citizens are heard and fed into policy formulation. It is therefore essential to ensure that control over local municipalities and civil society is not restricted to the new urban elite in the South African context.

Swilling and Monteiro (1994:32) assert that the new type of government should promote exclusivity around development planning. According to Atkinson (1992:43), there is a notion of "popular sovereignty"; a notion that indicates that governance is not a separate entity from its citizenry, but that the two are inextricably intertwined. Implicit in this form of governance is the notion that government is accountable to the community in an ongoing manner. This form of democratic and good governance instills an impression that governance is owned by the community. Such contextual analysis is in line with the shift from the concept of government to governance (Kooiman, 1993:34).

From a South African perspective, Swanepoel (1992:23) states that a broad understanding of political leadership in governance is that of managing the relationship between the government and civil society. If good democratic governance entails working with and listening to the citizenry as individuals, interest groups and society as a whole, active co-operation and ongoing engagement in the process of policy formulation and implementation between politicians, public officials and members of communities is required. The government has to ensure that all its structures enable the public to exercise a meaningful say. Governance as a process of facilitating and ensuring the delivery of goods and services through the management of social power and power relations therefore represents a means of social stability and well-being through deepening democracy.

Governance has been described as both a broad reform strategy and a particular set of initiatives to strengthen the institutions of civil society, with the objective of making government more accountable, more open and transparent, and more democratic (Monique, 1997:4 in Gaventa and Valderrama, 1999). For other authors, it represents a change in the meaning of government, referring to a process of governing: a changed condition of ordered rule; or a new method through which society is governed (Rhodes, 1996:652).

3.18 Public participation and communication

According to Madison (1822), knowledge will forever govern ignorance; people who intend to be their own governors must arm themselves with the power that knowledge provides. Knowledge is, in effect, power and can be acquired only through access to information (www.parliament.gov.za).

Communication is a two-way process. It does not benefit citizens only, but also government decision-makers. This interactive communication enables each party to learn about and better understand the views and positions of the other. According to Raga and Taylor (2005:42), open, transparent and accountable government is an

imperative prerequisite for community-oriented public service. Through communication with citizens, government gathers information on needs, opinions, values and perspectives from the broadest spectrum of the public, enabling it to make better and more informed decisions (www.ci.doe.gov.za).

The ability to access information and communicate appropriately is key to economic and social empowerment in all spheres of society. Illiteracy remains one of the most disempowering factors faced by the large majority of citizens of this country. This affects democratic participation and hinders human development. An illiterate citizen cannot have access to one of the important channels of communication, namely access to the media (both print and electronic) (www.parliament.gov.za). Government considers communication to be a strategic element of service delivery. Communication promotes an informed and appropriate response to people's needs in order to enable all South Africans to become active and conscious participants in social transformation. It ensures that government is sensitive to the needs of the people (www.gcis.gov.za).

3.19 CHALLENGES AND LIMITATIONS OF PUBLIC PARTICIPATION

Greyling (as cited in Bradshaw & Burger, 2005:48) points out that participation is not necessarily aimed at building consensus, but rather at 'generating a diversity of opinions and views'. This in itself presents a huge challenge. It is furthermore problematic that public participation is too often just conducted as a type of therapy for stakeholders, while the crucial decisions have already been taken. Jansen (2002:208) notes that, internally, the "processes of participation have a number of significant limitations: not all groups are able to participate equally due to differentials of access, power and expertise; and the views expressed in various final reports often did not reflect exact opinions of stakeholders and participants".

Creighton (2005:2) emphasises that there are many challenges in converting the concept of public participation into the difficult reality of everyday interaction between the state, companies and the public; for example, the reality of budgets and legal

constraints. There is sometimes a need to make quick decisions; and decisions should be based on the best available scientific and technical information. These are some of the external political realities compounding the challenges relating to public participation. There is a negative attitude toward participation, which stems from two chief sources: lack of clarity in the definitions used to describe public (or citizen) participation and the use of inappropriate strategies to achieve it (Theron, Ceaser & David, 2007:2).

3.19.1 Legislative limitations on participation

Participatory governance should not permit interference with a municipal Council's right to govern and exercise the executive and legislative authority of the municipality. The municipal council, which is the product of representative democracy, has the sole legal mandate to govern. More importantly, it has the political legitimacy to do so, since it is brought about through the will of the people. However, the people's will is not a blank cheque to write as the Council pleases (www.idasa.org.za). Participatory democracy is there to complement politically legitimate and legally responsible structures. A community participatory structure, such as a Ward Committee, for instance, may add to the formal structures of government, but may not replace or substitute them (www.idasa.org.za).

There are other limitations to public participation, apart from the legislative limitations mentioned earlier. Bekker (1996:71-73) has identified the following limitations:

(a)   Government normally involves citizens in areas in which they know they will get a positive response.

(b)   There is generally a problem of apathy in local government, with the result that only a handful of citizens participate.

(c)   Inflexible institutional arrangements and work procedures designed for efficiency rather than for responsiveness to public participation usually hamper public participation.

(d)   The perception of the public that it is not worthwhile to participate, since their views will not be taken seriously; leads to apathy and little public participation.

(e)   There is a general lack of government response to or feedback on issues raised by the communities, which renders them despondent and demotivates them from further participation in local government.

(f)   Often, citizens are not provided with sufficient information to enable them to participate. It must, however, be said that regardless of these limitations, current participation channels and approaches at the local government sphere in South Africa reflect a shift from participation by the elite towards a community orientated, "bottom-up" approach. For many years in South Africa, the disadvantaged were marginalised and had no say in shaping their own destiny. Although progress has been made, many challenges are still being encountered with regard to community participation. However, with time and community empowerment, the ideals of community participation will be realised (Bekker, 1996:41).

3.20 PUBLIC PARTICIPATION MODEL

Models have been defined as "formats for participation that can be implemented in a variety of imaginable problem contexts from those that are unique experiences". A model also implies that it has a substantial capacity to resolve a public issue as the principal or sole vehicle for public discourse.

3.20.1 PUBLIC PARTICIPATION APPROACHES

There are three specific approaches, i.e. "the top-down"; "the bottom-up" and the partnership approach. Each approach can be applied in different ways and in different community conditions. When people are able to define their own problems and have the ability and capacity to solve these through organising and participating themselves, the bottom-up approach to community development could be developed. However, when people lack the ability and capacity to take action in developing their own communities,

government and the agency concerned should take over the process of development over some period of time in order to upgrade their awareness, knowledge and the skills needed for self-reliance; thus the top-down approach to community development could be developed.

3.20.2 OVERVIEW OF PUBLIC PARTICIPATION MODELS

According to Godsell (1990:51), Abraham Lincoln defined the concept of democracy as "government of the people by the people and for the people". The different types of democratic models of public participation will be briefly presented below.

3.20.2.1   Populist democracy

A populist democracy, also known as a people's democracy, or populism, is based on the assumption that all people are equal and must be treated as such. It means that there should be no inequalities and that all people must be treated alike, regardless of their capacities to contribute to the general welfare (common good). The proponents of populist democracy have always been sympathetic to workers, small-scale traders and farmers, who are the most numerous in every society. These individuals are often referred to as the poor (common people), in contrast to the leaders, who may have been in public office for lengthy periods and who could appear to be arrogant, aloof and difficult to reach. According to Cloete (1993:9), the supporters of populist democracy believe in government "for the people," which means "government for and by the majority".

The proponents of populist democracy tend to justify this model through mass movements, which give the impression of participatory democracy. Mass movements could, however, result in mob rule and become an instrument of tyranny. To make the most of mass movements, the supporters of populist democracy will search for charismatic leaders or "heroes" who will be able to exercise constructive leadership once the majority comes into power. They also assume that leaders voted into power

will govern effectively and to the satisfaction of all. Little attention is given to the need for constant control over and the replacement of the elected rulers, who therefore could develop into dictators.

3.20.2.2 Liberal democracy

The liberal public participation approach claims that all people should be politically accepted as equal, but it also acknowledges that individuals differ in their personal capacities and ability to provide for themselves. The liberal democracy proponents can therefore only demand that every person be given the opportunity to develop and reap the fruits of his or her own potential. Liberal democracy demands the protection of equal rights, which will ensure that some persons do not have special rights or that others are subject to damaging disadvantages. A liberal constitutional democracy requires regular elections and the presence in the legislatures of representatives of opposing political parties – of majority parties and of minority parties. Thus, majority rule could remain acceptable (Cloete, 1993: 8-9).

3.20.2.3 "Pure" representative democracy

Cloete (1993:7) argues that representative democracy is applied in many states to obtain majority rule. The usual arrangement is to divide the state into geographical constituencies (also known as electoral districts or divisions) and to allow for one or more representatives to be elected by the electorate in each constituency. However, a system of proportional representation could also apply for the election of representatives. In terms of this model, the electorate or members of the public elect their representatives, who pass laws in the legislature and oversee their implementation by the executive branch of government. The participation of members of the public is limited essentially to election time (IDASA, 2005).

3.20.2.4. Realism model of public participation

It is often argued that the "realism" model is the most effective form of public participation. Such an argument is based on an essentially corporatist model of political interaction, where consensus is reached around a "round table" consisting of the primary interest groups. Applied to the legislative process, the key public actors consist of the broader general public or electorate, represented by their elected representatives on the one hand, and the various key interest groups or stakeholders on the other. The public participation process arbitrates an exchange between the two. The successful balancing of these interests depends on a dynamic relationship between elected representatives and their constituencies, characterised by constant interaction and clear communication. Such engagement depends, however, on the capacity of and resources available to the representatives concerned. In South Africa, not only are capacity and resources seriously limited, they are compounded by enormous infrastructural/developmental backlogs, especially in ex-homeland areas. The other challenge is political party representation, instead of direct constituency election. This weakens the link between the electorate and individual representatives. Given these constraints, it may be argued that this model contains many of the weaknesses of the "pure" representational model, particularly in that it limits the broader public influence to voting in elections. According to IDASA (2005), given the numerous constraints to public participation in South Africa, this is the best model available. It is not, however, the system favoured by government or the legislature itself.

3.20.2.5. ARNSTEIN'S MODEL OF PUBLIC PARTICIPATION

Arnstein (1969) developed a 'ladder' of eight levels of possible approaches to public participation, which has shaped much of the dictate on participatory processes, as shown in Figure 1 and Box 1. The degree of involvement ranges from manipulation to citizen control. While Arnstein's model describes degrees of citizen involvement corresponding with varying levels of involvement, it does not offer suggestions for evaluating performance of any particular level.
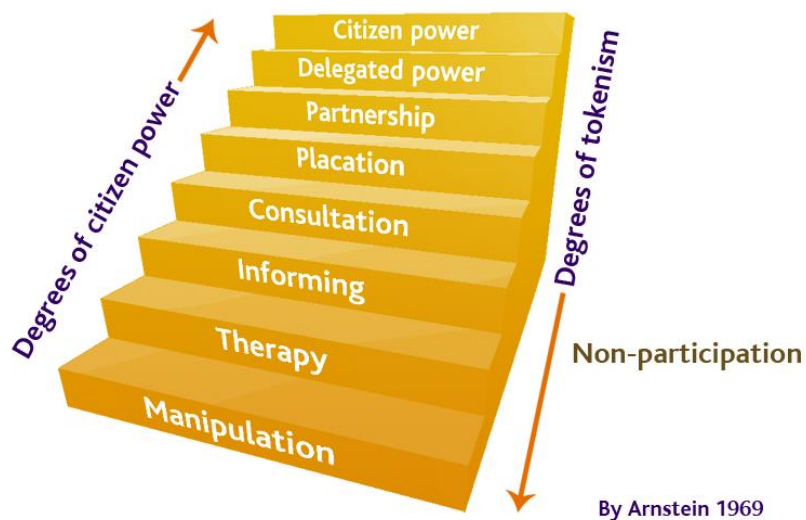
FIGURE 7 : Arnstein's Ladder of Citizen Participation

Box 1   Ladder of participation

Citizen control – People participate by taking initiatives independently of external institutions for the resources and technical advice they need, and retain control over how resources are used. An example of citizen control is self-government – the community makes the decisions.

Delegated power – Government ultimately runs the decision-making process and funds it, but communities are given some delegated powers to make decisions. People participate in joint analysis, the development of action plans and the formation or strengthening of local institutions. The process involves interdisciplinary methodologies that seek multiple perspectives and make use of systemic and structured learning processes. As groups take over local decisions and determine how available resources are used, they have a stake in maintaining structures or practices.

Partnership – In terms of this approach, of which joint projects are examples, the community has considerable influence on decision-making processes, but the government still takes responsibility for the decisions. Participation is seen by external agencies as a means to achieve project goals, especially reduced costs. People may participate by forming groups to meet predetermined objectives related to the project. Such involvement tends to arise only after external agents have already made major decisions. Participation may also be motivated by *material incentives*, where people participate by contributing resources, for example, labour, in return for food, cash or other incentives.

Placation – The community are asked for advice, and token changes are made. Community is given information about the project or issues, their advice may be sought but those comments may not be reflected in the final decision.

Consultation – The community is given information about the project or issue and asked to comment, e.g. through meetings or surveys, but their views may not be reflected in the final decision, or feedback may not be given as to why not. External agents define problems and information gathering processes and thus control analysis. Such a consultative process does not concede any share in decision-making.

> *Informing* – The community is told about the project, e.g. through meetings or leaflets; the community may be asked for their opinions, but these may not be taken into account.
>
> *Therapy* – People participate by being told what has been decided or has already happened. It involves unilateral announcements by an administration or project management, without any attention being paid to people's responses.
>
> *Manipulation* – Participation is simply a pretence, e.g. with "people's" representatives on official boards, but who are not elected and have no power, or where the community is selectively told about a project according to an existing agenda. The community's input is only used to further this existing agenda.

Depending on the objectives around public participation, the approach favoured will differ. Arnstein's classic ladder of citizen participation shapes much of the discussion around participatory processes.

Public participation in the IDP sits on Arnstein's (1969) ladder of participation and lies in the criteria it uses to distinguish between different degrees of public participation and the normative ranking of public participation activities this allows. Arnstein's ladder of public participation model remains a useful tool, mainly because it is widely used internationally to understand and measure participation.

3.20.2.6 IZIMBIZO's AS A MODEL OF PUBLIC PARTICIPATION

Izimbizo's

Imbizo is an isi-Zulu word for a traditional community gathering, called by the Chief to solve pertinent community issues. In African indigenous communities, it is common practice for a chief, headman or other community leaders to convene a community meetings with a view to discussing issues of common concern and interest. The concept of the 'government *imbizo*' became known when the ANC came to power in South Africa. The idea of a gathering of the people was introduced in the *Congress of*

the People in 1955 and the People's Forums, prior to the transition to democracy in 1994. The government took a decision in 2001 to appropriate the *imbizo* as a model of communication and governance, to deepen participatory democracy and public participation, especially for the poor. An *imbizo* is used as a platform to resolve pertinent community challenges through honest engagement between the subjects and leadership. An *imbizo* is used by the government of South Africa for the attainment of four interrelated ideological objectives:

- It expresses the African Renaissance paradigm.
- It expresses the ideology of African unity.
- It is a vehicle to advance the political strategy of the ANC.
- It is used as a manifestation of participatory democracy.

This gathering, in which members of a given neighbourhood and community leadership meet, is called an *Imbizo.* Kidd & Colleta (1980:75) argue that *Imbizo's* are folk media, as they are used by both the leadership and community members to engage in a dialogic exchange on views on matters related to development. Realising the power of this method to unite communities, the ANC led government appropriated *Imbizo's* as a model of communication and governance taking advantage of the existing cultural communication. It can be argued that an *Imbizo* symbolises a value system based on solidarity cooperation and unity in action. Through *izimbizo's* (community meetings), government and communities interact directly. They provide the public with the chance to hear directly from government what is being done to implement programmes to create a better life for all. They give government a chance to listen to the concerns of communities and to their ideas on how to overcome problems and speed up implementation. *Izimbizo's* help build a partnership for development and growth between government and communities (/www.info.gov.za).

At an *Imbizo* in Mpumalanga in October 2004, former President Thabo Mbeki stated that while some Councillors were doing their work, some were not in touch with their constituencies and were not making regular reports to their communities. He indicated

that public representatives should be held accountable to the people and should address the core problems facing communities. At all times, communities should be informed of the steps taken to address whatever challenges may be confronting them. Partnerships should be formed so that the resolution of problems would become the collective effort of government and communities (www.sacities.net).

Presidential *Izimbizo's*, like other broader *izimbizo* initiatives of government, provide a platform for face-to-face interaction and engagement between the President and residents. Through these *izimbizo's,* communities are offered an opportunity to raise their concerns and suggestions directly with the President and in the President's presence with the relevant Premier, MECs and Mayors. In this way, ordinary people are able to hold the three spheres of government accountable and influence governance and service delivery (www.info.gov.za).

One of the lessons that have been learnt from *izimbizo's* is that it is often very difficult for people to contact the government offices that can help address their needs. This applies especially to those who are poor and not able to afford the cost of traveling to government office. An *Imbizo* is open to everyone; even foreign nationals are allowed to attend, irrespective of age, gender, colour, creed or standing in society. However, there are important steps that must be followed in the *imbizo* process. According to the Government Communicators' Handbook (GCIS, 2005:39, 40-43), these steps involve planning, the establishment of a national task team, role clarification, establishing the provincial coordinating task team, budgeting, consultation with the province and local municipality, developing the *imbizo* programme, media liaison, publicity, promotional material, conducting research for the *imbizo,* assessment, and follow-up research. Whether or not all these phases and steps are followed at present, much more attention must be paid and proper coordination and consultation on the areas to be addressed is required in order to deal effectively with the developmental needs of specific communities.

IDASA has further identified four models of public participation, representing the ways in which public participation in the legislative and policy-making process may be facilitated. The following discussion will focus on three of these models, which relate to governance in local government, namely the Legislative Model; the Citizen Participation Model; and the Community Empowerment Model.

3.20.2.7 CITIZEN PARTICIPATION MODEL

3.20.2.7.1 Goal of Citizen Participation Model

The goal of the Citizen Participation Model is to increase the participation of citizens in local government's decision-making processes and to provide an environment for the creation of civic society. Such participation will contribute to strengthening democracy and improving public service delivery.

What can local governments obtain from the Citizen Participation Model?

➢ Local government can achieve a more meaningful democracy in its community, leading to more active and engaged citizens in local governance.

➢ Local government can benefit from more effective management, once the Model works, to reach consensus on its activities.

➢ Improvements in citizen participation will create resources for development through private-public partnerships.

3.20.2.7.2 Types of citizen participation models

The traditional model is the **Managerial Model**; it is the most common of the four strategic planning models and is closely related to the strategic planning models found in the private sector. It is a top-down approach, follows fairly rigid prescribed steps, is

very linear in its application, and provides very little room for meaningful stakeholder par*tici*pation. The top-down approach to community development is initiated by the government or authority. In fact, in this approach, everything is managed by government, and the community's members are passive. The top-down approach emphasises central planning.

This form of strategic planning is used most frequently within six to nine months following a change in an organisation's administrative leadership or any time after there has been a substantial turnover in key members of the organisation's administrative staff. This is model the government tried to change by introducing integrated development planning, because planners were developing areas, especially township areas, without any consultation with the communities. It is most effective when an organisation exists in a very stable or stagnant operational environment that provides little motivation to search for innovative approaches to solve problems.

A second citizen participation model is the **Legislative Model.**

The second and most widely used model, it is usually initiated to develop an action agenda to guide and direct the decisions of an organisation's governing body and administrative team. It is most effective if used when organisations exist in an operating environment experiencing either rapid growth or significant decline, and the organisations lack an agenda for action. This second model of local government strategic planning is initiated to accomplish any combination of the following seven goals:

- To develop a common agenda.
- To explore operational styles and establish operational guidelines.
- To create understanding between organisations' governing bodies and their chief administrative officers.
- To develop greater interaction and communication between members of the organisations' governing bodies and their chief administrative officers.

- To develop and enhance teamwork.

- To develop community acceptance "buy-in" of an agenda for use by organisations' governing bodies and administrative teams as a guide for making decisions and distributing resources.

- To reaffirm and further legitimize an already existing agenda.

The third model is the **Community Empowerment Model.**

This Model is built around extensive community participation and is designed as an empowerment process to develop a community agenda and engage the residents of the community over a long period of time. Usually, the process is initiated by a proactive governing body. The organisation's administrative team may be involved, but only at the request of the governing body. It is most effective if used when the community is not under significant stress and when there are no "open wounds" in the body politic. Also, its effectiveness is greatest when the community is broadly represented and when the governing body legitimises the process without exercising tight control over it.

The bottom-up approach to community development is initiated and managed by the community, for the community. Government and service providers play merely a supportive role as facilitators and consultants. In other words, the active role in the process of development is played or initiated by the community itself. According to Finger (1994:17), the bottom-up approach emphasises community participation, grassroots movements and local decision making. It argues that community participation and grassroots initiatives that promote participatory decision-making and local self-reliance ultimately pay dividends (Panda, 2007:67).

This type of application typically produces the following results and outcomes: a community agenda; a lengthy report that takes the governing body several work sessions to discuss and consider; and community cohesion achieved through a greater understanding of important community issues and processes. In the most successful cases, an institutionalised process to ensure continued participation by residents is

established. A review board or similar institution is created to provide for regular monitoring of the progress toward the goals established during the process.

3.20.2.8. ABBOT'S MODEL OF PARTICIPATION

Community development evolved onto a branch of social work providing limited social support, through the medium of individual Community Development Workers, to improve the personal well-being of people in impoverished working class communities. This was exported to the colonies and achieved reasonable success within the paternalistic structure of the colonial administration until the emergent independent nations began to redefine the role of community development and express this term as wider social and political goals, rather than specific community needs. In this capacity, Abbot (1996:68) concludes that different approaches to community participation exist, contributing an original and rather interesting framework to participation. Abbot alternatively suggests that the surround, or context, within which participation takes place determines the most appropriate participation model. He identifies six such types of community interface models. The characteristics of the most appropriate models are summarised in table 2 below:

	Model		
Characteristic	**Community Development**	**Empowerment**	**Negotiated development**
Role of Government	Open	Closed	Open
Nature of decision-making	Small programmes and projects, with clearly defined/concrete and single outputs	Political/Economic targeted programmes with clearly defined agendas/outputs	• Complex multi-variable and multi-faceted programmes. • High level of complexity
Community dynamic	Focuses – through project selection	Focused through strength of needs/issue	Diffuse and heterogeneous; requires level of moderation
Primary purpose of participative process	Limited	Centred around a dispute between community and government	Integrated systems approach; wide-ranging interaction

Adapted from Abbot (1996)

The dynamics relating to each of these examples are obviously very different, meaning that the mode of participation cannot be similar in each case. Abbot outlines four types of surrounds or contexts, along a two-variable axis. Abbot connects each of the arenas/participation contexts to appropriate participation responses. Abbott (1996) has conceptualised what he terms 'the community participation surround' graphically (Fig 15) He writes:

"The first sector is sited on the left-hand side of the surround, where the government is closed to the involvement of the community in the decision-making process. The boundary of this sector moves to the right as the complexity increases. The reason for this is that it becomes easier for governments to maintain a non-participatory stance when there is a high degree of project complicity, as this makes community cohesion difficult.

Surrounds of community participation
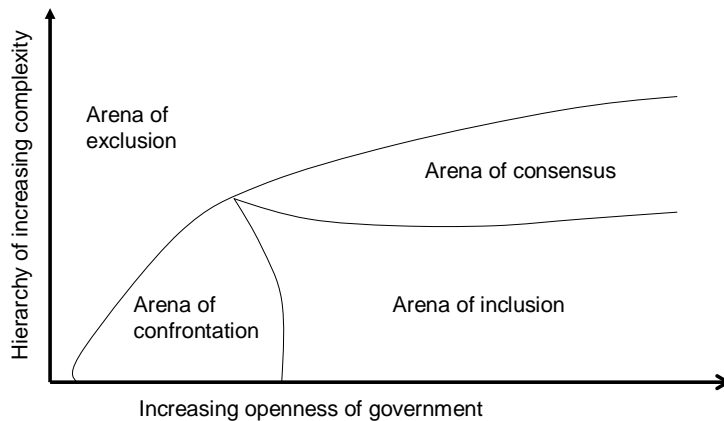
Figure 8: Surroundings of community participation
Source: Abbot (1996)

The government is in a very strong position to control the flow of information, which is and essential part of decision-making on complex issues. This sector is defined as the arena of exclusion, where community participation is extremely difficult, if not impossible.

The response of community organisations in this situation is to exploit specific windows of opportunity. The state may be oppressive, but it will often encounter difficulties in maintaining hegemony in all spheres of activity. Hence it remains closed to community involvement generally, but there are specific sectors or activities where some engagement is possible. This is the sector into which political empowerment falls.

However, community participation is possible in spite of government opposition, only because the issue is a simple, straightforward one around which community cohesion and mobilization can occur. In terms of community participation, this sector is defined as the arena of confrontation.

Further to the right lies a sector in which the project is simple, but where the government is now open to a degree of involvement by the community in the decision-making process. The community development approach falls into this sector. Here the government supports community involvement, but it takes place within a government-defined framework. In terms of community participation, this sector is defined as the arena of inclusion.

Moving upwards and further to the right leads to the fourth and final sector in which the project is complex, but where the government remains open to the involvement of the community in the decision-making process. Negotiated development as a form of community participation falls within this sector, which is defined as the arena of consensus. Because the decision-making is more complex and forms part of a wider system, the outcome here is different to that which operates in the arena of inclusion. Essentially, neither party is able to take complete control. At the same time, however, they cannot always make decisions together, because there may be other factors involved that bring in other actors. There may also be deep-rooted differences between them. The result is a move towards new forms of decision-making, which revolve around different forms of consensus, of which the negotiated development approach is just one.

The sitting of activities in different sectors of the surround makes it possible to view community participation as a dynamic process. The political, social and economic conditions surrounding an activity may be examined to see the way in which changing conditions of government openness and changing complexity might push the activity in the direction of another sector, thereby changing the arena of community participation" (Abbott, 1996. p.124-5).

The following figure present Abbot's framework, with some development by the Buffalo City Municipality and locating typical participation examples within each approach to make the model more understandable.

Illustrative applications of participation approaches

Arena of
exclusion

Hierarchy of increasing complexity

Arena of consensus

Bisho Development
Strategy

IDP

Mdantsane
Urban
Renewal
Programme

Assistance to the
Poor

Duncan Village
development

Arena of inclusion

Increasing openness of government
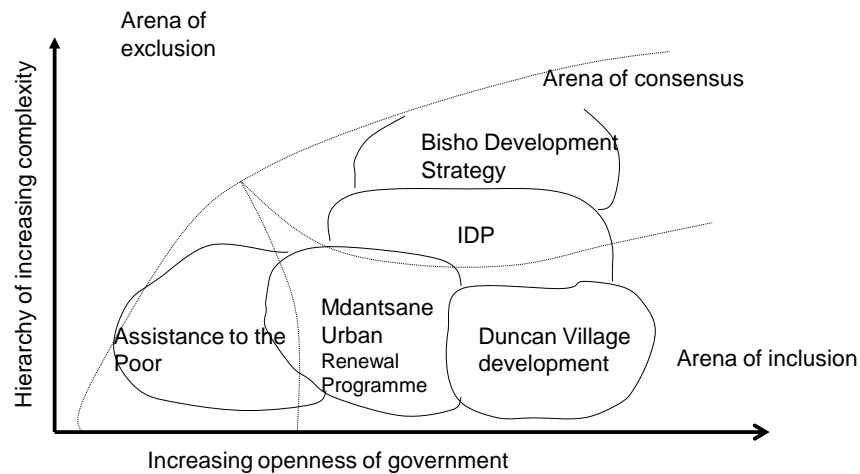
Figure 9: Illustrative applications of participation approaches.

The following is a link of typical participation mechanisms and processes expected within each participatory approach by Abbot.

Typical mechanisms and processes within participative approaches
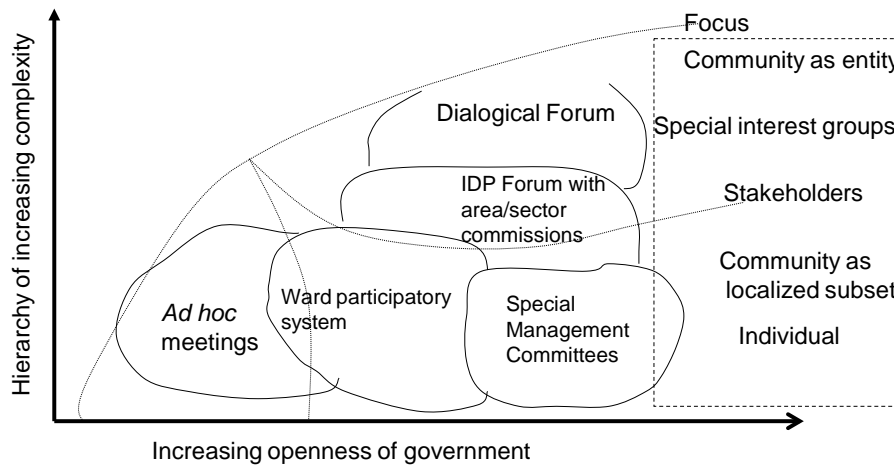
Figure 10: Typical mechanisms and processes

Abbot (1996) also demonstrated that empowerment would be achieved through participation as an end, because where participation is used primarily as a means to consciencisation, its role is largely a political tool and it involves a significant reduction in the number and quality of development issues that can be addressed. Citizen participation is at the heart of developmental local government in South Africa and aims to find long-term ways to meet social, economic and material needs and improve the quality of life.

3.20.2.9 THE WHEEL OF PUBLIC PARTICIPATION

The following model is the wheel of public participation developed by Davidson, Area Coordinator of Enterprise Resources (1998). The wheel provides a theoretical underpinning of an open and democratic planning system that encourages the right participation and the technique to achieve the identified objectives, be that information, consultation, participation or empowerment. The use of the wheel would help minimise the problems of the past, when public participation was not a priority in planning and

development, as well as ensure that clear objectives are achieved. The wheel promotes a positive and responsive approach in which a dialogue and partnership can really develop. Further, the wheel could also address the challenge of community participation. The wheel helps to minimise ambiguity associated consultation including reliance on inappropriate techniques. The wheel highlights four overarching approaches to community participation such as:

- Information;
- Consultation;
- Participation; and
- Empowerment

The following wheel distinguishes between the objectives of information, consultation and empowerment:

The Wheel of Participation

Council obliged to provide a service but chooses to do so by facilitating community groups and/or other agencies to provide that service on their behalf, eg, the delivery of care services contracts by the voluntary sector. Example technique: Application of participation techniques with political support to delegate power.

Devolving substantial decision-making powers to communities, eg, Tenant Management Organisations. Example techniques: Application of participation techniques with political support to delegate power.

Council deciding on all matters itself, without community consultation (except when legally required to do so), eg, via the minutes of committee meetings. Example technique: Public Notices.

Telling the public only what you want to tell them, not what the public wants to know, eg, Press releases. Example techniques: Press releases, Newsletters, Campaigns.

Delegating limited decision-making powers in a particular area or project, eg. Tenant Management Organisations, Shopmobility and school boards. Example technique: Application of participation techniques with political support to delegate power.

Providing information which the community wants and/or needs, eg. discussion papers/exhibitions for development plans, guidance notes for conservation area development. Example technique: Leaflet.

Allowing communities to make their own decisions on some issues, eg. Management of community halls. Example technique: Application of participation techniques with political support to delegate power.

Providing information in a limited manner with the onus often placed on the community to respond, eg. Posters & leaflets. Example techniques: Public meeting, Surveys.

EMPOWERMENT — ENTRUSTED CONTROL — INDEPENDENT CONTROL — DELEGATED CONTROL — LIMITED DECENTRALISED DECISION MAKING — PARTNERSHIP — EFFECTIVE ADVISORY BODY — GENUINE CONSULTATION — CUSTOMER CARE — LIMITED CONSULTATION — GOOD QUALITY INFORMATION — LIMITED INFORMATION — MINIMAL COMMUNICATION — INFORMATION — CONSULTATION — PARTICIPATION

Solving problems in partnership with communities, eg, a formal partnership. Example techniques: Co-option, Stakeholders Groups, Design Game.

Inviting communities to draw up proposals for Council consideration, eg. Planning for Real, Citizens' Juries, Community Councils. Example techniques: Citizens' Juries, Planning for Real, Priority search.

The Council actively discussing issues with communities regarding what it is thinking of doing prior to taking action, eg, Liaising with tenants groups, customer satisfaction surveys. Example techniques: Citizens Panels, District Circles, Focus Groups, Opinionmeter, User Panels, Stakeholder Groups.

Having a customer-orientated service, eg, introducing a customer care policy, providing a complaints/comments scheme. Example techniques: Comment cards, One on one interviews.

FIGURE 11:THE WHEEL OF PUBLIC PARTICIPATION

Source: Davidson (1998:67).

3.20.2.10 Public Management Model

Fox *et al.* (1991:5) describe five possible enabling functions, which can serve collectively as a conversion mechanism to facilitate a conversion from a dysfunctional situation to a functional state. The proposed enabling functions are:

- Policy-making
- Planning
- Organising
- Leadership and motivation; and
- Control and evaluation.

The model of Fox *et al.* (1991:3) takes as its point of departure a perceived dysfunctional general environment. The above-mentioned functions are situation-bound and could change as the needs of the particular environment fluctuate. The perceived general environment consists of various perceived sub-environments inclusive of the following:

- Political
- Social
- Economic
- Technological; and
- Cultural

The interactions between the components of the general environment are regulated by specific functions, skills and applications.

An illustration of the model of Fox *et al.* is provided in the diagram below:

PUBLIC MANAGEMENT MODEL

GENERAL ENVIRONMENT

Functions   Skills

Management applications | Supportive technology and techniques

SPECIFIC ENVIRONMENT

GENERAL ENVIRONMENT

Political · Social · Economic · Technological · Cultural

SPECIFIC ENVIRONMENT

Suppliers · Competitors · Regulators · Consumers
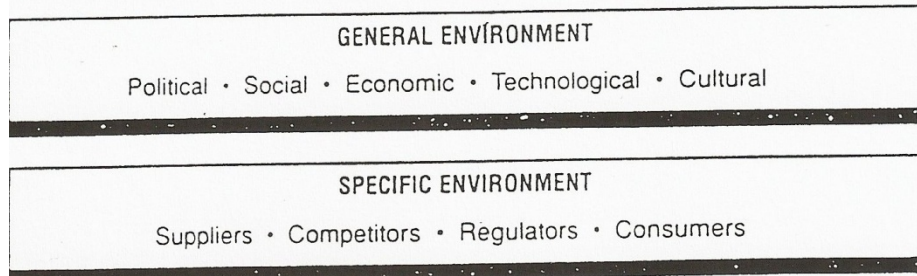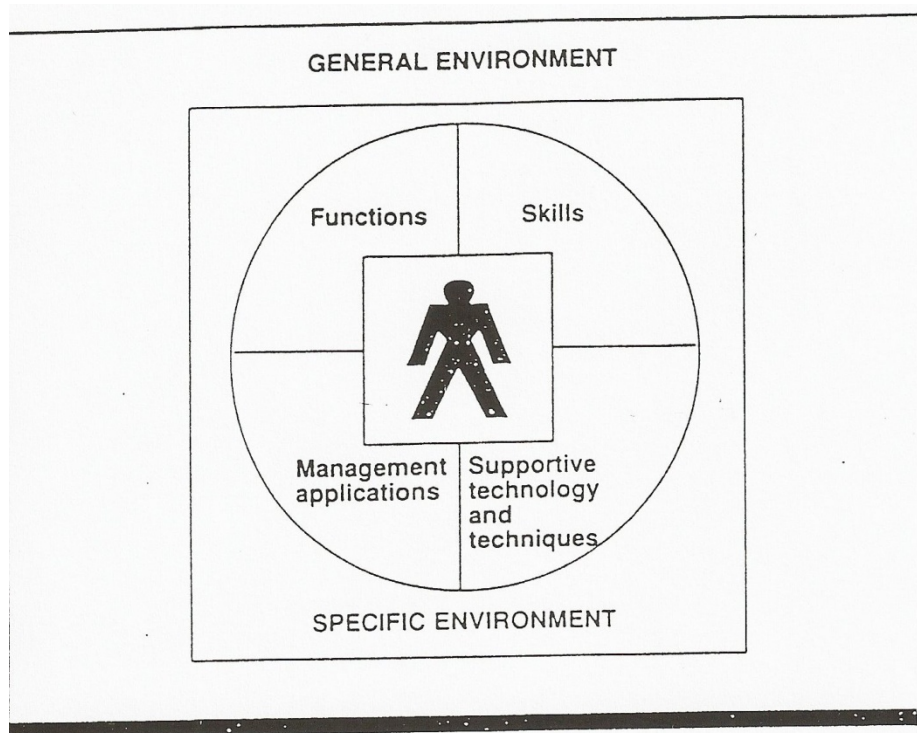
FUNCTIONS	SKILLS	APPLICATIONS
Policy-making Planning Organising Leading Control and evaluation	Decision-making Communication Management of change Management of conflict Negotiation	Policy analysis Strategic management Organisation development
		SUPPORTIVE TECHNOLOGY AND TECHNIQUES
		Computer technology and information management Techniques for public management

FIGURE 12 : **The Public Management Model of Fox,** *et al.*

Fox *et al.* (1991:15), contend that public managers need certain skills to deal with community challenges. These skills include:

- Decision-making skills.
- Communication skills.
- Negotiation skills.

3.20.2.11. The System Model of Easton

Easton's model is based on inputs (which are environmentally based), a conversion process (which refers to the management process), outputs (which are goal-orientated), and feedback. These processes are illustrated below:

ADAPTATION OF EASTON'S INPUT/ OUTPUT - TRANSFORMATION SYSTEM MODEL
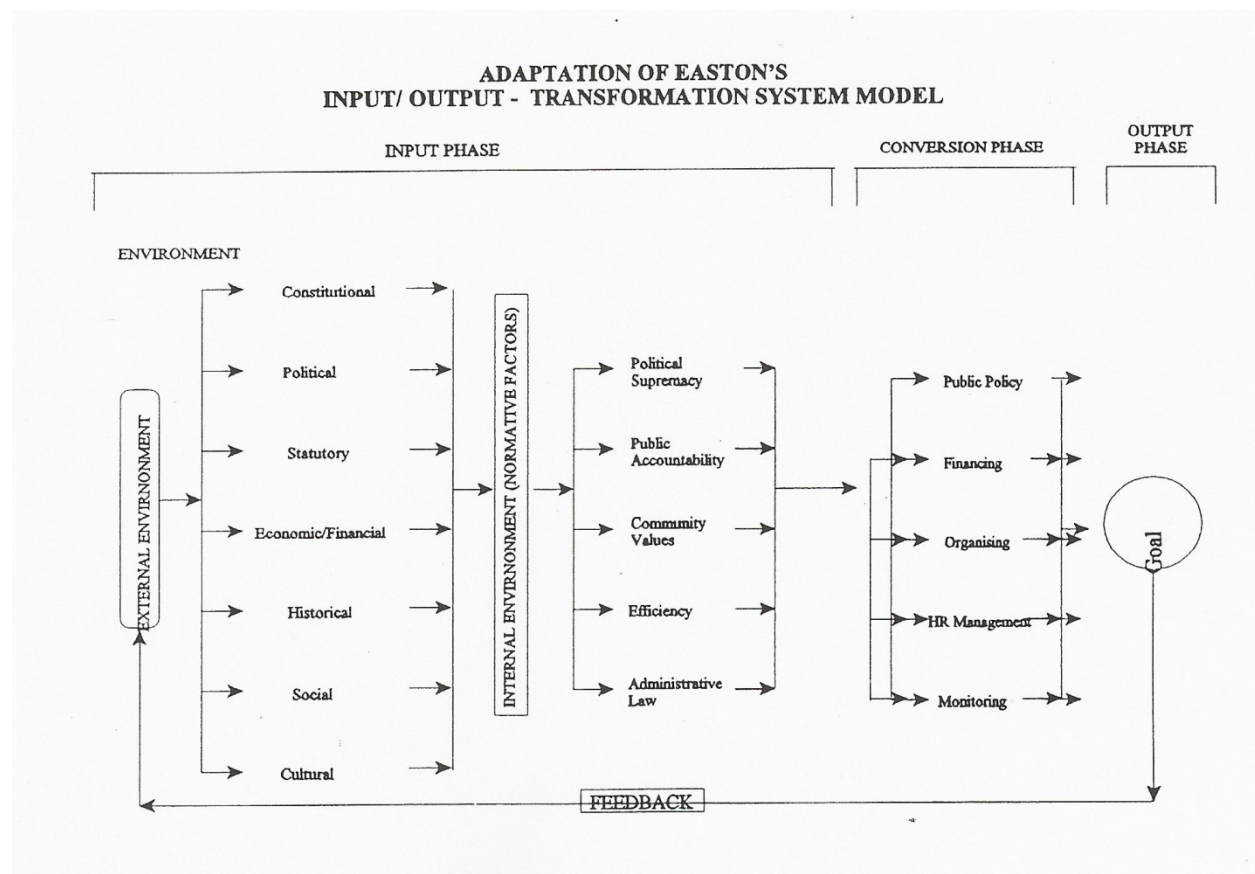
FIGURE 13 : The System Model of Easton

The model proposed by Easton (which is also known as the input-output transformation model) emphasises need generation from external environments (Easton, 1979:29-30). These are known as "inputs". Examples of external need generating environments include the following:

- The statutory environment.
- The social environment.
- The economic environment.
- The political environment.

The process of need satisfaction has to proceed through an internal environment, comprising numerous normative "guidelines and foundations", which serve as "filters" to maintain norms and standards in terms of the current body politic, community values and legal requirements (Ferreira, 1995:36). General needs can be satisfied by the setting of goals; the achievement of which can be considered as the "outputs".

A conversion process comprising various functions or processes then has to take place in order to enable the institution or organisation faced with the task of satisfying the need, to implement the various steps of the enabling process. According to Ferreira (1995:36), once the need has been satisfied and the goal achieved, feedback occurs to the original environment to check whether the need has been optimally satisfied in accordance with the original goal.

After the goal has been achieved and once feedback has taken place, the original environment will have changed to a new environment, which corresponds with the goal that was set. This, in turn, could proceed to generate new needs that have to be satisfied; hence the process of setting goals recommences, perpetuating the action of need satisfaction.

Goal achievement or "output" is dependent on effective and efficient conversion within the context of Eaton's systems model and is, therefore, of considerable importance as a major component of the model. Easton's model (1979:30) provides for a "conversion of demands into outputs" and appears to allow for any suitable enabling process to be utilised for the conversion function. A function-based approach requires the identification of particular management functions as primary units of analysis.

3.21   CONCLUSION

Public participation is one of the key means of decreasing tension and conflict over public policy decisions. It is clear from the many attempts to define the concept that there are different interpretations of public participation, with unique applications in different states or spheres. Community participation is an integral part of developmental local government. The mandate for local government to be developmental cannot be realised if effective public participation is not present. The community should be made part of new initiatives, particularly planning, implementation, monitoring and evaluation.

Planners and participants can derive a number of tangible benefits from an effective public involvement process. However, the expectations of planners and the public must be roughly equivalent for the process to be effective. Recent planning models, such as the interactive planning process described by Lang, incorporate public input in all phases of the planning process. Theoretically, involving interested publics in all phases of planning and decision-making will lead to better decisions.

The community should not merely be consulted, but should take an active role in matters of governance. Although public participation is a legal requirement, not only for local government, but for all spheres of government, it should be seen as encompassing more than issues of legislative compliance. Issues of compliance tend to concentrate only on the framework of legislation, disregarding innovation and extra effort. It is, therefore, necessary for both Councillors and officials to take it as a moral duty and

responsibility to always involve local communities in decision-making. There has to be both political and administrative will to improve and extend community participation.

Despite the constitutional and legislative imperatives that demand open and accessible processes of public participation, insufficient and unfavourable conditions for public participation defeat this noble requirement. Public participation requires the creation of a conducive climate and provisions to maximise its impact. Although elections are part of the public participation process, ongoing public participation between elections is vital in enhancing democracy in government. This enhances quality service delivery and sound community relations and enriches decision-making. It further allows citizens to check and monitor if the governing party is honouring its election manifesto.

There has been much debate on what constitutes the optimum public participation level needed to guarantee a functional democracy. However, the key dictum remains that public participation is essential to make democratic societies work. Poor public participation provides a recipe for lack of legitimacy of decisions and actions, as well as civic disobedience and riots, as was evident during the recent spate of service delivery protests throughout the country.

Public participation strikes directly at the core of the structuring of the relationships between citizens and their government. Public participation needs to be institutionalised to make it the normal process of government. Based on the rationale discussed in this chapter, public participation can be regarded as an essential element of modern democracies that needs to be explored comprehensively in order to ensure its practical effectiveness.

As a feature of developmental local government, the challenge to maximise public participation was pursued further in this research, and possible solutions will be proposed. In the chapter that follows, an overview will be presented of the research framework that will be used to solicit an appropriate data collection method. The

empirical study will be discussed, as well as how the sampling of Buffalo City Councillors, Officials and Ward Committees were carried out.

CHAPTER FOUR

RESEARCH METHODOLOGY

4.1 INTRODUCTION

The aim of this chapter is to describe the research methodology that was applied during the empirical component of this study. Aspects of the design, together with the underpinning methodology, will be discussed in order to justify the quality and significance of the procedures that were applied. This will be achieved by addressing the following:

a) The term methodology will be explained and the steps in the process will be defined.

b) The research methods that were followed, will be explained.

c) The possible influence of bias on the data will be discussed.

d) Survey method: data collection instruments will be discussed, and the chosen method for this study will be explained in greater detail.

e) Measuring instrument: the importance of the validity and reliability of the measuring instruments used in the study will be explained.

f) Survey population: the population as well as the sampling methods used in the study will be explained.

A research design is the plan according to which the researcher obtains a sample and collects information from it. In this study, the researcher explored the best method suitable to obtain answers to the questions raised in the proposal. Basically, two methods will be discussed in depth in this chapter, namely quantitative and qualitative research methods; and in addition to these research methods, triangulation will be discussed as a method used by the researcher.

In a sense, the research design is the blueprint of the research, dealing with at least four problems: what questions to study; what data is relevant; what data to collect; and how to analyse the results (Yin, 1994:95). It is much more than a work plan, because the main purpose is to help avoid a situation in which the evidence does not address the initial research questions. Furthermore, the research design describes a flexible set of guidelines that connects theoretical paradigms to strategies of inquiry and methods for collecting empirical material.

In a scientific approach to research, the researcher uses standardised methods for obtaining empirical answers to certain questions. Proper planning and preparation are the first critical requirements for any successful scientific research project. This includes the careful choice of a research strategy, the demarcation of a population, the choice of a specific sampling procedure, and the use of appropriate statistical methods for data analysis.

This chapter, as explained above, will also deal with the research approach used, the design of the main research instruments, and the data collection methods used to collect the primary data. It will further indicate how issues of validity and reliability were addressed through the triangulation approach.

4.2   RESEARCH METHODOLOGY AND DESIGN

Brynard and Hanekom (1997:25) state that research methodology is also referred to as a strategy for research, which indicates the methods of data collection. According to Landman (1993:70), the term "method" comes from the Latin term *methodus* and the Greek term *μέθοδος (methodus)* combined as meta+hodos; it is the way in which the scientific researcher must select a method permitting access to the phenomenon. The method is largely determined by the nature of the phenomenon or by the sphere of investigation. Method implies a systematic procedure in analysing a phenomenon. After having settled the question of the objectives of scientific practice, the researcher's next step is to decide on possible approaches that can be used to attain these objectives

(Landman, 1993:70-5). According to Leedy (1993:91), methodology is an operational framework within which the facts are placed so that their meaning may be seen more clearly. In essence, research methodology is the means for the collection of data needed for a study.

Research methodology constitutes a systematic way and a set of methods used for collecting and analysing research data (Morse, 2002:96). Methodology includes the following concepts as they relate to a particular discipline or field of study; a collection of theories, concepts or ideas; a comparative study of different approaches; and critique of the individual methods (Creswell, 2003:37). In summary, methodology refers to the rationale and the philosophical assumptions that underlie a particular study relative to the method used. Based on the foregoing facts, methodology can refer to the theoretical analysis of the ways of investigation appropriate to a field of study or to the body of inquiry. These are underpinned by the principles particular to a branch of knowledge. This enables the researcher to choose the most suitable design and method to produce valid and reliable data.

According to Patton (2002:15), the research design provides the glue that holds the research project together. In Patton's view, a design is used to structure the research, to show how all the major parts of the research project, the samples or groups, measures, treatments or programmes and methods of assignment work together to address the central research questions. In corroboration with Patton's viewpoint, Holliday (2007:123) explains that understanding the relationships between designs is important in making design choices suitable for particular research work, taking into consideration the strengths and weaknesses of different designs.

Furthermore, Strauss and Corbin (1990:17) describe the research design as the plan for the study, providing the overall framework for collecting the data, outlining the detailed steps in the study and providing guidelines for systematic data gathering. It is similar to an architectural blueprint, which organises and integrates results in a particular way, resulting in an appropriate end product. Booyse, Lemmet and Smith (1993:23) define a

research design as the consideration and creation of a means of obtaining reliable, objective, generalised and valid data by means of formal announcements about the phenomenon.

According to Welman and Kruger (1999:46), a research design is the plan according to which the researcher obtains research participants (subjects) and collects information from them. In it, the researcher describes what he/she is going to do with the participants, with a view to reaching conclusions about the research problem (research hypothesis or research questions). Mouton (2001:97) defines the research design as the section in the study that addresses the type of study undertaken in order to provide acceptable answers to the research questions. Mouton further states that an appropriate methodology has to be selected, as well as suitable tools for data collection and analysis.

Empirical research is characterised by the fact that any knowledge or theory that is derived from it, is the result of observations or experiments. Robson (2002:54) states that empirical research "involves a systematic investigation of an experience which should be both skeptical and ethical. Cresswell (2005:125) identifies the following separate processes that make up empirical research:

➢   Identification of a research problem.
➢   Review of the existing literature.
➢   Specification of a purpose.
➢   Collection of data.
➢   Analysis and interpretation of data; and reporting on evaluated data.

There are many ways in which people's experiences and perceptions of public participation can be assessed. Below are brief deliberations on both the quantitative and qualitative approaches.

4.3   METHODOLOGICAL PARADIGM

Morse (2001:9) asserts that, broadly speaking, there are two major types of research paradigms, namely quantitative and qualitative models. The quantitative paradigm is also known as the traditional, positivist, experimental way of carrying out research. The qualitative paradigm is known as the constructivist, naturalistic, interpretive, post-positivist way of carrying out a study.

4.3.1   Qualitative and quantitative research

These two possible approaches to research methods are commonly used, although there are also other approaches. These two methods will be examined in this chapter.

The following figure, adapted from Cresswell (2005), shows the relationships between research styles and methods.
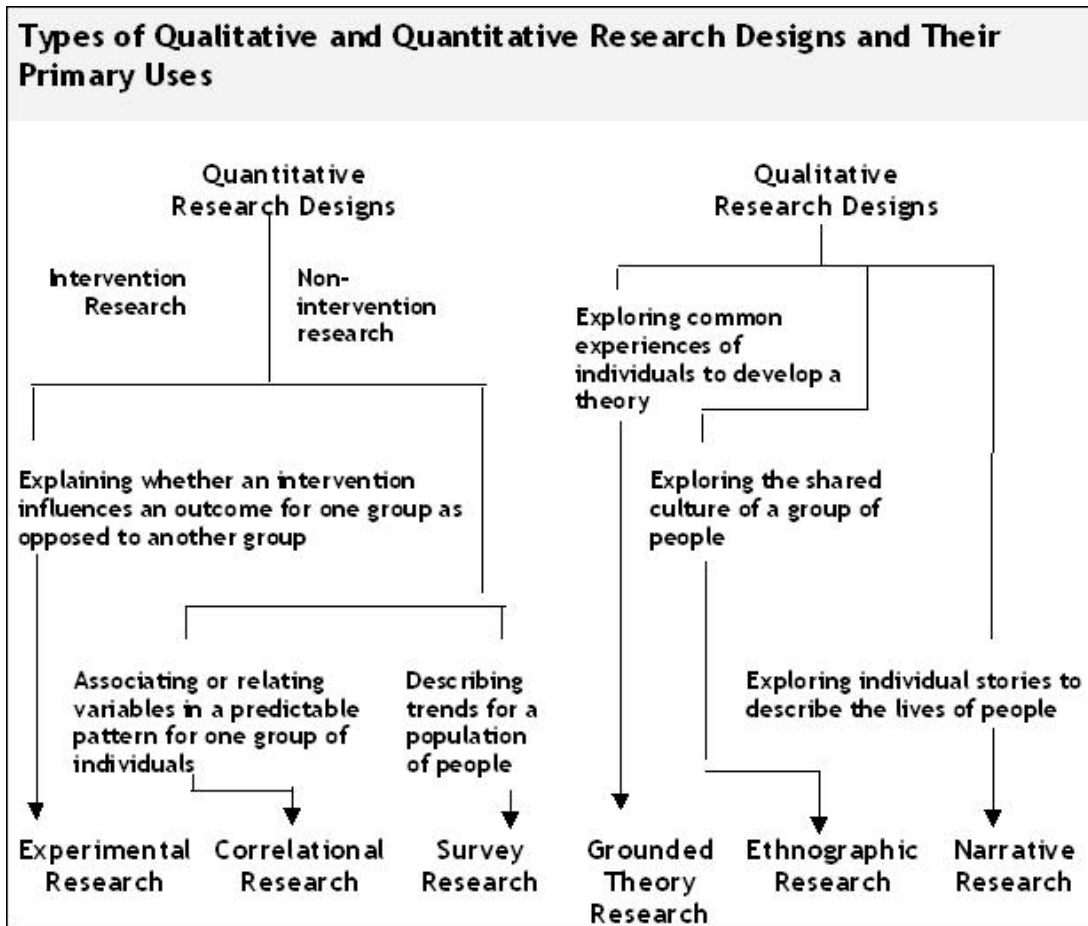
FIGURE 14: Research Designs

Source: Creswell (2005)

4.3.1.1 Quantitative Research

According to Jennings (2001:223), the quantitative approach is grounded in the positivist social sciences paradigm, which primarily reflects the scientific method of the natural sciences (Jennings, 2001:223). The general process in quantitative research is to test a theory by relating independent variables to dependent variables in a controlled setting. Quantitative or empirical analytical research may be described in general terms as an approach to research in the social sciences that is more highly formalised. It is

more explicitly controlled, with a range that is more exactly defined in terms of the methods used and is relatively close to the physical sciences (Welman & Kruger, 1999:7). The quibble most researchers have with quantitative research in the Social Sciences is that whilst it is impeccable as a research methodology, it is humanly vapid.

Quantitative research seeks to qualify human behaviour through numbers and observations. Neuman (2000:7) states that the quantitative or empirical analytical research method relates to data being expressed as numbers, whereas the qualitative research method considers data in terms of words, pictures or objectives.

The emphasis is on precise measurement, the testing of hypotheses based on a sample of observations, and a statistical analysis of the data recorded. According to Jackson (1995:13), relationships between variables are described mathematically, and the subject matter is, as in the physical sciences, treated as an object. Variables play a key role in quantitative research. Quantitative research is perceived to be objective in nature and involves examining, and concentrating on, measuring the phenomena being studied. It involves the collection and analysis of numerical data and the application of statistical tests (Tonono, 2008:40). Quantitative research is more focused on testing assumptions, whilst qualitative research is more exploratory in nature. Quantitative research concerns aspects that can be counted. One of its most common disciplines is the use of statistics to process and explain data and to summarise the findings. In general, quantitative research is concerned with systematic measurement, statistical analysis and methods of experimentation (Fox & Bayat, 2007:7).

The use of quantitative research methods in the decision-making process offers a solution to the participation of communities in governance. In order to be able to apply quantitative methods, certain requirements have to be met. These are as follows:

- The problem has to be properly defined.

- Analysis of such a problem must be meticulous and comprehensive.

- Solutions must take place consciously, rationally, logically, systematically and scientifically (Leedy, 1993:100).

4.3.1.2   Qualitative Research

The qualitative research approach is grounded in the interpretive social science paradigm. Qualitative research aims to explore, discover, understand or describe phenomena that have already been identified, but are not well understood. The tools that are used for qualitative research include observations and interviews, while the methodological tool is interpretation. In qualitative research, theories are often 'grounded' in data, and ethnographic and narrative methods are used to assist in interpreting and understanding social interactions and phenomena.

Peterson (1994:486) states that the characteristics of qualitative research include samples, extensive information from each respondent and a search for meanings, ideas and relevant issues that will be identified and analysed in the later phases of the research. Qualitative research methods are oriented particularly towards exploration, discovery and inclusive logic (Patton, 1989:14).

Strauss and Corbin (1990:17) define qualitative research "as any kind of research that produces findings not arrived at by means of statistical procedures or other means of quantification". Henning (2003:8) states that "qualitative research is research that utilises open-ended, semi-structured or closed, structured interviews, observations and group discussions to explore and understand the attitudes, opinions, feelings and behaviour of individuals or group of individuals". Qualitative research can take many forms, such as ethnographic studies, field studies, case studies and phenomenological studies (Chisaka, 2000:10; Vishnevsky & Beanlands, 2004:3).

Chisaka (2000:11) states that qualitative research is best used for depth rather than breadth of information. Qualitative research is a "way of knowing" and learning about different experiences from the perspective of the individual. O'Sullivan and Rassel (1999:36) argue that qualitative research methods produce verbal data, which is difficult to convert into numbers. Qualitative research is defined by its extensive use of verbal information, its preference for developing full information on relatively few cases, and its consideration of the unique features of each case.

Qualitative research methods are particularly oriented towards exploration, discovery and inductive logic (Welman & Kruger, 1999:186). No hypotheses are designed, nor are any theory-building exercises performed. Data is collected through observations, interviews and other qualitative methods. The product of the research is a new model, theory or hypothesis (Welman & Kruger, 2001:5).

Dzwimbo (1995:17) states that the qualitative research method is referred to as the interpretative ethnographic model of social science research, because of its understanding that people derive meaning from their world. According to Badenhorst (2008:92), qualitative research relies on data in the form of words. Qualitative researchers seek the meaning of human action. These researchers depend on description to express their data. However, Badenhorst (2008:23) holds the view that this does not mean that quantitative researchers cannot interpret their data for meaning or that qualitative researchers cannot use statistics to argue a point. What it does imply, is that the research project carries a consistency that extends from being primarily based in a qualitative or quantitative paradigm (Badenhorst, 2008:23).

Qualitative research uses a naturalistic approach that seeks to understand phenomena in context-specific settings, such as "real world setting where the researcher does not attempt to manipulate the phenomenon of interest" (Patton, 2001:39). Qualitative research, broadly defined, means "any kind of research that produces findings not arrived at by means of statistical procedures or other means of quantification" and instead, the kind of research that produces findings arrived at from real-world settings

where the "phenomenon of interest unfolds naturally" (Patton, 2001:39), unlike quantitative researchers who seek casual determination, prediction and generalisation.

As pointed out by Denzin and Lincoln (2005:32), qualitative research is a defined category of research designs or models, all of which elicit data in a natural environment, in the form of descriptive narratives, like field notes, audio and video recordings, as well as written and picture records. Phenomenological research is carried out in its natural environment. The information is described and interpreted according to how the subjects perceive the problems and the possible solutions to those problems. The authors further explain that qualitative research is holistic, discovery oriented, explanatory and provides a world view. Qualitative methods use descriptions and categories. This can be in the form of open-ended interviews, observations, document analysis, case studies/life histories and correlational studies.

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

Quantitative research methodology relies upon the measurement and analysis of casual relationships between variables rather than involving the investigation of processes. The purpose of quantitative research is to evaluate objective data consisting of numbers, using complex structured methods to confirm or disprove hypotheses. These methods furthermore focus on the abstraction of reality rather than an everyday life, by seeking a science based on probabilities derived from the study of large numbers of randomly selected cases.

As the quantitative researcher attempts to understand the facts of the research investigation from an outsider's perspective, he or she should be detached from the research process in order to avoid being biased or subjective in judgement. The researcher, in order to keep the process stable, has to exercise control over the

research process and structure of the research situation through the identification and isolation of variables. The methods focus more on reliability and stability in the measurement of data to ensure that this can become replicable.

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

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

Because there are many ways in which public participation can be evaluated, in view of the fact that an assessment of people's experiences and perceptions on public participation is the object of this study, a predominantly qualitative approach was used in this study, but not excluding the quantitative approach. Data also sourced through the quantitative method, with the use of a structured questionnaire, were taken into consideration. Qualitative research is considered to be descriptive in nature and as such allowed the researcher to locate the meaning people gave to the process and structures affecting their lives.

Open-ended and close-ended questions were used, as well as an analysis of documents to obtain data from the selected municipal officials and community participants. Apart from these methods, in-depth interviews with a group of residents were conducted to gain an inclusive view of the municipal participation strategies.

This study applied both quantitative and qualitative research methodologies. Denzin and Lincoln (2000:391-392) refer to this approach as methodological triangulation, describing it as using more than one research method within one study. Duffy (1987:133) states that methodological triangulation provides richer data by possibly exposing information that might have remained undiscovered if a single approach had been used.

4.3.1.3   Triangulation

Triangulation implies that techniques are used in a parallel sense, thus providing overlapping information, making it possible to check results from more than one viewpoint. Easterby-Smith, Thorpe and Lowe (1991:33) distinguish between four distinct types of triangulation:

- ➢ *Data triangulation*: where data is collected at different times, or from different sources, in the study of a phenomenon.
- ➢ *Investigator triangulation*: where several different researchers collect data relating to the same phenomenon independently and compare findings.
- ➢ *Methodological triangulation*: where different methods of data collection, commonly both quantitative and qualitative, are combined in the study.
- ➢ *Triangulation of theories*: where a theory derived from a new discipline is used to explain a phenomenon in another discipline.

The benefits of triangulation include increasing confidence in research data; creating innovative ways of understanding a phenomenon; revealing unique findings challenging or integrating theories; and providing a clearer understanding of the research problem.

According to Perone and Tucker's Report (April 2003), triangulation is not simply about combining different types of data, but attempts to relate the two types of information so as to leave the validity of each type intact. The use of triangulation allows researchers to capture a more complete, holistic and contextual portrayal and reveal the varied dimensions of given phenomena, with each source contributing additional piece to the puzzle. Searle and Barnard (1998:37) state that Comer (1991) and French (1993) have listed the advantages and disadvantages of triangulation. Advantages include the fact that triangulation offers a flexible and in-depth approach. Triangulation may be useful when research addresses complex issues and can help to break down divisions between research perspectives. Disadvantages include the considerable time and money required when combining different approaches. Massey (2003:56-58) reports that the multiple-method approach represents a poly-vocal approach to research; employing a range of methodological strategies means that the researcher does not necessarily privilege one particular view of the social world over another. In recognition of these and other such arguments, many social science researchers are increasingly rejecting the automatic association of particular methodologies with particular epistemologies.

Blaikie (1991:115-136), Easterby-Smith *et al.* (1991:27-33), Creswell (1994:174) and Massey (2003:58-9) have emphasised various benefits of combining qualitative and qualitative methods.

While the quantitative design strives to control bias so that facts can be understood in an objective way, the qualitative approach strives to understand the perspective of the programme stakeholders, looking to first-hand experience to provide meaningful data (Easterby-Smith *et al.*, 1991:33).

Quantitative research designs strive to identify and isolate specific variables within the context of the study (seeking correlation, relationship, causality), while the qualitative design focuses on a holistic view of what is being studied (via documents, case histories, observations and interviews).

Quantitative data is collected under controlled conditions in order to rule out the possibility that variables other than the one under study may account for the relationships identified, while qualitative data is collected within the context of its natural occurrence (Massey, 2003:57).

Both quantitative and qualitative research seeks reliable and valid results. Data that is consistent or stable, as indicated by the researcher's ability to replicate the findings, is of major concern in the quantitative arena, while the validity of qualitative findings is paramount so that data will be representative of a true and full picture of the constructs under investigation (Blaikie, 1991:115-136).

When these methods are combined, the advantages of each methodology complement those of the other, producing a stronger research design that will yield more valid and reliable findings (Decrop, 1999:157-161). The inadequacies of individual methods are minimised, and more threats to internal validity are recognised and addressed.

In selecting an approach for the present study, the benefits and shortcomings of the various methodologies were considered, and an integrated approach combining elements of both qualitative as well as quantitative data was selected, thus making triangulation possible. Both qualitative and quantitative methods would make it possible to gather the most needed data to address the research problem and to ensure that the objectives of the study were successfully met.

4.4   POPULATION AND SAMPLING RESEARCH POPULATION

4.4.1   Formation of Buffalo City Metropolitan Municipality

The Buffalo City Municipality is the second largest urban area in the Eastern Cape and is a Local Municipality in the Amathole District. It incorporates the urban areas of East London, Mdantsane, King William's Town, Bhisho, Berlin and Dimbaza, as well as more

than 30 rural villages on the peri-urban fringe of these urban cores. The residents of these villages are largely dependent on the urban area for food supplies, employment and medical facilities. The boundaries of the newly established Municipality now include a large area characterised by very different features. Two former municipalities (Transitional Councils), that of East London and King Williams Town, merged together with other areas, which were previously not included. Before the transformation process started, East London, including the small town of Berlin, was a municipality for Whites, with a Management Committee serving Coloured and Indian residents. Duncan Village was a Black Local Authority. Beacon Bay and Gonubie were separate White municipalities. Mdantsane was a R293 township under the former Ciskei government. The restructuring and transformation of the Buffalo City Municipality was common to all municipalities countrywide, albeit in varying degrees. (www.BuffaloCity.gov.za_/Annual Report 2006/2007).

The Buffalo City Municipality falls under Category B municipalities, within the Amathole District Municipality. This Municipality forms the core urban node in the Amathole District and is the economic hub of the Amathole region. Typographic indicators of the Buffalo City area include the following:

➢ Average population density: 272 people per square kilometre.
➢ Nearly 48% of the population is 19 years of age of younger.
➢ Only 140 000 people or 20% is economically active.
➢ The unemployment rate is 53%.
➢ 73% of the employed earn less than R3 200 per month. (www.BuffaloCity.gov.za/IDP 2007/8).

While the Buffalo City Municipality is a Metro, it did not escape being included in the list of municipalities that require government assistance through Project Consolidate; and the area of focus for support was community participation. The Department of Local Government, together with the Buffalo City Municipality, worked together to put in place

a system and programme to promote effective community participation in governance, for replication in other municipalities (www.gov.za/structure/local-gov).

4.4.2   Unit of Study and Population

Barbie (1989:169) defines the term "population" as the theoretically specified aggregation of study elements. A study population is that aggregation of elements from which the sample is actually selected. Jennings (2001:136) offers a broad definition of a population: all the species, persons, objects being present at a certain place and time holding a specific characteristic.

According to Cooper and Schindler (2001:163), the unit of analysis is a population element from which it is actually drawn. According to Cooper and Schindler (2003:179) and Babbie and Mouton (2003:100), a population constitutes the entire collection of elements or groups in respect of which inferences must be drawn. According to Sekeran (1992:226), a source of concern when using a sample frame to provide a listing of each element in the population relates to the fact that it may not always be a current or updated document. Leedy (1993:187) states that the survey population of the study must be carefully chosen, clearly defined and specifically delimited in order to set precise parameters for ensuring discreteness to the population.

In this study, the units of analysis are local Ward Committee members, officials in the Public Participation Unit and the Business Unit managers of the Buffalo City Municipality, as well as Ward Councillors. Buffalo City has 45 wards with elected Ward Committees that were interviewed as focus groups, Ward Councillors who served as the Chairpersons of the Ward Committees, the Public Participation Unit, which comprised seven staff members, and Community Development Workers, led by the Speaker and the Mayoral committee member responsible for public participation (General Manager for Public Participation, Thabo Matiwane interviewed, October 2010).

Patton (1990:5) states that a population is a group of individual persons, objects or items from which samples are taken for measurement. According to Babbie and Mouton (2006:178) the target population consists of the subjects involved in the study from which the sample can be drawn. This ensures that the researcher obtains the correct information for valid and reliable information for the study.

4.5 SAMPLING

Patton (1990:15) states that a sample is a finite part of a statistical population whose properties are studied to gain information about the whole. When dealing with people, it can be defined as a set of respondents selected from a larger population for the purpose of a study (Salkind, 2001:15). The purpose of sampling is to select a suitable sample, or a representative part of a population, for the purpose of determining parameters or characteristics of the whole population (Kotler, Adam, Brown & Armstrong, 2006:17). Sampling is the process of selecting units from a population of interest so that by studying the sample, one may fairly generalise the results back to the population from which they were chosen.

Baker (1988:144) defines a sample as a selected set of elements or units drawn from a larger whole of all the elements, the population. The main purpose of sampling is to achieve representativeness; the sample should be assembled in such a way as to be representative of the population from which it is taken (Gilbert, 2001:49). A representative sample can be guaranteed only by drawing a sample structurally and methodologically, thus enabling the researcher to obtain reliable results (Jennings, 2001:136).

According to Patton (1990:95), the logic and power of probability sampling depends on the selection of a truly random and statistically representative sample that will permit confident generalisation from the sample to a larger population. Baker (1988:469) defines probability sampling as a sample designed according to the rules of probability, which allows the determination of how likely the members of the sample are to be

representative of the population from which they were drawn. Given the qualitative nature of the research project, the non-probability sampling method was used to determine the sample for data collection purposes (Wellman & Kruger, 2001:63).

For many audiences, random sampling, even of small samples, will substantially increase the credibility of the results (Patton, 1990:179). For the purpose of this study, random sampling was used to ensure that all areas of Buffalo City, such as rural, peri-urban, township and suburb areas, were included to provide for the representation of all racial groupings.

4.5.1   Sampling procedure for study

The sample for the proposed study was drawn from the following:

➢   Members of the Mayoral Committee (10);
➢   Ward Councillors (45);
➢   Ward Committee members (225);
➢   Business Unit Managers (8); and
➢   Officials (seven in number) responsible for public participation strategies in the Buffalo City Municipality.

As members of the Mayoral Committee (10) and Ward Councillors (45) fell into the category of local government Councillors, it was proposed that they form Group A for the purposes of the empirical survey. Members of the Mayoral Committee are full-time councillors and their number of 10 is prescribed in terms of the Local Government: Municipal Systems Act (No. 32 of 2000). The 45 Ward Councillors represent the 45 wards in the area of jurisdiction of the Buffalo City Municipality. They are part-time Councillors directly elected by their respective communities (wards) in the geographical area of jurisdiction of the Municipality. Data was collected from this group using the quantitative research method, and a questionnaire was also used. The questionnaire comprised of three sections divided as follows: Section A required biographical

information. Section B consisted of brief statements using the Likert Rating Scale; a number of open-ended questions were also employed.

4.5.2   BIBLIOGRAPHICAL DETAILS: OFFICIALS AND POLITICIANS
TABLE 3: Distribution of the Sample of Officials by Age, Gender and Educational Level

Variables	Types of responses	Officials	
		Number	%
Age	20 - 29 Years	4	27
	30 - 39 Years	8	53
	40 - 49 Years	3	20
	Above 50 Years		
Gender	Female	4	27
	Male	11	73
Educational levels	Gr 9 - Gr 10		
	Gr 11 – Gr 12		
	Grade 12	4	27
	Diploma/Degree	9	60
	Post Graduate	2	13

TABLE 4: Distribution of the Sample of Politicians by Age, Gender and Educational Level

Variables	Types of responses	Politicians	
		Number	%
Age	20 - 29 Years	1	3
	30 - 39 Years	9	26
	40 - 49 Years	7	21
	Above 50 Years	17	50
Gender	Female	15	44
	Male	19	56
Educational levels	Gr 9 - Gr 10	3	9
	Gr 11 – Gr 12	13	38
	Grade 12		
	Diploma/Degree	12	35
	Post Graduate	6	18

TABLE 5: Distribution of the Sample of Officials by Occupational Categories and Service Duration

Variables	Types of responses	Officials	
		Number	%
Occupational levels	Clerk	2	13
	Senior Clerk	1	7
	Supervisor	1	7
	Administrative Officer	5	33
	Manager	3	20
	HOD	3	20
	Mayoral Comm. Member		
	Ward Councillor		
Length of service	Below 1 Year	2	13
	1 – 5 Years	11	73
	6 – 10 Years	1	7
	Above 10 Years	1	7

TABLE 6: Distribution of the sample of Politicians by Occupational Categories and Service Duration

Occupation	Types of responses	Politicians	
		Number	%
	Mayoral Comm. Member	7	21
	Ward Councillor	27	79
Length of service	Below 1 Year	4	12
	1 – 5 Years	13	38
	6 – 10 Years	5	15
	Above 10 Years	12	35

Ward Committee members are the link between Ward councillors and the communities. Their primary function is to inform Ward Councillors of community needs. Ward Committee meetings are chaired by the respective Ward Councillors as prescribed in the Systems Act (No. 32 of 2000). For the purpose of this study, the 225 Ward Committee members form Group C of the empirical survey; once again the numbers were prescribed by the Systems Act (No. 32 of 2000). With this Group (C), the researcher intended to have focus group interviews, as Ward Committee members are the representatives of the communities who are the beneficiaries of local services. Accordingly, the qualitative research methodology was followed with this group. Semi-structured interviews are guided conversations during which broad questions are asked that do not restrict the conversation; consequently, new questions are allowed to arise as from discussions. Four questions were put to each of the focus groups in this category.

The eight Business Unit Managers and seven officials from the Buffalo City Municipality involved in strategies to enhance public consultation and participation formed Group A of the empirical survey. This group were appointed career officials required to implement the resolutions of the Council that comprised Group B above. The quantitative approach was followed with this group, using the same questionnaire as Group A (the Councillors).

4.6   SURVEY RESEARCH

Baker (1999:472) defines survey research as a research method that analyses the responses of a defined sample to a set of questions measuring attitudes and behaviours. According to Barbie (2001:236), survey research is probably the most frequently used mode of observation in the social sciences. It could be regarded as one of the best methods available to scientists interested in collecting original data about a population. The above definitions seem to emphasise the fact that data is collected from a portion of the population in order to obtain characteristic information about the population as a whole.

Surveys are used to describe the attitudes, opinions, behaviours or characteristics of a group. They are typically administered in one of two ways, either at a moment in time over a cross-section of the population or over a length of time with the same population. This latter method is often used to establish changes of opinion or to identify trends. In cross-sectional research, the intention is sometimes to describe current practice or to evaluate a programme or activity in which the participants have been involved.

Surveys have been used in empirical research among both adults and children for many years. Bogdan and Biklen (1998:39) report that surveys were carried out among children as early as the 1890s. There are essentially two instruments for survey research, namely questionnaires and interviews. Using questionnaires, the participants record the data; and in interviews, the researchers record the data. Interviews can be carried out in one-on-one settings or in group settings, often referred to as focus group interviews (Krueger, 1994:87).

4.7   DATA COLLECTION INSTRUMENTS

4.7.1   Data collection procedures – interviews

Frey and Oishi (1995:1) define an interview as a purposeful conversation in which one person asks prepared questions (interviewer) and another answers them (respondent). This is done to gain information on a particular topic or a particular area to be researched. Interviews are a useful tool that can lead to further research using other methods, such as observation and experiments (Jensen & Jankowski, 1991:101). While there are different forms of interviews, such as structured, unstructured or open-ended and semi-structured interviews, this study made use of semi-structured interviews. During the interview process, the researcher had the opportunity to exercise flexibility and control, and created good rapport with the respondents in order to elicit the required information.

A semi-structured interview is flexible; allowing new questions to be posed during the interview as a result of what the interviewee said (Lindlof & Taylor, 2002:195). The interviewer in a semi-structured interview generally has a framework of themes to be explored. Lindlof and Taylor (2002:195) add that during the interview, a researcher asks an interviewee questions, based on a written list of questions and topics.

In order to conduct successful semi-structured interviews, the researcher encouraged respondents to feel comfortable about talking freely. Even if the researcher knows what questions he/she wants to ask of informants, how he/she asks those questions is another important issue, as cited by Wimmer and Dominic (1997:157). In semi-structured interviews, researchers ask open-ended questions, which require descriptive answers.

It is generally beneficial for interviewers to have an interview guide prepared, which is an informal "grouping of topics and questions that the interviewer can ask in different ways for different participants" (Lindlof & Taylor, 2002:195). Interview guides help researchers focus interviews on the topics at hand without constraining them to a particular format. This freedom can help interviewers tailor their questions to the interview context, without losing focus (Lindlof & Taylor, 2002:67).

In order to achieve the objectives of any research, new information must usually be gathered. The first step in the data collection process entails the sourcing of literature from documentary sources, such as academic books, journal articles, reports, web references and government documents. There is no simple answer to which of the available data collection methods of research should be used when collecting primary data; it depends on the purpose and nature of its usage (Blakenship & Breen, 1993:122). There are various methods of data collection, among which three broad categories can be identified, as presented below.

4.7.1.1   Standardised data collection

This category consists of tests to measure characteristics such as intelligence, aptitude, ability, achievement, interests, habits and personality characteristics. The measurement instruments used in this category are standardised and administered according to a standard procedure described in, for example, a user's manual. A typical example of a measurement instrument in this category is the well-known IQ test.

4.7.1.2   Unstructured data collection

This data collection method takes the form of an unstructured or free interview, in-depth discussions without a fixed schedule, or a questionnaire. In this category of data collection, the emphasis is on individual cases and not on group behaviour. Observation is another form of unstructured data collection method that is used in research where persons are unable to express themselves through normal communication. Observation is a specialised technique and requires considerable experience to be of good effect (Schnetler, Stoker, Dixon, Herbst & Geldenhuys, 1989:15-40).

4.7.1.3   Structured data collection

This data collection method makes use of a formalised list of questions or questionnaires to obtain the information required. There are four categories in which structured data collection can be divided, namely individual interviews, postal surveys, group completion of individual questionnaires, and telephone surveys. These four structured data collection methods will be discussed in more detail in the paragraphs below.

4.7.2.1   Individual Interviews

This type of data collection method allows the interviewer to communicate by asking questions using voice, body language and facial expressions and similarly allows the

interviewee to make use of voice, body language and facial expressions to formulate his/her response (Schnetler *et al.*, 1989:16).

Bless and Higson-Smith (1995:111) identify three clear advantages of individual interviews as a method of data collection. Firstly, this form of data collection can be administered to illiterate respondents. Because the interviewer reads the question and writes down the responses, the respondent does not have to be able to read or write. Secondly, the interviewer has the opportunity to further explain a question or the words in a question if he/she senses that the respondent does not fully understand the question. Thirdly, by using this interview method, the interviewer can ensure that all the questions are answered and that difficult questions have not been left out.

This is all made possible because of the fact that the interviewer personally administers the questionnaire. A further advantage of the individual interview is that it has the highest response rate of all data collection methods (Neuman, 1994:245). Lastly, an important advantage to be obtained from interviewing is the personal contact and interaction between the interviewer and the respondent during the interview process (Jackson, 1995:122).

Jackson (1995) identifies two major disadvantages to individual interviews. Firstly, the individual interview is one of the most expensive survey methods. Secondly, it is a very time-consuming method of data collection. As an interviewer can only handle a limited number of respondents per day, time becomes a limitation. This disadvantage unfolds into an additional disadvantage. In order to reduce the time constraints, the researcher can make use of interviewers. These interviewers need to be sufficiently trained. Inconsistent responses to certain questions may arise (Bless & Higson-Smith, 1995:111). Lastly, interviewers may be reluctant to visit neighbourhoods with which they are not familiar (Emory & Cooper, 1991:320-321). This means that samples may have to be limited to selected geographical areas, which could lead to an increase in sample error.

4.7.2.2   Group completion of individual questionnaire

This method is usually used when it is convenient for both the researcher and the groups of respondents to complete the questionnaire and the researcher is available to answer any questions and queries. Like any interview, this method holds disadvantages and advantages. Two advantages pertaining to this method are worth mentioning.

This type of data collection should always result in a satisfactory response rate. Usually, 90% – 100% of respondents will complete the questionnaire (Jackson, 1995:111-112). Secondly, the unit cost of administering the group method is low, as the questionnaires are handled together at the same time.

4.8   QUESTIONNAIRES

Salkind (2000:138) emphasises that questionnaires should be structured in a simple format to satisfy the following criteria:

➢   Each question should refer to one issue and require one answer. Asking about different issues in a question makes it difficult for the respondents to respond.

➢   Social and cultural issues should be taken into account, such as family issues, community values or political beliefs.

➢   Respondents should be encouraged to complete the entire questionnaire by adding interesting questions that will engage respondents to answer all the questions.

➢   The questionnaire should be designed to serve the research and not to collect information on a related but implicit topic.

4.8.1   Format of questionnaire

Patton (1990:11) suggests that open-ended interviews provide instructive contrast compared to closed-ended questionnaire results with responses obtained during open-

ended group interviews. The respondent is required to select a relevant answer from the table of answers, rated, from 1 (*strongly disagree*); 2 (*disagree*); 3 (*undecided*); 4 (*agree*) and 5 (*strongly agree*). In the study, certain questions tested knowledge where the respondent was required to respond with a "yes" or "no" by marking with an X.

This section of the questionnaire focused on the following aspects:

➢ Demographic information: this section provides details on age, education, and occupational status.
➢ Government policies and programmes of community participation.
➢ Ward Committee involvement in Buffalo City service delivery and governance.
➢ Capacity building processes and the necessary support for Ward Committees to execute their expected roles and functions.

4.9 DATA ANALYSIS

Patton (1990:95) states that processed data permits informed judgements to be made about the extent to which the programme, organisation or nation functions and the way it is supposed to; which may reveal areas in which relationships should be improved, as well as strengths that should be preserved.

Data analysis is probably the aspect of qualitative research that most clearly distinguishes it from quantitative research. The first step in data analysis is to explore the data. A preliminary analysis in qualitative research consists of exploring the data, writing down ideas, and thinking about the organisation of the data in text segments or themes (Cresswell, 2008:250). Qualitative data analysis is primarily an inductive process of organising the data into categories and identifying patterns or relationships between the categories (Lindlof & Taylor, 2002:195). The process of qualitative data analysis is an ongoing cyclical process integrated into all phases of qualitative research. It is an inductive process in which categories and patterns emerge from the data rather than being imposed on data prior to data collection (Stenbacka, 2001:123).

Qualitative data analysis in this study underwent the following stages: coding topics, classifying topics, developing categories and seeking patterns, as cited by Morse (2002:103). There are many different perspectives on the kinds of things that the researcher can, and should, notice in the data, and how to go about the process of noticing those things.

4.9.1   Data coding

Coding is a qualitative research process in which the researcher makes sense of out of text data, divides it into text or image segments, labels the segments, examines codes for overlap and redundancy, and collapses these codes into broad themes. Coding helps to condense and reduce large amounts of data to small and manageable data under a few themes (Creswell, 2003:225). Denzil and Lincoln (2005:426) claim that coding is an interpretive technique that both organises the data and provides a means to introduce the interpretations of it into meaningful information. Most coding requires the researcher to read the data and demarcate segments within it.

Patton (1990:10-12) suggests that the validity and reliability of qualitative data depends largely on the methodological skill, sensitivity and integrity of the researcher. Systematic and rigorous observation involves far more than simply being present and looking around. Skilfully interviewing entails much more than merely asking questions. In addition, Patton (1990:13) states that in qualitative research, the researcher uses validity as the instrument; therefore, it hinges largely on the skill, competence and rigour of the person engaging in the fieldwork. Patton further proposes what is known as the transaction evaluation model to evaluate situations and the data gathered. The model is based on the same assumptions, which is under-gird, qualitative research.

According to Durrheim and Blanche (2002:83), many forms of validity exist. The two major ones are external validity and internal validity. Validity and reliability are

prerequisites for research data in order to circumvent possible shortcomings and pitfalls in research results (Ehlers, 2000:136).

Patton (1990:10-11,119) states that the commitment is to study naturally occurring phenomena without introducing external controls or manipulation. The assumption is that understanding emerges most meaningfully from an inductive analysis or open-ended and quotational data gathered through direct contact with respondents.

4.10   MEASURING INSTRUMENT

Green, Tull and Albaum (1988:249) argue that the success of a research endeavour depends on the accuracy of the measuring instrument. Salkind (2000:105) supports this and attributes many failed research efforts to poorly formulated questions that may appear sound, but are neither valid nor reliable. The accuracy of the measuring instrument not only influences the accuracy of the results, but also the conclusions drawn and generalisations made from the study.

4.10.1   Validity and reliability criteria

Denzin and Lincoln (2005:426) declare that without rigour, research is worthless, becomes fiction, and loses its utility. Hence, a great deal of attention is applied to reliability and validity in all research methods. Challenges to rigour in qualitative research interestingly progressed with the widespread use of improved statistical packages and the development of computing systems in quantitative research (Patton, 2001:178).

Guba and Lincoln (1994:243) state that reliability and validity were substituted with the parallel concept of "trustworthiness", containing four aspects, namely credibility, transferability, dependability, and confirmability. Within these were specific methodological strategies that were applied in this study to demonstrate qualitative rigor, such as the audit trail, member checks when coding, categorising, or confirming

results with participants, peer debriefing, negative case analysis, structural corroboration, and referential material adequacy (Guba & Lincoln, 1981:216; Lincoln & Guba, 1985:95; Guba & Lincoln, 1982:236). Thus, over the past two decades, reliability and validity have been subtly replaced by criteria and standards for the evaluation of the overall significance, relevance, impact and utility of completed research.

Strategies to ensure rigor inherent in the research process itself have been back-staged to these new criteria to the extent that, while they continue to be used, they are less likely to be valued or recognised as indices of rigor (Salkind, 2001:17). Yin (2004:186), argues that the broad and abstract concepts of reliability and validity can be applied to all research, because the goal of finding plausible and credible outcome explanations is central to all research.

4.10.2   Reliability

Reliability refers to the extent to which different researchers will discover the same phenomena and researchers and participants agree about the descriptions of the phenomena (Meriam, 1998:206). According to Schumacher and Millan (1993:386), reliability refers to the consistency of the researcher's interactive style; data recording; data analysis; and the interpretation of participants' meaning from the data. In any qualitative research, the role of the researcher in the study should be identified and he/she should provide clear explanations to the participants.

Reliability is a necessary contributor to validity, but is not a sufficient condition for validity (Cooper & Schindler, 2001:215). In other words, high reliability does not guarantee validity (De Vos, Strydom, Fouché & Delport, 2002:168). Reliability is concerned with estimates of the degree to which a measurement is free of a random or unstable error.

According to Leedy (1993:42), reliability is seen as the evenness with which the measuring instrument performs. This implies that, apart from delivering accurate results,

the measuring instrument must produce comparable results consistently. Singleton and Straits (1993:121) state that reliability may be improved by conducting investigative studies in the sphere of interest or by performing pre-tests on a small sample of individuals similar in uniqueness to the target group.

4.10.3   Validity

Salkind (2000:113) defines validity as "the quality of the measuring instrument doing what it is supposed to do". Validity is normally referred to in relation to the outcome of a test and various degrees of validity should therefore be interpreted in terms of the results of the study and whether the results are understood within the context of the researcher's purpose.

Salkind (2000:113) and Parasuraman, Grewal and Krishman (2004:294) all describe various forms of validity that should be considered by researchers to ensure the authenticity and validity of their research instruments. These forms of validity are as follows:

- *Content validity*, which is also referred to as face validity; this refers to how representative the scale or instrument is of the universe of the content of the property or characteristic that is being measured. Green *et al.* (1988:250) assert that content validation involves using experts in the field to judge whether sufficient content regarding the topic is being covered.

- *Criterion validity*, which is established when the measure differentiates individuals on a criterion it is expected to predict. This is done by establishing concurrent validity or predictive validity. Concurrent validity is established when the scale distinguishes individuals who are known to be different. Predictive validity refers to the instrument's capacity to differentiate among individuals on a future criterion.

- *Construct validity*; this refers to how well the results obtained from the use of the instrument fit the theories around which it was designed. Construct validity

comprises three sub-categories, namely convergent, discriminant and nomological validity. Convergent validity is established when the scores of two different instruments measuring the same concept are highly correlated. Discriminant validity is achieved when, based on theory, two variables are predicted to be uncorrelated, and the scores obtained are found to be empirically so.

- *Nomological validity*, which involves relating measurements to a theoretical model that leads to further deductions, interpretations and tests which that allow constructs to be systematically interrelated.

- *Internal validity;* this refers to the freedom of researcher bias in forming conclusions in the view of collected data.

- *External validity; this* refers to the extent that conclusions made by the research can be generalised to the broader population and not merely applied to the sample studied.

Green *et al.* (1993:253) emphasise that, ultimately, researchers should strive to achieve construct validity. However, they point out that this is seldom achieved.

Internal validity refers to the extent to which a test measures what the researcher intended it to measure and the degree to which the explanation of phenomena matches the world. External validity refers to the extent to which the results of the study can be generalised across persons, settings or events.

Construct validity refers to the possibility that in the design of the experiment, the operations that are carried out do not adequately represent the normal use. This is threatened by the use of poorly designed data sets. According to Rich Houser (1998:131), Bracht and Glass (1968) explained that external validity referred to the results of a research study that are able to be generalised confidentially to other people larger than the group that participated, in other places, and other time periods. Cook and Campbell (1979:37) explain external validity as an enabling us to infer that the presumed casual relationship can be generalised to and across alternate measures of

the cause and effect and across different types of persons; settings and times. This is threatened by the selection of subjects for the experiments who may not be representative of the population, by the settings in which the experiments took place, which may not be typical, and by the tasks that were carried out, including the timing and diversity of tasks.

4.11   ETHICAL ISSUES CONCERNING RESEARCH PARTICIPANTS

The Constitution of the Republic of South Africa, 1996 (No.108 of 1996) requires that human dignity and the advancement of human rights and freedom be upheld. Ethics is the foundation of the committed service of humankind and should not be considered a deterrent (Pera & Van Tonder, 2005:32). Every citizen has the right to be protected against any harm, whether to his name, person, identity or property. The researcher ensured that every effort was made to ensure that no harm was caused to any of the participants exposed to the study.

According to Kumar (1999:192), 'ethical' means principles of conduct that are considered correct, especially those of a given profession or group. The principles of conduct are the most important ones, as they address the issue of the content of ethical behaviour in a profession.

When the researcher collects information, he/she must first obtain the respondent's informed consent. The researcher must consider the relevance and usefulness of the research being undertaken. In this study, the researcher issued a letter of consent to each and every prospective participant, and only those who signed, participated. The consent was on a voluntary basis, which was explained to participants upfront. The researcher made participants aware of the type of information desired from them, why the information was sought, for what purpose, how they were expected to participate in the study, and how it would affect them.

According to (Cresswell, 2008:229) ethics is a philosophical study of the moral values of human conduct and of the rules and principles that ought to govern it, or a code of behaviour considered correct, especially of a particular group, profession or individual.

Before conducting any interviews, Bernard (2002:68) states that the researcher needs to inform the interview subjects of the purpose of the research and the use of data obtained through the interview and also assure them of the confidentiality and anonymity of information. Most importantly, researchers need to let interview subjects know that their participation must be given on voluntary basis.

In this study, the participants were informed of the purpose of the research, that participation was voluntary, that they were free to withdraw if ever they felt uncomfortable, and that all information would be treated as confidential. This process is called informed consent and is mandatory for ethical reasons (Kvale, 2006:12).

Researchers are responsible for maintaining the dignity and welfare of all their research participants. This obligation also entails protecting them from harm, unnecessary risks or mental and physical discomfort that may be inherent in the research procedure. Researchers are also responsible for conducting themselves ethically and for treating their participants in an ethical manner at all times. As pointed out by Angrosino (2002:243), the need for ethical considerations lies in the protection of the rights of individuals and groups: to have informed consent free of coercion; respect for rights of privacy and confidentiality; minimisation of risk of harm to the subject; and the limitation of unreliable information. Babbie and Mouton (2006:521) summarise certain of the most important ethical agreements that prevail in social research as follows:

4.11.1 Voluntary participation

No one should be forced to participate in the research and the participants must be informed that no special rewards should be expected. For the purpose of this research

study, the participants made their services available to the researcher on a voluntary basis.

4.11.2 No harm or discomfort

People being studied should never be injured by social research, regardless of their voluntary participation. If the researcher has any reason to suspect that by continuing the research will cause the participants undue stress or discomfort, their participation must be aborted. It may be the first encounter for the participants in a research study and they may be required to reveal sensitive information about themselves and their experiences.

4.11.3 Privacy

Burns and Grove (1999:162) explain that it is the freedom of the individual to determine the time, extent and general circumstance under which private information will be shared with or withheld from others. Participants who have given their consent to participate, have the right to expect that the data they supply in the research will remain private. To ensure that the participants' rights are respected, the researcher complied with the requirements of anonymity and confidentiality.

4.11.4 Anonymity

In any research that is undertaken, it is vital that the identity of the participants is protected. For the purpose of the study, the researcher strictly adhered to this principle (and others), as the participants will remain nameless. The information that the participants revealed, was not linked to any individual identification of any sort.

4.11.5 Confidentiality

It is important to assess how much confidentiality researchers can guarantee, as participants often share highly personal experiences and views. Researchers must also consider how the confidentiality of individuals will be preserved when the data is analysed and reported. Related issues include who has access to the data and who "owns" it (Sewell, 2008:2). Anonymity and confidentiality were very important in this study since the participants may fear intimidation, victimisation and harassment by others.

Informed consent

Cohen, Marion and Morrison (2007:52) elaborate that Diener and Crandall (1978) describe informed consent as "the procedures in which the individuals choose whether to participate in an investigation after being informed of facts that would be likely to influence their decisions". This definition identifies four elements that need to be present for informed consent:

1.   Competence to make decisions.
2.   Voluntary participation.
3.   Full information about the research activity.
4.   Comprehension of the processes.

According to Leedy and Ormrod (2005:101), participants should be informed of the nature of the study to be conducted and given the choice of either participating or not participating. In this regard, they must be supplied with an informed consent form, with all the relevant details on it.

For the purpose of this study, the participants were given an informed consent form, which briefly described the nature of the study, what participation involved, risks involved (if any), ethical issues and the contact details of the researcher. After being

informed of the potential risks and benefits of participation, the potential participants were required to give written permission agreeing to participate.

4.12   CONCLUSION

In this chapter, the research methodology and design for the study were discussed; the strategy applied was explained; and the process of survey research was discussed. The aim of this chapter was to describe the research methodology that was applied during the empirical component of this study. Aspects of the design, together with the underpinning methodology, were discussed in order to justify the quality and significance of the procedures that were applied.

A research design is the plan according to which the researcher obtains subjects, i.e. a sample and collects information from them. In the study, the researcher was able to explore the best method suitable to obtain answers to the questions raised in the proposal. Basically, two methods were discussed in depth in this chapter, namely the quantitative and qualitative research methods, although other methods were also briefly introduced and the method used by the researcher, namely triangulation, was also discussed.

The population was demarcated and the procedures for administering the questionnaires and the data collection methods and procedures were also explained. After discussing the applied research methodology, the next chapter will analyse and interpret the collected data to present the research findings in order to provide recommendations and develop a model that could be used in a municipal environment to promote good governance and enhance community consultation and participation.

CHAPTER FIVE

DATA ANALYSIS

5.1   INTRODUCTION

This chapter will discuss the results from the data analysis. Data was obtained from three sample groups, namely, selected officials, Councillors, and Ward Committee members. The triangulation methodology was employed for purposes of this study, with emphasis on both the quantitative and qualitative approaches. The analysis of the collected data will be discussed under the following themes: the role of Ward Committees; public participation; capacity development; integrated development planning; and governance. This is in keeping with the aims and objectives of the study.

Additional data was obtained through open-ended questions in the two questionnaires that were administered to officials and Councillors from the Buffalo City Municipality (BCM). The results from these questions will also form part of the discussion in this chapter.

5.2   RESPONSES FROM OFFICIALS AND POLITICIANS

Group 1 = Officials
Group 2 = Politicians

5.2.1 Representivity of Ward Committees

TABLE 7: Representivity of Ward Committees

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	2	13	3	9
Disagree	2	13	3	9
Undecided	2	13	2	6
Agree	6	40	15	45
Strongly agree	3	20	10	30

Group 1 (Officials)

The majority of respondents (60%) agreed with the statement that Ward Committees in Buffalo City were structured in a manner that was representative of key community groupings, as against 26% who disagreed with the assertion.

Group 2 (Politicians)

Altogether 75% of the respondents asserted that Ward Committees in Buffalo City were structured in a manner that was representative of key community groupings. Only 18% of the respondents did not support the statement, while 6% were neutral.

5.2.2   Functionality of Ward Committees
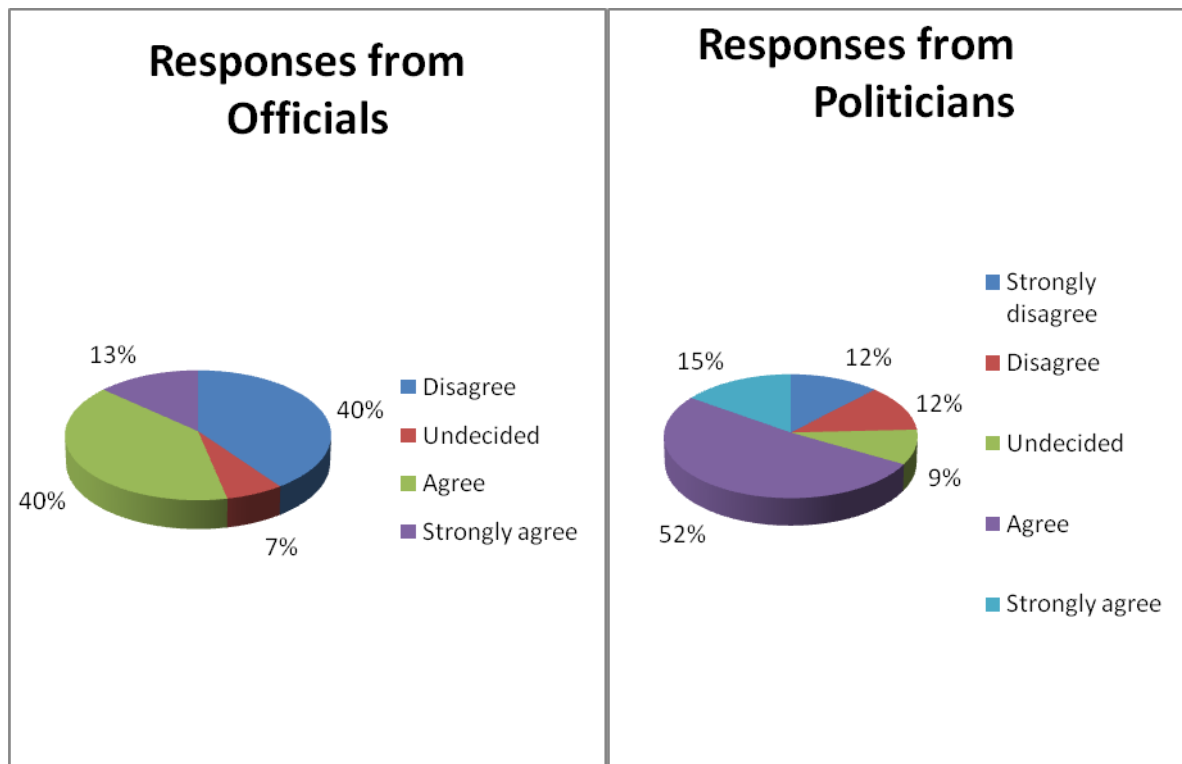
FIGURE 15: Functionality of Ward Committees

Group 1 (Officials)

Altogether 40% of the respondents disagreed with the statement that Buffalo City had a functional Ward Committee system in place; 40% of the respondents agreed with the statement; 13% strongly agreed; and 7% were undecided.

Group 2 (Politicians)

Altogether 67% of the respondents asserted that the Buffalo City had a functional Ward Committee system in place and that Ward Committees met regularly. Only 24% of the respondents disagreed with the statement, while 9% were undecided.

5.2.3   Administrative support to Ward Committees
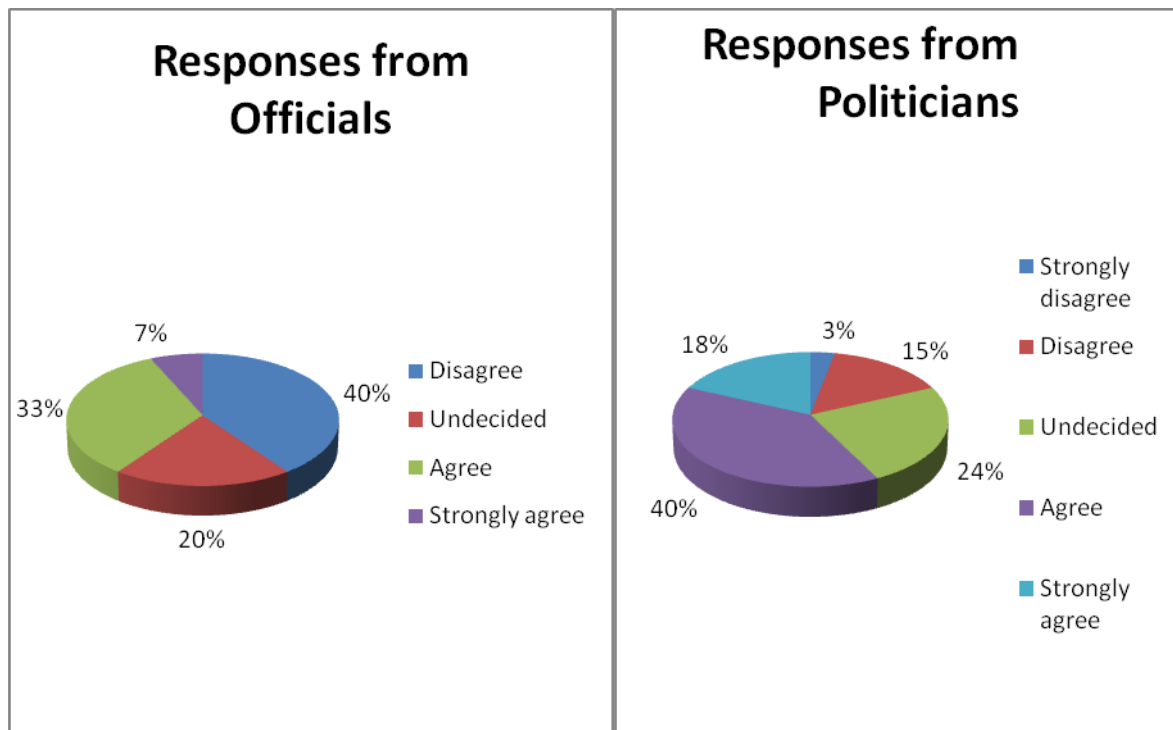
FIGURE 16: Administrative support to Ward Committees

Group 1 (Officials)

Altogether 33% of the respondents agreed that Ward Committees received sufficient administrative support from the Municipality to enable them to perform their functions, while 40% disagreed with the statement.

Group 2 (Politicians)

57% of the respondents agreed that Ward Committees received sufficient administrative support from the Municipality to enable them to perform their functions, against 18% who disagreed and 24% who were undecided.

5.2.4   Developmental programme for Ward Committees

Responses from Officials

- Disagree 33%
- Undecided 27%
- Agree 33%
- Strongly agree 7%

Responses from Politicians

- Disagree 26%
- Undecided 12%
- Agree 41%
- Strongly agree 21%
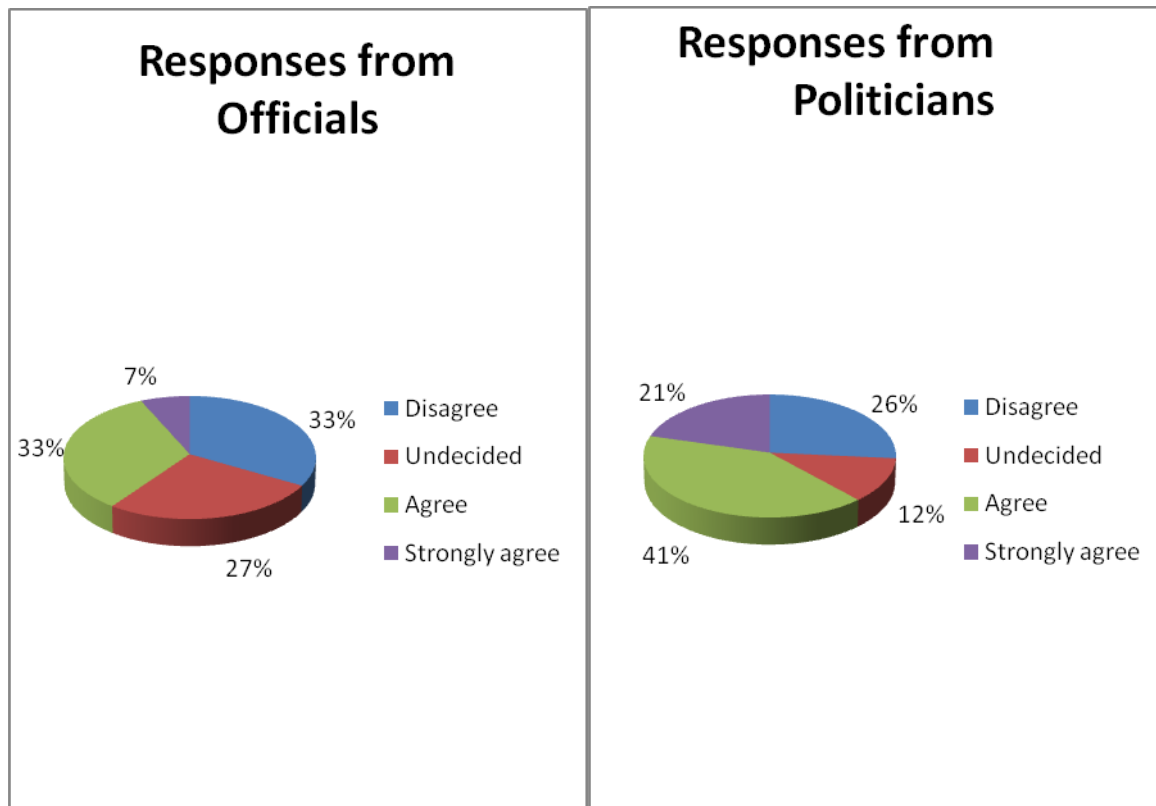
FIGURE 17: Developmental programme for Ward Committees

Group 1 (Officials)

Altogether 33% of the respondents indicated that they agreed with the statement that the Buffalo City Municipality did have a well–structured Ward Committee development programme in place, while 33% of the respondents disagreed with the statement.

Group 2 (Politicians)

Altogether 62% of the respondents agreed that Buffalo City Municipality had a well-structured Ward Committee development programme in place; 38% of the respondents disagreed; and 12% were undecided.

5.2.5   Working relationship between CDWs and Ward Committees

TABLE 9: Working relationship between CDWs and Ward Committees

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	5	33	2	6
Disagree	3	20	6	19
Undecided	3	20	6	19
Agree	4	27	14	44
Strongly agree			4	13

Group 1 (Officials)

Altogether 31% of the respondents indicated that they strongly disagreed with the statement that there was no relationship between the work of Ward Committees and CDWs, while 23% disagreed with the statement that there was no relationship between the work of Ward Committees and Community Development Workers in the BCM. On the other hand, 31% agreed that there was no relationship between the work of Ward Committees and Community Development Workers in the BCM.

Group 2 (Politicians)

Altogether 57% of the respondents agreed that there was no relationship between the work of Ward Committees and Community Development Workers in the Buffalo City Municipality; 25% disagreed, and 19% remained undecided.

5.2.6   Functionality of Ward Committees

TABLE 10: Functionality of Ward Committees

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree			2	6
Disagree	4	27	4	12
Undecided	5	33	7	21
Agree	5	33	16	47
Strongly agree	1	7	5	15

Group 1 (Officials)

Altogether 33% of the respondents indicated that they agreed with the statement that the Ward Committee system was functioning properly in deepening democracy and promoting public participation in government. However, 27% disagreed with the statement, while 33% of the respondents remained undecided.

Group 2 (Politicians)

Altogether 62% of the respondents agreed that the Ward Committee system was functioning properly in deepening the democracy and promoting public participation in government; 18% indicated that they disagreed; and 21% remained undecided.

5.2.7   Adequate administrative support for public participation

TABLE 10: Adequate administrative support for public participation

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	3	20	2	6
Disagree	9	60	12	35
Undecided	1	7	9	26
Agree	2	13	8	24
Strongly agree			3	9

Group 1 (Officials)

The majority (60%) of the respondents indicated that the Buffalo City Municipality had sufficient staff to deal with issues of public participation; 20% of the respondents indicated that the Buffalo City Municipality did not have sufficient staff to deal with issues of public participation.

Group 2 (Politicians)

Altogether 41% of the respondents disagreed that the Buffalo City Municipality had sufficient staff to deal with issues of public participation; 33% agreed; and 26% were undecided.

5.2.8 **Budget allocation for public participation**
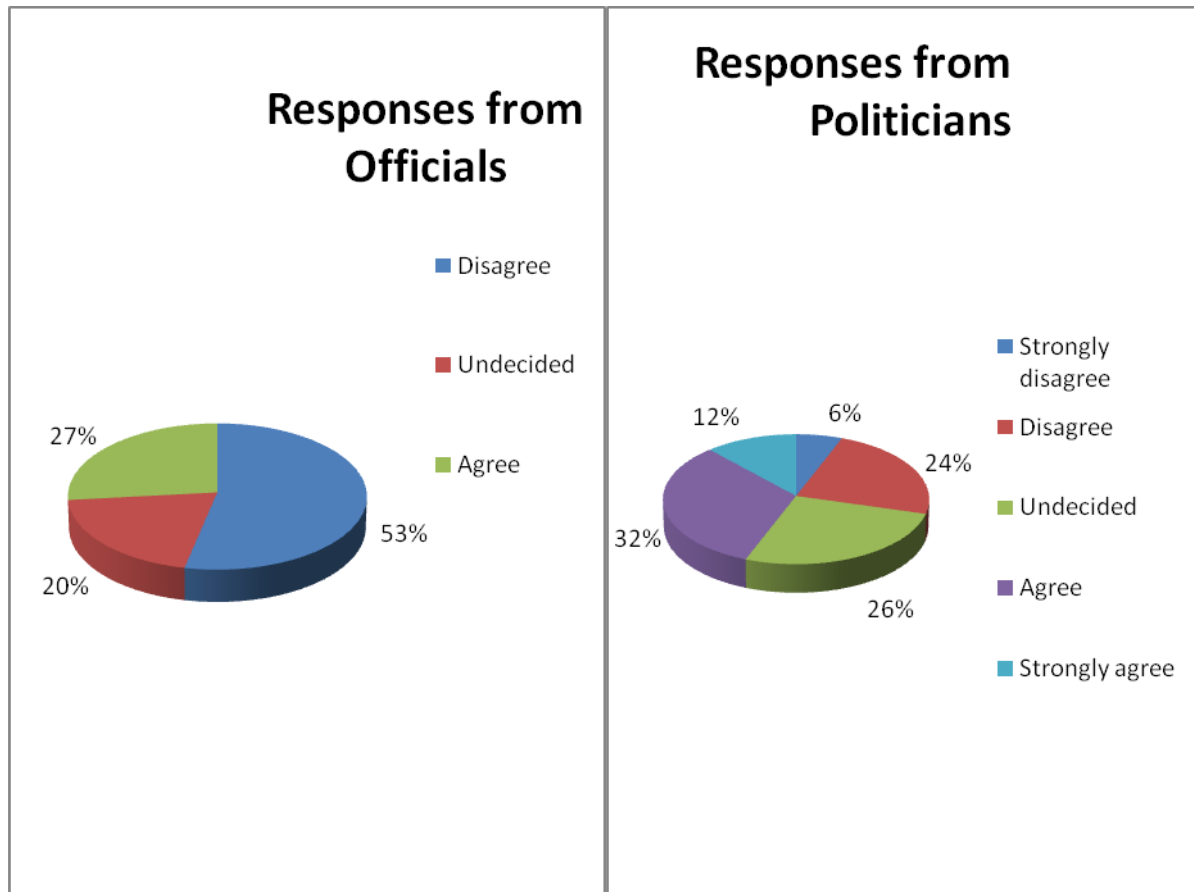
FIGURE 18: Budget allocation for public participation

Group 1 (Officials)

The majority (53%) of the respondents disagreed that the Buffalo City Municipality budgeted adequately for public participation initiatives; 27% agreed that the Buffalo City Municipality budgeted adequately for public participation initiatives; and 20% were undecided.

Group 2 (Politicians)

Altogether 44% of the respondents agreed that the Buffalo City Municipality budgeted adequately for public participation initiatives; 31% disagreed and 26% were undecided.

5.2.9   Alignment of Communication and Public Participation Initiatives

TABLE 11: Alignment of Communication and Public participation initiatives

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree			1	3
Disagree	2	13	10	29
Undecided	7	47	5	15
Agree	5	33	14	41
Strongly agree	1	7	4	12

Group 1 (Officials)

Altogether 47% of the respondents were undecided on the question whether communication and public participation initiatives in the Buffalo City Municipality were aligned; 33% of the respondents indicated that they agreed that communication and public participation initiatives in the Buffalo City Municipality were aligned.

Group 2 (Politicians)

Altogether 53% of the respondents agreed that communication and public participation initiatives in the Buffalo City Municipality were aligned; 32% disagreed and 15% were undecided.

5.2.10   Existing policies and strategies for public participation
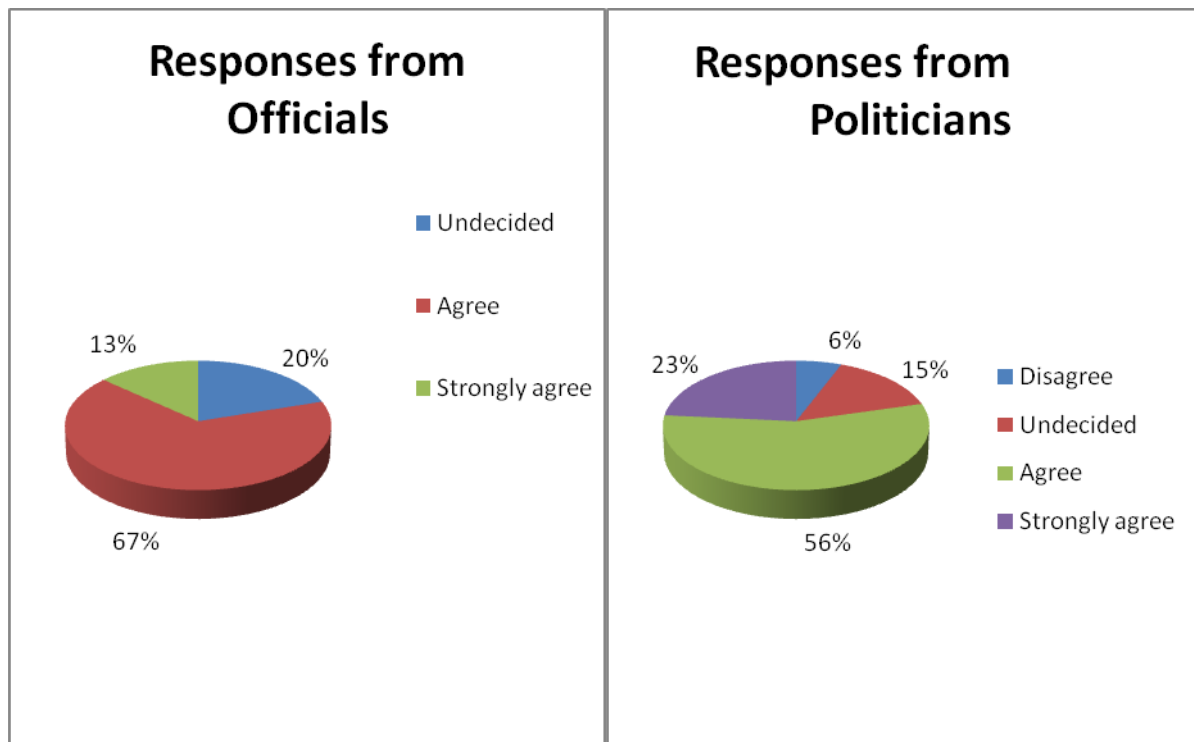
FIGURE 19: Existing policies and strategies for public participation

Group 1 (Officials)

The majority (80%) of the respondents indicated that the Buffalo City Municipality had developed policies and strategies to promote public participation, while 20% of the respondents were undecided.

Group 2 (Politicians)

Altogether 80% of the respondents agreed that the Buffalo City Municipality had developed policies and strategies to promote public participation, while 6% disagreed and 15% were undecided.

5.2.11   Existing structures for public participation
TABLE 12: Existing structures for public participation

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree			2	6
Disagree	2	13	1	3
Undecided	3	20	4	13
Agree	9	60	21	66
Strongly agree	1	7	4	13

Group 1 (Officials)

Altogether 60% of the respondents agreed that structures existed in the Buffalo City Municipality to promote public participation, while 13% of the respondents disagreed that such structures existed.

Group 2 (Politicians)

Altogether 79% of the respondents agreed that structures to promote public participation existed in the BCM to promote public participation, while 9% disagreed and 13% were undecided.

5.2.12   Effective participation programmes
TABLE 13: Effective participation programmes

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree			2	6
Disagree	4	27	7	21
Undecided	1	7	7	21
Agree	8	53	14	41
Strongly agree	2	13	4	12

Group 1 (Officials)

Altogether 53% of the respondents indicated that they agreed that local communities participated fully in shaping their destiny in the local government sphere, while 27% of the respondents disagree.

Group 2 (Politicians)

Altogether 53% of the respondents agreed that local communities participated fully in shaping their destiny at local government sphere, while 27% disagreed and 21% were undecided.

5.2.13   Failure to create democratic and transparent governance
TABLE 14: Failure to create democratic and transparent governance

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	1	7	2	6
Disagree	3	20	3	9
Undecided	2	13	8	24
Agree	6	40	20	59
Strongly agree	3	20	1	3

Group 1 (Officials)

Altogether 40% of the respondents indicated that they agreed that local government and the Buffalo City Municipality specifically were facing challenges in terms of fulfilling its constitutional mandate of creating democratic, transparent and responsive governance, while 20% of the respondents disagreed.

Group 2 (Politicians)

Altogether 62% of the respondents agreed that local government and the Buffalo City Municipality specifically were facing challenges in terms of fulfilling the constitutional mandate of creating democratic, transparent and responsive governance; 15% disagreed; and 24% were undecided.

5.2.14   Existence of community capacity and awareness programmes
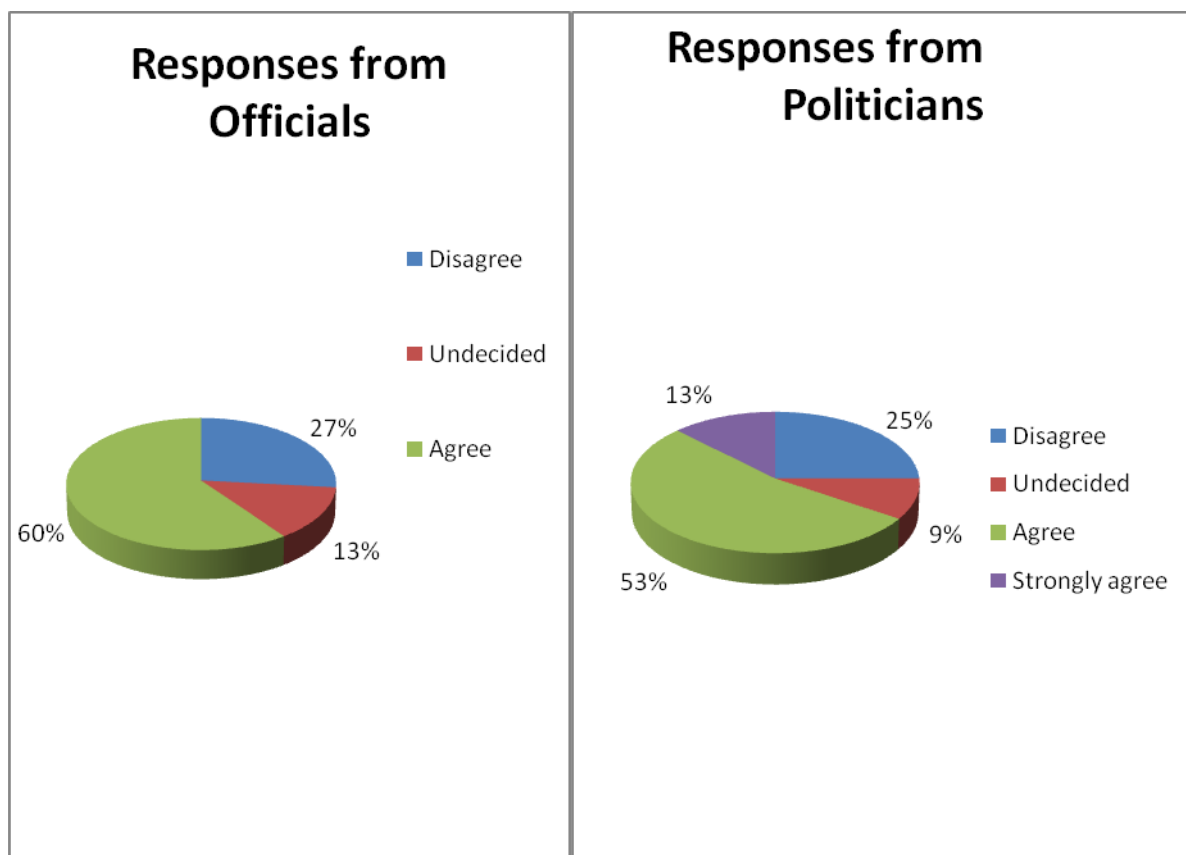
FIGURE 20: Existence of community capacity and awareness programmes

Group 1 (Officials)

The majority (60%) of the respondents indicated that the Buffalo City Municipality had introduced community capacity development and awareness programmes to ensure that the community was educated regarding the role and operation of local government, while 27% of the respondents disagreed.

Group 2 (Politicians)

Altogether 66% of the respondents indicated that the Buffalo City Municipality had introduced community capacity development and awareness programmes to ensure that the community was educated regarding the role and operation of local government; and 34% disagreed.

5.2.15   Provincial government support to local government

TABLE 15: Provincial government support to local government

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	3	20	3	9
Disagree	2	13	4	13
Undecided	7	47	10	31
Agree	2	13	10	31
Strongly agree	1	7	5	16

Group 1 (Officials)

Altogether 20% of the respondents indicated that they disagreed that local government received sufficient capacity development support from provincial government, while 13% of the respondents agreed.

Group 2 (Politicians)

Altogether 47% of the respondents agreed that local government did receive sufficient capacity development support from provincial government; 22% disagreed; and 31% were undecided.

5.2.16   Public involvement in IDP and budget processes
TABLE 16: Public involvement in IDP and budget processes

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	6	40	2	6
Disagree	4	27	4	12
Undecided			4	12
Agree	4	27	16	48
Strongly agree	1	7	7	21

Group 1 (Officials)

Altogether 40% of the respondents strong disagreed that the IDP and Budget processes of the Buffalo City Municipality provided the public with sufficient opportunities to take part in their development, implementation and evaluation, while 27% of the respondents agreed with the statement.

Group 2 (Politicians)

Altogether 69% of the respondents agreed that the IDP and budget processes of the Buffalo City Municipality provided the public with sufficient opportunities to take part in their development, implementation and evaluation; 18% of the respondents disagreed; and 12% were undecided.

5.2.17   Alignment of outreach programmes

TABLE 17: Alignment of outreach programmes

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	5	33	4	12
Disagree	5	33	7	21
Undecided	1	7	6	18
Agree	1	7	11	33
Strongly agree	3	20	5	15

Group 1 (Officials)

Altogether 33% of the respondents strongly disagreed that there was no alignment between the Buffalo City Council's community outreach programmes and the provincial and national outreach programmes within the Buffalo City Municipality, as against 20% of the respondents who indicated that there was no such alignment.

Group 2 (Politicians)

Altogether 48% of the respondents agreed that there was no alignment between the Buffalo City Council's community outreach programmes and the provincial and national outreach programmes within the BCM; 33% disagreed and 18% were undecided.

5.2.18   Adequate consultation with stakeholders
TABLE 18: Adequate consultation with stakeholders

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	2	13	4	12
Disagree	3	20	7	21
Undecided	4	27	6	18
Agree	3	20	11	33
Strongly agree	3	20	5	15

Group 1 (Officials)

Altogether 40% of the respondents indicated that municipalities did consult sufficiently with key stakeholders and interest groups during IDP processes, while 33% disagreed with the statement. A full 27% of the respondents were undecided about the statement.

Group 2 (Politicians)

Altogether 59% of the respondents agreed that municipalities consulted sufficiently with key stakeholders and interest groups during IDP processes, while 32% of the respondents disagreed and 9% were undecided.

5.2.19   Municipal officials drive IDP process instead of community
TABLE 19: Municipal officials drive IDP process instead of community

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	1	7	3	9
Disagree	3	20	5	15
Undecided	1	7	9	26
Agree	4	27	8	24
Strongly agree	6	40	9	26

Group 1 (Officials)

The majority (67%) of the respondents indicated that they agreed that municipalities' IDPs and budgets were not driven by the people, but rather by municipal officials, as against 27% of the respondents who indicated the contrary, namely that municipalities' IDPs and budgets were driven by the people and 7% who remained undecided.

Group 2 (Politicians)

Altogether 50% of the respondents indicated that they agreed that the IDPs and budgets of municipalities were not driven by the community, but rather by municipal officials; 24% of the respondents disagreed; and 26% were undecided.

5.2.20   SALGA support to Municipalities
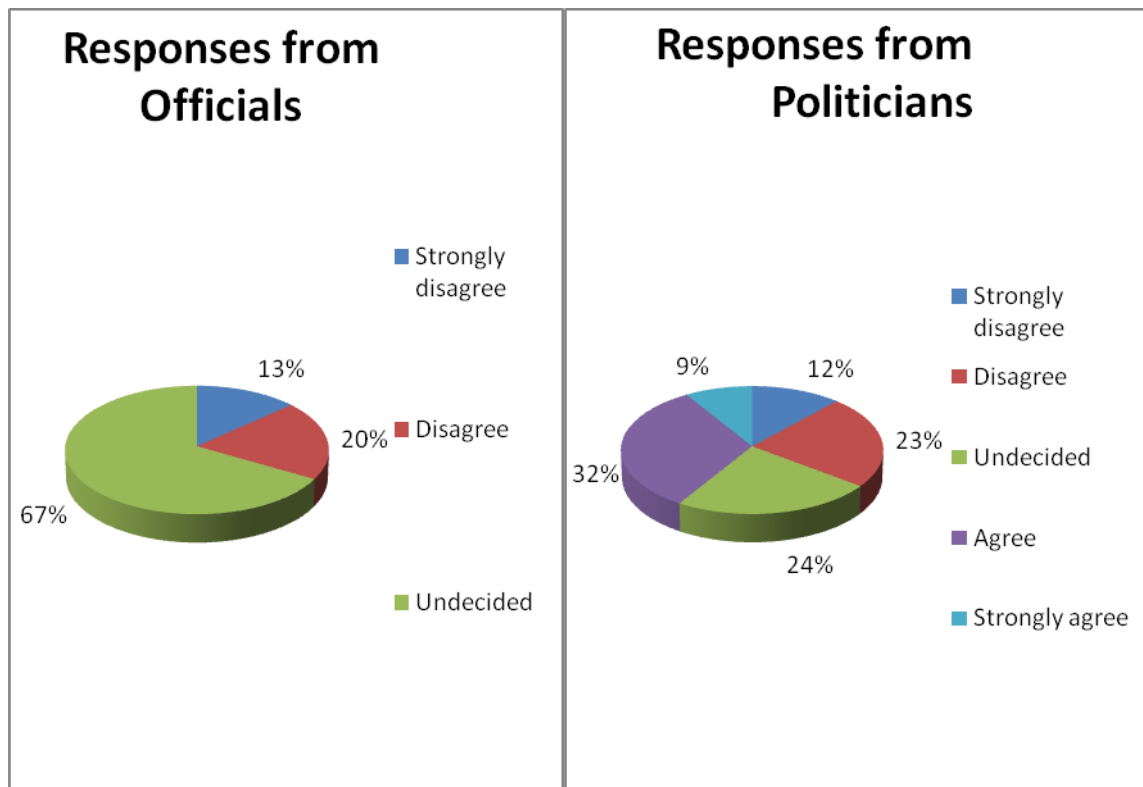
FIGURE 21: SALGA support to Municipalities

Group 1 (Officials)

The majority (67%) of the respondents were undecided whether SALGA was performing its municipal capacity development role effectively, while 20% of the respondents indicated that SALGA was performing its municipal capacity development role effectively. A minority (13%) of the respondents indicated that SALGA was not performing its municipal capacity development role effectively.

Group 2 (Politicians)

Altogether 41% of the respondents indicated that they agreed that SALGA was performing its municipal capacity development role effectively; 35% disagreed and 24% were undecided.

5.2.21   Poor service delivery to rural compared to urban areas
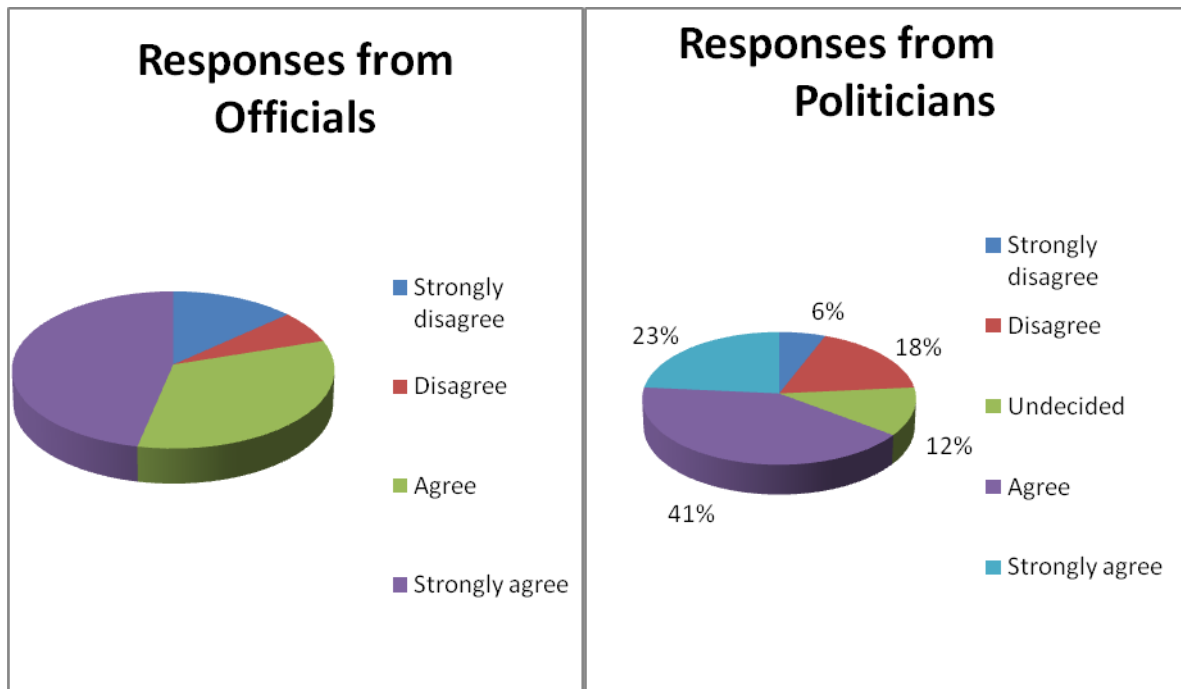
FIGURE 22: Poor service delivery to rural compared to urban areas

Group 1 (Officials)

Altogether 80% of the respondents indicated that they strongly agreed that rural areas forming part of the Buffalo City Municipality did not receive the same attention and service delivery commitment as their urban counterparts, as against the 20 % of the respondents who indicated that they strongly disagreed.

Group 2 (Politicians)

Altogether 65% of the respondents indicated that they agreed that the rural areas forming part of the Buffalo City Municipality did not receive the same attention and service delivery commitment as their urban counterparts; 24% of the respondents disagreed; and 12% were undecided.

5.2.22   Provincial failure to assist municipalities
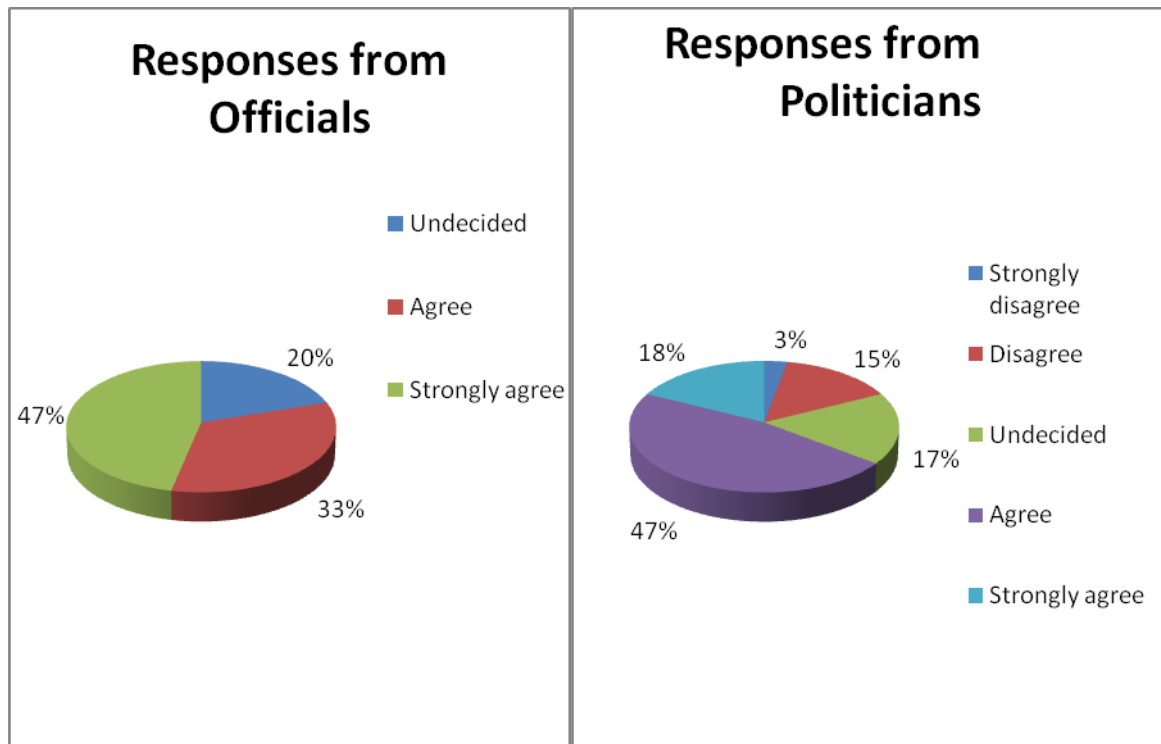
FIGURE 23: Provincial failure to assist municipalities

Group 1 (Officials)

Altogether 47% of the respondents strongly agreed that the provincial government in the Eastern Cape had problems of its own, which was affecting its ability to assist local municipalities, while a further 33% of the respondents indicated that they agreed, and 20% were undecided.

Group 2 (Politicians)

Altogether 65% of the respondents indicated that they agreed that the provincial government in the Eastern Cape had problems of its own, affecting its ability to assist local municipalities, as against 18% who disagreed and 17% who were undecided.

5.2.23   Exclusion of marginalised communities
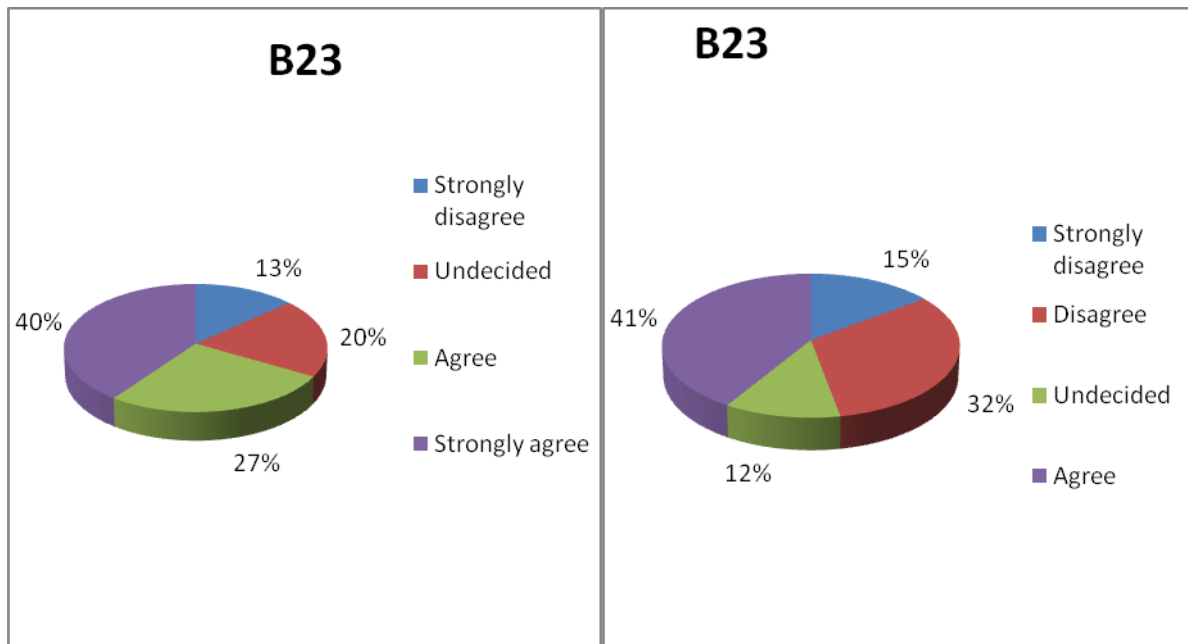
FIGURE 24: Exclusion of marginalised communities

Group 1 (Officials)

Altogether 67% of the respondents agreed that marginalised communities of the Buffalo City Municipality were excluded from municipal planning and decision-making processes as against 13% of the respondents who strongly disagree and 20% remained undecided.

Group 2 (Politicians)

Altogether 41% of the respondents agreed that the marginalised communities of the Buffalo City Municipality were excluded from municipal planning and decision-making processes, as against 47% who disagreed with the statement, and 12% who were undecided.

5.2.24   Integrity of supply chain management processes
TABLE 20: Integrity of supply chain management processes

Types of responses	Officials		Politicians	
	Number	%	Number	%
Strongly disagree	5	33	9	27
Disagree	4	27	9	27
Undecided	4	27	6	18
Agree	2	13	3	9
Strongly agree			6	18

Group 1 (Officials)

Altogether 60% respondents indicated that they strongly disagreed that Supply Chain Management processes in the Buffalo City Municipality were above board or beyond reproach and could withstand public scrutiny, as against 13% of the respondents who indicated that Supply Chain Management processes in the Buffalo City Municipality were above reproach and could withstand public scrutiny; with 27% remaining undecided.

Group 2 (Politicians)

Altogether 54% of the respondents disagreed that the Supply Chain Management processes in the Buffalo City Municipality were above board or beyond reproach and could withstand public scrutiny; 27% of the respondents agreed with the statement and 19% were undecided.

5.3 EFFECTS OF PUBLIC PARTICIPATION

TABLE 21: Effects of Public Participation

Statement	O			P		
	Y	N	Ne	Y	N	Ne
Delays service delivery	1	9	5	6	28	
Lack of understanding	11	3	1	28	3	3
Watchdog role of media	10	2	3	20	11	2
Corruption and nepotism	11	1	3	26	2	5
Anti-corruption and anti-corruption strategies	2	9	4		28	5
Shortage of critical skills	13	2		31	3	
Balancing environment and service delivery	5	5	4	17	11	6
People-centred governance	6	5	4	23	6	5
Influence of service delivery protests	11		4	12	17	5
Voter turnout	14		1	25	5	3
Apathy	6	6	3	25	2	7
Capacity to spend budget	8	5	2	29	2	3
Poor integration	12	1	2	30	2	2

O = Officials; P = Politicians; Y = Yes; N = No and Ne = Neutral.

5.4. Public participation delays service delivery

Group 1 (Officials)

A minority of 7% of respondents returned a Yes response; 60% returned a No response, and 33% remained neutral to the statement.

Group 2 (Politicians)

Altogether 82% of the respondents emphatically disagreed with the statement that public participation afforded communities the opportunity to air their views and opinions regarding services rendered or to be rendered to them. A minority of the respondents (18%) responded in the affirmative to the statement.

5.5 Lack of understanding how local government functions.

Group 1 (Officials)

The majority of the respondents (73%) returned a Yes response; 20% stated No to the question, and 7% remained neutral.

Group 2 (Politicians)

Altogether 82% of the respondents answered in the affirmative that protests arose because community members did not know how local government operated; 9% disagreed with the statement; and 9% remained neutral.

5.6 Media as source of information and as a watchdog

Group 1 (Officials)

Altogether 67% of the respondents agreed with the statement by returning a Yes response; 13% of the respondents returned a No response; and 20% remained neutral.

Group 2 (Politicians)

Altogether 61% of the respondents agreed with the statement; 33% disagreed, and 6% remained neutral.

5.7 People-centred government

Group 1 (Officials)

Altogether 33% of the respondents returned a No response (Ideally, that is how it should be).

Group 2 (Politicians)

The majority (68%) agreed with the statement, but in theory only, pointing to the gap between policy and practice. The local government system is supposed to be people-centred. 18% of the respondents disagreed with the statement while 14% remained neutral.

5.8 Service delivery protests

Group 1 (Officials)

Altogether 73% of the respondents returned a Yes response on the basis that if communities were informed of all the processes and the programme, protest action would be limited. The remainder of 27% felt that a combination of a number of issues caused the protests.

Group 2 (Politicians)

The majority (68%) agreed with the statement but in theory only, pointing to the gap between policy and practice and that the local government system was supposed to be people-centred; 18% of the respondents disagreed with the statement, while 14% remained neutral.

5.9 Voter turnout

Group 1 (Officials)

Altogether 93% of respondents supported the statement, and 7% remained neutral.

Group 2 (Politicians)

Altogether 76% of respondents agreed with the statement, compared to 15% who disagreed and 9% who remained neutral.

5.10 Apathy

Group 1 (Officials)

Equal percentages of 40% of respondents agreed/disagreed with the statement, while 20% were neutral.

Group 2 (Politicians)

Altogether 74% of the respondents agreed with the statement; 6% disagreed and 20% remained neutral.

5.11 Poor integration
Group 1 (Officials)

Altogether 80% of the respondents returned a Yes response, whereas 7% responded No and 13% were neutral.
Group 2 (Politicians)

Altogether 88% of the respondents agreed with the statement; 6% did not think there was a problem, and 6% were neutral.

5.12. CONSOLIDATED DATA ANALYSIS:

An analysis of the responses now follows in terms of the following themes. Responses from the three sample groups have been consolidated under each of the identified themes:

Role of Ward Committees:

On the issue of whether Ward Committees in the BCM (Buffalo City Municipality) were structured in a manner that was representative of key groupings, the results revealed that 60% of the officials agreed that Ward Committees were representative, while 75% of the Councillors also agreed with the statement. From this result, it can be inferred that both sample groups agreed that the Ward Committees were representative of key groupings, which is important as such groupings are prescribed in terms of applicable legislative prescriptions contained in the Municipal Structures Act 117 of 1998 and the Municipal Systems Act 32 of 2000. Regarding the issue of functionality of Ward Committees, the results revealed that 40% of the officials felt that Ward Committees were not functioning correctly, while 67% of the Councillors were of the view that the system was functioning well. This result is of concern, as the officials and Councillors clearly did not share the same sentiments. A possible interpretation of these results could be that the Ward Councillors were required to work closely with their respective Ward Committee members, which implies that the system was functioning well.

On the issue of adequate administrative support for Ward Committees, 40% of the officials responded that sufficient support was available, while 57% of the councillors agreed with the statement. In terms of the BCM having a well-structured Ward Committee development programme in place, only 40% of the officials agreed that such a programme was in place, while 62% of the Councillors indicated that an adequate programme was available. This result implies that the two sample groups had differing viewpoints. This is cause for concern, as ideally the officials and Councillors should be in agreement on the issue of the availability of an adequate development programme for Ward Committee members.

Regarding the statement that there was no relationship between the work of Ward Committees and Community Development Workers in the BCM, 47% of the officials did not support the statement, as against 57% of the Councillors also agreed with the statement. It can be inferred from the results that the two sample groups were in

agreement that that there was a relationship between the work of Ward Committee and Community Development Workers, with 53% of the officials and 57% of the Councillors supporting the statement.

In terms of legislative prescriptions, a primary role of the Ward Committee system is to deepen democracy and promote public participation in government. On this issue, 40% of the officials responded that Ward Committees in the BCM were meeting this requirement, as against 62% of the Councillors who returned a positive response, indicating that they supported the statement.

In terms of the focus group interviews on the issue of disempowered Ward Committee members, the discussion revealed that certain Committee members did not fully understand what their role was in the facilitation of service delivery, as could be deduced from statements such as: *"It was not explained to us and as a result I am not sure what I must do. I only attended one meeting ..."* Respondents felt that Ward Committee members needed to be better educated on their roles and responsibilities.

Further results from the focus group interviews on the issue of weak co-operation between Councillors and Ward Committees**:** While this challenge does not cut across all wards, it emerged from the interviews as a hindrance to effective participation. Respondents had this to say about the challenge: *".. The Ward Councillor has meetings that he/she will be addressing, but does not alert Ward Committee members of these meetings. That shows that there is no co-operation."* Certain participants pointed out that this challenge was worsened by the weak co-operation among the Ward Committee members themselves

From the results emanating from the focus group interviews, it can be concluded that the working relationship between the Ward Councillors and Ward Committee members was not what it should be. This is cause for concern, as the Ward Committees should serve as the "link" between local communities and the Ward Councillors. It is important that Ward Committee members are empowered to better execute their duties and

responsibilities, as envisaged in terms of the Municipal Systems Act 32 of 2000 and the official Guidelines on the Role of Ward Committees.

Public participation:

The sample groups were asked whether the BCM had sufficient staff to deal with issues of public participation. Altogether 80% of the officials responded in the negative, as opposed to 33% of the Councillors. One can conclude from this result that there was divided opinion on the matter. It can further be assumed that councillors would probably answer cautiously, as new staff appointments would naturally have a serious impact on the operating budget of the BCM. On the issue of the BCM adequately budgeting for public participation initiatives, the responses were divided, with 53% of the officials disagreeing with the statement, while only 31% of the Councillors, disagreed. This result implies that the sample groups had different opinions on the matter.

On the statement of whether communication and participation initiatives were aligned in the BCM, it is interesting to note that the majority of officials (47%) were undecided, while 53% of the Councillors supported the statement. It can be inferred from this result that there is uncertainty in terms of whether there is alignment between communication and public participation initiatives in the BCM. Respondents were requested to indicate their opinion on whether the BCM had developed policies and strategies to promote public participation. A significant percentage of the officials (80%) supported the statement, while a similar 80% of Councillors also supported the statement. It can be concluded from this result that the officials and Councillors were in agreement on the issue of developed strategies and policies on public participation for the BCM.

On the statement regarding structures in the BCM to promote public participation, the results indicate that 67% of the officials agreed with the statement compared to 79% of the Councillors who likewise supported the statement. From this result, it can be inferred that structures to promote public participation do exist in the BCM. Respondents were asked whether local communities participated fully in shaping their

destiny at the local sphere of government. In response to this question, 66% of the officials supported the statement, while 53% of the Councillors disagreed with the statement. One can conclude from the responses that the majority of both sample groups agreed that local communities participated in the activities of local government. In terms of a variety of legislative prescriptions including, *inter alia*, the White Paper on Local Government, 1998, municipalities are required to promote public consultation and participation at the local sphere of government. Regarding the issue of whether marginalised communities of the BCM were excluded from municipal planning and decision-making processes, it is interesting to note that 67% of the officials agreed with the statement, against 41% of the Councillors who also supported the statement. This result implies that marginalised communities were indeed excluded from planning processes by the BCM, which is cause for concern. In terms of a variety of "developmental" local government legislative prescriptions, local communities must be consulted on matters that affect them directly. The 1996 Constitution is also clear on this matter.

The focus group participants were asked what their views were on public participation strategies facilitated by the BCM. Interviewees indicated that …"*The problem is that participation ends with the submission of requests or needs. Such requests are not implemented. Next year they will come back and ask the same questions.*"

Focus group participants further indicated that feedback and monitoring and evaluation of programmes were vital. Responses were: *"We were told that the ex-Mayor is coming to handover school uniforms and we are still waiting".*

"If they could come more often it will show the community that they really care, because the community seems to think that the municipality (Councillors) comes more during elections when they want to be voted for."

From the above results emanating from the focus group interviews, it can be inferred that Ward Committee members felt that their participation in public consultation and

participation initiatives were being taken seriously by the BCM. The results further imply that Councillors tended to visit community members during local government elections.

Capacity development:

The capacity development of local communities is clearly outlined in terms of the White Paper on Local Government, 1998, and this requirement is well articulated and further forms one of the "building blocks" for local government and local communities. On the statement of whether the BCM had introduced community capacity development and awareness programmes, the majority of officials (60%) agreed with the statement, while 66% of the Councillors also supported the statement. It can be inferred from this result that the BCM did indeed have community capacity development and awareness programmes in place.

On the issue of whether local government received sufficient capacity development support from the provincial government a relatively low percentage of officials (20%), agreed with the statement, as opposed to 47% of the Councillors who supported the statement. One may deduce from this result that opinion was divided on this issue. It is proposed that further research is needed to properly investigate the reasons for the significant difference of opinion on this statement.

The South African Local Government Association (SALGA) has been mandated to provide, *inter alia*, capacity building programmes for local government role-players. On the statement whether SALGA was performing its municipal capacity development role effectively, it is interesting to note that no official supported the statement, with 67% indicating that they were undecided; and 33% disagreeing with the statement. Altogether 41% of the Councillors agreed that SALGA was performing its municipal development role effectively; 35% disagreed; and 24% were undecided. Of particular concern is the response from the officials indicating no support for the statement. It can be inferred from these results that Councillors had received certain capacity building programmes, which are conducted by SALGA after local government elections and also

throughout the year. The converse is also true in the sense that the officials had not been exposed to the same opportunities, as they were viewed as career appointments, often possessing formal academic qualifications.

In terms of capacity building and resource constraints, the focus group participants stated that "… *From one village to the next, it is quite far, which affects the work of Ward Committee members. There is a need, therefore, for the provision of transport and other necessities to facilitate community participation*". Certain Ward Committee members felt that they needed to be recognised for their efforts by the Municipality and be provided with equipment to use for their duties. Participants indicated that, "… *Since Ward Committee members are so close to communities they carry out an important communication role between the municipality and the community*".

The above responses from the focus group interviews clearly convey that the majority of the interviewees felt they should be incentivised with support in terms of airtime, transport and other necessities that could make them more effective in carrying out their duties. It should, however, be noted that the role of Ward Committees is to consult: they do not have any executive authority. Their primary function is to advise and consult with the Ward Councillors on matters affecting their particular communities and areas. Councillors, on the other hand, only have executive authority as a group, for example, when they meet in Standing Committees or in Council meetings.

Integrated Development Planning (IDP):

It is of concern to note that 66% of the officials indicated that the public was not provided with sufficient opportunities to partake in the development, implementation and evaluation of the IDP and budget processes, compared to 59% of the Councillors who agreed that sufficient opportunities to partake in the mentioned processes do indeed existed. One may infer from this result that opinion was divided. It may be further deduced that the primary reason for the response from the officials was that the timeframes for public consultation and participation were often not realistic. This

inference is supported by statements made during the focus group interviews with Ward Committee members, indicating that not sufficient notice was being provided regarding these processes.

In terms of the statement whether municipalities did consult sufficiently with key stakeholders and interest groups during the IDP processes, 40% of the officials and 59% of the Councillors agreed with the statement. This result implies that consultation with key stakeholders and interest groups did take place in the BCM. It should be noted that these processes are required in terms of legislative prescriptions imposed upon local government structures, and it is therefore of concern that only 40% of the officials agreed with the statement.

Respondents were requested to indicate whether the IDPs and budgets of municipalities were driven by the officials and not the people. The results indicate that 67% of the officials agreed with the statement, while 50% of the Councillors supported the statement. It can be inferred from this result that communities were possibly being marginalised on the issue of IDP and budget processes and procedures within the BCM.

The focus group participants were asked their opinions on whether the IDP process was fully participatory. The majority of participants expressed concern that while the process allowed people to contribute their priority projects and programmes, proper feedback was not provided by the Municipality or the Councillors. A recurring statement was, "… *This situation repeats itself each year with certain programmes and projects still outstanding from the submissions of previous years"*.

On the focus group discussion question of whether communities had very high expectations, participants clearly indicated the fact that community expectations exceeded what could be done within a given time-frame and given resource constraints. Participants stated that, "….*Without the Ward Committee members to explain this reality, the protest actions would be more intense and widespread"*.

It can be inferred from the above results from the focus group interviews that Ward Committee members felt that their input was not valued by the BCM. This assumption is based on the comments that certain projects and programmes were still outstanding from previous years. It is proposed that Ward Committee members be better informed of budgetary processes and constraints in local government. Not all projects or programmes are able to be accommodated on Capital Budgets and Capital programmes. This also holds true for the BCM. A further deduction from the above results is that Ward Committees held the view that they had played a role in limiting protest action by local communities.

Governance:

The respondents were asked whether local government and the Buffalo City Municipality (BCM) specifically faced challenges in terms of fulfilling the constitutional mandate of creating democratic, transparent and responsive governance. Altogether 60% of the officials and 62% of the Councillors indicated that they agreed with the statement. It can accordingly be assumed from this result that the BCM faced specific challenges in the context of fulfilling its constitutional mandate, as described above. It is further proposed that the BCM had a significant challenge regarding the deepening of democracy and also in terms of meeting its new "developmental" mandate. The BCM clearly needs to address the issue of creating a culture of democracy and fulfilling its mandate as enshrined in the 1996 Constitution, including transparent and responsive government.

The responses below emanate from statements put to the officials. The options included a "yes", "no" and "neutral" response, with space provided for the respondents to comment, if they so wished.

STATEMENT C1: *Public Participation delays service delivery.*

A minority of 7% of respondents returned a Yes response; 60% returned a No response; and 33% were neutral to the statement. The majority of respondents disagreed with the statement that public participation delayed service delivery. Respondents stated that public participation actually paved the way for service delivery and enhanced the culture of ownership, encouraging and enhancing service delivery. The developmental nature of local government requires community participation and public participation. Public participation is part of democratic strategic planning. Proper planning caters for public participation and does not really delay service delivery, but rather promotes ownership by communities. Involving the public will assist in establishing what their needs are. Community members should be constantly informed of the programmes that are taking place within the Municipality and the reasons for any delays.

STATEMENT C2: *Lack of understanding of the way local government operates is affecting the ability of local communities to participate in key local government activities.*

The majority of the respondents (73%) returned a Yes response; 20% stated No to the question; and 7% were neutral. Generally, there is a lack of awareness in communities concerning their rights in local government, which is a limiting factor. If one lacks knowledge, one will not know which route to follow. In some instances local municipalities, because of a lack of understanding, may miss out on developmental opportunities for their communities. Many local communities are not deeply involved in local government activities. When communities are visited by local government officials or politicians, they always use the opportunity to raise their issues, concerns or challenges. This could be due to a lack of understanding of the operations of local government as certain of the issues may fall within the competencies of the provincial and national governments.

STATEMENT C3: *The media play a watchdog role in scrutinising and monitoring local government service delivery.*

Altogether 67% of the respondents agreed with the statement, returning a Yes response; 13% of the respondents returned a No response; and 20% were neutral. The general consensus was that the media reported on matters that were contrary to the affective functioning of the Municipality, such as incidents of fraud. However, the media also encouraged accountability. It does help at times to open debates and inform communities about what local government is doing. It is a watchdog when it comes to unprofessional behaviour. Regrettably, the media tend to concentrate on negative aspects, or weaknesses. Certain respondents indicated a neutral response, as the monitoring of local government service delivery was not the mandate of the media.

STATEMENT C4: *Corruption and nepotism are rampant at the local government sphere.*

Altogether 73% of the respondents felt corruption was rife in local government; 7% returned a No response; and 20% were neutral. Overregulation of local government has not helped at all, as the level of corruption is still very high. Entire families are working for the BCM, although some members do not qualify for the positions they occupy. Friends and siblings are employed in the Municipality, despite the fact that they have no qualifications.

Procurement and recruitment in local government is rampant with corruption, primarily because those charged with oversight responsibilities are not suitably equipped. It is the most problematic area, and intervention is required in all spheres of government. Evidence of large-scale corruption in local government is irrefutable, and the print media have been instrumental in publicising cases of corruption. There have also been many suspensions in local government, due to corruption and nepotism.

STATEMENT C5: *Anti-fraud and anti-corruption strategies in the Buffalo City Municipality are effective.*

Altogether 60% of the respondents stated that such strategies did not exist in the Buffalo City Municipality, whereas 13% returned a Yes response and 27% remained neutral. The Supply Chain Management Risk strategies are not fully functional, precisely because officials and politicians are not implementing them correctly. They are not easily accessible, and political intervention remains problematic. The Buffalo City Municipality is in the process of developing such strategies in an attempt to deal with fraud and corruption. This has been planned for in terms of the current IDP and Budget. The Municipality is attempting to put systems in place, but people are resistant as they do want not change. Many investigations are underway in an attempt to eliminate irregular processes and also to hold officials who do not adhere to the correct protocols accountable.

STATEMENT C6: *The Buffalo City Municipality is experiencing a shortage of critical skills, which affects service delivery.*

Altogether 87% of the respondents returned a Yes response, compared with 13% who said No. Especially among engineers and town planners, as well as finance professionals, the instability in the Municipality has resulted in the exits of qualified and skilled officials from the Municipality. Capacity building is crucial in the aforementioned departments. Buffalo City is a growing city and its development trajectory regime will need skilled officials to chart and ensure its development. Managers who are inexperienced are of little value to the Municipality. The BCM has embarked on workshops to capacitate and also review recruitment policies.

Municipalities must ensure that when they employ officials, they choose suitable, qualified candidates. No nepotism, fraud and corruption should be allowed, in the interest of service delivery.

STATEMENT C7: *Balancing service delivery and environmental consideration is delaying service delivery.*

Altogether 33% of respondents stated that balancing service delivery and environmental considerations did not delay service delivery, unless there was fraud and corruption in that development. An equal percentage of respondents said, Yes it did delay service delivery, while 27% were neutral. If all processes are in place, everything should run smoothly. Environmental considerations are enhancing sustainability, curbing issues such as global warming. Before any development takes place, environmental impact studies should be undertaken.

STATEMENT C.8: *The local government system in South Africa, both in theory and practice, can be described as people-centred.*

Altogether 33% of the respondents returned a No response. Ideally, that is how it should be. However, it is usually true only in theory, despite a sound legislative framework. This is usually compromised, due to a lack of understanding when it comes to practical issues. Altogether 40% of the respondents stated Yes, while 27% were neutral. There are regulations and policies that guide and describe how local government should focus on people-centeredness (*People First*). However, the reality on the ground reveals the opposite. The challenge starts with how communities are served (customer care) before planning. Korten (1990:13), defines people-centred development as a process through which members of society increase their personal and institutional capacities to mobilise and manage resources to produce sustainable and justly distributed improvements in line with their own aspirations.

STATEMENT C9: *Do you think that the recent service delivery protests (2008/09) in Buffalo City Municipality are an indication of the lack of public participation and regular communication between the Council and the community?*

Altogether 73% of the respondents returned a Yes response, on the basis that if communities were informed of all the processes and programmes, protest action would be limited. The remainder of 27% felt that it was a combination of a number of issues. Open communication was paramount regarding plans and projects, as well as during plans and projects. The failure to deliver on promises was another challenging factor. The protests were regarded as the result of a combination of factors, not just public participation, but lack of service development in areas of the city, as well as political agendas. If the public was involved in the planning process, which includes budgeting, they would understand better how the Municipality functions. The other challenge was caused by communities not seeing any services being provided in their areas. As indicated before, delivering services to rural areas is not the same as delivering services to urban areas.

Do you agree with the statement that low voter turnout in local government elections is an indication of community dissatisfaction with municipal service delivery?

Altogether 93% of respondents supported the statement, and 7% were neutral. When communities vote, they expect to see change in their areas. Due to a lack of service delivery, some members of the community have lost faith in local government. Communities are not receiving proper services; communities are becoming tired with the system and its defects. People are frustrated and want to express their anger. One way to display their dissatisfaction with the failures of their municipality is by not voting. Communities have lost trust in municipal service delivery endeavours. In addition, local politicians have also lost credibility. Communities are disillusioned with empty promises. As a result, they refrain from voting.

Do you feel that there is a problem of apathy at the local government sphere?

Equal percentages of 40% of respondents agreed/disagreed with the statement; 20% were neutral. Respondents stated that there was still room for educating the community on the importance of voting. A challenge is the double voting system in South Africa. Communities are reluctant to vote again when they have already voted for their government at the national and provincial spheres, where they think service delivery comes from.

Is the Buffalo City Municipality faced with a challenge of capacity to spend its capital budget optimally?

Altogether 33% of the respondents did not support the statement. A lack of skills in adjudicating tenders was delaying Capital Budget spending. Altogether 53% of the respondents supported the statement, and 13% were neutral. Political infighting appears to be the primary problem; politics is causing incorrect processes. Respondents stated that trust could not be linked to capacity only, but also to the planning systems in local government generally. The many acting managers have a detrimental influence on the Municipality, because when different officials are appointed to take responsibility for projects, momentum is lost, which may cause poor Capital Budget expenditure.

In your view, is there a problem of integration between the local, provincial and national spheres of government?

Altogether 80% of the respondents returned a Yes response, whereas 7% responded No, and 13% were neutral. The three spheres do not work together. Respondents indicated that the spheres worked individually, and that there was no co-operation. Intergovernmental legislation has not yet been fully realised, which is apparent from the abundant non-aligned planning in the spheres of government. Lack of appreciation and understanding of the roles of different spheres and the implementation of regulatory

legislation and power dynamics are the main stumbling blocks. Lack of functional IGR forums at local government has resulted in the non-alignment of plans. Master plans developed by other spheres of government are not underpinned by consultation with local government structures, where the main issues lie. All spheres of government have a role to play in enhancing service delivery at the local government sphere, and sometimes duplications occur.

The following responses emanate from open-ended questions put to the officials. Respondents were requested to provide reasons for their answers:

Do you feel that the Buffalo City Municipality has achieved its primary objectives in terms of its developmental role?

The majority of the respondents did not support the statement. Buffalo City has had challenges in achieving its primary objectives, due to a number of political and administrative challenges. One may argue that if proper systems were in place, this would not be a challenge. The non-implementation of proper performance management systems has also resulted in the non-achievement of objectives, primarily because of a lack of monitoring and evaluation.

The BCM has to reorganise itself and move fast if it wishes to accomplish its mandate. Certain respondents further disagreed with the statement, because there would be no reports about the misappropriation of funds if the BCM had achieved its primary objectives. Other respondents felt that, to some extent, yes, the primary objectives had been achieved because clear plans were in place to realise the developmental mandate of local government and the BCM had achieved its core business. Delays are caused by provincial government; housing, for example, is the responsibility of provincial government. The only responsibility of the BCM in this regard is the provision of the necessary infrastructure. The communities think that the delays in terms of budgets for housing development are caused by municipalities, hence the petitions.

What further strategies can the Buffalo City Municipality contemplate to enhance basic service delivery levels?

To enhance public participation, the BCM needs to engage in outreach programmes; awareness programmes; campaigns; Mayoral Izimbizos, and open days for information sharing, which all play a pivotal role in service delivery.

The majority of the respondents felt that the Municipality needed to develop a recruitment strategy and retention policy, to be implemented and monitored. The correct placement of staff members would be helpful. A performance management system must be developed and implemented. Additional comments were that Ward-based service delivery approaches and community-based planning methodologies may provide solutions to service delivery challenges. In particular, emphasis should be placed on creating community ownership and organic participation by communities.

Further comments were that political infighting must not be allowed to interfere with service delivery. Politicians must learn to work together in order to deliver services to their communities, because their political differences are often transferred to the administration.

What additional strategies can the Buffalo City Municipality consider to further enhance public consultation and participation initiatives?

The general response was that public participation strategies must be integrated into all BCM departments. All vacant posts must be filled. Ward Committees must be assisted and supported in order for them to perform better. The Municipality must genuinely involve communities in planning and budgeting processes. Regular meetings must be held, feedback must be given, promises must be converted into action plans for programmes, and such programmes must be monitored and evaluated.

Community media must be used and frequent *Izimbizo's* must be held to promote interaction with the community. Quarterly public meetings must be held to give feedback to the community on Council matters. The BCM must support Councillors by mobilising communities using loudhailers as a tool for mobilisation in urban areas; the knock-and-drop method and local community newspaper distributions must be used; and posters and radio's must be used in order to mobilise members of the public to participate in meetings. Ward-based budgeting and the development of monitoring and evaluation plans are all recommended to address the issue of service delivery.

Councillors and Ward Committee meetings with communities should be monitored. Continuous assessment of service delivery by the community must be implemented. In this regard, the BCM is in the process of developing and adopting a Public Participation Strategy, which should see an improvement in public participation initiatives.

The responses below emanate from statements put to the Councillors. The options included a "Yes", "No" and "Neutral" response, with space provided for the respondents to comment, if they so wished:

Public participation delays service delivery.

Altogether 82% of the respondents emphatically disagreed with the statement. Public participation affords communities the opportunity to air their views and opinions regarding services rendered or to be rendered to them. A minority of the respondents (18%), responded in the affirmative to the statement. Respondents stated that public participation provided more information on service delivery to communities. Public participation also informs Councillors and officials what the priority needs of communities are. The involvement of community members is important in providing service delivery. Sentiments expressed include that Councillors think it speeds up the process, because when one consults the public, one does what they want. It is important to understand community needs, and it helps to stabilise the environment. Consultation is a constitutional mandate. It is better to consult with communities than

going back to the drawing board at the implementation stage. However, in certain communities, public participation does delay service delivery when communities are unable to reach consensus on issues. A project that should take no more than months to implement can end up taking many years.

Lack of understanding of the way local government operates is affecting the ability of local communities to participate in key local government activities.

Altogether 82% of the respondents answered in the affirmative. Protests arise because community members do not know how local government operates. 9% disagreed with the statement, and 9% remained neutral. Communities need to be educated about local government processes, because even when the Municipality consults them, communities tend not to understand the competencies of local government. Often, they expect provincial and national core service delivery issues to be addressed by the Municipality. Respondents further indicated that public awareness programmes were dysfunctional in rural areas. Development is often geared towards communities that are already developed, or to urban areas. Measures should be taken to ensure the equal participation of women and men in all local government activities and processes. Communities believe that Councillors are given money to deliver services and that is why there are disagreements with Councillors. Community members do not understand municipal procedures and processes. The BCM must invest in the training and capacitating of communities to be more knowledgeable and understanding of how local government operates.

The media play a watchdog role in scrutinising and monitoring local government service delivery.

Altogether 61% of the respondents agreed with the statement; 33% disagreed; and 6% remained neutral. The role of the media is to inform and educate communities and bring problems to the surface. Instead of scrutinising and monitoring, they often give incorrect information. The media raise awareness of corruption and problematic areas of service

delivery. Regrettably, they tend to focus on negative aspects pertaining to the BCM, rather than monitoring and advising on community developments. The media are concerned largely with negatives. They rarely publish positive municipal news. This destroys the credibility of government.

Corruption and nepotism are rampant at the local government sphere.

The majority of respondents (79%) supported the statement, while 6% disagreed and 15% were neutral. Respondents stated that corruption and nepotism was rampant in local government. People employing relatives were identified as a significant problem in local government. The policies, strategies and procedures in place are not followed and no disciplinary measures are instituted against those found guilty. Instead, they are suspended with full benefits and the BCM is unable to appoint competent personnel. It is vital that the government root out corruption. Corruption is particularly rife in the procurement of services, where certain officials disregard the Municipal Financial Management Act, which should guide their operations. Supply chain processes are flouted and easily manipulated. Nepotism is also a problem.

Anti-fraud and anti-corruption strategies in the Buffalo City Municipality are effective.

6% of the respondents stated that such strategies were lacking; 79% of the respondents stated that such strategies were in place but were not being implemented; and 15% were neutral. Such strategies exist, but are being ignored to serve the needs of individuals. Further statements were that despite the fact that policies are in place, there appears to be certain tender irregularities. There is no dedicated unit dealing with anti-corruption strategies in the BCM. Certain respondents alleged that strategies did not exist at all. An aggravating factor is the high levels of staff in acting positions.

The Buffalo City Municipality is experiencing a shortage of critical skills, which affects service delivery.

The majority (91%), of the respondents stated that there were no engineers, no Accounting Officers and no CFO, with the Engineering, Housing and Waste Management departments most severely affected. Only 9% of the respondents disagreed that there was a shortage. The lack of critical skills is one of the major challenges facing the Municipality, and this currently forms part of an audit query. The suspension of Directors has also contributed to the problem and numerous officials are acting in positions. Appointments are often reserved for comrades, with capabilities, qualifications, experience and skills treated as irrelevant. Respondents further indicated that political instability and poor leadership were further causes for concern. The BCM needs to develop a retention policy. Many highly qualified employees have left the institution and continue to leave.

Balancing service delivery and environmental consideration is delaying service delivery.

Altogether 32% of the respondents stated that environmental factors were not the obstacle, but lack of commitment by the officials employed to carry out environmental investigations. 50% agreed with the statement, and 18% were neutral. If environmental policies were not used by certain groups or individuals to delay processes/projects, there would not a problem. There is a need to balance service delivery and environmental issues, but this does not mean that service delivery has to be delayed. Service delivery and environmental issues go hand in hand. Some environmental processes do impact negatively on projects, such as EIA processes, which can take approximately six months.

The local government system in South Africa, both in theory and practice, can be described as people-centred.

The majority (68%) agreed with the statement, but in theory only, pointing to the gap between policy and practice. The local government system is supposed to be people-centred. 18% of the respondents disagreed with the statement, while 14% were neutral. Respondents indicated that local government was a key sphere, central to issues of delivery; it is the sphere of government closest to communities and must be effective in issues of governance. If the values of consultation; participation and transparency were honoured, all the **Batho Pele** Principles of service delivery would be people-centred. For now, this is still only a theory.

Do you think that the recent service delivery protests (2008/09) in Buffalo City Municipality are an indication of the lack of public participation and regular communication between the Council and the community?

Altogether 50% of the respondents felt that political influence and political dynamics played a role. Some embittered individuals were using protesters for their own agendas. Altogether 35% agreed with the statement, and 15% were neutral. Some protesters were unhappy about service delivery, but the relevant protests remained politically motivated, which affected service delivery. The statement is partly true, because meetings are not called and communities are frustrated and tired of hearing about corruption, whereas the pace of service delivery is slow. Lack of reporting and engaging communities on service delivery matters remains a challenge. The invisibility of Ward Committees in assisting Councillors to report back to communities has also contributed to the problem.

Do you agree with the statement that low voter turnout in local government elections is an indication of community dissatisfaction with municipal service delivery?

Altogether 76% of respondents agreed with the statement, compared to 15% who disagreed and 9% who remained neutral. Communities are not satisfied with local municipalities that do not deliver; communities lose faith in their representatives and decide not to vote. They actually voice their feelings "asivoti", because A, B and C have not been done, despite the fact that needs were submitted two or three years previously. Communities show their dissatisfaction by not voting or by engaging in protest action. Dissatisfaction about the election processes has also contributed to the problem. Communities generally do not understand local elections; they prefer the national and provincial elections.

Do you feel that there is a problem of apathy at the local government sphere?

Altogether 74% of the respondents agreed with the statement; 6% disagreed and 20% were neutral. Respondents indicated that communities complained that service delivery was not effective or efficient, and gradually lost interest in the Municipality. Local government as the third sphere of government is trying to reach communities at grassroots level. There needs to be constant communication and engagement with communities. The political parties must prioritise local government, as it is the sphere that is closest to communities.

Is the Buffalo City Municipality faced with a challenge of capacity to spend its capital budget optimally?

Altogether 85% of the respondents responded in the affirmative, attributing their response to both political instability and non-professionalism, compared to 6% who disagreed and 9% who were neutral. There is a lack of capacity in the administration, due to the suspension of Directors; change of leadership; non-functioning of Supply

Chain Management; and inexperienced staff who are often under-qualified with limited capacity. Substantial resources are spent on workshops. This was also highlighted in the Auditor-General's Report, in Council reports and in the media. This leads to poor planning and under-spending. In 2009, a process called Make A Difference (MAD) was introduced, because the BCM had not spent its budget in good time. However, this did not yield good fruits, because the Capital Budget was not spent effectively, leaving the process open to queries and allegations of possible corruption.

In your view, is there a problem of integration between the local, provincial and national spheres of government?

Altogether 88% of the respondents agreed with the statement; 6% did not think there was a problem; and 6% were neutral. Respondents indicated that there was a lack of communication between the three spheres, with no integration at all. There is no alignment of the three spheres of government. Hence, it is important for this aspect to be monitored. Councillors at lower levels are not aware of programmes that emanate from the provincial and national spheres. Provincial and national officials often do not consult Councillors regarding the programmes or projects that they intend to undertake at Ward level. Intergovernmental relations are very weak or non-existent. Communities ask Councillors questions pertaining to projects and the Councillors are often not able to answer. The non-integration of plans is a challenge, with housing being a particular challenge for an extended period.

The following responses emanate from open-ended questions put to the councillors. Respondents were requested to provide reasons for their answers:

Do you feel that the Buffalo City Municipality has achieved its primary objectives in terms of its developmental role?

Altogether 60% of the respondents responded in the affirmative, with the cautionary observation that some areas still needed to be addressed, with the emphasis on rural

development. The Buffalo City Municipality has tried to achieve what is best for its communities, while battling with challenges of capacity. Respondents who responded in the negative stated that the city had huge challenges in addressing the gaps between poor and affluent communities. Basic services are still problematic for poor communities. The bucket system still exists in the old township areas. Political instability, a lack of appointed officials, as well as weak management has left the BCM without a full-time Municipal Manager for over three years. This is evident, as the budgets are not spent. This has serious implications for infrastructure development and has lead to widespread protests against the performance of the Municipality. An oversight role is not performed by the key role-players. As much as the BCM is urban, it also encompasses rural areas, where development is very slow and prioritised attention from the Provincial and National Government is needed. The promises and commitments by political leaderships and poor accountability are crippling the institution's Communications Strategy. Public participation officials and Community Development Workers are playing a role in educating communities about their rights. There is much that can and should be done. The Municipality should make use of all available skills, whether from opposition parties or not. Local government should first and foremost focus on service delivery and the communities.

What further strategies can the Buffalo City Municipality contemplate to enhance basic service delivery levels?

Responses included the following: The filling of vacant posts; the Municipality needs to employ competent and skilled staff; a sense of responsibility among political leaders; political stability and political will are urgently needed. In addition, relations between the administration and political leadership must be improved. Planning and implementation is vital. The BCM needs to spend its Budget effectively and systematically to address issues of sanitation, housing, cleansing and bush clearance, where needed. The BCM should make service delivery a core business by strengthening its Supply Chain Management and by guarding against possible corruption and nepotism.

Communication; public participation; public awareness; education programmes; IDP programmes and Mayoral Committee meetings all need to be strengthened. Ward-based budgeting must enhance service delivery. When the institution becomes a metropolitan municipality, it must choose a type of municipality with a Mayoral Executive system, combined with both a sub-council and a Ward participatory system. The Municipality must give communities and councillors a chance to evaluate the performance of all Departments. Budget spending must be more closely monitored to avoid roll-over and the returning of funds.

What additional strategies can the Buffalo City Municipality consider to further enhance public consultation and participation initiatives?

The Municipality needs to utilise its Public Participation Department more effectively to reach all citizens of Buffalo City. Regular public meetings must be held and officials must be involved in responding to questions from the public, especially senior municipal Directors or representatives at managerial level. These officials should attend public meetings to assist the public with relevant information. Officials and Councillors must visit communities quarterly and inform the public of what developments can be expected in their areas. Community Development Workers should be accountable to the Municipality and work together with the Ward Committees. Other strategies that could be implemented include: Mayoral Committee outreach programmes; Izimbizos and public meetings for stakeholders such as business forums; the capacitation of Ward Committees by delegating additional responsibilities to members of such Committees; and developing a newsletter and the scheduling of regular roadshows.

5.13 TABULAR SYNOPSIS OF DATA ANALYSIS FROM ALL RESPONDENTS:

RESEARCH PROBLEM	RESEARCH QUESTION	RELEVANT RESPONSE	RELEVANT INSIGHT FROM LITERATURE	CONCLUSION
To critically analyse the role of public participation in governance and service delivery in local government.	**1. What are the challenges facing local government, and the Buffalo City Municipality specifically, in terms of fulfilling its constitutional mandate of creating democratic, transparent and responsive governance?**	1. All agree public participation in local government occurs more in theory than in implementation. 2. There is an assumption from respondents that officials develop the Budget and IDP without proper involvement of communities. It is just presented to communities. 3. Need for a Public Participation Unit in the Office of the Speaker to become the core unit to coordinate all departments' public participation strategies, to ensure that communities are	In terms of the White Paper on Local Government, 1998, in Section (b)(1), one of the characteristics of developmental local government is commitment to working with citizens or groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives.	Clearly, the Buffalo City Municipality has not fully implemented all the programmes and strategies that could promote more effective participation of its inhabitants in the governance of the Municipality.

		adequately consulted.		
	2. Does the Buffalo City Municipality adequately budget for public participation strategies? **3. How does the Buffalo City Municipality ensure that communica-tion and public participation initiatives are**	1. No, the Buffalo City Municipality does not budget adequate for public participation. 2. Ward Committees have to spend their own finances when assisting their communities; there is no dedicated free line that puts them through to the Municipality to report problems. In certain instances, Ward Committees claim that they had to take public transport to address specific problems. They receive the R50 stipend only when they attended the meetings which are called four	According to prescriptions in the Municipal Systems Act 32 of 2000, municipalities must allocate funds in their annual budget to facilitate and build capacity for community participation.	It could be inferred from the findings presented that insufficient resources for public participation are a key challenge for effective service delivery. Budgetary issues are key. The lack of resources for Ward Committees could further hamper community participation.

	aligned?	times per annum. They have to finance their costs privately, especially in cases where the Councillor is not cooperating.		
		1. Interestingly almost 37% of the officials were undecided on whether communication and public participation were aligned in BCM; whereas politically they agreed that they are aligned. One of the advantages for BCM is that these units are currently working under a single directorate. 2. BCM has a clear communication strategy and is in the process of further developing	According to the Municipal Systems Act 32 of 2000, municipalities must provide communities with, inter alia, information on municipal governance and management so that the communities are able to make informed inputs into the participatory processes. The BCM must take into account the different languages and special needs of	Clearly from the responses one can infer that there seems to be alignment between communication and public participation strategies in the BCM. However, there is room for improvement which would indirectly improve service delivery to the communities

		it.	its residents.	
	4. What are the key underlying causes of service delivery protests in Buffalo City?	1. Political instability and manoeuvring. 2. Poor communication. 3. Failure to deliver on promises to communities. 4. Communities are tired of hearing about high levels of alleged corruption in the BCM with insufficient progress being made in service delivery. 5. Poor or no involvement of communities in the planning of their development.	The White Paper on Local Government, 1998, defines local government in South Africa as developmental in nature, which means that it should work in a sustainable manner to meet the social, economic and material needs of communities and improve the lives of inhabitants.	Clearly, public participation is key to service delivery. If communities had relevant information, they would possibly not allow themselves to be used by people who may have ulterior motives.
	5. Has the Buffalo City Municipality introduced community capacity development and	1. The BCM has facilitated introductory workshops for Ward Committees. However, Ward Committees feel that they need	According to Theron (2000:4-5), public participation can be viewed as a building block in community development,	There clearly exists a significant gap in the understanding of communities regarding how local government works. This needs

	awareness programmes to ensure that the community is educated regarding the role and operation of local government?	additional training to empower them to perform their duties. 2. When it comes to communities, both Councillors and officials emphasised that communities did not know what the Municipality's role entailed. As a result the participants recommended increased usage of media and frequent open days for municipal departments to inform communities about municipal services, programmes and processes.	which entails the process of social learning; capacity building; empowerment; sustainability; and self-reliance.	to be addressed in order to reverse the ignorance of communities about service delivery progress in the Municipality.
	6. Do the IDP and budget processes of the Buffalo City Municipality provide the	1. Councillors felt that they did, whereas the majority of officials disagreed. Ward Committees did express that the	In terms of prescriptions in the Municipal Systems Act 32 of 2000, municipalities must develop a	The BCM has not yet mastered the involvement of communities in the IDP and budgeting processes. The Ward-based

	public with sufficient opportunities to take part in their development, implementation and evaluation?	IDP was presented to them as a complete document for comment, but when approved, nobody came to them to tell them which projects that they had proposed would be implemented. They only learnt this when they asked their Ward Councillor. The issue of insufficient funding was also of concern.	culture of municipal governance that complements a formal representative system with that of a participatory system of governance in Integrated Development Planning; the Performance Management Systems; budget processes and the strategic decisions of the Municipality.	planning process also needs to be introduced.
	7. Are the public participation structures and programmes in the Buffalo City Municipality monitored and evaluated on an annual basis, to improve performance?	1. No they are not. All respondents noted that the communities and Councillors needed to be involved in the performance evaluation of the Municipality throughout the year.	In terms of the Public Participation Policy Framework of 2005 (South Africa, 2005), accountability is a key principle of public participation and Ward Committees are accountable to communities by participating in the	The protests that took place in Buffalo City were informed by the lack of involvement of the communities in the monitoring and evaluation of the performance of the Municipality.

		monitoring and evaluating of community projects and providing consistent feedback on the progress made.	
	8. Does the Buffalo City Municipality have a functional Ward Committee system and do the Ward Committees meet on a regular basis?	All respondents agreed that the BCM had functional Ward Committees and that they had scheduled meetings, convened by the Public Participation Unit. The Ward Committees also agreed that they were called to four scheduled meetings per annum, but community challenges were a daily experience and they needed tools that would empower them to be able to address	According to the Guidelines for the Establishment and Operation of Municipal Ward Committees (South Africa, 2005: Notice 965 of 2005), Ward Committees are required to meet at least quarterly, and public or ward meetings should be convened regularly.	Ward Committees in the BCM are functional, but require additional resources and support to enable them to perform their tasks more effectively.

		these effectively.		
	9. Are the Ward Committees properly capacitated in terms of training, development and support (human resources and office equipment)?	Regarding training, Ward Committees stated that they had attended two workshops since their inception over the five-year term. Although they appreciated those workshops, they recognized that they needed further training for them to be able to contribute effectively in governance at local level and for them to be able to explain the role of the Municipality, as well as budget processes, to the communities. The Public Participation Unit provides the necessary support to Ward Committees on matters such as	In terms of the cited Guidelines above, Ward Committees are required to prepare an annual capacity building and training needs assessment of members of the Committee. A capacity building plan for each member with a budget should be developed (Notice No. 965 of 2005).	Not sufficient training has been provided to Ward Committees. Ward Committees do not receive the necessary support from the BCM for them to carry out their role and responsibilities, which has affected service delivery.

		transport; telephones and dedicated personnel from service delivery departments so that ward committees could report any problems from the community. It is a challenge that impacts negatively on addressing queries from the community, as they have to report to the councillor and must wait for a response from him/her in order for them to be able to go back with the responses.		
	10. Can suitable criteria to analyse the role of public participation in governance	1. Based on the studies on Public Participation at international and national level about the role of Public	According to Raga & Taylor 2005 normative criteria for effective and efficient public service delivery is based upon	The existing literature could facilitate the development of criteria that could analyses the role of public

and service delivery be extracted from existing literature and used as guidelines to promote service delivery and the democratisation of local government?	Participation in governance and service delivery that could be used as guidelines to promote democratization of local government. 2. Based on the recommendations from the respondents on what needs to be done by the BCM in improving the Public Participation processes in the response from the municipality.	values; attitudes and attitudes that can be measured or evaluated on impact of accountability and ethics on public service delivery.	participation in governance and service delivery in promoting good governance and democracy at local level.
11. Can a normative model for public participation that is universally applicable to all South African municipalities be	A normative model for public participation for municipalities can be developed that could be utilized to promote public participation in local government in South Africa.	According to Hanekom (1987:46), models are simplified representations of the real world and are used in order to interpret situations and to assist in explaining and predicting the	A model for public participation will be developed and proposed for municipalities in South Africa that could promote democracy and good governance.

	constructed?		outcome of a specific choice. Models, therefore, will play an important role in service delivery and governance as well as development by simplifying and explaining key phenomena, for example, public participation and governance / service delivery.	

This chapter provided an analysis of the data collected by employing both quantitative and qualitative research methodologies. Certain inferences and conclusions have been drawn from the data analysis. These were described in the chapter and will also inform certain of the recommendations that are proposed in the final chapter of the thesis.

In the chapter that follows, an overview of relevant models pertaining to the study will be presented. The chapter will conclude with a proposed Normative Model for enhanced public participation, with the emphasis on South African municipalities.

CHAPTER SIX

DEVELOPMENT OF PUBLIC PARTICIPATION MODEL FOR GOOD GOVERNANCE

6.1   INTRODUCTION

In Chapter Five, public participation in the Buffalo City Municipality was investigated through an empirical study, with specific reference to the new developmental mandate of local government in South Africa. In this chapter, information gleaned during a literature review and certain deductions made as a result of empirical survey will be presented and employed as a point of departure for the design of a normative model for public participation, with specific reference to the Buffalo City Municipality.

The processes of policy formulation, planning and implementation have been opened up to civil society, but for policies to be effective and responsive to the needs and rights of the poor and marginalised, there is a need for the active involvement of civil society in the systematic collection, analysis and dissemination of data on service delivery (DENIVA, 2002:14).

Developmental local government has as its core working with citizens and community groupings to find sustainable ways to meet their social, economic and material needs, in order to improve the quality of their lives (Parnell & Pieterse, 2002:79). South African society has witnessed the birth of a democratic dispensation in which the rights and freedom of the populace are guaranteed. Democratic government structures have been put in place, with clear policies and guidelines on how to sustain the culture of democracy.

The assumed problems have, *inter alia,* been widespread and often violent service delivery protests; a weak and ineffective Ward Committee system; lack of institutionalisation, monitoring and evaluation of public processes and programmes or absence of participation in IDP/Budget processes; the failure to fulfil the constitutional mandate of democratising local government; and the need for criteria to critically analyse the role of public participation in governance and service delivery.

In this chapter, a normative model to improve the role of public participation in local government will be proposed. This model does not claim to fully represent any current public participation methods in the Buffalo City Municipality. It is envisaged that this model could also be used in other municipalities in South Africa. Furthermore, the proposed normative model will be used to complement existing approaches. The normative model will attempt to expound a set of basic points of departure within a specific normative framework that could be employed for the purpose of public participation in local government. The proposed model will possess inherent potential for further research.

The components of model construction will be examined in this chapter, and the proposed normative model for public participation in local government will be presented.

6.2 MODEL EXPLAINED

The word 'model' has its etymology from both the French *modele* and the Italian *modello*, which can respectively mean form or measure (Binza, 2001:178). A model is a schematic description of a system, theory or phenomenon that accounts for its known or inferred properties and may be used for the further study of its characteristics. Summarily, a model enables the production of factors that will play a pivotal role in promoting effective public participation in local government.

In some cases, techniques that may not qualify as a model could still be useful as techniques within a comprehensive public involvement programme. According to Dye (1995:40-41), the following general criteria are important for evaluating the usefulness of concepts and models:

Order and simplifying reality – The utility of a model lies in its ability to order and simplify political life. The model that is proposed for public participation in Buffalo City is based on Easton's analytical model of the transformation of inputs and outputs.

6.3 PROPOSED MODEL FOR PUBLIC PARTICIPATION
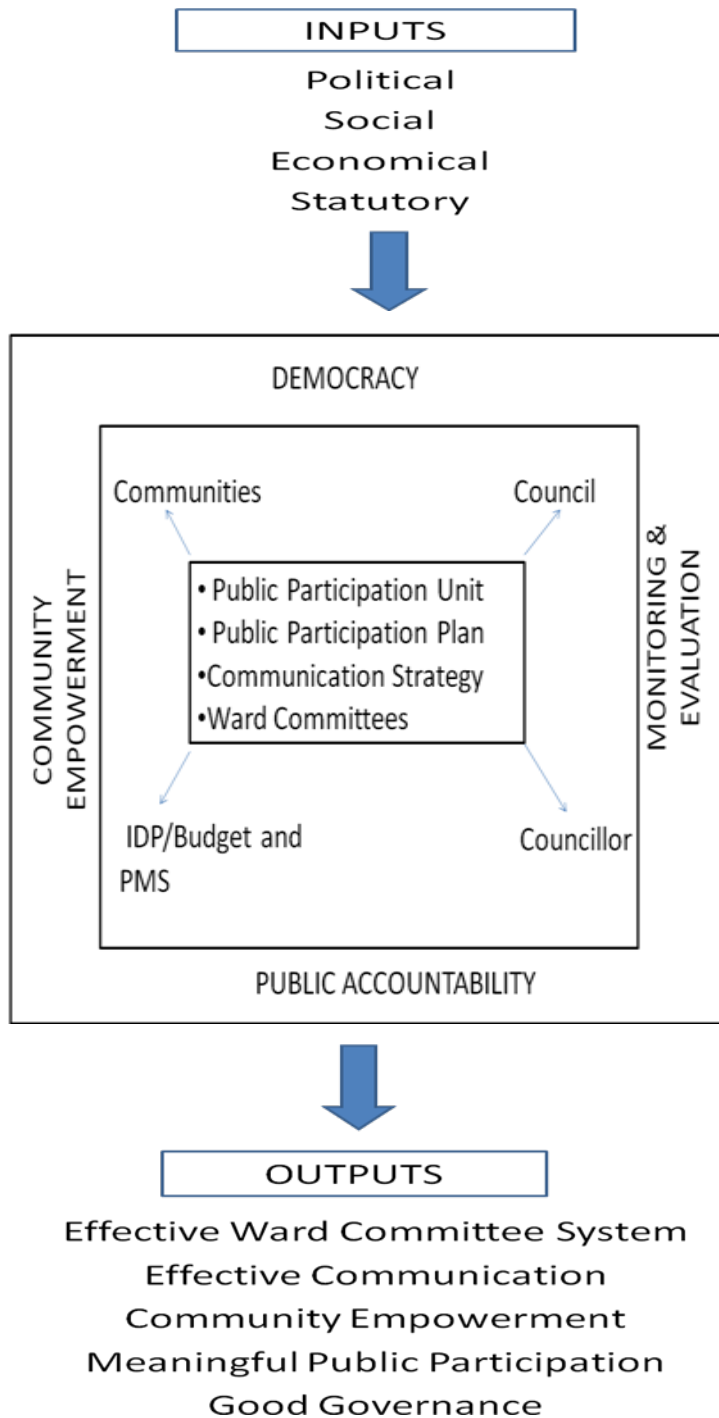
Figure 24:Proposed model for public participation.

6.4 OVERVIEW OF INPUTS, EXTERNAL AND INTERNAL ENVIRONMENTS IN RELATION TO PROPOSED MODEL

According to Dye (1995:38), the forces generated in the environment that affect the political system (municipal Council) are viewed as inputs. Various perspectives could be considered as external environment.

6.4.1 Political environment

The definition of a municipality is constituted by Council, Councillors and communities. Citizen participation in local government has been advocated as a way to enhance communication between government and the public; build public support for local goals; and develop public trust.

6.4.2 Social environment

Local government is no longer responsible merely for providing basic services to communities, but also for improving the economic status of inhabitants and providing a secured environment to the community, thus ensuring social instability. According to the White Paper on Local Government (1998:37), developmental local government is local government committed to working together with communities to meet their social, economic and material needs in order to improve their quality of life.

Social, political and economic factors must be appropriately taken into account in participation programmes and activities. The social context and composition of the stakeholders to be involved in a participation process need to be well understood. This can be achieved by conducting a social profile or analysis of the groups to be involved. A good process will acknowledge existing power dynamics and create opportunities for those with lesser social, economic or political authority. The needs and interests of marginalised groups should be emphasised. The involvement of groups marginalised by social, economic, gender or cultural factors is important. Their voices are often not

sufficiently heard in participation processes. It is necessary, therefore, to deliberately create opportunities for the full involvement of these groups.

6.4.3 Economical environment

In terms of Section 152(10) of the Constitution, one of the objectives of local government is to provide social and economic development. Municipalities are expected to create conducive environments for investment purposes and ensure that infrastructure is of a good standard. Municipalities must also create vehicles for the support and training to boost communities economically, either through prioritisation of the Expanded Public Works Programme (EPWD) or cooperatives.

6.4.4 Statutory environment

In terms of the new developmental mandate assigned to local government in South Africa and Section 16(1) of the Local Government: Municipal Systems Act, 2000 (Act 32 of 2000), the following culture of community participation (mandates and values of stakeholders), must be pursued by municipalities:

"16.(1) A municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance, and must for this purpose-encourage, and create conditions for, the local community to participate in the affairs of the municipality, including in the preparation, implementation and review of its integrated development plans; the establishment, implementation and review of its performance management system; the monitoring and review of its performance, including the outcomes and impact of such performance; the preparation of its budget; and strategic decisions relating to the provision of municipal services.

(b)   contribute to building the capacity of-

(i)   the local community to enable it to participate in the affairs of the municipality; and

(ii)   councillors and staff to foster community participation; and use its resources and annually allocate funds in its budget, as may be appropriate for the purpose of implementing paragraphs (a) and (b) above."

The approach should go beyond compliance. Legislation and regulation tend to set out either a broad guide to the methods and approaches to public participation or provide a set of minimum requirements. Good practice calls for local government practitioners to use formal legal requirements as a point of departure to build on.

6.5.1 Integrated Development Plan/Budget

The integrated development planning approach means that planning has to be developmental and focus on the needs of the poor. Integrated development planning is an approach to planning that involves the entire Municipality and its citizens in finding the best solutions to achieve **sustainable** long-term development, as mandated by the Constitution of 1996 and the Municipal Systems Act of 2000. These guide municipalities on how to plan and facilitate local development initiatives in an integrated manner. Ward plans help to ensure that IDPs are more targeted and relevant to addressing the priorities of all groups, including the most vulnerable. Ward-based planning provides Ward Committees with a systematic planning and implementation process to perform their roles and responsibilities. In other words, Ward plans provide an overall direction for development for the area, as well as an annual operational plan, the implementation, monitoring and evaluation of which gives Ward Committees an ongoing role through the year.

6.5.2 Performance Management System

In terms of the White Paper on Local Government (1998), performance management is critical to ensure that plans are being implemented, that they are having the desired

developmental impact, and that resources are being used efficiently. It is a strategic approach to management, which equips leaders, managers, workers and stakeholders at different levels with a set of tools and techniques to regularly plan, implement, continuously monitor, periodically measure and review the performance of an organisation in terms of indicators and targets for efficiency, effectiveness and impact. Performance management is aimed at ensuring that municipalities monitor their Integrated Development Plans and thereby continuously improve their operations, performance and accountability. One aspect of participatory governance is the election of Ward Committees as communication vehicles between communities and municipalities regarding public participation around the annual Budget, the IDP review process, the Performance Management System, and service delivery.

6.5.3 Public accountability

In terms of Section 17(1) of the Local Government: Municipal Systems Act, participation by local communities in the affairs of municipalities must take place through the Ward Committee system and Councillors. Gutto (1996:10) agrees, alluding to the principles of good governance as set out in Section 178 of Act 108 of 1996, which underpins the prime responsibility of local government to remain accountable to communities. According to Kishore (1998:132), "Public accountability rests both on giving an account and on being held to account".

All government departments have to be efficient, because they have to ensure value for taxpayers' money. Efficiency encompasses the qualitative and value-laden expectations of society. It may be argued that accountability is the fundamental prerequisite for preventing the abuse of power and for ensuring that power is directed towards the achievement of efficiency, effectiveness, responsiveness and transparency. Open, transparent and accountable government is an imperative prerequisite for community-oriented public service delivery, because without it, covert unethical behaviour will result in the unsustainability of service delivery and development.

6.6.1 Monitoring and evaluation

Monitoring as a management tool is the observation or verification of project activities to check if they are proceeding according to plan and if the available resources are being used efficiently and effectively. A continuous flow of information is key to enhance decision making, while accurate data collection is essential to allow for comparisons to be drawn. Monitoring produces the results that can be used for evaluation. Evaluation is a careful and systematic retrospective assessment of the design, implementation and results of activities. The aim of evaluation is to determine the value of the fulfillment of objectives, efficiency, effectiveness, impact and sustainability of service delivery and development.

Evaluation should be useful and enable the incorporation of the lessons learned into the decision-making process. Monitoring and evaluation are therefore interdependent (Bekink, 2006:490). Monitoring and evaluation are different in nature and happen at different stages during the implementation of a programme or project. Evaluation compares the situation *ex-ante* and *ex-post* and analyses the impact (www.oecd.org/doc/evaluation).

6.6.2 Council

In terms of Section 151(1)-(4) of the Constitution of the Republic of South Africa (1996), the local sphere of government consists of municipalities, which must be established for the whole of the territory of the Republic. The executive and legislative authority of municipalities is vested in their municipal Councils. Municipalities have the right to govern, on their own initiative, the local government affairs of their communities, subject to national and provincial legislation, as provided for in the Constitution. Municipal Councils are the highest authority and remain accountable for all their operational activities and decisions. In terms of Section 59(2)(e) of the Municipal Systems Act 32 of 2000, delegation by Council does not mean that it abdicates its responsibility. Section

19 of the Local Government: Municipal Structures Act 117 of 1998 stipulates that a municipal council must annually review the following:

(a)   The needs of the community.

(b)   Its priorities to meet those needs.

(c)   Its processes for involving the community.

(d)   Its organisational and delivery mechanisms for meeting the needs of the community.

(e)   Overall performance in achieving the objectives set out in Section 152 of the Constitution.

6.6.3 Ward Committees

Ward Committees are the advisory structures of municipal Councils and are established in terms of Section 73 of the Local Government: Municipal Structures Act 1998 (Act 117 of 1998). Each Ward Committee consists of the Councillor representing that Ward in the Council, who must also serve as the Chairperson of the Committee, and not more than ten other persons. The Resource Book on Ward Committees (DPLG, 2005:36) states that the primary function of Ward Committees is to create formal, unbiased communication channels between communities and councils. This is to be achieved by advising and assisting Ward Councillors on local needs, issues and policy and passing information from residents to Council and back. Meltzer (2003:12) argues that Ward Committees are pivotal for the monitoring of municipal performance, as they enable communities to set performance measures and interact with other forums and organisations on matters affecting the Ward.

Ward Committees are key components of public participation and are vehicles for engaging communities in municipal decision-making. Planact (1997:41-43) states that special efforts must be made to hear the views and issues pertaining the most vulnerable groups, such as women, the youth, the elderly, the unemployed, and people with disabilities. According to the ANC (May, 2001:26), Ward Committees are structures

that should be used to enhance the mobilisation of the broadest range of interests in the community as part of the overall national democratic transition. Due to their involvement in Ward system processes, they add value to local policies, which could enhance participatory democracy. These Committees may address issues affecting their Wards through Council members, who will bring these to the Council's attention.

6.6.4 Councillors

Councilors are elected either as Ward candidates or as public representatives of their political party. They are mandated to govern for a period of five years after election and are expected to take decisions that will improve the lives of their communities. As elected representatives, they are also expected to work together with their communities in ensuring that their needs are taken care of and to provide them with information related to what is taking place in Council.

6.7.1 Good Governance

Parnell (2008:527) argues that citizen participation in governance processes influences policy-making, enhances local governance and improves the accountability and responsiveness of institutions. Theron, Van Rooyen and Van Baalen (2000:29) define governance as a process in which power and authority are exercised between and within institutions in the state and communities around the allocation of resources. Factors that can substantiate this, include the provision of information to policy-makers and members of the public, the democratisation of policy-making and implementation processes, the promotion of responsiveness to public needs, the facilitation of policy implementation and the promotion of community development processes, the establishment of a control mechanism for policy-making, and implementation. According to Gildenhuys and Knipe (2000:13), good governance is the "attainment by government of its ultimate goal in creating conditions for good and satisfactory quality of life for each citizen".

6.7.2 Democracy

The word 'democracy' is derived from the Greek word *demos* (meaning 'the people') and *kratos* (meaning power or rule). The meaning of democracy is an ideal political system, which constitutes direct rule by the people. Abraham Lincoln defined the concept of 'democracy' as "government of the people, by the people and for the people" (Godsell, 1990:51).

A democracy may, however, assume either a direct or an indirect form. In a direct democracy, participation in the political process takes place without the intervention of an intermediary or representative. On the other hand, in an indirect democracy, the people participate through the intervention of an intermediary, or representative. The crux of the matter is that democracy implies that communities should have the final say with regard to how they are to be governed (Carpenter, 1987:12). However, scholars tend to argue that there are two theoretical frameworks of democracy. The first one is called procedural democracy, and the second one is referred to as substantive democracy. Procedural democracy refers to the institutional arrangements of democracy. These aspects include rule of law, public participation, holding of regular elections, and public criticism towards the government of the day. Nonetheless, a number of political theorists who subscribe to substantive democracy argue very strongly that procedural democracy is more liberal in nature and focuses on political rights. Sometimes, legal scholars refer to political rights as first generation rights. According to the critics of procedural democracy, political freedom is meaningless without economic freedom. These critics place a greater emphasis on the substantive aspects of democracy, such as socio-economic rights. These are called the second generation rights, according to legal philosophers (Breakfast, 2011:2).

According to Held (1993:15), within the history of democratic theory lies a deeply rooted conflict about whether democracy should mean some kind of popular power; a form of politics in which citizens are engaged in self-government and self-regulation or an aid to decision-making as a means of conferring authority on those periodically voted into

office. The deepening of democracy is dependent on the participation of citizens in civil society and political systems.

6.7.3 Public Participation Unit

The Public Participation Unit must coordinate all public participation activities and work together with public participation coordinators and all business units/directorates of municipalities. Community Development Workers should report direct to this Unit. CDWs are expected to help local communities practically access government services. CDWs are expected to be working within their communities, as it is understood that they will be familiar with the local politics of the area, as well as the developmental needs of the communities. The Unit is located politically to the Office of the Speaker. There needs to be a sufficient budget for successful public participation processes. Public participation activities, like all good governance and professional practice, require sufficient funds in order to be effective. The success of public participation processes undertaken with insufficient funds could be jeopardised. Public participation should consequently not fall victim to limited funds being prioritised for the technical aspects of the exercise.

Participation processes should provide material support to stakeholders to help them address needs such as transport requirements and gaining access to documentation. Practical arrangements, such as the timing of events, the time available for public comment, and event locations should allow for easy public participation.

Activities should be undertaken and materials provided that will assist stakeholders in understanding municipal jargon and processes. Where there is a general shortage or lack of resources, it will not be possible to hold ideal public participation processes. Those involved in public participation processes need to act with integrity and commitment. Undertakings should not be given if they cannot be adhered to. Similarly, stakeholders need to be made aware of both the limits and possibilities of public participation. Stakeholders should be well informed about the detail of the process and

their role within it. It is vital that false or unrealistic expectations of the process be avoided.

6.7.4 Public Participation Strategy

The point of departure in public participation processes is their design; best practice in design should be striven for. The design of the public participation process should be creative and flexible, and recognise and draw on the wide array of approaches and methods for public participation. A creative and original approach in the use of participation techniques should be encouraged. The participation process should be custom designed for each individual situation. All stakeholders must be included in the participation process, and find it easy to participate. The full spectrum of stakeholders should be involved in the participatory programme; excluding any significant group will not only raise the potential for conflict, but will also diminish the value of the public participation exercise and the credibility of its outcome. All stakeholders must be treated equally and with respect.

The utilisation of strategies such as public participation decentralisation, the employment of public relation officers, reorganisation, and citizen awareness in order to enhance responsiveness remains essential throughout.

Some of the programmes that need to be included in the public participation strategy:

6.8.1 Public hearings

This institutional and professional process attracts both strongly positive and negative publics, especially the latter. When hearings are held at different locations, an interest group can make the same presentation many times to achieve its own goals. Public hearings are so entrenched in the institutional and political decision-making process that they will probably be required in any comprehensive public involvement programme. According to Sewell and Coppock (1997:105), these hearings may be held in various areas in order to allow more community members to participate and voice their views.

The timing and the venues for the hearings are important, because they affect the degree of public influence on the IDP process.

6.8.2 Public meetings

Public meetings could be an optimal platform for municipalities to share information about the needs of their communities and provide clarity on issues that are misunderstood, through the establishment of civic capacity in areas where participation is minimal. Public meetings could also promote the support and development of youth through the formation of local youth councils or their equivalent, and by encouraging their establishment where they do not exist (World Summit on Sustainable Development, 2002).

These youth councils should form sub-committees of a broader development forum; and groups should set performance targets for service delivery. Community members and their leaders could use the opportunity to interact with officials during breaks and before and after meetings. The existing political structure, which may include local activists and local the Council members, could use these meetings to promote interaction between Council and the community regarding developmental issues or matters of mutual concern (Meyer & Theron, 2000: 40; Sewell & Coppock, 1997:36).

6.8.3 Citizen advisory committees

This process of meetings with interest group leaders assumes that: (a) all publics will have a representative at the table; (b) the representatives will reflect their constituencies, (c) the representatives will carry out continuing two-way communications with their constituencies; and (d) the general public will have confidence in the recommendations arising from this process. Citizen advisory committees should be specific goal or objective orientated, e.g. the promotion of arts and culture.

A sound public involvement programme requires a clear definition of the activity, an objective and a series of public activities connected with the various phases of the project development process. Groups that share the same principles and interests usually organise themselves and lobby their municipality on issues of their choice. They motivate the inclusion of their issues in the policy decisions of their municipality.

6.8.4 Public deliberation forums

This form of public participation proposes to bring together a representative sample of the population, perhaps a hundred or more, educating them on a topic and then working with them to develop a generally acceptable solution. When the solution is presented to the population, it is expected to accept the recommendation developed by its representatives. The IDP Representative Forum is said to represent the interests of constituents in the IDP process. Communication between all the stakeholders, including government departments, must be ensured, and the planning, implementation and performance process must be monitored. The Forums are expected to provide input on the tabled IDP document. Their inputs are likely to prepare a set strategies that will assist the municipality to achieve its long-term vision.

6.8.5 Izimbizo's

Izimbizo's are aimed at strengthening democracy through the involvement of communities in service delivery. The South African government's Izimbizo's is a mechanism designed to bring the government closer to the people, with the aim of mobilising them, through their involvement, to help tackle service delivery issues. The government believes that Izimbizo's are appropriate forums for engaging with the people and allowing them to raise their concerns with regard to service rendering, whilst the government listens with the idea of addressing those concerns.

6.8.6 Executive Mayoral Outreach Programmes

In order to promote intergovernmental relations, Executive Mayoral Outreach Programmes should be planned and carried out in line with the Premier's Outreach Programmes so that gaps in how community needs can be addressed and closed. These do not replace the outreach programmes around that are meant for IDP/Budget reviews. The communities feel that the way in which these meetings are called, makes it difficult to deal properly with their Ward-based developmental needs, as many Wards with different interests are brought together in one meeting.

6.8.7 Community

A community is a group of people living together in one place, sharing a specific locality and government, often with common cultural and language interests. Citizen involvement is vital in a wide range of administrative policy-making activities, including the determination of level of services, budget priorities, orientating government programmes toward community needs, building support, and encouraging a sense of cohesiveness within society. Community participation refers to the engagement of communities in governance and decision-making with regard to the issues affecting their lives. The objective of a public involvement programme is to develop informed, visible, majority public understanding, and acceptance and support for a valid proposal. Without a good information base, citizens cannot arrive at sound and lasting views on an issue. Their views need to be expressed, or others will claim the support of the silent majority.

6.8.8 Community empowerment

Empowerment can be defined as the process through which individuals, groups and/or communities become able to take control of their circumstances and achieve their goals, thereby becoming able to work towards maximising the quality of their lives

(Adams, 1990:43). Empowerment is the ability of individuals to gain control socially, politically, economically and psychologically through:

(1)   access to information, knowledge, and skills;

(2)   decision making; and

(3)   individual self-efficacy, community participation and perceived control (Zimmerman & Rappaport, 1988).

In other words, it is a process of change through which individuals or groups with little or no learning are involved in the participation of the decision-making process of the IDP in order to manipulate resources for the fulfillment of basic needs. Turok (1993:21) purports that it is crucial to build a community's capacity through participation, keeping in mind South Africa's peculiar history. Empowerment is an essential tool in moving towards a basic human-centred development strategy. Empowerment as a building block of development power ensures that communities gain the power and ability to make choices that affect their lives. We need to bear in mind that growth for locals should occur as a consequence of reconstruction and development, with empowerment, self-reliance, capacity-building, sustainability and social learning. The capacitation of communities remains important in understanding the processes of social influence and transformation of power relations.

6.9 Communication

Communication is a participatory tool for disseminating information to the communities so that they can partake in the affairs that affect them. The rights and duties of members of the local community and municipal governance, management and development are encouraged. Language preferences and usage in municipalities are very important. Communication is a two-way process. It does not benefit citizens only, but also government decision-makers. Interactive communication enables each party to learn about and better understand the views and positions of the other. Through communication with citizens, government gathers information on needs, opinions,

values and perspectives from the broadest spectrum of the public, enabling government to make better and more informed decisions (www.ci.doe.gov). The strategy must present a clear detailed programme on how government is going to communicate with the communities through radio slots; posters; pamphlets; library notices; Ward Councillor notice-boards and offices; the production and distribution of municipal quarterly magazines; suggestion boxes, and hotlines.

6.10   CONCLUSIONS

The developed model for public participation in the Buffalo City Municipality proposes to improve governance. The advantages of this model outweigh the disadvantages, as discussed in Chapter One of the thesis. Theoretically, the importance of community involvement is captured well in the legislative framework. This ideal is expressed in the notion of "integrated development planning", which states that "local government must be committed to work with citizens and groups within the community to find ways to meet their social, economic and material needs and improve the quality of their lives".

The Ward Committee system seeks to provide a balance by giving residents as much opportunity as possible to participate in integrated development planning activities, but at the same time ensuring the right of Council members to govern. This would ultimately render it possible for citizens to monitor the performance of their governments. As Fukuyama argues, "Holding government agencies accountable to the public is to some extent a matter of institutional design and internal checks and balances, but ultimately, it is the people whom government supposedly serves who are responsible for monitoring its performances and demanding responsive behavior" (Fukuyama, 2004:40).

In order to ensure that citizens are involved and that they play a monitoring role, institutions need to be implemented in ways that account for this need. This requires advancing beyond institutionalism and realising the underlying community orientations that may precede, or even rise above, institutional reforms.

CHAPTER SEVEN

RECOMMENDATIONS AND CONCLUSION

7.1   INTRODUCTION

The thesis critically analysed the role of public participation in governance and service delivery, with specific reference to the Buffalo City Municipality (BCM). Chapter One presented the context of the study in order to provide a deeper understanding of the study. Chapter Two provided a historical background of local government in South Africa. The literature review presented in Chapter Three was used to provide a theoretical perspective on whether Ward Committees are useful conduits for public participation in local governance and whether public participation structures in the BCM are inherently capable of playing the critical role expected of them. This chapter also investigated and reviewed opportunities for real power-sharing between the BCM and its communities, examining in particular the role of public participation in service delivery. Chapter Three further reviewed different theories on public participation and service delivery, within the discipline of Public Administration and Management. In Chapter Four, the research methodologies employed for the purposes of this research were discussed. Chapter Five presented an analysis and discussion of the results that emerged from the empirical study that formed part of this research. A normative model to enhance public participation in local government was presented in Chapter Six. Chapter Seven will present certain recommendations that are proposed in response to the challenges identified by the researcher in relation to the area of public participation and service delivery within the Buffalo City Municipality.

The research has shed light on the role of public participation in governance and service delivery, with specific reference to the BCM. Because this investigation used both quantitative and qualitative methodologies, statistical findings have, *inter alia,* been employed to substantiate the arguments with regard to the *status quo* of public participation and service delivery in the BCM.

The Buffalo City Municipality could become a model for public participation and good governance through its strides in encouraging communities to avail themselves for and become involved in public participation processes. One of the positive findings that emerged from the data obtained from the respondents is that they all affirmed the importance of public participation in accountability and transparency as well as good governance. Respondents appeared to understand that constitutional and legislative prescriptions required public participation strategies and initiatives to be fulfilled. The study further revealed certain cardinal aspects regarding public participation and service delivery in the BCM that need urgent attention if the Municipality is to comply with the new mandate of developmental local government. Chapter 7 of the Constitution of the Republic of South Africa, 1996, states that it is the object of local government to encourage the involvement of communities and community organisations in matters of local government. This requires a cooperative approach, an "effective partnership", in which local authorities provide strong leadership for their areas and their communities. Therefore, local government as prescribed by the 1996 Constitution should enhance opportunities for participation by placing more power and resources at a closer and more easily influenced sphere of government.

7.2   LIMITATIONS

The following limitations were experienced with regard to this study:

The results of this study cannot be generalized to all municipalities in South Africa as the Buffalo City Metro Municipality served as a case study for the purpose of the research. Each local authority has its own peculiar challenges and constraints.

The sample groups for the purpose of the qualitative and quantitative research might have been slightly larger had it not been interrupted by May 2011 election so the researcher had to submit the second request to conduct the interviews and administer the questionnaire pre and post these elections. This delayed the process to a degree.

7.3   RECOMMENDATIONS

The new developmental mandate assigned to local government in terms of, *inter alia*, the 1996 Constitution and the White Paper on Local Government, 1998, appears to not have been fully grasped by local government institutions, implying that certain role-players do not fully comprehend the implications of this new mandate. This assumption is based on the results from the quantitative and qualitative study.

The following recommendations are proposed, based primarily on the findings that emerged from the empirical survey that formed part of the study and the theoretical investigation on public consultation and participation.

The proposed recommendations now follow:

Recommendation 1: *Creation of a Public Participation Unit.* Due to the lack of public participation strategies identified in the Buffalo City Municipality, this research recommends a new normative model for enhanced public participation. This model advocates for the institutionalisation of public participation initiatives and strategies across the board in all the departments of the Municipality, with a Public Participation Unit, based in the Speaker's Office, assuming a coordinating role. The Buffalo City Municipality should also develop a Public Participation Strategy and Plan that will identify and convey activities for each year in advance. A dedicated and adequate budget should be made available for this purpose annually.

Recommendation 2: *Capacitation of Ward Committee members and Ward Councillors.* Regular capacity-building programmes should be offered to Ward Committee members to assist them in carrying out their duties and roles more effectively. It is further proposed that Ward Committee members and Ward Councillors should receive training simultaneously, because their functions are complementary and teamwork could be promoted. The Buffalo City Municipality should ideally engage with structures like SALGA, PALAMA and universities to facilitate such capacity-building initiatives. Certain

"in-house" training could also be facilitated by the Municipality; staff with the applicable skills, knowledge and qualifications could conduct such training initiatives. Where possible, any training initiatives provided (whether by an external service provider or "in-house") should lead to formal university credits in an effort to encourage Ward Committee members and Ward Councillors to participate with commitment.

Recommendation 3*: Resource allocation for Ward Committees*: Dedicated administrative support should be appointed, as well as the provision and supply of operating requirements, for example, offices, stationery, telephones and an operational budget. Committed funding provided annually on the Operating Budget of the BCM for public participation plans should be forthcoming as a matter of priority. Provision should be made for realistic stipends or salaries to be paid to Ward Committee members in an effort to motivate them to perform their functions with conviction and dedication. They are after all the "link" between local communities and the Municipality. The findings from the focus group interviews indicate that, currently, Ward Committee members receive an amount of R50 when attending relevant municipal meetings, which total only four per annum. Besides the recommendation of a realistic stipend or basic salary, it is further recommended that the BCM should provide transport from designated areas each week to enable Ward Committee members to liaise more closely with the bureaucracy at the BCM. A concerted effort should also be made to empower ward committee members with basic computer skills so as to enhance their networking and communication skills.

Recommendation 4: *Roles and responsibilities of all structures involved in public participation*: It emerged from the interviews and discussions that there is a need for the activities of Ward Committee members to be more clearly articulated and their activities, to be better monitored. The equally important role of the Community Development Workers (CDWs) should also be redefined, as they, too, play a pivotal role regarding community consultation and participation initiatives. In this regard, it is further recommended that the roles and responsibilities of the Ward Committee members, CDWs and Ward Councillors should be reviewed by the Municipality in an effort to identify the over-lapping of functions, which is clearly having a negative impact on

current public participation initiatives undertaken by the BCM. The research has revealed that as the appointment of CDWs is facilitated by the Provincial Government, there appears to be a vacuum regarding the interaction that should take place between the Councillors and the CDWs, specifically. CDWs should be better briefed by the Provincial and Local Government Structures that they are primarily required to work closely with the Ward Councillors and Ward Committee members in an effort to enhance public participation in local government matters. It is proposed that if this recommendation is implemented, a benefit will be improved basic service delivery.

Recommendation 5: *Communication*: Communication between government and the citizens should be seen as an integral part of service delivery and governance. A culture of open and ongoing communication should prevail, not limited to crisis communication, marketing or media statements only. It is proposed that communication between these groups and the community at large must be strengthened. Ward Committee members should be able to communicate directly with the relevant officials at the BCM regarding specific problems. On the issue of the calling of Ward Committee meetings; which is currently the prerogative of the Ward Councillor as the Chair, it is recommended that the notice of such meetings must reach the relevant role-players timeously. The business of the Buffalo City Council and key policy decisions made by the Council and its standing committees should be communicated properly and timeously to Ward Committee members and CDWs. The BCM should rely far less on the local media for communicating with its audiences on local government matters. The results from the empirical study indicate that the media in Buffalo City generally prefer more sensational news and reports, which have a direct bearing on the BCM and the communities it serves. A comprehensive Communications strategy, accompanied by implementation plans, with proper time-frames, needs to be developed in consultation with relevant stakeholders.

Recommendation 6: *Co-ordination between community structures*: The respondents who participated in this study expressed the need for the Municipality to ensure that there was a working relationship between the different structures, facilitating

participation between community members and the Municipality. A lack of proper co-ordination between the Councillors, Ward Committee members and Community Development Workers is possibly the primary reason why community programmes have often derailed in Buffalo City. It is recommended that the BCM should establish a task team to investigate possible reasons for this lack of coordination and propose solutions to remedy the current challenges.

Recommendation 7: *Government should live up to its promises*: Before local government elections, political parties present their election manifestos to communities in an effort to secure votes. Councillors and their respective political parties are viewed by community members as the roleplayers who will improve their lives. An emerging theme from the focus group interviews underlined the need for the BCM and other government representatives and departments to deliver on their promises, as communities have generally lost faith in these role-players. The failure on the part of the BCM to act on its promises and mandate was identified as one of the factors affecting public participation and service delivery. Hence, the recommendation that created expectations should be fulfilled, is of particular importance. It is further recommended that service delivery systems be tightened to ensure that service delivery operations are not affected by instability, both politically and administratively. If the current situation is allowed to continue, the most likely outcome will be an increase in violent protest action by local communities, which should remain a matter of serious concern for all three spheres of government. If the BCM strengthens its public participation strategies and there is a genuine commitment to engage with local communities, it is possible that the recurring threat of protest action might be diminished. There should be enhanced dissemination of information by the BCM.

Recommendation 8: *Municipal visibility*: A recurring theme that emerged from certain of the participants was that politicians and municipal officials should visit local communities on a regular basis to establish for themselves the kind of challenges communities face on a daily basis. Results from the empirical survey revealed that public consultation and participation generally only took place when the councillors and

officials consulted on the Integrated Development Plan. It should be noted that in terms of a variety of legislative prescriptions, municipalities are required by law to consult with their communities on IDP processes. A secondary theme that also emerged from the empirical study is that communities ideally would prefer to also consult with senior officials, and not only the Councillors. The senior municipal officials should also visit local communities, as they are responsible for the implementation of Council resolutions and are required to implement such resolutions. A further emerging theme was that the officials could, for a variety of reasons, derail the implementation of municipal projects.

Recommendation 9: *Enhanced public participation initiatives:* In order for the BCM to improve its public participation initiatives, there must be effective use of the proposed Public Participation Unit, which should be based in the Speaker's Office, for strategic reasons. It is further recommended that all Business Units within the BCM should have dedicated officials who will champion public participation initiatives within each Business Unit. The proposed Public Participation Unit in the Office of the Speaker would champion the implementation of a Strategic Public Participation Plan, working together with a variety of stakeholders, including the proposed coordinators from the Business Units. Clear and realistic targets should be established, which must be monitored and evaluated. To further enhance public participation strategies, the BCM needs to actively engage in outreach programmes; awareness programmes; campaigns; using the media (especially community radio stations); and holding Mayoral Izimbizo's and open days for information sharing. It is proposed that such initiatives would play a pivotal role in enhancing public participation within Buffalo City and thereby enhance service delivery. The development of a quarterly magazine or newsletter; distributed throughout Buffalo City, would further advance improved consultation and participation and the dissemination of information, which is an important Constitutional requirement.

Recommendation 10: *Need for enhanced anti-fraud and anti-corruption strategies:* Results from the respondents clearly indicate that anti-corruption and anti-fraud strategies exist in the BCM, but these are (allegedly) purposefully not implemented. It is recommended that the BCM should urgently revise its strategies and policies in an

attempt to deal with fraud and corruption. Results from the empirical survey revealed that anti-corruption and anti-fraud strategies had been introduced in the current IDP and budget processes of the BCM. However, there appears to be resistance from certain quarters. Since policies, strategies and procedures are in place, but are not followed, and no disciplinary measures are taken against transgressors, it is recommended that the BCM establish an impartial Task Team to review current protocols. This task team should propose realistic recommendations to Council on how to further strengthen existing anti-corruption and anti-fraud strategies, which are currently being flouted by certain individuals.

Recommendation 11: *Shortage of skilled personnel:* An alarming 91% of the respondents stated that there was a critical shortage of skilled personnel in the BCM, which was affecting service delivery. It is recommended that the BCM develop a recruitment and retention strategy, to be implemented and monitored. It is further recommended that a key priority should be the immediate filling of critical vacancies, coupled with a programme, led by the Office of the Deputy Executive Mayor, to ensure the correct placement of staff members. A Performance Management System must be developed and implemented. Both officials and Councillors acknowledged that the implementation of Ward-based service planning would provide opportunities for the involvement of communities and provide solutions to service delivery challenges, in particular creating community ownership and participation by communities. The appointment of key personnel with the relevant skills to assist in this process, is recommended.

7.4   CONCLUSION

This thesis primarily investigated public participation in terms of the new developmental mandate that has been assigned to local government institutions in South Africa. The thesis essentially entailed a case study of the Buffalo City Municipality and investigated the challenges facing the Municipality in terms of public participation legislative prescriptions. Rapid changes at the global, national, regional and local spheres require

local communities to rethink the manner in which they are organised and governed. This is especially true of the third sphere of government. Communities need to find new ways to sustain their economies, build their societies, protect their environments, improve their personal safety, and eradicate poverty. There is no single correct manner in which to achieve these goals. However, public participation strategies by municipalities form a critically important component of this challenge.

National frameworks and support from the other spheres of government are critical, but communities increasingly are required to play a more assertive and inclusive role in local government decision-making processes. The Buffalo City Municipality should actively seek to empower the most marginalised groups in its area of jurisdiction. This would be in keeping with the spirit of the new developmental local government mandate. The Province of the Eastern Cape is considered to be one of the poorest of the nine provinces in South Africa. Municipalities in this Province should therefore be innovative in their approaches to solving local problems, including enhanced community participation initiatives.

The thesis should be viewed as a starting point in studies on the topic of innovative public participation strategies for local government institutions. The potential for further research on the topic clearly exists. The insight and experience gained during this research process, as well as the theoretical foundation thereof, is viewed as a useful point of departure for continued study and research. Democracy can only be deepened when there is active citizen participation. Clearly, the BCM has not prioritised the development of rural communities as it has with its urban communities, and there is still some sidelining of marginalised communities in policy processes and development.

According to Atkinson (1989:43), there is a notion of popular sovereignty; a notion that indicates that governance is not a separate entity from its citizenry, but that the two are intertwined. Government is accountable to its community. The BCM should actively seek to empower the most marginalised groups within its jurisdiction area in order to be in line with the spirit of developmental local government. It may be concluded that

marginalised communities are not included in policy-making process and planning. This phenomenon talks to the issue of lack of public participation. To be sure that participatory democracy is complete, it must include all its principles, such as inclusivity, diversity, transparency, flexibility, accessibility, accountability, trust, commitment, respect and building community capacity. To achieve citizen participation, it is vital to achieve the objective of service delivery to local communities.

Political leaders should take it upon themselves to promote a culture of public participation as one of the components of democracy. Local government, as the third sphere of government, is vital where municipalities are bound in terms of various legislative prescriptions to promote and enhance public participation for improved service delivery. Public participation should not only be stipulated on paper: it should be practised in reality. This is a constitutional requirement.

The idea of public participation in this study should be understood from the theoretical framework of substantive democracy, which asserts that democracy must transcend political rights and address the socio-economic conditions of the people. Thus, this research examined public participation in relation to service delivery and good governance in the Buffalo City Municipality within the above framework.

BIBLIOGRAPHY

PROVISIONAL BIBLIOGRAPHY:

1.   **PUBLISHED SOURCES**

1.1   **BOOKS**

Angrosino, M.V. 2002. Doing Cultural Anthropology: Projects for Ethnographic Data Collection. Prospect Heights: Waveland Press.

Anderson, J.E. 1994. Public Policy-making: An introduction. Second edition. New York: CBS College Publishing.

Babbie, E.R. 1989. The Practice of Social Research. Belmont Oxford University Press.

Babbie, E. and Mouton, J. 2003. The Practice of Social Research. Cape Town: Oxford University Press Southern Africa.

Badenhorst, C. 2008. Dissertation writing: A research journey. Pretoria: J.L. Van Schaik (Pty) Ltd.

Bagozi, R.P. 1994. Measurement in marketing research: Basic Principles and Questionnaire Design. Cambridge Business.

Baker, T.L. 1999 Doing social research. New York. McGrow Hill Book Company. Third edition.

Barber, B. 1984. Strong democracy: Participatory politics for a new age. London: University of California Press.

Bekink, B. 2006: Principles of South African Local Government Law. Durban: Lexisnexis Butterworths.

Bekker, K. 1996. Citizen participation in local government. Pretoria: J.L. Van Schaik (Pty) Ltd.

Bernard, R.H. 2002. Research Methods in Anthropology: Qualitative and Quantitative Methods. Walnut Creek: AltaMira Press.

Blakenship, A.B. & Breen, G.E. 1993. State of the ART Marketing Research. Lincolin: NTC Business Books.

Bless, C. and Higson-Smith, C. 1995. Fundamentals of social research methods: An African perspective. Second edition. Cape Town: Juta and Company Ltd.

Bogdan, R.C. and Biklen, S.K. 1998. Qualitative research for education*: An introduction to theory and methods,* Allyn and Bacon, Boston.

Booyse, J.J., Lemmet, E.M. & Smith, M.E. 1996. Qualitative research in education. Study guide for ONA 431-6. Pretoria. University of South Africa.

Brynard, P.A. (1996). Realities of Citizen Participation. In Bekker, K. ed. Citizen Participation in Local Government. Pretoria: Van Schaik.

Brynard, P.A. & Hanekom, S.X. 1997. Introduction to research in public administration and related academic discipline. Pretoria: J.L. Van Schaik.

Burkey, A.S. 1993. People First: Guide to Self-Reliant, Participatory Rural Development, London: Zed Books.

Burns, N. & Grove, S.K. 1999. Understanding Nursing Research. Second edition. USA. Saunders Company.

Cameron, R.G. and Stone, A.B. 1995. Serving the Public: A guide for practitioners and students. Pretoria: J.L. Van Schaik (Pty) Ltd.

Caulified, I., Schultz, J. 1993. Managing Local government planning for change: Strategic planning in local government. Essex: Longman Group UK. Ltd.

Clapper, V.A. 1996. Advantages and Disadvantages of Citizen Participation. In Bekker, K. ed. Citizen Participation in Local Government. Pretoria: Van Schaik.

Cloete, F. 1995. Local Government Transformation in South Africa. J.L. Van Schaik Publishers, Hatfield.

Cloete, J.J.N. 1997. South African Municipal Government and Administration. Pretoria: Van Schaik Publishers.

Cloete, J.J.N. 1988. Central Regional and Local Government Institution of South Africa. J.L. Van Schaik Publishers, Hatfield.

Cohen, J.L. and Arato, A. 2003. Civil Society and Political Theory. In Foley, M.W. and Hodgkinson, V.A. (eds). The Civil Society Reader. University Press of New England.

Cook, T.D. and Campbell, D.T. 1979. Quasi-experimentation: design and analysis issues for field settings, Rand McNally, Chicago.

Cooper, D.R. & Schindler, P.S. 2001. Business Research Methods Seventh edition. Boston: McGrew Hill.

Cooper, D.R. and Schindler, P.S. 2003. Business Research Methods. Boston: McGraw Hill.

Craythorne, D.L. 1997. Municipal Administration: A Handbook. Juta & Company: Ltd, Kenwyn.

Creighton, R.A. 2005. The Public Participation Handbook. San Frascisco. USA: Josey-Bass.

Creswell, J.W. 1994. *Research design: qualitative & quantitative approaches*. London: Sage Publications.

Creswell, J. 1998. Qualitative inquiry and research design: Choosing among five tradition. Thousand Oaks, California: Sage Publications.

Creswell, J. 2003. Research Design: Qualitative, Quantitative, and Mixed Methods Approaches. Thousands, California: Sage Publications.

Cresswell, J.W. 2005. Educational Research, Pearson, New Jersey.

Currie, I. and De Waal, J. 2001. *The New Constitution and Administrative law*: Volume 1. Constitutional law. Jutas. Cape Town.

Dahl, R.A. 1990. After the revolution? Authority in a good society. New Haven: Yale University Press.

Dahl, R.A. Who Governs? Democracy and Power in an American City (Yole University Press: New Haven 1961).

Davids, I., Theron, F. and Maphunye, K.J. (eds.). 2005. Participatory Development in South Africa: A Development Management Perspective, Pretoria: J.L. Van Schaik (Pty) Ltd.

Davidson. S. 1998. Community Planning: Spinning the wheel of empowerment Enterprise Resources, Lanarkshire Council Scotland.

De Conning, C. and Cloete, F. 2006. Theories and models for analyzing public policy in Cloete, F., Wissink, H. and De Conning, C. 2006 (eds). Improving public policy. From theory to practice. Second edition. Van Schaik. Pretoria.

De Vos, A.S., Strydom, H., Fouche, C.B. and Delport, C. (Ed). 2002. Research at Grass Roots: For the Social Science Professionals and Human Service Professions. Second edition. Pretoria: Van Schaik.

Deegan, H. 1999. South Africa reborn: Building a new democracy. United Kingdom: University College of London: UCL press Ltd.

Denzin, N.K. and Lincoln, Y.S. 2000. Handbook of qualitative research. London: Sage Publications.

Diener, E. and Crandall, R. 1980. *Ethics in Social and Behavioural Research,* University of Chicago Press, Chicago.

Du Mhango, G.L. 1998. Planning and Managing Socio-Economic Development. The Integrated Participation Dimensions, South Africa, Century-Turn Publishers.

Durrheim and Blanche. 2002. Research in Practice: Applied Methods for the Social Science. University of Cape Town Press.

Dye, T.R. 1995.. Understanding Public Policy, Eslbewood Cliffs.New York: Prentice Hall.

Dzimbo, K.P. 1995. Research in education department: Educational science. Johannesburg: Rand Afrikaans University.

Easterby-Smith, M., Thorpe, R., Lowe, A. 1991. Management Research and Introduction. London: Sage Publications.

Easton, D. 1979. A system analysis of political life. London: University of Chicago Press.

Emory, C.W. and Cooper, D.R. 1991. Business research methods. Fourth edition. Burr Ridge, IL: Irwin.

Esman, M.J. 1991. Management Dimension of Development : Perspectives and Strategies. Connecticut: Kuruman Press.

Fagence, M. 1977. Citizen Participation in Planning. Oxford: Pergamon Press.

Finger, M. 1994. NGOs and transformation: Beyond social movement theory. Environmental NGOs in world politics: Linking the local and the global. T. Princen and M. Finger. London, Routledge, pages 48-66.

Fox.J. 1997. How does Civil Society Think. The Political Construction of Social Capital in rural Mexico in P.Evans(Ed) State –Society Synergy: Government and Social Capital in Development. Berkeley: University of California.

Fox, W. and Bayat, S. 2007. A guide to managing research. Cape Town: Juta and Co. Ltd.

Fox, W. & Meyer. I.H. 1995. Public administration dictionary. Kenwyn: Juta and Co. Ltd.

Frey, J.H. & Oishi, S.M. 1995. How to conduct Interviews by telephone and in person. London: Sage.

Friedman, J. 1992. Empowerment: The Politics of Alternative Development, Blackwell, Cambridge.

Gildenhuys, H., Fox, W. and Wissink, H. 1991. Public Macro Organisation. Cape Town: Juta.

Gildenhuys, J.S.H. 1997. Restructuring your local government: A practical guide. J.L. Van Schaik Publishers, Hatfield.

Gildenhuys, J.S.H and Knipe, A. 2000. The organization of governance: An introduction. Van Schaik (Pty) Ltd. Pretoria.

Godsell, B. 1990. *Shaping a future South Africa: a citizens' guide to constitution-making*. Cape Town: Tafelberg Publishers Ltd.

Gramsci, A. 2003. Selections from the Prison Notebooks. London: Lawrence & Wishart Publishers.

Green, P.E., Tull, D.S. and Albaum. 1993. Research for Marketing Decision. Fifth edition. Prentice Hall.

Guba & Lincon. 1994. Competing paradigm on qualitative research In N.K. Denzin & Lincon eds. Handbook of qualitative research.

Gutto, S. 1996. A practical Guide to Human Rights in Local government. Durban. Butterworths (Pty) Ltd.

Hanekom, X.S. 1996. Public Policy: Framework and instrument for Action. Southern Africa. International. Thompson Publishing (Pty) Ltd.

Hardiman, M. & Nanine, D. 1989. The Community Participation: Social Development and the State. London: Metheun Publisher.

Held, D. 1993. (ed.), Prospects for Democracy; North, South East West. Stanford University Press.

Henning, D.H., and Mangun, W.R. 1989. *Managing the environmental crisis: Incorporating competing values in natural resource administration*. Durham, NC: Duke University Press.

Heymans, C. and Totemeyer, G. 1998. Government by the People, Cape Town, Juta and Co. Ltd.

Holliday, A.R. 2007. Doing and Writing Qualitative Research. Second edition. London: Sage Publications.

Howlett, M. and Ramesh, M. 2003. Studying Public Policy: policy cycles and policy subsytems. Ontario: Oxford University Press.

Ismail, N., Bayat, S. and Meyer, I. 1997. Local government management. Halfway House: International Thompson Publishing. (Southern Africa) (Pty) Ltd.

Jackson, W. 1995. Methods of doing social research. Scarbarough, Ontario: Prentice Hall Canada Inc.

Jennings, G. 2001. Tourism Research. Brisbane: John Wiley & Sons.

Jensen, K.B & Jankowski, N.W. 1991: Handbook of Qualitative Methodologies for Mass Communication Research. London: Routledge.

Koenings, Burger M. 2005: Transactional Corporations ad Public Accountability. In Held, D. and Koening, M.A. ads Global Governance and Public Accountability. London Blackwell Publishing.

Kooiman, J. (ed). 1993. Governance and Governability: Using complexity, Dynamics and Diversity, Thousand Oaks. CA. London: Sage Publications.

Kornhauser. 1957. The Politics of Mass Society New York the free press.

Korten, D. 1990. Community Management: Asian Experiences and Perspectives. Connecticut: Kumarian Press. West Hartford.

Kotler, P., Adam, S., Brown, L & Armstrong, G. 2006. Principles of Marketing. Prentice Hall, Frenchs Forest.

Kotze, D. and Keleman, G.E.F: 1997. Participation and Managerial Approaches to Development, In Kotze, D A. eds. Development Administration and Management: A holistic approach, Pretoria, J.L. Van Schaik (Pty) Ltd.

Kotze, D.A. (ed). 1997. Development administration and management. A holistic approach. Pretoria: J.L. Van Schaik Publishers.

Krueger, R.A. 1994. Focus groups: A practical guide for applied research, Sage, Thousand Oaks, CA.

Kumar, S. 2002. Method for community participation. A complete guide for practitioners. London: ITDG.

Kvale, S. 2006. Interviews: An Introduction to Qualitative Research, Interviewing London: Sage.

Landman, W.A. 1993. Basic concepts in research methodology. Pretoria: Serva.

Leedy, P.D. 1993. Practical Research- Planning and Design: Macmillan Publishing Company.

Leedy, P.D. & Ormond, J.E. 2005. Eighth edition. Practical research planning and design. USA : Pearson Merrill Prentice Hall.

Leftwich, A. 2000. Sate of Development: On the primacy of Politics in Development, Polity Press in association with Blackwell Publisher Ltd. Cambridge. UK.

Liebenberg, S. and Stewart, P. 1997. Participatory Development Management and RDP, Cape Town: Juta and Co. Ltd.

Lindlof, T.R. & Taylor, B.C. 2002. Qualitative communication research methods. Second edition. Thousand Oaks, CA : Sage Publication.

Meriam, S.B. 1998. Qualitative research and case study applications in education. San. Fran.

Meyer, L. & Theron, F. 2000. Workbook Public framework for action. Bellville: SOPMP. University of Stellenbosch.

Midgley, J., Hall, A., Hardiman M, and Narine, D. 1986. Community Participation, Social Development and the State. London: Methuen.

Monyemangene, G.M. 1997. The Role of Public Participation in Planning and Development Planning in Greater Alexandra. University of Witwatersrand.

Morse, J.M. 2001. Strategies for sampling. In J. Morse (Ed). Qualitative nursing research: A contemporary dialogue.(pages117-131). Newbury Park, CA.

Mouton, J. 2001. How Suceed in Your Masters and Doctoral Studies: A South African Guide and Resource Book. Pretoria: J.L. Van Schaik Publishers.

Naudé, W.A. 2001. South Africa's local government transformation: An economic development perspective. University of Leipzig Press.

Neaman, W.L. 2000. Social Research Methods- Qualitative and Quantitative Approaches: Allyhn and Bacon

O'Sullivan, E. and Rassel, G.R. 1995. Research Methods for Public Administrators. White Plains: Longman Publishers.

Parasuraman, A., Grewal, D. & Krishman, R. 2004. Marketing Research. New York: Houghton Mifflin.

Parnell, D. 2008. Democratising Local Government: the South African Experiment. Cape Town: UCT Press.

Parnell, S. & Pieterse, E. 2002: *Developmental Local Government:* In Parnell, S. et.al. Democratising Local Government. The South African experiment. Lansdowne: UCT Press.

Parnell, S., Pieterse, E., Swilling, M. and Woodridge, D. 2002. Democratising Local Government: the South African Experiment. University of Cape Town Press.

Parry, G. and Moyser, G. 1994. More participation, more democracy? In Beetham, D, (ed.). Defining and Measuring Democracy. London: Sage.

Patton, H.T. and Sawicki, D.S. 1986. Basic methods of policy analysis and planning. Prentice Hall Englenwood Cliffs N.J.

Patton, M. 1990. Qualitative Research and Research Methods. London: Sage Publications Ltd.

Patton, M.Q. 2001. Qualitative evaluation and research Methods. Thousand Oaks, CA: Sage Publications, Inc.

Pera, S.A. & Van Tonder, S. 2005. Ethics in the health care. Kenwyn. Juta & Co Ltd.

Peterson, T. 1997. Sharing The Earth: The Rhetoric of Sustainable Development. Columbia, Sc: University of South Carolina Press.

Pimbert, M. 2003. The Promise of Participation. Democratising the management of biodiversity (eds) In Genetic Resource Action International Seedling: Biodiversity. Rights and Livelihood. Barcelona. Spain.

Pimbert, M. and Wakeford, T. 2001. Deliberative democracy and citizen empowerment. PLA Notes 40, IIED, co- published by common wealth Foundation.

Polit, D.E. 2001. Essentials of qualitative research. Third edition. New York. Eppiincott, Williams and Wilkins.

Pope, J. 2000. Confronting Corrupt. The elements of National Integrity System. Germany: Transparency International.

Reddy, P.S. 1997: Reading in Local government management and development: A South African Perspective. Kenwyn. Juta & Company Ltd.

Reddy, P.S. 1999: Local Government Democratisation and Decentralisation: A Review of the Southern Africa Region. Cape Town, Juta & Company Ltd.

Robson, C. 2002 Real World Research, Blackwell, Oxford.

Rothchild, D. (eds). 1994. Strengthening African Local Initiatives: Local self governance, democratization and accountability. Hamburg African Studies. Hamburg.

Salkind, J. 2001. Exploring research. London: Prentice Hall.

Sanoff, H. 2000. Community Participation. Methods in Design and Planning New York. Wiley.

Schnetler, J. Stoker, D.J., Dixon, B.J., Herbst, D., & Geldenhuys, E. 1989. Survey methods and practice. Revised edition. Pretoria: Opinion Survey Centre, Human Science Research Council.

Sekeran, U. 1992. Research Methods for Business: A Skill for Building Approach. Second edition. New York: Wiley.

Sewell, W.R.D. and Coppock, J.T. 1997: Public Participation in planning. London: John Wiley & Sons.

Shubane, K. 1991. Black Local Authorities: A contraption of control, in M. Swilling et al (eds). Apartheid city in transition. Cape Town: Oxford University Press.

Singleton, R.A. (Jr)., Straits, M.M. 1993. Approaches to Social Research. Second edition. New York: Oxford University Press.

Stenbacka, C. 2001. Qualitative research requires quality concepts of its own. Management Decision, 39(7), pages 551-555.

Steytler. 2006. The Place and Role of Local Government in Federal Systems. Konrad Adenauer Stiftung.

Strauss, S. and Corbin, R.G. 1998. Basic qualitative research techniques and procedures for developing grounded theory. Thousand Oaks: Sage.

Swanepoel, H. 1992. Community Development putting plans into Action. Crudo Press. Elliot Avenue, Eppindust II Cape Town Archibuji, Juta.

Theron, F., Van Rooyen, A. and Van Baalen, J. 2000. Good governance for People: Policy and Management, Bellville: School of Public Management and Planning, University of Stellenbosch.

Turok, B. 1993. Development in reconstruction in South Africa. Johannesburg, Institute for African Alternatives.

Tsatsire, I., Taylor, J.D., Raga, K. & Nealer, E. 2009. Historic overview of specific local government transfomatory developments in South Africa.

Weber, P. 1990. Basic Content Analysis. Second edition. Newbury Parker: Sage Publications.

Welman. J.C. & Kruger, S.J. (Eds) 2004. Research Methodology for Business and Administrative Science. Cape Town. Oxford University Press.

Welman, C., Kruger, F & Mitchell, B. 2005. Research Methodology. Third edition. Cape Town: Oxford University.

Wimmer, R.D. & Dominic, J.R. 1997. Mass Media Research: An Introduction. Belmont, MA: Wadsworth.

Yin, R.K. 1994. Case Study Research Design and Methods. Thousand Oaks: Sage Publications.

Young, I.M. 2000. Inclusion and democracy. Oxford University Press.

1.2 JOURNALS, PERIODICALS AND NEWSPAPERS

Ababio, E. 2007. Marriage for development; ward committees as partners in participatory democracy. *Journal of Public Administration*. (42) 7.

Abbot, J. 1996. Sharing the City; Community Participation in Urban Management, Earthscan.

Andrews, M. 2001. "Adjusting external audits to facilitate results-oriented government". *International Journal of Government Auditing* 28(2):10-13.

Arnstein, R.S. 1969. A ladder of Citizen Participation AIP Journal, pages 34 -34.

Ballard, R. 2007. Participation democracy and social movements. Critical Dialogue, 3(2), pages 17-21.

Barichievy, K. 2003. Assessing participatory governance in local government. A case study of two South African cities. Politetia 24,3, pages 370-393.

Beierle's, T.C 1998. Public Participation in Environmental Decisions: An Evaluation Framework Using Social Goals. Resources for the future: Discussion Paper 99-06 Washington DC.

Binza, M. 2001. The Socio-economic Impact of Public – private Partnership: progress and perspectives. Paper presented at SAAPAM national conference held at Sammy Mark Conference Centre, Sammy Marks Square, Pretoria, 7-8 November 2001.

Blaikie, N.W.H. 1991. A critique of the use of triangulation in social research. Quality and Quantity. 25:115- 118.

Bolini, G. and Ndlela, L. 1998. How to make ward committees effective. A research paper commissioned by the Institute of Democracy in South Africa. Pretoria.

Bracht, G.H. and Glass, G.V. 1968. The external validity of experiments, *American Educational Research Journal,* 5, pages 437-474.

Bratton, M. and Van Walle, N. 1997. Democratic Experiments in Africa: Regime transitions in comparative perspective, Cambridge: Cambridge University.

Callahan, K. 2006. Elements of Effective Goverenance : Measurement; Accountability and Participation, Auerbach publication, Florida.

Carpenter, B. 1987. Report of the Quality Communities Task Force in State and Local Governments Partnering for a Better New York, January 2001.

Chisaka, C. and Vakalisa, N.C.G. 2000. Gathering and analysis of data using qualitative research in education Conference at Rand University 24-26 July 2000.

Cogan, S. & Sharpe, J.H.(1986) Planning Analysis. The theory of Citizen Participation, International City manager's Association Chicago.

Cogan, Sharpe and Hertberg. 1986. Citizen Participation. The Practice of State and Regional Planning Municipal Management Planning Association, pages 283-315.

Creighton, J.L. "The use of Values. Public Participation in the planning process. In G.A Daneke, M.W. Garcia and J. Delli. Priscolli: ads. Public involvement and Social Impact Assessment (West view Press: Boulder 1983), pages 143-160.

DeSario and S. Langton (eds). Citizen Participation in Public Decision Making Greenwood Press. Westport 1987 205:221.

De Villiers, S. 2001. A People's Government: The People's voice. A Review of Public Participation in the law and Policy making process in South Africa. Cape Town: Parliamentary Support Programme.

Decrop, A. 1999. Triangulation in qualitative research. Tourism Management. 157-161.

Draai, E and Taylor, D. 2009. "Public Participation for effective service delivery: A Local Government Perspective". *Journal of Public Administration*. Vol. 44, No 1.1.

Duffy, M.E. 1987. Methodological triangulation: A vehicle for merging quantitative and qualitative research methods. IMAGE: Journal of Nursing Scholarship, 19(3).

Ehlers J. 2000. Inventing the Public Sphere. Current Digest if the Society.

Fraser-Moeleketi, G. 2005. Minister Public Service and Administration in the launch of Community Development Workers in Western Cape.

Fukuyama, E. 2004. State Building Governance and World Order in the twenty-first Century, United States: Cornell University.

Gaventa, J. and Valderrama, C. 1999. Participation, Citizen and Local Government. (Paper delivered at the public participation conference in Montana University, USA.

Gilbert, N. 1993. Residents' Attitudes towards tourism. A longitudinal study in Spey Valley, Scotland. 15(4) 247-258.

Hanyane, B. 2005. Defining the concept of civic interest in post- apartheid South Africa: A question of administrative philosophy in the making. Politeia 24(2) 255- 270.

Hicks, J. 2004. Assessing the effectiveness of community based involvement. *Critical Dialogue, Public Participation Review*, Volume 2, No. 1. 2004.

Houston, G., Humphries, R., & Liebenberg, I. 2001. Public Participation in Democratic Governance in South Africa, (Pretoria: HSRC).

Jansen, S. 2002. Political symbolism as policy craft: Explaining non reform in South African education after apartheid. *Journal of Education Policy*, 17(2), pages 199-215.

Kantrowitz, A. 1975. Controlling Technology Democratically."American Scientist 2004.Kweit and Kweit Participation in Citizen Evaluation in Disaster. Recover. 1997 *American Review of Public Administration*. Vol. 34, No. 4.

Khumalo, F. 2004. Building a developmental state: A public service response. Service delivery Review, 3 (3) : 10-14 RSA, STE Publishers.

Kidd, R. & Colletta, N. (editors). 1980. Tradition for development: Indigenous structures and folk media in non- formal education, Berlin: Germany Foundation for International Development and International Council for Adult Education.

Lawrence, R. and Stanton, A. 1999. Effective Participation in local government policy matters? Water services in Greater Pietermaritzburg. Saipa Journal 33(4), 233-245.

Levin, R. 2004. Building service effectiveness: integrated governance and the developmental state. Service Delivery Review, 3(1), pages 28-35.

Masango, R. 2002. 'Public Participation: A Critical Ingredient of Good Governance' *Politeia*, Vol. 21, No. 2: 52-65.

McIntosh, A. 1995. The rural local government question in South Africa: Prospects for locally based development, Development Southern Africa, 12(3).

McLennan, A. 2007. Unmasking delivery: revealing the politics. Progress in Development Studies 7, 1 (2007), pages 5-20.

Meltzer, A.H. 2003. Choosing Freely: "The Friedman's influence on economic and social policy." Proceedings Federal Reserve bank of Dallas, issue.

Millar, P. 2000. Public participation Strategies for Transit synthesis 89. Sponsored by Federal Transit Administration.

Molefe, R. and Dlamini, D. 2006. Service delivery in the spotlight. *City Press.* October 8, 2006, 26.

Moodley, S. and Govender, J. 2006. Local Government Participation Policy and Development. Journal of Public Administration41(41).

Morse, J.M., Barret, M., Mayan, M., Olson, K. & Spiers, J. 2002. Verification Strategies for Establishing Reliability and Validity in Qualitative Research. International Journal of Qualitative Methods1(2), pages 112-124.

Nel, P. and Van Wyk, J. 2003. Foreign Policy making in South Africa: from public participation to democratic participation. Politeia 22(3), pages 49-71.

Nelkin, D. and Rol. Pollock. 1981. The politics of Participation in the Nuclear Debate in Sweden the Netherlands and Austria. "Public Policy, 25 N.O 3 (1977), pages 333-357.

Panda.B. 2007. Top Down or Bottom Up? Astudy of grassroots NGO'S Approach. Journal of health managent 9 (257).

Pieterse, E. 2002. From Divided to Integrated City? Critical overview of the emerging metropolitan governance system in Cape Town. *Urban Forum*, Jan- March, Vol. 13, Issue 1 page 3-35.

Poister, H.T. and Gregory S. Performance Measurement in Municipal Government: Assessing the State of the Practice, Public Administration Review 59 July/August 1999. (325-335).

Raga, K. and Taylor, D. 2005. An overview of the ward committee system: A case study of the Nelson Mandela Metropolitan Municipality. *Journal for Political Science and Public Administration*, 24(2).

Rogers, W.M. 2000. Third Millennium Capitalism: Convergence of economic, energy, and environmental forces

Sen, A. 1999. Development as freedom. Random House. Service Delivery Review 2004: 3(1).

South African Human Development Report. 2003: The challenges of sustainable development in South Africa: Unlocking people's creativity. Oxford University Press.

South African Yearbook. 2002/2003. Pretoria: South African Communication Service.

Stewart. 1976. Citizen participation and judgement policy analysis: *A case study of urban air quality policy journal article*. Vol.17. Nombe 1 May 1984. Springer Netherlands.

The Innovation Journal: *The Public Sector Innovation Journal*. Volume 10(1). Fukuyama, F. 2004. *State Building, Governance and World Order in the Twenty-First Century*, United Sates: Cornell University Press.

Turok, I. and Watson, V. 2001. Divergent development in South African cities: Challenges facing Cape Town. Urban Forum 12,2.

Vishnesky, T. and Beanlands, H. 2004. *Nephrology Nursing Journal*. Pitman. March/April 2004. `. 31, Issue 2.

Wampler, B. 2007. Participary Budgeting in Brazil, contestation, cooperation and accountability. Pennyslavia State. University Press: USA.

World Development Report. 2003. *Sustainable Development in a Dynamic World: Transformation Institutions, Growth, and Quality of Life:* Oxford University Press. New York

Yadav, R.P. 1980. People's Participation focus on the Mobilisation of the Rural Poor. Bangkok: Asian and Pacific Development Institute.

Zimmerman, M. and Rappaport, J. 1988. "Citizen participation, perceived control and psychological empowerment." American journal of community psychology, 16(5), pages 725-750.

1.3 GOVERNMENT PUBLICATIONS

1.3.1   Acts of Parliament

South Africa. 1909. Constitute the Union of South Africa, 1909 (Act No 108 of 1909.Pretoria: Government Printers.

South Africa. 1923. Black Urban Areas Act, 1923 (Act 21 of 1923). Pretoria: Government Printers.

South Africa. 1950. Group Areas Act, 1950 (Act 41 of 1950). Pretoria: Government Printers.

South Africa. 1957. Group Areas Amendment Act, 1957 (Act 77 of 1957). Pretoria: Government Printers.

South Africa. 1961. The Republic South Africa Act, 1961 (Act 32 of 1961). Pretoria: Government Printers.

South Africa. 1961. Urban Bantu Councils Act, 1961 (Act 79 of 1961). Pretoria: Government Printers.

South Africa. 1966. Group Areas Act, 1966 (Act 36 of 1961). Pretoria: Government Printers.

South Africa. 1969. Group Areas Act, 1969 (Act 36 of 1969). Pretoria: Government Printers.

South Africa. 1982. Black Local Authorities Act, 1982 (Act 102 of 1982). Pretoria: Government Printers.

South Africa. 1983. Republic of South Africa Constitution Act, 1983 (Act 110 of 1983). Pretoria: Government Printers.

South Africa. 1986. Provincial Government Act, 1986 (Act 69 of 1986). Pretoria: Government Printers.

South Africa. 1986. Abolition of Development Bodies Act, 1986 (Act 75 of 1986). Pretoria: Government Printers.

South Africa. 1991. Abolition of Racially Based Land Measures Act (Act 108 of 1991). Pretoria: Government Printers.

South Africa. 1991. Interim Measures for Local Government Act, 1991 (Act 128 of 1991). Pretoria: Government Printers.

South Africa. 1993. Local Government Transition Act, 1993 (Act 209 of 1993). Pretoria: Government Printers.

South Africa. 1993. Constitution of the Republic of South Africa, 1993 (Act 200 of 1993).

South Africa. 1994. White Paper on Reconstruction and Development, 1994 (Act of 1994). Pretoria: Government Printers.

South Africa. 1995. Development Facilitation Act, 1995 (Act 67 of 1995). Pretoria: Government Printers.

South Africa. 1996. Constitution of the Republic of South Africa Act, 1996 (Act 108 of 1996). Pretoria: Government Printers.

South Africa. 1997. Intergovernmental Fiscal Registration Act, 1997(Act 97 of 1997). Pretoria: Government Printers.

South Africa. 1997. Organised Local Government Act, 1997 (Act 52 of 1997). Pretoria: Government Printers.

South Africa. 1997. The White paper on Transformation of Public Service notice 1459 of 1997 (Batho Pele). Pretoria: Government Printers.

South Africa. 1998. Local Government: Municipal Demarcation Act, 1998 (Act 27 of 1998). Pretoria: Government Printers.

South Africa. 1998. Local Government: The White Paper on Local Government, 1998. Pretoria: Government Printers.

South Africa. 1998. Local Government: Municipal Structures Act, 1998 (Act 117 of 1998). Pretoria: Government Printers.

South Africa. 1999. The Public Finance Management Act, 1999 (Act 1of 1999). Pretoria: Government Printers.

South Africa. 2000. Determination of Types of Municipalities. (Act 1of 2000). Pretoria: Government Printers.

South Africa. 2000. Local Government: Municipal Systems Act, 2000 (Act 32 of 2000). Pretoria: Government Printers.

South Africa. 2000. Local Government: Municipal Electoral Act, 2000 (Act 27 of 2000). Pretoria: Government Printers.

South Africa. 2000. The White Paper on Municipal Services Partnerships. Pretoria: Government Printers.

South Africa. 2003. Local Government: Municipal Finance Management Act, 2003 (Act 56 of 2003). Pretoria: Government Printers.

South Africa. 2003. Traditional Leadership and Governance Framework. Pretoria: Governments Printers.

South Africa. 2004. Ward Committees. Department of Provincial and Local Government. Pretoria: Government Printers.

South Africa. 2005. Intergovernmental Relations Framework Act, 2005 (Act 113 of 2005). Pretoria: Government Printers.

South Africa. 2005. Guidelines for the Establishment and Operation of Municipal Ward Committees. Pretoria: Government Printers.

South Africa. 2005. National Policy Framework for Public Participation. 12 September 2005. Pretoria: Government Printers.

1.3.3   Policy Documents, Regulations, Circulars, Guidelines and Reports

Adams, B. 2004. "Public meetings and the democratic process."Public Administration Review: 64(1):43-54.

Atkinson, D. 1992. Let the People Decide. Public participation in Urban Planning.CPS.Civil Society Series. (Research Report No. 27).

African National Congress. 1994. The Reconstruction and Development Programme: A Policy Framework, Johannesburg. Umanyano.

ANC. 2001. African National Congress. Ward Committees: A manual for ANC ward councillors and ward committee members. Johannesburg: Education and Training Unit.

ANC. May 2001. Volume 10. Umrabulo: Developmental Local Government, Johannesburg.

ANC Manifesto for 2000 Local Government Elections. Umanyano Publishers. Johannesburg.

Bradshaw, G. and Burger, W. 2005. Public Participatory, Sustainable Development and Public Disputes: Public scoping processes in the Coega deep water port and industrial zone 2005.(35) Africanus 44-58.

Briand, M. 2007. Democracy at the Core: Recalling Participations Raison d' Etre. International Journal of Public Participation, 1:1 www.1ap2org. International Association for Public Administration.

Buffalo City Municipality, East London: Annual Report 2000.

Cachalia, F. 2006. MEC Community Safety Citizen Participation in policy making accountability and transparency. Daveyton Community.

Community-based Planning and Integrated Development Planning, Guide 2, 2005:4.Department of Provincial and Local Government. South Africa.

Deniva. 2002. Local Decision-making Under Decentralisation Still a Mystery – Deniva. The New Vision, 6th January supplement, page 16.

Duffy, M.E. 1987. Methodological triangulation: A vehicle for merging quantitative and qualitative research methods. IMAGE: Journal of Nursing Scholarship, 19(3).

Frederick Frankena and John, K. Frankena. Strategies of expertise in technical controversies: A study of wood energy. Lehigh University. London and Toronto. Associated University Press.

Government Digest September. 2003.

Government Digest December. 2005

Guideline document: Provincial - Local Intergovernmental Regulations

King, Martin Luther Junior. 1963. The civil rights movement leader. Washington. D.C.

Kweit and Kweit : Participation, Perception of participation and citizen support in M.G. Kweit and R Kweit bureaucratic Decision Making In pediments to Citizen Participation "Policy 12 Summer.

Lang, R. 1986. Achieving Integration in Resource Planning. An Integrated Approaches to Resource Planning and Management. Baff Centre School of Management.

Madison, J. 1822. Former President A popular government without popular information or the means of acquiring it is but a prologue to a force or a tragedy or perhaps both.

Madlala, S. 2005. Participation in service delivery. Paper presented at the service delivery conference in Johannesburg.

Mafunisa.M.2004. The Role of Civil Society in Promoting Good governance in South Africa. International Review of Administrative Sciences 70(3)pp.489-496.

Malefane, S.R. 2009. Structuring South African Municipalities for effective local economic development implementation. June 2009. South Africa.

Mbeki. T. 2006. The former President of the Republic of South Africa. State of the Nation address.

MFMA Circular 11. 14 January 2005.

MFMA Circular 13. 31 January 2005.

Mufamadi, F.S. 2005. Minister of Provincial and Local government and Traditional Affairs in South Africa.

Mufamadi, F.S. 1999. Minister for Provincial and Local Government, Report on the Southern African Development Community: Local Government Conference 28-30/07/99. Johannesburg. South Africa.

Nelson Mandela Bay Metropolitan Municipality's Communications Strategy (2008 – 2012).

Nelson Mandela Bay Metropolitan Municipality's Integrated Development Plan. 2008.

North West Province (South Africa). 2002 Municipal By-Laws on Ward Committees.

Planact, December 1997, IDP: A Handbook for Community Leaders. Johannesburg, Planact.

Putu, M. 2006. Role of Ward Committees in enhancing public participation in Rustenburg Municipality. A critical evaluation Citizen Leadership Unit.IDASA.

Raga, K. and Taylor, D. 2005. Impact of Acountability and Ethics on Public service delivery: A south African perspective. Nelson Mandela Metropolitan University, South Africa.

Rhodes, R. 1996. The new Governance. 'Governing without Government: Understanding Governance: Policy Network Governance.

SALGA. 1998. Completing the Circle of Democracy. Butterworth (Pty) Ltd.

SACN(South African Cities Network) state of the cities in South Africa 2004, Cape Town.

Swilling, M. and Monteiro, O. Building Democratic Local Urban Governance in Southern Africa: A review of key trends; paper presented to Guric; Mexico City, October 1994.

Theron, F. 2000. Workbook. Public Participation in Local Government: A framework for action. Bellville, SOPMP University of Stellenbosch.

Valli, M.V. 1997. Coorperative government, governance and decentralization in South Africa.

Van Rooyen, E.J. 2003. A new approach to managing community participation and stakeholder. Negotiations in South African Local Government: South African Journal of Economic & management sciences 6:1. 126- 142.

Williams, J.J. April 2003. Local government Management: Course Reader. Masters Programme, Bellville, School of Government: University of the Western Cape.

Zegeye, A. and Maxted, J. 2003. Our Dream Deferred: The poor in South Africa. Pretoria. South African history online and UNISA Press.

2.   UNPUBLISHED SOURCES

2.1   DISSERTATIONS AND THESES

Ballard, H.H. 1994. Unpublished Doctoral Thesis. Effective decision-making within a large local authority, Stellenbosch, University of Stellenbosch.

Breakfast, N.B. 2009. "An investigation into apathy amongst students: A case study of Nelson Mandela Metropolitan University". Unpublished M.A. (Political Science). Nelson Mandela Metropolitan University.

Buhlungu and Atkonson. State of the Nation 2007 HRSC Publishers Cape Town.

Cameron, R.G. Local government policy in South Africa, 1989 (With Specific Reference to the Western Cape): Devolution, delegation, decontration or centralization? (DPhil, University of Cape Town, 1991), pages 1-2.

Davids, I. 2005. *Voices from Below: Reflections on Ten Years of Public Participation: The Case of Local Government in the Western Cape Province* (Cape Town: Foundation for Contemporary Research).

Ferreira, I.W. 1995. A normative model for managing orientation procedures for effective public personnel management in post-apartheid South Africa. Unpublished thesis of Doctor of Administration, in the Faculty of Commerce and Administration, University of Durban-Westville.

Masango, R. 2001. Public Participation in Policy-making and Implementation in South Africa with specific reference to the Prot Elizabeth Municipality. Unpublished DAdmin Thesis: Unisa.

McLennan, A. 2000. Education governance and Management in South Africa. Unpublished doctoral thesis, University of Liverpool.

Raga, K. 1998. An evaluation of tendering as a component of the provision function with particular reference to the Eastern Cape.

Shaidi, W.E. 2007. An investigation of the role of Motherwell Ward Committees in influencing community participation. Unpublished M.A. Nelson Mandela Metropolitan University.

Tonono, E. 2008. *A facilities management transformation strategy for the public sector*. Unpublished dissertation for the Degree of Magister Scientiae Built Environment in the Faculty of Engineering, the Built Environment and Information Technology at the Nelson Mandela Metropolitan University.

Tsatsire, I. 2008. *A critical analysis of challenges facing developmental local government: a case study of the Nelson Mandela Metropolitan Municipality.* Unpublished thesis for the Degree of Doctor Philosophiae, Department of Political and Governmental Studies, Nelson Mandela Metropolitan University.

Tsatsire, I. 2001. *"Evaluation of the credit control policy with specific reference to the Nelson Mandela Metropolitan Municipality"* (Mtech, PE TECH, 2001).

2.2   INTERNET

Ababio, E.P. 2004. Enhancing community participation in developmental local government for improved service delivery. Journal of Public Administration, 39(2).

African National Congress. 1955. Freedom Charter, adopted at the Congress of the People, 26 June, Kliptown. Available from: www.anc.org.za/ancdocs/history/charter.html. Accessed August 2010.

Carrim, Y. 2001. Bridging the Gap between the ideas and Practice: Challenges of the New Local Government System: www.anc.org.za// umrabulo 10chtml January 2010.

http://www.clgcf.org.uk

http://www.tgci.com : Agenda 21 Definition, UNCED 1992. Starting from the position of strength by Susan Chandler (13 June 2008).

http://www.capegateway.gov.za.

http://www.publicworks.org/10 about.html Center for the Democracy and Citizenship.

Nel, E. and Binns, T. 2003. Putting developmental local government into practice: the experience of South Africa's towns and cities. Urban Forum, 14 (2.3): Available at http://resources.metapress.com. 20 November 2009.

Priscoli C. & Homenuckm. G 1986. Citizen Participation in Community Development. www.uoregon.edu/rpg/pppm613 class theory.

Southall, R. 2003. 'The challenge of Public participation in Africa', The Conference on Public Participation: Growth through participation, held in Durban 24-25 June 2003. Report of the Centre for Public Participation: Durban (http://www.cpp.org.za accessed December 2008).

The next cycle of IDP: Discussion document: Local government Election 2005/6. Mr Y. Patel: www.thedplg. Gov.za/sub website/idp/documents/guide/idp.

Theron, F., Ceaser, N. and Davids, I. 2007. Participation according to IAP2 Principles: Opportunity or Challenges of or Integrated Development Planning in South Africa?

International Journal of Public Participation, www.iap2org: International Association for Public Participation.

www.anc.org.za.

www.afesis.org.za/local government articles.

www.ag.arizona.edu/fcr/fs/cyfar/evalgde.htm: Sewell, M. 1990. Qualitative evaluation and research methods. Retrieved. May 2008.

www.Buffalocity.org.za/ANNUAL Report for financial year 2006/07.Retrieved November 2008.

www.Buffalocity.org.za/Idp2008/9/ Retrieved August 2010.

www.cidoe.gov.za.

www.dermacation. Org.za: Local government Election 2006. Retrieved December 2009.

www.dplg.gov.za.

www.freeyourvoice.co.uk/htm/triangulation. Massey, A. 2003. Methodological triangulation. Retrieved Jan 2011.

www.gcis.gov.za.

www.gov.za/structure/local.gov

www.hologram.org.za.

www.idasa.org.za.IDASA 2005. Local government Responsibilities. Budget Brief, 153.

www.infor.gov.za.

www.local.gov.za.

www.localelections.org.za/municipality.

www.news24.co/citypress/home 2009.

www.polity.org.za/article/local government html.pg 1-14 October 2009.

www.sacities.net.

www.southafrica.info.

www.worldtransitresearch.info/research/2540 Jennifer Perone & Lisa Tucker of the centre of Urban Transportation Research at the University of Florida Department 2003. Retrieved May 2011.

World Bank. 2001. A Toolkit for Participation in Local governance: Learning to make participation work, Zoneveld, L. 2001. Available www.worldbank.org/wdr/wdr 2004/text - 18786. Accessed Nov.2010.

Subject Information Sheet for Focus Group Participants

Hello

My name is Nondumiso Maphazi. I am currently reading for my doctoral degree in public administration at the Nelson Mandela Metropolitan University. As part of my degree I am conducting research on the role of ward committees in local government. The main aim of the study is to analyse the role of public participation in governance and service delivery using the Buffalo City Municipality as a case study.

I wish to invite you to participate in the study. Please note that your participation is voluntary and that non-participation will have no negative consequences. Should you decide to participate in this study, you will need to be part of a focus group interview to discuss the role ward committees play in service delivery through public participation programmes. If you agree a research assistant who has been appointed to assist me, will be present to help facilitate the discussion. This person is fluent in isiXhosa and English so the discussion may take place in both languages. I'm also requesting your permission to tape record the interview so that I can collect all the information during the interview. The tapes will be destroyed after the study has been completed.

Please note that you can withdraw from the study at any time should you feel that you do not want to continue. If you feel that certain of the questions are too personal or if you feel uncomfortable answering them, you have the right to refuse to answer, should you wish to do so. Although I am unable to guarantee total confidentiality, I advise all participants in the focus group interview to maintain confidentiality. Under no circumstances will any of your responses be shown to anyone other than my two research supervisors and myself. No identifying information will be included in the final report.

By participating in this study you will contribute to the development of a proposed model that will be used to promote public consultation and participation in local government.

The outcomes of this research will be made available to the Executive Mayor, Municipal Manager and members of the City Council of the Buffalo City Municipality.

Yours faithfully

Ms N Maphazi

(Researcher)

(041) 506 3268

Subject Information Sheet for Executive Committee Members and Ward Councillor Participants

Hello

My name is Nondumiso Maphazi. I am currently reading for my doctoral degree in public administration at the Nelson Mandela Metropolitan University. As part of my degree I am conducting research on the role of ward committees in local government. The main aim of the study is to analyse the role of public participation in governance and service delivery using the Buffalo City Municipality as a case study.

I wish to invite you to participate in the study. Please note that your participation is voluntary and that non-participation will have no negative consequences. Should you decide to participate in this study, you will need to complete a questionnaire on governance and local service delivery through public consultation and participation programmes. You will need to answer the questionnaire in your capacity as a Member of the Executive Committee or as a Ward Councillor.

Please note that you can withdraw from the study at any time should you feel that you do not want to continue. If you feel that certain of the questions are too personal or if you feel uncomfortable answering them, you have the right to refuse to answer, should you wish to do so. You are not required to identify yourself in any way and your confidentiality will be maintained at all times. Under no circumstances will any of your responses be shown to anyone other than my two research supervisors and myself. No identifying information will be included in the final report.

By participating in this study you will contribute to the development of a proposed model that will be used to promote public consultation and participation in local government. The outcomes of this research will be made available to the Executive Mayor, Municipal Manager and members of the City Council of the Buffalo City Municipality.

Yours faithfully

Ms N Maphazi

(Researcher)

(041) 506 3268

Dear Councillor/Official

A CRITICAL ANALYSIS OF THE ROLE OF PUBLIC PARTICIPATION IN GOVERNANCE AND SERVICE DELIVERY, WITH SPECIFIC REFERENCE TO THE BUFFALO CITY MUNICIPALITY

The attached questionnaire is part of my D. Phil. research project. I am currently undertaking critical analysis of the role of public participation in governance and service delivery, with specific reference to the Buffalo City Municipality so as to develop appropriate responses and interventions.

Your co-operation in completing the questionnaire will be appreciated, as the information gleaned will be of valuable assistance to me.

The questionnaire has been structured in such a manner that it will require a maximum of ten minutes to complete. Your responses to the statements will make a profound contribution to the ultimate outcome of the research.

No names or other identification mechanisms have to be furnished and complete anonymity is guaranteed. All information will be treated as strictly confidential and it will be impossible to identify any individual on the basis of the results included in the final report.

Thank you for your kind assistance in this matter. Please hand your completed questionnaire to _____, who has kindly agreed to assist me in this regard, before _____.

Yours faithfully

NONDUMISO MAPHAZI
(Researcher)

QUESTIONNAIRE (A)

SAMPLE: SELECTED OFFICIALS FROM THE BUFFALO CITY MUNICIPALITY

SECTION A : BIOGRAPHICAL DETAILS

PLEASE MARK THE APPLICABLE BLOCK WITH AN "X"

A1.   AGE GROUP

1.	< 20	20-29 years		2.	30-39 years		3.	40-49 years		4.	> 50	

A2.   GENDER

1.	Male		2.	Female	

A3.   EDUCATIONAL LEVEL

1.	Grade 12		2.	Diploma	
3.	Degree		4.	Professional qualification e.g. Engineer, Architect etc.	

A4.   OCCUPATIONAL STATUS

1.	Clerk		2.	Senior Clerk		3.	Supervisor	
4.	Admin Officer		5.	Manager		6.	Head of Department	

A5.   LENGTH OF SERVICE IN ABOVE POSITION

1.	Less than 1 year		2.	1-5 years		3.	6-10 years		4.	10 years and above	

SECTION B

PLEASE MARK THE APPLICABLE BLOCK WITH AN "X"

LEGEND
1 = Strongly disagree
2 = Disagree
3 = Undecided
4 = Agree
5 = Strongly agree

B1.   Ward committees in the Buffalo City Municipality are structured in a manner that is representative of key community groupings so as to ensure wide representation.

1	2	3	4	5

B2.   The Buffalo City Municipality has a functional ward committee system in place and ward committees meet regularly.

1	2	3	4	5

B.3   Ward committees do receive sufficient administrative support from the Municipality to enable them to perform their functions.

1	2	3	4	5

B4.   The Buffalo City Municipality does have a well-structured ward committee development programme in place.

1	2	3	4	5

B5.   There is no relationship between the work of ward committees and community development workers in the Buffalo City Municipality.

1	2	3	4	5

B6.   The ward committee system is functioning properly in deepening democracy and promoting public participation in government.

1	2	3	4	5

B7.   The Buffalo City Municipality has sufficient staff to deal with issues of public participation.

1	2	3	4	5

B8.   The Buffalo City Municipality budgets adequately for public participation initiatives.

1	2	3	4	5

B9.   Communication and public participation initiatives in Buffalo City Municipality are aligned.

1	2	3	4	5

1	2	3	4	5

2

B10. The Buffalo City Municipality has developed policies and strategies to promote public participation.

B11. There are structures that exist in the Buffalo City Municipality to promote public participation.

1	2	3	4	5

B12. Local communities participate fully in shaping their destiny at local government sphere.

1	2	3	4	5

B13. Local government, and the Buffalo City Municipality specifically, is facing challenges in terms of fulfilling its constitutional mandate of creating a democratic, transparent and responsive governance.

1	2	3	4	5

B14. The Buffalo City Municipality has introduced community capacity development and awareness programmes to ensure that the community is educated regarding the role and operation of local government.

1	2	3	4	5

B15. Local government does receive sufficient capacity development support from the provincial government.

1	2	3	4	5

B16. The IDP and Budget processes of the Buffalo City Municipality provide the public with sufficient opportunities to take part in their development, implementation and evaluation.

1	2	3	4	5

B17. There is no alignment between the Buffalo City Council's community outreach programmes and the provincial and national outreach programmes within the Buffalo City Municipality.

1	2	3	4	5

B18. Municipalities do consult sufficiently with key stakeholders and interest groups during the IDP processes.

1	2	3	4	5

B19. Municipalities' IDPs and budgets are not driven by the people, but rather by municipal officials.

1	2	3	4	5

B20. SALGA is performing its municipal capacity development role effectively.

1	2	3	4	5

B21. The rural areas that form part of the Buffalo City Municipality do not receive the same attention and service delivery commitment as their urban counterparts.

1	2	3	4	5

B22. The provincial government in the Eastern Cape has problems of its own, which is affecting its ability to assist local municipalities.

1	2	3	4	5

B23. Marginalised communities of the Buffalo City Municipality are excluded from municipal planning and decision-making processes.

1	2	3	4	5

B24. The Supply Chain Management processes in the Buffalo City Municipality are above reproach and can withstand public scrutiny.

1	2	3	4	5

SECTION C

Please indicate a Yes, No or Neutral response to the questions below:

C1. Public participation delays service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C2. Lack of understanding of the way local government operates is affecting the ability of local communities to participate in key local government activities.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C3. The media play a watchdog role in scrutinising and monitoring local government service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C4. Corruption and nepotism are rampant at the local government sphere.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C5. Anti-fraud and anti-corruption strategies in the Buffalo City Municipality are effective.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C6. The Buffalo City Municipality is experiencing a shortage of critical skills, which affects service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C7. Balancing service delivery and environmental consideration is delaying service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C8. The local government system in South Africa, both in theory and practice, can be described as people-centered.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C9. Do you think that the recent service delivery protests (2008/09) in the Buffalo City Municipality are an indication of the lack of public participation and regular communication between the Council and the community?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____

C10. Do you agree with the statement that low voter turnout in local government elections is an indication of community dissatisfaction with municipal service delivery?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____

C11. Do you feel that there is a problem of apathy at the local government sphere?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____

C12. Is the Buffalo City Municipality faced with a challenge of capacity to spend its capital budget optimally?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

_____

C13. In your view, is there a problem of integration between the local, provincial and national spheres of government?	Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____
_____

SECTION D

OPEN-ENDED QUESTIONS.

Please provide reasons for your answers:

D1.   Do you feel that the Buffalo City Municipality has achieved its primary objectives in terms of its developmental role?

_____
_____
_____
_____
_____
_____
_____

D2.   What further strategies can the Buffalo City Municipality contemplate to enhance basic service delivery levels?

_____
_____
_____
_____
_____
_____

D3.   What additional strategies can the Buffalo City Municipality consider to further enhance public consultation and participation initiatives?

QUESTIONNAIRE (B)

SAMPLE: MEMBERS OF THE EXECUTIVE COMMITTEE AND WARD COUNCILLORS OF THE BUFFALO CITY MUNICIPALITY

SECTION A : BIOGRAPHICAL DETAILS

PLEASE MARK THE APPLICABLE BLOCK WITH AN "X"

A1.   AGE GROUP

1.	20-29 years		2.	30-39 years		3.	40-49 years		4.	50 & above	

A2.   GENDER

1.	Male		2.	Female	

A3.   EDUCATIONAL LEVEL

1.	Grade 8 and below		2.	Grades 9 to 10		3.	Grades 11 to 12	
4.	Diploma or Degree		5.	Post-Grad qualification				

A4.   OCCUPATIONAL STATUS

1.	Mayoral Committee Member		2.	Ward Councillor				

A5.   LENGTH OF SERVICE IN ABOVE POSITION

1.	Less than 1 year		2.	1-5 years		3.	6-10 years		4.	10 years and above	

SECTION B

PLEASE MARK THE APPLICABLE BLOCK WITH AN "X"

LEGEND
1 = Strongly disagree
2 = Disagree
3 = Undecided
4 = Agree
5 = Strongly agree

B1.   Ward committees in the Buffalo City Municipality are structured in a manner that is representative of key community groupings so as to ensure wide representation.

1	2	3	4	5

B2.   The Buffalo City Municipality has a functional ward committee system in place and ward committees meet regularly.

1	2	3	4	5

B.3   Ward committees do receive sufficient administrative support from the Municipality to enable them to perform their functions.

1	2	3	4	5

B4.   The Buffalo City Municipality does have a well-structured ward committee development programme in place.

1	2	3	4	5

B5.   There is no relationship between the work of ward committees and community development workers in the Buffalo City Municipality.

1	2	3	4	5

B6.   The ward committee system is functioning properly in deepening democracy and promoting public participation in government.

1	2	3	4	5

B7.   The Buffalo City Municipality has sufficient staff to deal with issues of public participation.

1	2	3	4	5

B8.   The Buffalo City Municipality budgets adequately for public participation initiatives.

1	2	3	4	5

B9.   Communication and public participation initiatives in Buffalo City Municipality are aligned.

1	2	3	4	5

1	2	3	4	5

B10. The Buffalo City Municipality has developed policies and strategies to promote public participation.

B11. There are structures that exist in the Buffalo City Municipality to promote public participation.

1	2	3	4	5

B12. Local communities participate fully in shaping their destiny at local government sphere.

1	2	3	4	5

B13. Local government, and the Buffalo City Municipality specifically, is facing challenges in terms of fulfilling its constitutional mandate of creating a democratic, transparent and responsive governance.

1	2	3	4	5

B14. The Buffalo City Municipality has introduced community capacity development and awareness programmes to ensure that the community is educated regarding the role and operation of local government.

1	2	3	4	5

B15. Local government does receive sufficient capacity development support from the provincial government.

1	2	3	4	5

B16. The IDP and Budget processes of the Buffalo City Municipality provide the public with sufficient opportunities to take part in their development, implementation and evaluation.

1	2	3	4	5

B17.   There is no alignment between the Buffalo City Council's community outreach programmes and the provincial and national outreach programmes within the Buffalo City Municipality.

1	2	3	4	5

B18. Municipalities do consult sufficiently with key stakeholders and interest groups during the IDP processes.

1	2	3	4	5

B19. Municipalities' IDPs and budgets are not driven by the people, but rather by municipal officials.

1	2	3	4	5

B20.   SALGA is performing its municipal capacity development role effectively.

1	2	3	4	5

B21. The rural areas that form part of the Buffalo City Municipality do not receive the same attention and service delivery commitment as their urban counterparts.

1	2	3	4	5

B22. The provincial government in the Eastern Cape has problems of its own, which is affecting its ability to assist local municipalities.

1	2	3	4	5

B23. Marginalised communities of the Buffalo City Municipality are excluded from municipal planning and decision-making processes.

1	2	3	4	5

B24. The Supply Chain Management processes in the Buffalo City Municipality are above reproach and can withstand public scrutiny.

1	2	3	4	5

SECTION C

Please indicate a Yes, No or Neutral response to the questions below:

C1. Public participation delays service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C2. Lack of understanding of the way local government operates is affecting the ability of local communities to participate in key local government activities.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C3. The media play a watchdog role in scrutinising and monitoring local government service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C4. Corruption and nepotism are rampant at the local government sphere.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

| | | Yes | No | Neutral |

C5. Anti-fraud and anti-corruption strategies in the Buffalo City Municipality are effective.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C6. The Buffalo City Municipality is experiencing a shortage of critical skills, which affects service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C7. Balancing service delivery and environmental consideration is delaying service delivery.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C8. The local government system in South Africa, both in theory and practice, can be described as people-centered.

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

C9. Do you think that the recent service delivery protests (2008/09) in the Buffalo City Municipality are an indication of the lack of public participation and regular communication between the Council and the community?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____

C10. Do you agree with the statement that low voter turnout in local government elections is an indication of community dissatisfaction with municipal service delivery?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____

C11. Do you feel that there is a problem of apathy at the local government sphere?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____

C12. Is the Buffalo City Municipality faced with a challenge of capacity to spend its capital budget optimally?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____

_____
_____

C13. In your view, is there a problem of integration between the
local, provincial and national spheres of government?

Yes	No	Neutral

Explain your answer:

_____
_____
_____
_____
_____
_____
_____

SECTION D

OPEN-ENDED QUESTIONS.

Please provide reasons for your answers:

D1.   Do you feel that the Buffalo City Municipality has achieved its primary objectives in
terms of its developmental role?

_____
_____
_____
_____
_____
_____
_____

D2.   What further strategies can the Buffalo City Municipality contemplate to enhance basic
service delivery levels?

_____
_____
_____
_____
_____
_____

D8.   What additional strategies can the Buffalo City Municipality consider to further enhance
public consultation and participation initiatives?

FOCUS GROUP DISCUSSION GUIDE

Moderator instructions:

- Obtain written consent forms;
- Obtain verbal consent;
- Agree with group that the discussion will be confidential;
- Ask permission to turn on the tape recorder (if applicable); and
- Inform participants that they may withdraw from the discussions at any point.

READ TO FOCUS GROUP PARTICIPANTS:

"Thank you for agreeing to join us today. Before we begin, I would like to confirm that you have given your voluntary consent to participate. Do you agree freely?"

"Okay, then I would like to start with the instructions."

Begin:

- Start with the instructions;
- Proceed with participant introductions; and
- Introduce an ice-breaker activity.

SECTION 1: Focus group questions for members of ward committees in the Buffalo City Municipality (Interview Guide)

1. As members of a ward committee do think that you are playing an effective role in enhancing local service delivery in your area? If yes, why? Please give examples. If no, what can be done to improve the situation?

2. Do you work closely in consultation with your ward councillor? If yes, how? If no, what are the reasons?

3. Do you feel that the public participation strategies introduced by the Buffalo City Municipality achieve their aims? If yes, why? If no, what can be done to improve the situation?

4. As a member of a ward committee do you fully understand your role and responsibilities? If yes, have you attended any capacity building initiatives for ward committee members? If no, what are the possible reasons for not fully understanding your role or responsibilities?

5. Do you feel that ward committees are the most effective structures to facilitate public consultation and participation at the municipal level? If yes, why. Please provide examples. If not, what are the best strategies to enhance public participation?

Thank the participants for their participation.