



**UNIVERSITY OF  
ZULULAND**  
*RESTRUCTURED FOR RELEVANCE*

**DEPARTMENT OF PUBLIC ADMINISTRATION**

**The Role of Public Participation in Facilitating Integrated Development Planning for  
Improvement of Services In uMhlathuze Local Municipality**

by

**Sibusiso Siphamandla Mnguni**

**Submitted in partial fulfilment of the requirements of the degree of  
Master of Public Administration**

**Supervisor: Miss N.N. Jili**

**Co-supervisor: Prof. C.A. Isike**

**December 2018**

## DECLARATION

I declare that **The Role of Public Participation in Facilitating Integrated Development Planning for Improvement of Services in UMhlatuze Local Municipality**” is my own work, that it has not been submitted before for any degree or examination at any other university, and that all sources I have quoted have been indicated and acknowledged as complete references.

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**SIBUSISO SIPHAMANDLA MNGUNI**

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**DATE**

## **DEDICATION**

Dedicated in loving memory of my father Mr M Mnguni, my brother Mr Siboniso Mbhekiseni Mnguni and my lovely daughter Anesu Sikelelwa Mnguni.

Nilale ngokuthula MaNzimela.

## ACKNOWLEDGEMENTS

I would like to express my sincere gratitude and acknowledgement to the following people for the support they have offered me towards the completion of this dissertation:

- To GOD Almighty for the strength given to me to finish this dissertation.
- My supervisors, Miss Nokukhanya Jili and Professor Christopher Isike, for all their guidance.
- To my mother, Mrs Mnguni, and the entire Mzimela Clan for their everyday prayers and also for their endless motivation.
- To my special woman, Ntombizoxolo Angel Mkhize u MaGcwabe, I remain indebted and thankful forever.
- To my daughter, Esami Philakahle, for her unwavering support and unconditional love.
- To the Father-figure, Mduduzi Gift Mhlongo, and his wife Mrs Thandeka Mhlongo, Thank you for everything - BaHlongo!!
- My special thanks go to my late brother, Mfundo Wisdom Mthenjana, who believed in me and my potential. Aaaah Ndaba!!
- My friends and sisters, Siyathokoza Mathenjwa, Sicelo Mpanza, LeeRato Lebo Motlounge, Mxolisi Ndlovu, Jubilee Khumalo, Zamani Mnyayi, Sinegugu Ndlela, Ntombi Goodness Kubheka, Sandiseni Mbatha, Siyabonga Mabunda, Thembinkosi Zulu, Nomcebo Mzimela, Samukelisiwe Mzimela, Sifiso Sibeko, Zimele Mzimela and Sandile Mkhize, for bearing with me over the last two years and for your support, I will be forever indebted.
- The residents who participated in the study and allowed me into their homes and private spaces to share valuable experiences and the many challenges faced on a daily basis.
- The officials and councillors of the UMhlathuze Local Municipality for sharing information and granting interviews.
- The UMhlathuze Local Municipality community, especially my comrades and friends, for allowing me to work in the community for the past two years.

Kunina Nonke Ngithi Nangomso Ningadinwa. Ukwanda Kwaliwa nguMthakathi!

## **ABSTRACT**

Public participation is understood to be an active process in which participants take initiative and action, that is stimulated by their own thinking and deliberation, and over which they can exert effective control. Hence, this study assesses the role of public participation in enhancing provision of services, particularly in the uMhlathuze Local Municipality. This study used both qualitative and quantitative methods to collect and analyse data. Qualitative data was gathered from the municipal officials through the use of semi-structured interviews. Quantitative data was collected from community members through the use of a standardise questionnaires. The analysis of quantitative data was done through the SPSS software programme, whereas the qualitative data analysis was achieved through the application of thematic analysis process. Key findings of this study revealed that there is a lack of communication between the municipality and the public regarding the process of Integrated Development Planning (IDP) formulation and any service delivery plan. Political interference and influence on public participation is another problem that hinders the process of public participation and IDP formulation. Moreover, there is an information gap between the municipality and public in terms of the process of public participation and IDP formulation. The process of IDP formulation does not take the direction and shape of the citizens; rather it is executed through tokenism. This study recommends that the municipality should realign the process of IDP to improve the communication strategy and to ensure that all groups of people, of all ages and social classes, are invited to participate in the process of IDP formulation and present their needs, so that they can be incorporated in the IDP document. The municipality also needs to develop a monitoring and evaluation tool to measure their effectiveness on the impact of public participation to ensure that there is citizen contribution on service delivery planning. The municipality must safeguard political influence on the process of public participation in order to promote participatory democracy that is non-partisan and non-discriminating.

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## LIST OF ABBREVIATIONS

ANC	African National Congress
CDW	Community Development Worker
COGTA	Cooperative Governance and Traditional Affairs
COGTA	Cooperative Governance and Traditional Affairs
DPLG	Department of Provincial and Local Government
DPLG	Department of Provincial and Local Government
EIA	Environmental Impact Assessment
HOD	Head of Department
IAP2	International Association for Public Participation
IDP	Integrated Development Planning
IGR	Intergovernmental Relations Framework Act
KPA	Key Performance Areas
MFMA	Municipal Finance Management Act
NA	National Assembly
NDP	National Development Plan
NGO	Non-Governmental Organisations
PGDS	Provincial Growth & Development Plan
PPAs	Participatory Poverty Assessments
PRSPS	Poverty Reduction Strategy Papers
PSC	Public Service Commission
SALS	South African Legislative Sector
SASSA	South African Social Security Agency
SPSS	Software Package for Social Sciences
UN	United Nations
WPLG	White Paper on Local Government



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# CHAPTER 1

## BACKGROUND AND ORIENTATION OF THE STUDY

### 1.1 INTRODUCTION

The Constitution of the Republic of South Africa (1996) and the White Paper on local government (1998) assert that public participation is a cornerstone of a robust and living democracy. Municipalities are the closest government structure to the people. The Constitution of the Republic of South Africa tasks local government with the responsibility of providing infrastructure and services that are an essential component of social and economic development. These services include: inter alia, water, sanitation, roads, storm-water drainage, refuse collection and electricity. The successful delivery of these services contributes to the socio-economic wellbeing of the society. This study sought to assess the role of public participation in formulating and implementing Integrated Development Plan (IDP) and in enhancing service delivery in uMhlathuze Local Municipality.

Cloete (1995) suggested that public participation is a constitutional prerequisite for law formulation or amendment, and it is crucial for democratic sustainability and promoting good local governance and administration. Good local governance is a process that ensures the provision of services to the public, in such a manner that accountability, equity, transparency, responsiveness, efficiency and effectiveness are upheld in the local government sphere. Furthermore, public participation is an active process in which participants take initiative and action that is stimulated by their own thinking and deliberation and over which they can exert effective control. Therefore, public participation encourages a bottom-up approach to public policy-making and policy implementation (Fox & Meyer, 1995).

In line with this, capacity building is necessary in order to enhance the public's knowledge, skills, perspective and strength so that local government services can be efficiently and effectively delivered. Furthermore, pooling of human resources together at a fundamental level leads to capacity building. The collective decisions taken on a particular local issue by a group of citizens have more strength than those taken by an individual.

Masango (2001) indicated that public participation is built into public administration and is the key to developing communities. Public participation in uMhlatuze is equally important for improved service delivery. The researcher has assessed and evaluated the state of public participation in the formulation and implementation of IDP and how this affects service delivery. The goal was to contribute to the body of knowledge on participative processes in the local municipality governance.

Essentially, this study analysed the role played by public participation in enabling good governance at the local municipal level, by focusing on the IDP and service delivery in the specific case of UMhlatuze Local Municipality. It investigated how the process of public participation in IDP and service delivery can be strengthened. The level of knowledge regarding legislation, institutions and processes of public interaction with the legislative and IDP and implementation institutions, and the intention to participate in these processes, are regarded as important.

## **1.2 STATEMENT OF THE PROBLEM**

Poor understanding of the development process and the importance of the role that should be played by communities, coupled with poor understanding of the role and responsibility of each sphere of government, contribute to the clashes between communities and their municipalities (Turok, 2014). In South Africa, protests against poor service delivery have become a trend, with many communities perceiving it as the only way of getting the attention of those in authority (ibid). As mentioned above, service delivery failures resulted from the break-down of the relationship between citizens, policy makers and service providers. Thus, continuous protest reports raised questions about the sphere of community participation in decision-making on issues affecting service delivery and their general understanding of responsibilities of various spheres of government.

The uMhlatuze Municipality has over the years staged and implemented a number of Integrated Development Plan programs. The public has been invited to partake in all these programs, but the end results have proven to be negative. According to Masango (2001), the interaction between the public, political and administrative institutions in the South African democracy takes a multiplicity of forms and aspects and is, in principle, complicated. Notwithstanding that, Public participation offers a

channel through which the public can give inputs into decision-making in terms of the making and implementation of policy. This is all the more essential in South Africa's case with its history of non-popular participation in decision-making. In essence, the legacy of apartheid rule continues to haunt the implementation of public participation programmes in the communities and more especially, at local government sphere. Often, the democratic institutions of Government, as well as their concomitant processes and rules, which the aim is to bring closer to communities, appear to them as something distant, alien, and perplexing.

Moreover, no reminder is needed of the inherent danger this poses for a healthy system of democracy. Citizens will not support democratic institutions that appear foreign or incomprehensible to them. However, popular support for democracy and its institutions and policies is not, as is commonly assumed, expressed solely via the ballot box during elections, but is also dependent upon ongoing and regular interaction between the public and these institutions and their policies. In view of the background provided above and after considering studies on public participation and service delivery there is yet no study that was done on the role of public participation in enhancing IDP and service delivery specifically in uMhlatuze local municipality therefore, it is important for this study to address the following research problem. Although other studies has been conducted elsewhere but this study is unique since it is based on mixed methods, in assessing both administrative and citizenship sides.

What is the nature of the interaction of public participation and public policy-making, Integrated Development Plan and implementation in the City of uMhlatuze Municipality, and how can this interaction be strengthened and made more fluid?

### **1.3 THE AIM OF THE STUDY**

The study aimed at assessing The study is aimed at assessing The Role of Public Participation in Facilitating Integrated Development Planning for Improvement of Services In uMhlatuze Local Municipality.

### **1.4 OBJECTIVES OF THE STUDY**

The study sought:

- i. What is the role of public participation in effective service delivery?
- ii. What is the effect of public participation on service delivery in UMhlatuze Local Municipality?

- iii. What sphere of community awareness on the value of public participation in IDP formulation and implementation in UMhlathuze Local Municipality?
- iv. What the sphere of community participation in IDP formulation and implementation in UMhlathuze Local Municipality?

## **1.5 RESEARCH QUESTIONS**

The study explored the following questions:

- i. To examine the role of public participation in effective service delivery.
- ii. To determine the effect of public participation on service delivery in UMhlathuze Local Municipality
- iii. To determine the sphere of community awareness on the value of public participation in IDP formulation and implementation in UMhlathuze Local Municipality
- iv. To explore the sphere of community participation in IDP formulation and implementation in UMhlathuze Local Municipality

## **1.6 SIGNIFICANCE OF THE STUDY**

The study is significantly describing and exploring the importance of public participation into IDP to enhancing services delivery. More significant, public participation is a democratic value of the country, it ensures that local government is representative, transparent and involves people in their own development. Thus, a study of this nature is imperative to assess the effectiveness of public participation into IDP. Actually, an IDP is the main development tool in the local government, which is a process through which a Municipality can establish a development plan for the short, medium and long-term and it serves as a basis for public participation.

It's inevitable that IDP is a tool that municipalities are obligated to utilize in transforming the spatial, Social and economic environment in which people live, work and seek to fulfil their aspirations. According to the White Paper on Local Government 9 March 1998: Local Government has a critical role to play in



reconstructing local communities and environments, as basics for democratic, integrated, prosperous and truly non-racial society.

It is only through objective analysis such as empirical studies that can paint out a vivid image on how effective and efficient is the relationship between IDP and Public participation in enhancing service delivery.

This study produces an empirical finding that will help the Municipality to strength public participation platforms, increase the engagement of interest groups in the process of IDP. The study will add academic value of the existing literature precisely on public participation and IDP process. Recommends for policy development and future research will be added to ensure that changes are made for future development and improvement of the current conditions. Even though generalizations cannot not be justified but the study will help to document the challenges municipalities that municipalities are facing in terms of public participation.

## **1.7 STRUCTURE OF THE DISSERTATION**

This dissertation is structured into five chapters as follows:

Chapter 1: This chapter introduces the background of the study, and the objectives of the study and research hypothesis is stated. The chapter explains the statement of the problem and the significance of the study.

Chapter 2: This chapter aims to present an examination and analysis of the literature review of the study and theoretical framework related to public participation in Integrated Development Planning and service delivery.

Chapter 3: This chapter explains the research methodology of the study. The study shows procedures of research design, on how a sample plan was executed, the data collection processed that followed and the process of data analysis that was employed in order to test the research hypothesis of the study.

Chapter 4: This chapter presents the data analysis and interpretation of research results. This chapter gives an account of how the collected research results were analysed and the interpretation of the results. Both

qualitative and quantitative research results are analysed and presented into respective forms.

Chapter 5: The core objective in this chapter was to present the research findings of the study. In this study the research findings are to be discussions. The chapter aims to provide the conclusion of the study based on the research findings and offer recommendations based on these research findings.

## **1.8 SUMMARY**

The orientation of the study, the presentation of the research hypothesis and objectives of the study have been outlined. This study assesses the role of public participation in enhancing provision of services, particularly in the uMhlathuze Local Municipality. The significance of this study and the outline of the dissertation has been discussed.

## **CHAPTER 2**

### **LITERATURE REVIEW**

#### **2.1 INTRODUCTION**

This chapter aims to present an examination and analysis of the literature review and the theoretical framework related to public participation in Integrated Development Planning and service delivery. It further conceptualizes and theorizes public participation, discusses the role of public participation in Integrated Development Planning process, the role of public participation in service delivery, level of public participation (the Arnstein Theory), possible impact of public participation in service delivery, and factors promoting and hindering public participation. Moreover, this chapter will look at the basis of the country's constitution and other legislative frameworks on public participation and service delivery. Thereafter, it reviews public participation studies, and the literature on service delivery in South Africa, specifically at local government level.

The Constitution of the Republic of South Africa, stipulates that people's needs must be responded to and the public must be encouraged to participate in policy making (clause 195(1) (e)). In essence, since the local sphere is the nearest to citizens, it is regularly seen as the ideal level for the government's interaction with the citizens, to communicate their needs to government. This contention is endorsed by the supreme law of the Republic of South Africa, which states that one of the objectives of local government is to encourage the involvement of communities and community organisations in matters of local government (clause 152(1) (e)). It is obligatory for the local sphere of government, hence, to promote an environment that is conducive enough for communities to participate in the affairs of the municipalities.

A conducive environment should not only make it possible for a municipality to get to know first-hand the needs and aspirations of communities, but it should provide citizens with essential knowledge on how government functions. Participation should, nevertheless, not be allowed to degenerate to citizen's meddling in the affairs of the municipality. Craythorne (2003) argued that, public participation must not be interpreted as allowing interference with a municipal council's right to govern.

Furthermore, this entails that a balance must be struck and at some point, citizen participation must stop. Moreover, municipality must exercise its legal authority of governing. Essentially, the whole process of participation must be properly monitored and managed.

Participation enhances a sense of identity and belonging on the part of citizens (Kanyane, 2010). It is worth noting that it is precisely this sense of identity and belonging that is omitted and absent between citizens and the local sphere of government in South Africa. What prevails is what can be referred to as an “us” (communities) and “them” (local sphere of government) syndrome and what others interpret as an exclusive government. Fundamentally, this is exactly the reason why communities destroy schools, clinics and libraries during service delivery protests as they perceive these as not belonging to them but to the government.

## **2.2 THEORETICAL FRAMEWORK OF PUBLIC PARTICIPATION**

This segment locates the topic of the study in a theoretical framework in order to provide a conceptual platform from which to launch the empirical fieldwork. The latest developments on the topic in the current literature, including conceptualising, types of public participation, comparison and approaches will be recognized and deliberated.

Designing and implementing public participation is a matter of extreme complexity, both in theory and practice. In fact, scholars and practitioners are not unanimous in defining the scope, the objectives, and even the meaning of public participation (Arnstein, 1969). Despite various understandings, most literature agrees that the concept of influence is key to understanding public participation: as put by US EPA (2009), public participation is a process that enables the public to influence decisions that affect their lives, through their involvement in the decision-making (US EPA.). Different kinds of participation can allow for different degrees of influence (Arnstein, 1969).

Public participation can be understood as a process enabling the public to influence decisions that affect their lives. Ideally, when Environmental Impact Assessment (EIA) public participation is structured, based on a normative rationale, the public is given the chance to get effectively involved throughout environmental assessment and related planning processes, eventually reaching a decision whose ownership is

shared by all involved parties. The decline of public engagement and participation has been documented by many scholars in diverse disciplines of social science (Postman, 1985; Putnam, 1995). For companies and organizations, particularly those whose existence primarily relies on public participation, like Facebook and Wikipedia, contributions from the public are indispensable in creating organizational loyalty (Holland & Stacey, 2001) and commitment (Lines, 2004; Mathieu & Zajac, 1990; Mayer & Schoorman, 1998). Therefore, developing effective strategies to engage the public, and to initiate participation, has become a focal point for both public relations practitioners and scholars.

Public participation implies the involvement of citizens in a wide range of policymaking activities, including the determination of spheres of service, budget priorities, and the acceptability of physical construction projects in order to orient government programmes toward community needs, build public support, and encourage a sense of cohesiveness within neighbourhoods (United Nations, 2010).

Nonetheless, limited empirical evidence can be found to support the argument that people may participate as much (and as effectively) for reasons other than monetary incentives. Some scholars have suggested that the social norm could be a driving force for public participation (Rafaeli & Ariel, 2008), although money has always been a powerful incentive in driving participation (Rafaeli, 2007; Rafaeli & Raban, 2005).

The Constitution of the Republic of South Africa, Section 152 and 195 states that municipalities are obliged to encourage the involvement of communities and community organizations in municipal affairs, people's needs must be responded to, and the public must be encouraged to participate in policy making. The White Paper on Local Government (1998) pronounced developmental local government as "local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives".

In South Africa, citizenship is defined in terms of South African Citizenship Act 88 of 1995, section 2(1), as amended by the South African Citizenship Act 17 of 2005. Public participation in decision making is fundamental to enable people to claim their democratic rights. In South Africa, this right is enshrined in the Constitution of the

Republic of South Africa , section 19, which states that every citizen is free to make political choices and to participate in political process. The Draft National Policy Framework on Public Participation (2007) terms participation “as an open, accountable process through which individuals and groups within selected communities can exchange views and influence decision-making processes. Furthermore, participation is defined as a democratic process of engaging people, deciding, planning and playing an active part in the development and operation of services that affect their lives.

### 2.2.1 Arnstein’s ladder theory of participation



Source: Arnstein, 1969

**Figure 2.1: The ladder of citizen participation**

Sherry Arnstein, toward the end of nineteenth century, pioneered a public participation theory. The particular importance of Arnstein’s work comes from the acknowledgement that there are different spheres of participation, from manipulation or therapy of citizens, through to consultation, and to what we might now view as genuine participation, i.e. the spheres of partnership and citizen control. The precincts of Arnstein’s framework emphasises involving communities in government

affairs, and allowing the public to control or have power in governance by involving them in decision-making and responding to their (community) needs. Each of the steps represents a very broad category, within which there are likely to be a wide range of experiences. For example, at the level of 'informing' there could be significant differences in the type and quality of the information being conveyed. It also emphasises on giving relevant information that will uplift the lives of the community. Perhaps the most important theoretical work on the question of community participation was by Arnstein (1969).

The precincts of Arnstein's framework are obvious. Each of the steps represents a very broad category, within which there are likely to be a wide range of experiences. For example, at the level of 'informing' there could be significant differences in the type and quality of the information being conveyed. Realistically, therefore, spheres of participation are likely to reflect a more complex continuum than a simple series of steps. The use of a ladder also implies that more control is always better than less control. However, increased control may not always be desired by the community and this increased control, without the necessary support, may result in failure. This study will therefore assess if uMhlathuze Municipality practices the steps stipulated by Arnstein's theory with regards to involving the community.

### **2.3 LEGISLATIVE FRAMEWORK FOR SOUTH AFRICAN PUBLIC PARTICIPATION**

The Constitution of the Republic of South Africa (1996), and a number of other key pieces of legislation, such as the White Paper on Local Government (1998), the Municipal Structures Act (1998) and the Municipal Systems Act (2000), form a sound legal framework for participatory local democracy (Department of Provincial and Local Government, 2005:11; South African Local Government Association, 2006). Sections 59 and 72 of the Constitution provide for public participation. To institutionalize this, the Public Participation Framework for the South African Legislature Sector (2013) was promulgated. This legal framework is cited in this study to develop its contextual understanding. However, its scope does not include local government or provincial and national departments.

### **2.3.1 The White Paper on local government (1998)**

The White Paper on Local Government (1998) expressed developmental local government as a type of "local government committed to working with citizens and groups within the community to find long-term or sustainable ways to meet the social, economic and material needs and improve the quality of the lives of the community". Be that as it may, for this vision to be comprehended, the White Paper on Local Government further instructs municipalities to achieve local democracy by developing strategies and mechanisms to ensure continuous engagement with citizens, businesses and community groups (Department of Provincial and Local Government, 2005). Moreover, the White Paper on Local Government requires active participation by citizens at four spheres:

- Voters.
- Participants in the policy process.
- Consumers and service users.
- Partners in resource mobilization (White Paper on Local Government, 1998:33).

Furthermore, it stresses that municipalities should promote active participation and, consequently, councillors should promote the involvement of citizens and community groups when designing and delivering municipal programmes. Likewise, municipalities are therefore encouraged to implement inclusive approaches to promote community participation by implementing strategies that would offset impediments. Municipalities should also encourage the active participation of the marginalized groups in local government affairs (South African Local Government Association, 2006). Therefore, it becomes apparent that the trust is placed on municipalities to work together with local communities to find sustainable ways of meeting their needs and improving the quality of their lives.

### **2.3.2 Municipal Structures Act 117 of 1998**

This act underlines that a municipal council must develop mechanisms to consult the community and community organizations in performing its functions and exercising its powers. A municipal council is instructed to annually review the needs of the community and prioritize strategies to meet those needs, as well as processes to involve the community. Part 4 of the Municipal Structures Act (1998) provides for the



establishment of ward committees. According to the South African Local Government Association (2006), the objective of the establishment of ward committees in local government is to ensure local participatory democracy. The Act apportions a ward councilor to be a chairperson of a ward committee. It instructs the municipal council to develop the rules that will be followed when the selection of a ward committee is conducted.

### **2.3.3 Municipal Systems Act 32 of 2000**

Section 5 of the Municipal Systems Act provides for the rights of members of a local community. It states that the members of the community have the right to contribute to the decision-making processes of the municipality. This includes the consultation of community members on the development of municipal needs and priorities, as well as the drafting of an Integrated Development Plan (IDP). Section 5 of the Municipal Systems Act calls for community members to be informed of any decisions of the municipal council which may affect their rights, property and reasonable expectations. In Chapter 4 of the Act, the prescription is that municipalities should develop a culture of municipal governance that augments formal representative government with a system of participatory governance.

Each section of the legislation has the initiative to ensure the rights of members of the community pertaining to municipal functions. This is due to the fact that participatory democracy in local government is regarded as critical for development (Department of Provincial and Local Government, 2005). This leads the discussion to the analysis of the significance and challenges of structures created to promote public participation in the South African local government.

### **2.3.4 The National Policy Framework on Public Participation**

The National Policy Framework on Public Participation (2007) outlines the following principles of community participation:

1. Inclusivity refers to embracing all views and opinions in the process of community participation.
2. Diversity refers to understanding differences in terms of race, gender, religion, ethnicity, language, age, economic status and sexual orientation.

3. Building community participation is attainable through empowering role players to understand the objectives of community participation.
4. Transparency refers to promoting openness, sincerity and honesty among all the role players in a participation process.
5. Flexibility is ability to make room for change for the benefit of the participatory process.
6. Accessibility refers to both mental and physical spheres, collectively aimed at ensuring that participants in a community participation process fully and clearly, understanding the aim, objectives, issues and methodologies of the process, and are empowered to participate effectively.
7. Accountability means the assumption by all the participants in a participatory process of full responsibility for their individual actions and conduct, as well as a willingness and commitment to implement, abide by and communicate as necessary all measures and decisions in the course of the process.
8. Trust, commitment and respect are all required in a public participatory process. Trust is used to refer to faith and confidence in the integrity, sincerity, honesty and ability of the process and those facilitating the process.
9. Integration means that the community participation processes are part of mainstream policies and services, such as the Integrated Development Plan (IDP) process and service planning.

The study evaluates whether public participation in IDP in uMhlathuze Local Municipality conforms to the principles of participation and thus the elements of the National Policy Framework on Public Participation.

## **2.4 CONCEPTUAL FRAMEWORK**

The conceptualization of public participation channels the discussions around the literature on participation and if there is connection between public participation as a theory in relation to the case study on public participation on integrated development planning (IDP) and service delivery in uMhlathuze Local Municipality. The review of this literature on public participation forms the basis for the analysis of the research findings of this study.

Turnbull and Aucoin (2006) undertook a review of public engagement in policy across all three spheres of government in Canada. They concluded that all spheres of government tended to work from a platform of citizen consultation rather than of real citizen engagement. However, they also concluded that public participation was most feasible at the local level, because of historically better participation rates in consultation exercises and because of the lower cost of undertaking public participation within the boundaries of a single municipality.

In a country like China, where democracy and societal groups are still underdeveloped, local governments ought to not only proactively retreat, but rather proactively usher in the era of civic participation in local governance and foster social organisations while maintaining social stability.

For the purposes of this study, a useful definition of public or community participation, by Stoker (1997) for 'political participation' (following Parry, 1992), is that members of the public take 'part in any of the processes of formulation, passage and implementation of public policies'. This is a wide-ranging definition, which extends the emphasis of public participation beyond the development of policy, to decision-making and implementation. Sherry Arnstein (1969) argued that citizen participation is a categorical term for citizen power. It is the redistribution of power that enables the 'have-not', marginalized citizens, presently excluded from the political and economic processes, to be deliberately included in the future. It is the strategy by which the 'have-nots' join in determining how information is shared, goals and policies are set, tax resources are allocated, programmes are operated, and benefits like contracts and patronage are shared. In short, it is the means by which they can induce significant social reform which enables them to share in the benefits of an affluent society.

Public participation as a concept has been defined differently by various authors. Nzimakwe (2010) explained public participation "as an all-encompassing label used to describe various mechanisms that individuals or groups may use to communicate their views on a public issue. They argue that public participation is used to build and facilitate capacity and self-reliance among the people". Therefore, public participation is an involvement of the citizens in initiatives that affect their lives. The White Paper on Local Government (1998) defined public participation as an active involvement of the local population in decision-making concerning development projects or their

implementation. In development planning and implementation, people, as citizens and consumers of services, are the most valuable resource, since they know and understand their needs and how such needs can be met. This definition is supported by the United Nations Department of Economic and Social Affairs (UNDESA 2008), which further highlighted that in public participation, people themselves are afforded an opportunity to improve their conditions of living, with as much reliance as possible on their own initiative.

Public participation can be any process that directly engages the public in decision-making and gives full consideration to public input in making that decision. Public participation is the involvement of people in a problem-solving or decision-making process that may interest or affect them. Public participation is a process, not a single event. It consists of a series of activities and actions by a sponsoring agency over the full lifespan of a project to both inform the public and obtain input from them (Ngcamu, 2014). Moreover, public participation affords stakeholders (those that have an interest or stake in an issue, such as individuals, interest groups, communities) the opportunity to influence decisions that affect their lives (Ngcamu 2014). Waldt (2014) described citizen participation as the cornerstone of local democracy. He stated that, increasingly, citizens demand more information on how public goods are managed, and they want to know how their tax money is spent. They expect better services, and they want to participate in the developmental processes and in making decisions that will affect them. Citizens furthermore demand more interaction with their local government, the accuracy of information, reduced processing times, less duplication of work, access to municipal structures, increased transparency and greater access to public goods.

To participate in developmental processes and decision-making, citizens need to be willing to learn how to negotiate and interact with municipalities. Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process. Public participation is the process by which an organization consults with interested or affected individuals, organizations, and government entities before making a decision. Public participation is two-way communication and collaborative problem solving with the goal of achieving better and more acceptable decisions.

Reynolds (1969) posited on participation as the vital aspect to be taken into consideration by the government when planning or deciding on matters pertaining the public. In essence, this implies that the public are given a chance to voice their concerns through the proper mechanisms provided by the government and their decisions are put forward in the government agenda.

This study will present two types of participation: induced and indicative participation. Induced participation includes those situations in which the public is being encouraged to accept a plan already drawn up and settled, except for details (Turok, 2014). In this case, the relative probability that the public can deliberately influence events in accordance with their interests is low. In contrast, indicative participation defines those situations in which the public is relied on to provide indicators and directives, which are used in establishing the basic aims and assumptions of a planned procedure. The relative probability that the public can influence events is higher in this case (*ibid*, 135).

Mafusa and Xaba (2008) have also shown that there are three types of participation of local communities and individuals. The first type of participation is physical participation which entails citizens being present, and using their skills and efforts. The second type is mental participation, whereby individuals participate in the conceptualization of activities, decision making, organization and management. The third type is emotional participation, which implies that people are assuming responsibility, power and authority. In uMhlatuze Local Municipality context, participation is understood as a powerful tool to help people understand the complexity of development problems and the need for creating integrated responses to difficult challenges.

## **2.5 PUBLIC PARTICIPATION AS THE CORNERSTONE OF DEMOCRACY**

Public participation plays a critical role in deepening democracy and promoting good governance. Citizens' involvement in governance processes ensures that their experiential and grounded perspectives inform government on their needs and how these needs can best be addressed. Given South Africa's past, where prior to 1994 the practice of critical engagement between citizens and the government was frowned upon by an insular and self-perpetuating state, the present democratic government emphasized the need for critical engagement between itself and its

citizens. It, therefore was sure that public participation was to be a key constitutional principle. Section 195(1e) clearly states that “people’s needs must be responded to, and the public must be encouraged to participate in policy-making”. For the first four years of democracy, in emphasizing this aspect, the policy framework was characterized by White Papers that clearly articulated the government’s policy intent and proved an effective mechanism in ensuring extensive consultation and public participation.

In South Africa, public participation is defined as an open and accountable process through which individuals and groups within selected communities can exchange views and influence decision-making (Booyesen, 2009). This definition is in line with one of the constitutional principles of the Republic, which states that people’s needs must be responded to and the public must be encouraged to participate in policy-making. The common theme amongst these various definitions of public participation is that citizens are seen as central, and the emphasis is on the active participation of citizens in their own development-related matters, to ensure sustainable livelihoods.

Nzimakwe (2010) argued that in a democratic state such as South Africa, citizens, as individual members of the public, do enjoy a range of political rights, such as the right to vote and to be represented in all spheres of governance. Van der Waldt (2007) said, broadly speaking, that a citizen is someone who is seen as a member of the state and has particular rights and duties. Citizens play a number of roles in the governance/ local arena: as workers, taxpayers, residents and consumers of services. As such, in a democratic government, citizen concerns are formally expressed through elected representatives (Lemon, 2002). In contrast, Levy (2007) explained that public engagement, underpinned by access to high-quality information, forms an outermost, and possibly the most important element of a national system of checks and balances. Participation in political decision-making by members of the public, individuals and groups, directly or indirectly through elected political representatives, must be secured.

Gildenhuis and Knipe (2000) were of the view that the largest possible participation in public decision-making can be secured by the acceptance of the principle that each and every citizen of a country has the democratic right to participate in public decision-making, in all those areas that influence his or her life, and this includes almost all activities of government.

Further, Pollitt (2007) maintained that public participation is the most active form of relationship, where citizens are directly engaged with the decision-making process. This is a two-way process, usually with more scope for influencing the agenda than consultation. In genuine participation, power is shared between the public authority and the participating citizens. Public participation is fundamental in order to sustain democracy and promote good governance. If public participation is widespread, it will help keep the public functionaries accountable to the people and will prevent politicians from making policies which are damaging to the general welfare of society. Put differently, public participation is crucial to ensure that the “voices” of the people are heard and the needs and wishes of the public are duly acted upon (Hilliard & Kemp 1999).

Masango (2001) explained that communities, citizens and workers can be identified on the basis of specific and fixed characteristics. Consequently, in community, citizen and workers' participation, participants can be easily identified, since their identity does not vary according to the activity at stake. In public participation, however, the public cannot be identified on the basis of specific and fixed characteristics, since it varies according to the issue requiring participation. This is due to the fact that the public, as an entity, continually reconstitutes itself, based on specific circumstances. The public can include individual citizens, community groups and interest groups (Thomas, 1995). Public participation should therefore involve the participation of members of the public who are involved and interested in the issue at stake. As Craythorne (1997) aptly put it, “the secret of public participation is to ensure that the relevant 'publics' are approached on any particular issue”.

Babooa (2008) stated that public participation is defined as the sum total of all citizens and communities deliberately taking part in a goal-oriented activity. Public participation involves the participation of members of the public who are interested in solving issues in question. Craythorne (1997) stated that, “the secret of public participation is to ensure that the relevant “publics” are approached on any particular issue”. From this statement, it can be deduced that for public participation to become a success on any particular issue, the exact and interested members of the public should be involved. According to Thomas (1995) public participation is a process of involving “all organized and unorganized groups of citizens or citizen representatives” on a particular issue. It can be concluded from this sentence that in

public participation, the public includes active members, be it organized or not organized, on any specific issues.

Svensson (1998) described public participation as a process of involving private citizens to affect the decision making with different spheres of life. From this, it can be deduced that public participation involves private individuals who affect decision-making processes.

According to Brezovsek (1995), public participation is a process that combines four basic criteria: (1) individuals are included, (2) it is voluntary, (3) it refers to a specific activity and (4) it is directed towards influencing government institutions. This indicates that there are four links in public participation, namely individuals, voluntary, activity and goal oriented. Public participation is a communication process in which individual citizens communicate their wishes to the representatives of political authorities (Barber, 1997).

Barber (1997) indicated that public participation involves communication between the public and political office bearers. Mathebula (2016) argued that in community participation and public participation there is an existing need to clear the boundaries between the usage, definition, and application between the concepts of community participation and public participation. This seeks to ensure the distinction, or perhaps blending, of the two.

Clearly, with community and public being distinct terminologies, scholars are unenthusiastic to draw the line and at times refer to the concepts interchangeably. Ababio (2004), for instance, made an uninformed mention of community-public participation as a single concept, without providing a theoretical base, within which the assertion is supported. Similarly, Nzimakwe and Reddy (2008) tend to alternate between using the terms 'community participation' and 'public participation', as if they refer to a similar phenomenon. Mofolo (2016) asserted that public participation can be broadly defined as a process where all men and women are given an opportunity to have a voice in decision-making, either directly or through legitimate, intermediate institutions that represent their aspirations. Such broad participation is entrenched in freedom of association and speech, as well as capacity to participate meaningfully. In any democratic country, such as South Africa, participation by both



men and women is a cornerstone of good governance (Graham, Amos & Plumpre, in Qorbani & Feizi, 2014; Nzimakwe, 2010).

Public participation, in specific terms, is elucidated in the following two definitions. Firstly, the European Institute for Public Participation (2009) defined public participation as, "a deliberative process through which affected citizens, civil society organisations, politicians and officials are involved in policy decision-making". Secondly, Fox and Meyer (in Nzimakwe, 2010; Tau, 2011) defined public participation as:

"the involvement of citizens in a wide range of administrative policymaking activities, including the determination of spheres of service, budget priorities and the acceptability of physical construction projects in order to orient government programmes toward community needs, build public support and encourage a sense of cohesiveness within society".

Juta and Moeti (2014) stipulated that community participation (CP), as a modality of development, is often misunderstood and incorrectly applied. The danger is that when CP is ignored or incorrectly applied, the result is often an angry and frustrated community, but if it is correctly considered, it's greatest potential contribution to development relates, inter alia, to the fact that it is essential for ensuring success in the implementation of public projects.

When it transitioned from apartheid to democratic rule, South Africa inherited a monumental national housing crisis, which was fundamentally complicated by a long-standing culture of a lack of popular and community participation in governance and service delivery.

The difference between Community Participation Public participation. It is imperative to discuss the difference between the two concepts, most scholars in the field of public administration use the concepts interchangeably. However, the critique based on this practice is necessary in order to bring clarity. According to Madzivhandila and Maloka (2013:653) the concept of community participation consists of a various meanings relating to a specific context. In the South African context community participation is directly connected to the planning and management of development activities at the local government sphere. Furthermore, Madzivhandila and Maloka (2013) elaborates that community participation allows people to voice their say in

developmental projects. In contrast, Public participation incorporates the public into planning (budget process system and the entire decision making process), public participation is the way of bringing citizen knowledge into project planning, it ensure democracy and human rights in the development process (Yebo-Assiamah, 2017; Debela, 2017; Deng, 2017).

Post-1994, newly adopted principles of democratic participation and civic responsibility made local government a key focal point for development initiatives. The new South African government thus crafted policies and legislation to strengthen fundamental participation by introducing the concept of 'developmental' local government (White Paper on Local Government, 1995, Constitution of the Republic of South Africa, 1996, Chapters 2 and 7). Local government, as the sphere of government closest to the people, was to prioritise community participation by working closely with citizens and communities to find sustainable ways to meet their social, economic and material needs in order to improve the quality of their lives.

Mubangizi and Dassah (2014) highlighted that 'participation' is a popular word in the discourse of development. In the 1980s, participation was perceived as engaging intended beneficiaries of development projects in cost-sharing and consultation, without involving them in defining their own development (Cornwall & Brock, 2005). This is the community or social dimension of participation. At the time, participation helped defuse resistance to international financial institutions' reform initiatives.

Cornwall and Gaventa (2000: 50-62) posited that the discourse of participation in development has shifted to political and rights-based participation, with citizens moving from being "users or choosers" of public services' policies made by other people, to being "makers and shapers" of the policies themselves.

Although participation is an old practice, it is politically ambivalent and definitively vague (Cornwall & Brock, 2005).

Molepo, Maleka and Khalo (2015), citing Mfenguza (2007), stated that public participation is encouraged by the democratic dispensation through various policy initiatives such as the Constitution of the Republic of South Africa, 1996, which states that the National Assembly (NA) must facilitate public involvement in the legislative and other processes of the Assembly and its committees. Similar

provisions are made in other pieces of legislation such as the Municipal Systems Act, 2000 (Act 32 of 2000) and Municipal Structures Act, 1998 (Act 117 of 1998). The intention in this legislation is to ensure that public participation becomes a democratic culture of the system of governance.

Municipalities are entrusted with the responsibility of ensuring that political, social and economic exclusions created in the era of apartheid are eradicated in the new democratic government. According to Section 5 (1)(a) of the Local Government Municipal Systems Act, 2000 (Act 32 of 2000), it is the right and duty of members of local communities to contribute.

Much of the prevailing literature is compatible with the conceptualisation and categorisation approaches in the current analysis – in particular also the argument for the inclusion of electoral and parliamentary participation, along with public protest, and engagement with public information as forms of public participation (Susan Booysen, 2016).

Deegan (2002) stressed the distinction between participation by way of the ballot, and more inclusive decision-making and consultative processes. This orientation is echoed in studies by, for example, Pretorius (2006) and Buccus (2007).

Pithouse (2006) explored the use of protest as manifestation of participation. He refuted perceptions that public participation requires transformation into civil society organisations aimed at professionalised engagement in official opportunities for public participation. Deegan (2002) also stated that participation needs to be conceptualised as voluntary action, i.e. members of the public have the right not to engage, if they so wish.

South African literature on public participation also addresses the relationship between citizen and government. Generally, it apportions blame for lowered spheres of public participation in contemporary South Africa to government actions that suppress and disempower public participation.

Williams (2007) noted that, subsequent to 1994, communities have been less civically active. Edigheji (2007) criticized the governing elite for their failure to provide a vision of transformation and argued that this has affected their relationship with the people, stunting civic responses. Williams (2007) also found that community participation is hampered by the lack of sufficient community organizations, a

concern echoed by Zuern (2002). A number of studies explored the problems of implementing participation. In policy processes, from both national and provincial government, it was found that there was a lack of support (and resources) for implementation (Hicks 2005; Buccus, 2007; De Villiers 2001). Booyen (2001) argued that the democratic government often lacked clarity on the operationalization of consultation, or left it in the hands of consultants.

To further illustrate this, Deegan (2002) explored the legislative and institutional capacities that were developed to encourage public participation. Marais *et al.* (2007) shed light on the shortcomings of public participation initiatives in Gauteng, with specific reference to Integrated Development Planning (IDP) processes in the province. Capacity-related implementation problems were identified (Buccus, 2007; DPLG, 2007). From the viewpoint of government officials, they argued, mechanisms of public participation, such as Community Development Workers (CDWs) and *izimbizos* (summits or meetings), revealed a lack of procedural clarity, internal politicking between role-players, and a lack of officials to conduct consultation. In addition, Tapscott (2006) argued that the expectations of local government were too great and officials lacked the capacity to cope with participatory demands.

## 2.6 TYPES OF PUBLIC PARTICIPATION

Literature shows that there are different types of public participation. This ranges from voting in elections, participating in party politics, holding public demonstrations, petitioning local or national leaders, lobbying decision-makers, making written or verbal submissions to committees, and the use of ward committees at local government level (Mofolo, 2016).

Arnstein and Pretty, as quoted by Davids (2004), developed six typologies to demonstrate the different concepts of public participation. These six typologies are:

1. **Passive participation:** People participate by being told what is going to happen or what has already happened. In this context, participation relates to a unilateral, top-down announcement by the authority or project manager.
2. **Participation in information giving:** People participate by answering questions posed in questionnaires or telephone interviews or similar public participation strategies.

3. **Participation by consultation:** People participate by being consulted, while professionals, consultants, and planners listen to their views. The professionals define both problems and solutions and may modify these in the light of the people's responses.
4. **Participation for material incentives:** People participate by providing resources, such as labor, in return for food and cash.
5. **Interactive participation:** People participate in a joint situational analysis, the development of action plans and capacity building. In this context, participation is seen as a right, not just as a means to achieve project goals.
6. **Self-mobilisation:** People participate by taking initiatives, independent of external institutions, to change systems.

### **2.6.1 Aims of citizen participation**

The aims of citizen participation are several, such as to introduce citizens to governance, involve them as stakeholders, allowing them to exercise their rights as citizens and show the reach of their participation.

#### **1. Introduce citizens to governance**

Mohanty and Tandon (2006) argued that, in the local government sphere, citizen participation is vital for a municipality to keep in touch with the people. Further to that, participation enhances democratic local governance by constantly bringing diverse needs, concerns, views and perspective into the policy-making agenda of a municipal council (Gaventa, 2001). Moreover, this helps to inform the council about what citizens wish to see happening in their area.

#### **2. Participation as 'stakeholder' involvement**

Mohanty and Tandon (2006) stressed that, during the 1990s, with the mainstreaming of participation in large scale development programmes, terms like the 'excluded' or 'beneficiary' began to give way in mainstream development discourse to more neutral terms such as 'stakeholder'. Thus, the World Bank Participation Learning Group, after considerable discussion, arrived at the following definition: Participation is process through which stakeholder's influence and share control over development initiatives and the decisions and resources which affect them (World Bank, 1994).

#### **3. Participation as exercising the rights of citizenship**

Gaventa (2001) posited that by the late 1990s, perhaps somewhat in a dialectical response to the growing neutrality of the way that the term participation was being used by powerful development actors, the re-emergence in development of discourses of participation as a right of citizens, rather than as an opportunity given to beneficiaries and renewed emphasis on the inclusion of the marginalised in development process would be seen. In 2000, for instance the Department for International Development's (DFID) document titled "Realising Human Rights for Poor People talked about the importance of enabling people to realise their rights to participate in, and access information relating to, the decision-making process which affect their lives. The document also requires other conditions, including:

- Democratic institutions and organisations of the poor who can represent their collective interest.
- Inclusion, based on values of equality and non-discrimination.
- Obligations, which is strengthening accountability of institutions to protect and promote rights.

Similarly, the UNDP Human Development Report (2000) argued that 'the fulfilment of human rights requires democracy that is inclusive'. For this, elections are not enough. New ways must be found to secure 'economic, social and cultural rights for the most deprived and ensure participation in decision-making. Mohanty (2006) highlighted that the idea of participation as a right also invokes a move from participation of beneficiaries or stakeholders to the political idea of participation of citizens, who themselves bear both rights and responsibilities.

#### **4. The quality of and limitations to citizens' participation**

The quality or success of the interaction between municipalities and citizens is dependent on various variables. Box *et al.* (2001), for example, argued that citizens, in general, lack the knowledge and political influence to give government institutions a mandate to solve their problems. These authors further argued that various barriers stand in the way, such as the control of information and the policy-making process by interest groups and economic elites, inertia in bureaucratic organizations, and resistance by experts to democratic governance.

The quality and success of participation are further dependent on the spheres of general knowledge citizens have regarding the municipality, that is, who the

executive mayor is, what participation mechanisms are available, and how policies are made. They should also have general knowledge regarding the existing policies and by-laws, as well as the normative and formative systems of local government. In other words, the interaction will depend on the citizens' understanding of the values of government (the spirit in which decisions are made) and the bureaucratic structures of government (the formal processes and routes that information will follow within the organization).

## **2.7 SPHERES OF PARTICIPATION**

According to Thomas (1995), Wilson (1998), and Hirst (2000), a survey revealed that there are different spheres of citizen participation in local governance, ranging from mere consultation to actual participation in governance processes. New mechanisms are being explored that can foster more inclusive forms of engagement between citizens and municipalities, as citizens increasingly are seen as participants in internal democratic processes at the local level rather than as mere subjects that elect representatives. Mechanisms promoting participatory local governance include different approaches and experiences in various parts of the world. They can be grouped into three main categories:

1. Mechanisms initiated by civil society to provide citizens' input.
2. Those mandated by governments to strengthen their responsiveness.
3. Those resulting from a joint effort of citizens and government.

According to Kalk (1996) and Van Houton (1992), participation can be described according to the various spheres at which it occurs. Thornhill and Cloete (2014) stated that the Municipal Systems Act requires municipalities to engage communities in the affairs of municipalities of which they are integral parts, particularly in planning, service delivery and performance management. The Preamble of Municipal Systems Act also requires efficient, efficient and transparent local public administration conforming to constitutional principles, which amongst them is public participation as a cornerstone to robust democracy.

## **2.8 PRINCIPLE OF PARTICIPATION**

According to Swanepoel and de Beer (2006), people are mobilised by agencies and government to participate in development efforts and projects. It is, therefore, essential that there should be a rich understanding of what participation is. It is further emphasised that people should not be mobilised to a limited, prescribed or token extent. The suggestion is that when people participate, they should do so fully in all aspects of the projects. They are part of implementation and evaluation and if need be, they should be able to decide on project course adaptations to keep the project on track.

This study intended to establish how far the municipality participation processes met this principle. Furthermore, it is important to understand how the community itself see their role in participation and what they consider as benefits of their participation.

It is believed that people who do not participate in their own development have no affinity for development efforts and their results (Swanepoel & de Beer, 2006). The study intended to determine if there is any relationship between service delivery protests and community participation in the issues of services being delivered to them. Swanepoel and de Beer (2006) further mentioned that participation is a right of the people, rather than simply making them feel part of the project, and using them only for their local knowledge or physical labour. People have a right to be involved in projects or programme that will influence their future. The questions that need to be answered are whether people are aware of such a right and whether they exercise it. To what extent do they exercise their right to participate, as well as what do they benefit from participation?

Nelson and Wright (2001) advised that 'stakeholder' and 'transformative' are two key words in the World Bank's participation strategy. Thus, in order to analyse the impact of participatory initiatives in organizational contexts, it is important to deconstruct these words and see their ideological implications. It is argued that within one organization there can be different meanings attached to participation. For example, top management may regard it as local control, but to middle management, empowerment and participation may be referred to as self-management for project efficiency and success. While at the other extreme, workers use the term 'beneficiaries' to give participation a functional meaning. With multiple meanings of



development, it is therefore vital to ensure that by using the same word, people do not get the impression that they understand each other, while in reality they do not. Significant participation in planning and development practice is about changing existing power relations in the arena of decision-making. It involves empowerment of new groups of stakeholders. In this manner, a collaborative approach to planning is reached. This allows a wide range of stakeholders to be involved in decision-making and not just trained experts, professionals and elites (Potter *et al.*, 2008).

## **2.9 POSSIBLE IMPACT OF PUBLIC PARTICIPATION IN SERVICE DELIVERY**

In South Africa, the voice of the public is viewed as important in decision-making. The need for public participation is stated in section 195(e) of the Constitution. It is worth noting that the public should participate constructively on matters of governance or in policy formulation and making. However, nevertheless, it is worth mentioning that there are possibilities of negative public participation in service delivery. These possible impacts are going to be thoroughly engaged in this section.

### **2.9.1 Opportunity or danger?**

Participation is not simply achieved through new policy statements, but requires multiple strategies of institutional change, capacity building, and behavioural change. Thus, in the first decade of the 21<sup>st</sup> century, questions must be asked of whether the mainstreaming of participation offers opportunity for greater inclusion and democratisation, and if so, what dangers may exist for misuse and abuse (Cooke & Kothari, 2000).

### **2.9.2 Putting participation into practice**

No matter what the meanings of participation are, and how clearly they are understood, there are equally significant challenges for putting citizen participation into practice, many of which stretch across each use of the term. There may be four broad questions which perhaps should be asked to analyse any participatory process. These include:

1. Whose voices are heard?
2. Who created the space?
3. For what purpose is the participation being promoted?

4. Whose power is affected by it?

### **2.9.2.1 Whose voices are heard?**

One concern of participatory processes is both to express the opinions of those participating and presumably to influence others. The World Bank 'Voices of the Poor' project used participatory methods to gather perspectives of poor people, arguably to inform the World Development Report (2000/2001) on poverty (Narayan, 2000). Goetz and Gaventa (2001) used the term 'Citizen Voice' but warn of 'voice with-out influence'. To them 'voice' refers to a range of measures - such as complaints, organised protest, lobbying and participation in decision-making and product delivery – all used by civil society to put pressure on service providers to demand better service outcomes. Whether using 'voice' to refer to consultation through participatory methods or to stronger versions of inclusive decision-making, the concept still demands some further examination.

### **2.9.2.2 Who created the space?**

The dynamics of participation in particular arenas will vary a great deal according to who creates the spaces for it to occur, and, therefore, what rules will be used to determine who enters the space, and how they behave once they do. These seem to suggest a continuum of spaces, as mentioned here (Cornwall 2002; Brock, Cornwall and Gaventa 2001):

**Closed or Provided Spaces:** Though we want to focus on spaces and places as they open up possibilities for participation, we must realise that still many decision-making spaces are closed, that is, decisions are made by a set of actors behind closed doors, without any pretence of broadening the boundaries for inclusion. Within the state, another way of conceiving these spaces is as 'provided' spaces in the sense that elites (be they bureaucrats, experts or elected representatives) make decisions and provide services to 'the people', without seeing any need for broader consultation or involvement. Participation by more popular groups may take place from the outside, in terms of monitoring, protest actions, or advocacy campaigns.

**Invited Spaces:** As efforts are made to widen participation, and move from closed spaces to more 'open' ones, new arenas may be created, which may be referred to as 'invited 'spaces', those into which people (such as users, citizens and beneficiaries) are invited to participate by various kinds of authorities (government,

supranational agencies or non-governmental organisations) (Cornwall, 2002). Invited spaces may be regularised through law or may be more transient, through one-off forms of consultation, as seen in many of the PPAs (Participatory Poverty Assessments) and PRSPS (Poverty Reduction Strategy Papers).

Claimed/Created Spaces: Finally, there are the spaces which are claimed by less powerful actors from, or against, the power holders, or created more autonomously by them. These may include ways in which civil society actors mobilise themselves from below on poverty-related issues, or choose to create their own parallel processes independent from the more formal state or donor-led decision-making processes.

When examining participatory processes, by whom and how the space was created must be also be examined. These spaces exist in dynamic relationship to one another, and are constantly opening and closing through struggles for legitimacy and resistance, co-optation and transformation. Policy actors in closed spaces may seek to restore legitimacy by creating invited spaces, and similarly, invited spaces may be created from the other direction, as more autonomous people's movements attempt to use their own for an engagement with the state. Also, power gained in one space, through new skills, capacity and experiences, can be used to enter and affect other spaces. In choosing whether to engage in certain spaces, these are constant settlements and adjustments, on ever-shifting terrain, which can only be understood as the purposes behind the creation of the space are analysed.

### **2.9.2.3 For what purpose is the participation being promoted?**

For what purpose is participation being encouraged is closely connected with the question of 'who creates the space for participation' in the first place. The rhetoric of participation in development is now abundant, but participation may be used for many purposes, only some of which may contribute to poverty alleviation or democratisation. A number of 'ladders' of participation have emerged, which often examine the quality of participation along a continuum of possibilities, having to do with how fundamental the change resulting from that participation might be (Pretty 1995; Arnstein, 1971). In examining participatory processes, it is useful to ask whether those who are participating, or calling for participation, do so for:

- Manipulation or co-optation, e.g., to support the status quo, and to divert opposing voices.
- Legitimacy, e.g., to insure wider ownership and support for an agenda which already has been pre-determined, or which will really be decided elsewhere.
- Efficiency, e.g., to help make projects or programmes more cost-effective, targeted and sustainable.
- Transformation, e.g., to change underlying social and power relations in favour of the poor or previously excluded.

In any given space for participation, different actors may be engaging with any of the above purposes in mind. In the first three purposes of participation, the issue of power does not arise. In theory, at least, greater participation may take place without raising questions or challenges about underlying power relations that might affect who participates, who decides and in whose interests. If we consider participation as a form of more democratic decision-making, or as a form of empowerment of the previously relatively powerless, then must also analyse the dynamics of power which may occur in any given participatory.

#### **2.9.2.4 Whose power is affected by it?**

Transformative participation changes power relations in favour of the relatively powerless (e.g., poor and marginalised people). In order to assess the extent to which this occurs, or the potential for power shifts to occur, in any given participatory process, the several spheres of power need to be examined (Gaventa, B. 2002)

- Visible power** - involves examining who participates in public spaces or formal political processes, and who appears to win or lose on particular issues.
- Hidden power** - not all power is visible; definitions. Caution should be taken, however, to undermine the legitimacy that it can create in public administration and the influence on practices some takes place backstage. Therefore, a second question to examine about power is what barriers and biases preclude certain actors, issues, or voices, entering the participatory space in the first place.
- Invisible power** - in both the visible and hidden arenas of power, there may be more certain perspectives from being raised, or certain participants from

engaging. These may be manifested in terms of a sense of powerlessness, lack of self-esteem, lack of critical awareness or simply lack of information which enable people to know their rights to participate.

In situations of highly unequal power relations, simply creating public spaces for more participation to occur, without addressing the other forms of power, may do little to affect pro-poor or more democratic change. New public spaces will simply be filled by the already powerful.

## **2.10 COMMUNITY PARTICIPATION IN DECISION-MAKING SERVICE DELIVERY**

Nelson and Wright (2001) stipulated that all actors in development, particularly those who have direct social or economic involvement and interest, have a different perspective on what constitutes a problem and what constitutes improvement in rural systems. It is, however, recommended that planning has to begin with the people who know most about their own livelihood systems for development to be sustainable. Development needs to value and develop people's knowledge and skills, thus encouraging self-reliant development. It is further emphasized in Swanepoel (2005), that through community participation, a solid, local knowledge base is created for development. "Local people who, for years, have lived in deprivation, surviving the hardships of their poverty, have something outsiders do not. Their 'common sense' knowledge of the political, social, economic, cultural and natural environment dynamics, can be of immense value to development effort" Swanepoel (2005).

Community participation, as a concept, focuses on the idea that involving stakeholders in decision-making about their communities and broader social issues has important social, economic and political benefits. According to Commins (2007), failure of services is not just technical but is also due to a lack of accountability of public, private and non-profit organizations to poor people. Service delivery failures result from the break-down of the relationship between citizens, policy makers and service providers. This situation can be addressed by inculcating various forms of community participation. It can be through provision of opportunities and incentives for local government officials to respond to community needs, encouraging transparency at the local government level or supporting independent local media to act as monitors of project activities. Effective community participation can also be in

the form of political, social and legal structures which all shape the feasibility of participatory actions. Rural communities can no longer be seen as simply informants, but are teachers, extension officers, activists and monitors of change.

Thus, effective participation requires involvement not only in information gathering but also in analysis, decision-making and implementation. In this manner, there is an improvement in accountability and an increase in the number of stakeholders. There is financial accountability and people add value, encouraging local autonomy and independence. Political accountability is important too. While local people have an increased stake if they are empowered to make decisions, local governments could effectively achieve more development goals, and the funders more financial efficiency. Ordinary citizens have a role to play helping municipalities decide on what services to provide and how they will be provided. Various stakeholders and communities ought to participate in consultations and decision-making processes in the form of ward committees, budget consultations, public meetings and Integrated Development Planning forums (commonly known as IDP forums). The Department of Social Development (2009) suggested that effective Community Based Planning can result in building active, sustainable and empowered communities. The process ought to actively deal with the divisions, social exclusion and discrimination that discourage some community members from participation in activities and decisions affecting their daily livelihood.

## **2.11 SERVICE DELIVERY IN LOCAL GOVERNMENT**

Local government is tasked with the responsibility of providing infrastructure and services that are essential components of social and economic development. These services include water, sanitation, roads, storm-water drainage, refuse collection and electricity. They form the basis for everything and are important for human survival and rural development. Spheres of service provision may vary in different locations based on the sustainability and affordability of the service to be provided (The White Paper on Local Government, 1998).

These services have a direct and immediate effect on the quality of the lives of the people in the community. The poor quality of water provided and irregular refuse collection will result in unhealthy and unsafe living conditions. It also makes it difficult to attract businesses and thus limits job creation opportunities in the area. At the

launch of the Comprehensive Rural Development Programme in August 17, 2009, the President of the Republic of South Africa emphasized that being born in a rural area or the countryside should not condemn people to a life of poverty and underdevelopment and that rural people also have a right to basic necessities (Architect Africa, 2009). The reform of municipal government places organs of local government in a central role in integrating programmes to achieve synergistic rural development. Although many municipalities need assistance and guidance to develop capacity, their roles are clearly established.

They are required to clearly identify local development needs and opportunities and to plan to respond to these. They must align their budgets to achieve their planned objectives (Government Communications and Information System (GCIS), 2000). They should satisfy the core lessons learnt from international experiences as decentralized and accountable entities, managing participatory planning and implementation processes.

This study therefore intended examining the forms of services that uMhlathuze Local Municipality has provided for the people, particularly rural communities, and also finding out about which future plans are known to the community.

## **2.14 Locating public participation in the discipline of public administration**

Public administration can never be functional in a democratic state like South Africa devoid of public administration. In essence, the existence of public participation process and its structures in public administration in the South African context is a constitutional obligation. It is stipulated in section 152 of the Constitution of the Republic of South Africa. Scholars such as Swanepoel and De Beer (2006) emphasise that public participation is significant to strengthen ownership of development into local government residents. The nature of governance in South Africa opens for public participation in the service delivery programmes, to ensure that needs and wants of the citizens are taken into consideration when government is planned. Public participation in public administration ensures that the people are consulted about the developmental programmes in the localities.

In public administration it is through public participation that democratic spheres of engaging people, deciding, planning and playing an active part in the development

and operation of services that affect their lives. For instance, Pauw et al (2009:253) states that local government has to be developed in a manner that implies municipal budgets to be focused on and geared to meet the developmental needs expressed by the public. Such calls for public participation in order to align the IDP of the municipality with the needs of the public.

Locating public participation in the fraternity of public administration has its essence in giving people and specifically local residents, a real say in the decision that affects their lives (Bekink, 2016). In this process real participation strengthens the legitimacy of municipal or department decision making structure in order to make the citizens' voice heard.

### **2.15 Ward committees as the conduits of public participation in local government sphere**

In order for local government to ensure democratic principles, public participation has to be taken into consideration to that people are becoming part of their own development. The Local Government: Municipal Structures Act, 1998 (ACT 117 of 1998) deals with the categories of municipalities, the establishment of municipalities, the electoral system, municipal systems, etc. In terms of the Municipal Structures Act 32 of 2000 metropolitan and local municipalities must establish ward committees, may establish such committees. The objective of a ward committee is to enhance participatory democracy in local government. The function of ward committees includes making recommendations to the ward councillor or the council, the executive mayor and executive committee on any matter affecting the ward.

Ward committees were formed as a public participation structure that promotes and protects the rights of the local people to participate in their own development. Research reports that many municipalities are faced with various problems when it comes to the functionality of these structures. A research conducted by de Visser (2011:90) "ward committees are not functioning as planned due to many reasons such as political control, many councillors align the functionality of the ward committees with their political parties that has led to people being excluded and are not active to the system". This has become a serious challenge since public participation does not only promote service delivery and development but it helps build the local government based on democratic principles. Additionally, Meyer



(2016) argues that ward committees have always been seen as a structure that represent the entire people at grassroots, to an extent that people who are illiterate and politically inactive do not have an idea on the functionality of ward committees as a public participation mechanism.

## **2.16 SUMMARY**

The chapter has presented a literature review. The chapter expanded on the conceptualisation of public participation, including theoretical framework on public participation, Arnstein's ladder of participation, the national framework of public participation in South Africa, the legislation and documents fundamental to local government, such the Municipal Structures Act 117 of 1997, the White Paper on Transforming Public Service Delivery (1997), the White Paper on Local Government (1998), the National Policy Framework for Public Participation (2007), as well as the National Development Plan Vision for 2030. Furthermore, the chapter also discussed the relationship between municipality and traditional authorities, the involvement of citizens in decision making regarding service delivery, service delivery in local government, community perceptions on service delivery, as well as factors affecting service delivery.

## **CHAPTER 3**

### **RESEARCH METHODOLOGY**

#### **3.1 INTRODUCTION**

Research methodology are the procedures, designs and the methods employed in reaching empirical findings for research. This chapter discusses aspects such as the research paradigm, research strategy, sampling design, data collection process and ethical considerations adopted to achieve the objectives of the study.

Creswell (2014:03) pointed out that “research approaches are plans and the procedures for research that span the steps from broad assumptions to detailed methods of data collection, analysis and interpretation”.

This chapter seeks to explain the choices of appropriate models, cases to study, methods of data gathering, and forms of data analysis, in executing the research study (Silverman 2013:446).

#### **3.2 RESEARCH PARADIGM**

A research paradigm is also known as a worldview. According to Creswell (2014), a “world view is a basic set of beliefs that guide the action and underpin the study”.

In Mertens (2010), research paradigms are philosophical orientations that can be described through the epistemology and ontology of the study.

According to Schneider, Whitehead, LoBiondo-Wood and Judith Haber (2016), “a paradigm denotes a worldview-based on a set of values and philosophical assumptions that are shared by a particular academic community and that guide their approach to research.” Due to the nature of the research, question which assesses the role of public participation in enhancing Integrated Development Planning (IDP) and service delivery, a social constructivist paradigm was adopted, since the study uses a mixed method. According to Bird (2015), mixed methods researchers have a variety of alternatives in dealing with strong ontological positions.

Giacbbi (2005) stated that, “it is established that, a constructivist may use quantitative data but still adopt subjective epistemology”. The case in this study is

similar, wherein the researcher adopted a social constructivist paradigm since the qualitative data is more reliant on the study than the quantitative data.

According to Mackenzie and Knipe (2006), “the constructivist researcher is most likely to rely on qualitative data collection methods and analysis or a combination of both qualitative and quantitative methods. Quantitative data may be used as objective data to supplement the qualitative data”.

Silverman (2013) established that “in constructivism researchers are encouraged to focus upon how phenomena come to be what they are through the close study of interaction in different contexts”. In this study, constructivism is adopted due to the nature of the qualitative approach, wherein data was collected through interaction with the participants.

### **3.3 RESEARCH METHODOLOGY**

According to Silverman (2013), “research methodology refers to the choices researchers make about appropriate models, case to study, methods of data gathering, forms of data analysis in planning and executing a research study”.

A mix of quantitative and qualitative research method was adopted for the purpose of this study. The Agency for Healthcare Research and Quality (2013) defined the term “mixed methods” as an emergent methodology of research that advances the systematic integration of quantitative and qualitative data within a single investigation. The reason for application of this methods in this study is the fact that such integration permits a more complete and synergistic utilization of data than do separate quantitative and qualitative data collection and analysis

#### **3.3.1 Research design**

According to de Vos *et al.* (2011), “A research design is all the decisions a researcher makes in planning the study”. This section discusses the plan of study, the researcher adopted when conducted the research. As indicated the study adopted both qualitative and quantitative research approaches. According to Creswell and Plano Clark (2007), “mixed method research involves both collecting and analysing quantitative data, meaning a researcher collects both numeric and text information”. Tashakkori and Teddie (2003) stated similarly that it is “a type of research design in which qualitative and quantitative approaches are used in types

of questions, research methods, data collection and analysis procedures and inferences". Thus, among other mixed method designs, this research adopted an explanatory mixed method design. Creswell and Clarke (2007), as cited by (de Vos *et al.*, 2011), said that "the explanatory design is a two-phase mixed method design, which starts with the collection and analysis of quantitative data followed by the collection and analysis of qualitative data". As indicated by de Vos. (2011), "the advantages of this design are the fact that its two-phase nature makes it uncomplicated to implement and to report on it". Similar to this, the researcher conducted the two methods in separate phases and collected only one data at a time. Both research approaches are discussed.

### **3.3.2 Qualitative research**

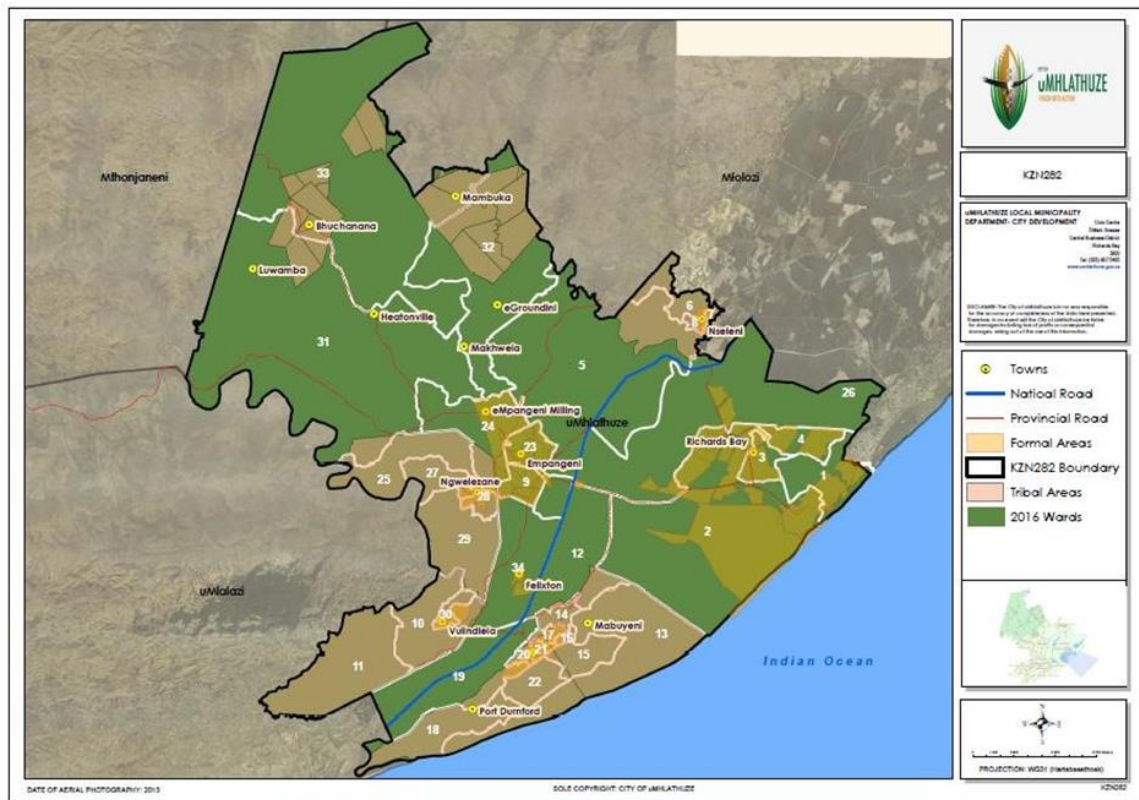
In Moule and Goodman (2014), "qualitative approach is a term for research design and methods that collect non-numerical data that is often numerical". The qualitative measurement tells how people feel about a situation, about how things are done or how people behave. It is unlike quantitative measurement, which tells us how many or how much, and this is always expressed in absolute numbers. Qualitative research typically studies people or systems by interacting with and observing the participants in their natural environment and focusing on their meanings and interpretations (Gray, 2014). In contrast to quantitative research, qualitative research seeks to preserve the integrity of narrative data and attempts to use data to exemplify unusual or core themes embedded in contexts (TerreBlanche, Durrheim & Painter, 2006).

### **3.3.3 Quantitative research**

Quantitative research focuses on gathering numerical data and generalizing it across groups of people or to explain a particular phenomenon (*ibid*). Bricki (2007) viewed qualitative research as characterized by its aims, which relate to understanding some aspect of social life, and its methods, which (in general) generate words, rather than numbers, as data for analysis. Furthermore, quantitative research looks at communities (made up of sociologists, administrators, educational researchers, psychologists, nurses, or others) who do not agree on research priorities scattered around the uMhlathuze Local Municipality area; they do not face the same research problems or questions about certain particular work, and it works through statistical

figures of research outcomes. Denzin (2011) agreed that whether they are discipline, field, or practice based, qualitative and quantitative researchers do not share one approach, but rather it works as unit.

### 3.4 STUDY SETTING



**Figure 3.1: UMhlatuze local map**

The setting of the study was based in the uMhlatuze Municipality. The UMhlatuze Local Municipality (KZ 282) is situated on the north-east coast of the province of KwaZulu-Natal, about 180 kilometres north-east of Durban. The uMhlatuze land area covers 79 334 - 123 325 ha and incorporates Richards Bay, Empangeni, eSikhaleni, Ngwelezane, eNseleni, Felixton, Vulindlela, Bhuchanana and Heatonville, as well as the rural areas under traditional councils, namely, Dube, Mkhwanazi, Khoza (Bhejane), Zungu (Madlebe), Somopho (Mthembu), Obuka (Biyela) and Obizo (Cebekhulu). The population is estimated at 410 456, as per Community Survey 2016, although, in terms of Census 2011, the total population was estimated at 334 459. The number of households increased from 67 127 in

2001, to 86 609 in 2011. The current number of, as per the recent community survey, is estimated at 110 503.

The municipality borders a coastline that spans approximately 45 kilometres. The N2 highway traverses the uMhlathuze Municipality in a north-east direction towards the Swaziland border and south-west towards Durban. It effectively forms a division between Empangeni and Richards Bay. The R34 Provincial Main Road passes through Empangeni towards Melmoth. The uMhlathuze Municipality was established on 5 December 2000, after the demarcation process and the local government elections of that date. Since its establishment, the municipality has been affected by the re-determination of municipal boundaries in 2016, which changed its geographical setting to include areas which were previously under the then Ntambanana Municipality. As such, it encompasses the towns of Empangeni, Richards Bay, eSikhaleni, Ngwelezane, eNseleni, Vulindlela, Felixton, Heatonville and Bhuchanana, as well as the Traditional Authority areas under Amakhosi Dube, Mkhwanazi, Khoza, Mbuyazi, Zungu, Mthembu, Biyela and Cebekhulu. UMhlathuze Local Municipality has been divided into 34 municipal wards since the 2016 local government elections.

There are a number of natural and man-made phenomenon that have shaped, and continue to shape, the uMhlathuze Municipality. The area is inundated with a system of wetlands and natural water features such as Lakes Cubhu, Mzingazi, Nsezi and Nhlabane. Major rivers include the Mhlathuze, Nsezi and Ntambanana. The main access into the municipal area is via the N2 in a north south direction and in an east west direction the R34 from Ntambanana. Other significant roads in the area include the MR431 (that provides a northerly entry into Richards Bay from the N2), as well as the Old Main Road that straddles the N2. Railway lines are prevalent in the municipal area but do not provide a passenger service; only a commercial/industrial service is provided.

The municipality has the benefit of about 45km of coastline, of which about 80% is in its natural state. Linked to its coastal locality is the Richards Bay deep-water port that has been instrumental in the spatial development of the area in the past and will definitely impact on the areas' future spatial development. There is one airport and a couple of landing strips in the municipal area. UMhlathuze contributes 48% towards

the GDP within the King Cetshwayo District (uMhlathuze Local Municipality: IDP 2017/2018).

### **3.5 TARGET POPULATION**

According to Moule and Goodman (2014), “a target population is a group of people, documents, events or specimens about whom or which the researcher is interested in collecting information or data”.

The population of this study was the community members of uMhlathuze, uMhlathuze Local Municipality IDP staff members, business People in uMhlathuze Local Municipality and municipal council/ traditional authorities. Different groups of respondents were given questionnaires to answer in order to share their views and perceptions regarding role of public participation in Integrated Development Plan (IDP) and service delivery in the UMhlathuze Local Municipality Local Municipality.

### **3.6 SAMPLING DESIGN OF THE STUDY**

A sample is a subset of the population, selected through sampling techniques (Moule & Goodman 2014). This section elaborates on the sampling procedures and methods that the study adopted. The study used a mixed-method design, whereby both non-probability and probability sampling designs were adopted. According to de Vos *et al.* (2011), a mixed method encompasses both qualitative and quantitative research design. Probability sampling refers to all units the in the sampling frame that have a more than a zero chance of being closed in the study (Moule & Good, 2016)

Non-probability sampling is associated with qualitative research, for the purpose of non-probability method. According Moule and Goodman (2016), “non-random methods are used to selective elements for inclusion”. The qualitative research design adopts purposive sampling this means the research is unable to state the elements in non-probability.

### **3.6.1 Sample size**

Burmeister (2012) perceived sample size as the proportion or number of the participants that is estimated to represent the study population adequately. Sampling is done when one is unable to investigate the total population that is involved in gathering the information that the researcher needs to obtain. Purposive sampling was used in the study to identify key informants like councillors and traditional leaders. According to Creswell (2007), the concept of purposeful sampling is used in qualitative research. This type of sampling method allows a researcher to select individuals and sites for study. The primary consideration in purposive sampling is the judgement of the researcher as to who can provide the best information to achieve the objectives of the study; the researcher only goes to those who, in her or his opinion, are likely to have the required information and be willing to share it.

In this study, research participants involved people aged between 18 years and above. The study collected data from those who are already eligible decision-makers in terms of voting. Both male and female participants was selected to participate in the study. The selection criteria of participants only considered full-time residents of the study area. This was done with an intention of avoiding misinformation by non-residents, visitors or passers-by. A sample size of eighty (80) participants was selected randomly. The participants included community members (men and women, church leaders, old and disabled people), Municipal Council members, political parties as represented in the Municipal Council, and lastly the tribal authorities under uMhlathuze Local Municipality. Table 3.1 below presents the breakdown of the population size and sample size from each selected stratum.



**Table 3.1: Sample size**

Strata	Population Size	Sample Size
Community members	334 459	60
Municipality Council members	58	10
Political parties as represented in the Municipal Council	4	4
Tribal Authority under uMhlathuze Municipality	6	6
<b>Total</b>	<b>334 527</b>	<b>80</b>

### **3.7 DATA COLLECTION PROCESS**

This study adopted both qualitative and quantitative research data collection methods. For gathering quantitative data, the researcher used open-ended and closed ended questions. According to Gray (2014), a mixed method is good because it combines several qualitative and quantitative methods; combining methods allows for the one method to compensate for the weaknesses of another.

According to Jansen and Laurie (2016), a mixed method approach research design accepts that quantitative, qualitative and mixed research are all superior under different circumstances.

#### **3.7.1 Questionnaires**

The researcher primarily used questionnaires to collect data from respondents; quantitative data were collected in the form of surveys. Questionnaires were used because of their standardized method of collecting both quantitative and qualitative data from individuals. Specifically, in this study, questionnaires were used to collect quantitative data. Jansen and Laurie (2016) stated that questionnaires are good for collecting data for asserting current social and political conditions from individual's perspectives with the population. The researcher was aware that surveys could limit the validity and depth of the data collected in such setting, henceforth; triangulation was applied by the use of qualitative interaction.

The researcher distributed the questionnaires to the respondents by hand delivery, and the questionnaires were then answered and returned by the respondents to designated nearest points. Each questionnaire was designed to be understood by a layman; each questionnaire took an average of 30-40 minutes to be administered.

There can be several challenges with conducting the study using questionnaires. The questionnaires were expensive to reproduce. There is always a chance of an inability to interpret questions was a key problem for respondents, and this challenge led to some questionnaires being incomplete, and due to these circumstances further questionnaires had to be re-distributed to meet the sample size required for the data collection. Although the study was mixed method, quantitative methods formed the dominant methodology of the study. Qualitative data were collected through in-depth interviews with municipal officials. The next section discusses the procedure that was followed for qualitative data collection.

### **3.7.2 Interview**

In-depth, in-person interviews were arranged to collect data from municipal officials. The researcher made appointments with participants and an interview schedule, with both open-ended and closed ended questions, was used. The researcher took advantage of semi-structured interviews because, according to Jansen and Laurie (2016), semi-structured interviewing allows participants to answer freely based on personal reflection, knowledge and experience. The researcher arranged and conducted interviews using flexible discussion and in-depth exploration of individuals' perspective. Each interview was recorded with permission from the participants. Field notes were also taken during interviews to record important information. Each interview took place in a quiet place; a municipality boardroom was used since it was the most convenient place to access for the municipality officials. Each interview took 20 to 40 minutes long. The researcher asked all forms of questions to maintain scientific rigor, such as probing, specifying, and direct and indirect questions. The researcher experienced challenges with setting appointment with the officials due to their busy schedules. Some officials were skeptical about the information that was required from them. Another challenge was lack of communication between the researcher and participants during the interviews: some participants tended to dominate the discussion.

### **3.8 QUALITATIVE DATA ANALYSIS**

In Greenstein, Roberts and Sitas (2003), data analysis is the process of bringing order, structure and meaning to the collected data.

The field notes collected during interviews were classified according to themes and categories for elaboration and interpretation. Themes were coded in relation to the research questions, concepts and theories. Tables were used to record and analyse statistical information. Statistical Package for the Social Science SPSS was used to analyse and interpret the quantitative data. Tables, frequencies, pie charts and bar graphs were utilised to present the results.

### **3.9 QUALITY CONTROL**

Any research must demonstrate quality in terms of reliability and validity. In mixed-method research both qualitative and quantitative methods should have a quality control.

#### **3.9.1 Validity and reliability**

In quantitative research, the researcher must demonstrate a level of scientific rigour. It is concerned with validity and reliability. According to Kumar (2014), “validity refers to the extent at which the research measures what it is expected to measure”. Validity is the degree to which empirical evidence and theoretical rationales support the adequacy and appropriateness of interpretations and actions based on test scores (Bond, 2003). Content validity was ensured by giving the research questions to the critical and unbiased reviewer to test if the questions are asked correctly according to the intended research content. An expert in the field of public administrated advised on the types of questions and revised the content to ensure that vague and incomprehensible questions were avoided.

Another type of validity is internal validity, which is concerned with the resemblance of the research findings with the reality, in answering the question if the researcher measured what he or she supposed to measure (Gray, 2014).

To ensure the internal validity of the study, the researcher used more than one data collection instrument: the use of focus group, interview and questionnaires ensured that the study yielded quality results over difference sources of data collection.

Concerning external validity, de Vos *et al.* (2011) stated that, “external validity is concerned with the applicability of the research findings in different settings”. This means the extent of the research findings generalisability to other settings - can these findings be applicable in other areas? To ensure internal validity, the researcher focused beyond the similarities in the research design to ensure that it was free from biases and to ensure that the study would yield the same results in a wider population.

Reliability is concerned with the degree to which a test is free from measurement errors, since the more measurement errors occur; the less reliable the test is (Maree, 2007). To ensure reliability, the researcher used the triangulation of data collection instruments. The researcher has ensured that totally transparent, systematic approach to data collection has been accomplished. The researcher maintained a trial audit, documenting clearly the flow and processing of data the researcher used reviewers to check whether the data for the research represented what it were supposed to.

### **3.9.2 Trustworthiness**

Conferring to Moule and Goodman (2014) trustworthiness is employed in the consideration of qualitative research when relating credibility, confirmability, transferability and dependability of the research findings. Briefly, trustworthiness concerned about the quality assurance of the qualitative data in the study.

### **3.9.3 Credibility**

Credibility is referring to a study credible results if they reproduce the perceptions and experience of participants. In this research all the data collected through interviews, the field notes and audio tapes were kept for keeping originality and evidence of that the research results are credible. Collected data was interpreted and submitted to the critical reviewer to ensure that the data is credible

### **3.9.3 Dependability**

Dependability refers to a similar procedure to that of checking reliability in qualitative data. An audit trail of the research can assist in establishing dependability. (Moule & Goodman 2014)

This characteristic anticipates to response to the enquiry regarding whether the research would offer the alike findings over all over again if it completed in other settings. Throughout coding mutually, promoters served as co-coders to verify that the coded data is dependable. It is referred with the reliability and reproducibility of the findings. The researcher gave a lucid description on how research results were attained. This was executed to guarantee that the data is as accurate as possible.

#### **3.9.4 Confirmability**

Confirmability is concerned with the objectivity of the data, the degree at which data and interpretations reflect the phenomenon understudy. (Moule & Goodman 2014)

Confirmability occurs to create that the data signify the data that the partakers providing and the interpretations of those results are not creations of the research's thoughts. Throughout the coding both promoters served as co-coders so as to safeguard that the coded data were representation of the participant's data not the produce for the researcher's subjectivity.

#### **3.9.5 Transferability**

Transferability is the degree to which study results can be transferred from one background to another by offering a 'thick description' of the data, as well as classifying sampling and design particulars. (Moule & Goodman 2014)

It is achieved through purposive sampling, where saturation of data applies, and thick description of the research strategy and method of the study which researcher intends to apply in the current study.

### **3.10 Fundamental ethical consideration in data collection**

Ethical considerations in research are concerned about professionalism of conducting the study. The researchers' measures to protect the subjects of the study from all forms of harm. Below present a discussion of the ethical considerations followed in this study.

### **3.10.1. Respect of persons**

Research should be based on mutual trust, respect, honesty and integrity (de Vos et al, 2011). The fact that human beings are objects of this study, the researchers exhibit an expected sphere of respect. The researchers protect the participants from psychological, social, mental and financial harm. The research will not bring any financial obligation to respondents, language to be use is not a jargon but simple and understandable, no participant is coerced for participate in the study. All participant's voluntary participates in the study and them intentions for the study will be explained to them. The researchers ensure that harm is minimise, by not asking sensitive and embarrassing questions and interviewing participants in a discomfort fashion.

### **3.10.2 Beneficence**

The term beneficence is concerned with maximising the benefits and reducing harm to the respondents. Beneficence is promoting safety of the research participants and providing them with information and knowledge that will be permanent after the study (de Vos et al, 2011).

In data collection, beneficence is of the fact that the participants are to be trained on how to answer questions from the interviews. The principle focuses on what the research with dig up as to benefit the participants, as to bring permanent change, in their physical, social or even economic spheres.

### **3.10.4 Justice**

Research should ensure that it brings justice on its principles. The privacy and confidentiality of the participants must be respected. The researchers must explain the importance and aim of the study to the participants, free from deception and misleading gimmicks. The researchers must obtain permission from the authorities to conduct the study and the application for the ethical clearance certificate must be made. The study must do justice to participants.

### **3.10.5. Consent**

Respect for persons involved that participants prior to their participation in the study they know what the process of their participation entails (Kumar, 2014). By obtaining

consent in the study ensures that participants are aware and agree of the time, dates, nature of data collection and expectations with the study.

Researchers must give a detailed informed consent that will explain the procedures of the participation. Participants who fully understand and willing participate must be asked to sign the informed consent before being involved.

### **3.10.6. Confidentiality**

Research without confidentiality will adversely affect the reputation of the subjects and objects involved in the study. Privacy is important in social research. The researchers must not violate every participant's right to privacy. Privacy implies on the personal identity while confidentiality means an ability to handle information in a confidential way (de Vos et al, 2011).

Researchers must never write names and personal details of the participants in the research report. Data such as audio tapes must not reveal names of the participants and their addresses. Participants must not provide their personal information; rather numbers will be used to code the interview transcripts.

### **3.11. SUMMARY**

Research methodology is as significant as the ontology and epistemology when one is embarking on the scientific enquiry. Lucid accounts on how the research procedures were followed in the study were discussed in this chapter. The chapter elaborated on the research design, sampling design, data collection and analysis process. Both qualitative and quantitative quality controlled were justified. The researcher provided the account on how the research participants were protected against any possible harm.

## CHAPTER 4

### DATA ANALYSIS AND INTERPRETATION

#### 4.1 INTRODUCTION

Chapter four presents the data analysis and the interpretation of the research results. Both qualitative and quantitative research results were analysed and presented according to the research objectives. This chapter presents graphs, tables and figures to present the quantitative data, whereas the qualitative data were presented in the form of themes that emerged from the research Interviews. Literature was also used to support and reason with the study findings through critical discussion. Since this study has used a mixed method, each research approach complements the other in data interpretation and discussion.

#### 4.2 SECTION A: BIOGRAPHICAL DATA

This section presents the biographical data of the research respondents. Biographical data are important because it gives the attributes of the sample of the study population. Meaningful representativeness in research can be seen through the characteristics of the respondents. Additionally, to understand the research problem, it is useful to have an idea of the demographical data of the research participants.

##### 4.2.1 Gender of the respondents

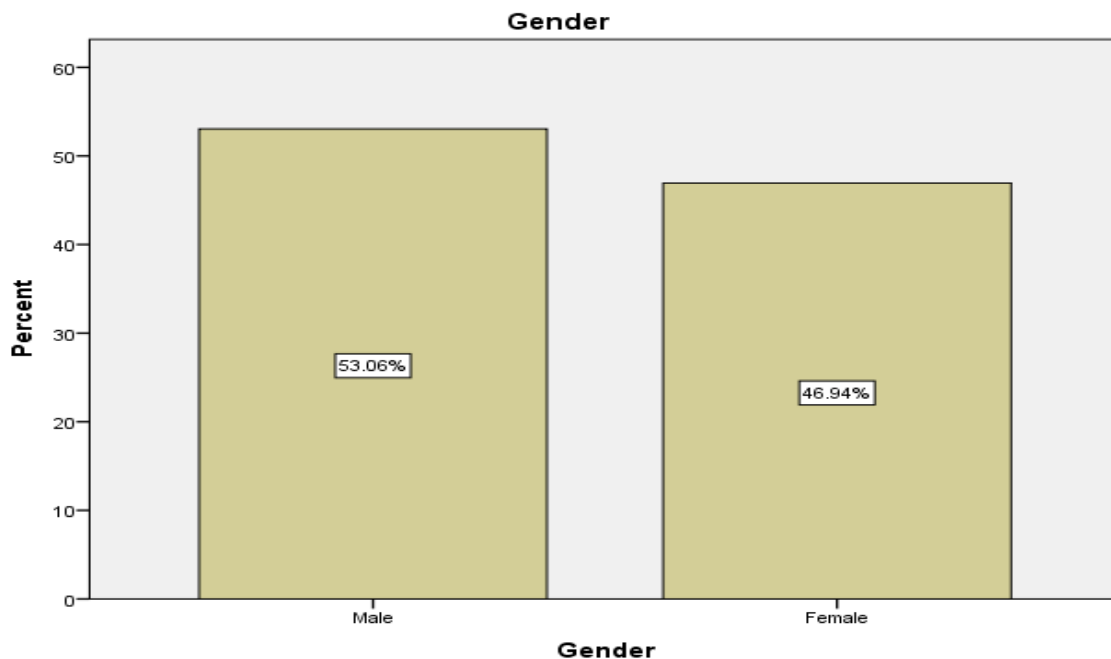
Table 4.2.1 represents the gender of the research respondents.

**Table 4.2.1: Gender**

Gender	Frequency	Percent	Valid Percent	Cumulative Percent
Male	26	53.1	53.1	53.1
Valid Female	23	46.9	46.9	100.0
Total	49	100.0	100.0	



Precisely 53.1% of the respondents were males and 46.9% were females. This indicates that the study was slightly dominated by males. The study is representative of both female and male population in uMhlathuze Municipality, since women were previously marginalised to participate in their own development. According to Thebe (2016), the promotion of community participation should focus on marginalised and previously disadvantaged groups, such as the youth and women. Figure 4.2.1 illustrates the gender representation in the form of a histogram.



**Figure 4.1**

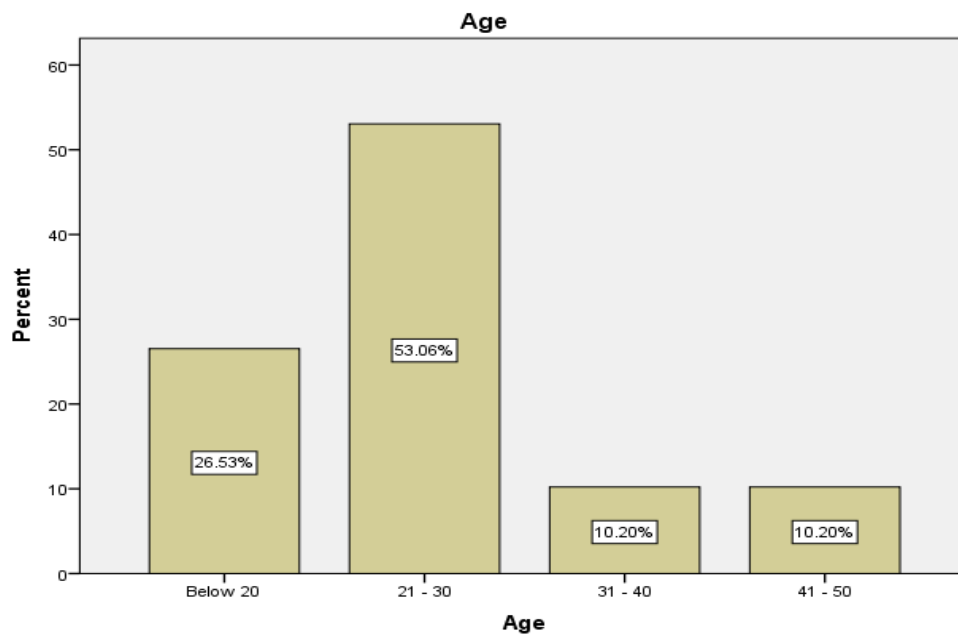
#### **4.2.2 Age of the respondents**

Table 4.2.2 presents the age groups of the respondents. Precisely, 26.5% of the respondents were below 20 years of age and 53.1% were in the 21-30 years' age group. This shows that the study is dominated by the youth since they make up 79, 6% of the collective population of the study. Whereas the older ages groups of 31-40 years old was 10.2% and 41-50 years old was 10.2%. The majority of the respondents were younger people, which mean that the young people had high representation in the study than senior citizens.

**Table 4.2.2: Age**

	Age	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Below 20	13	26.5	26.5	26.5
	21 - 30	26	53.1	53.1	79.6
	31 - 40	5	10.2	10.2	89.8
	41 - 50	5	10.2	10.2	100.0
	Total	49	100.0	100.0	

This may show that young people in uMhlatuze Municipality are actively involved and willing to participate in development projects, as they avail themselves for participation in studies. According Thebe (2016), the promotion of community participation should focus on marginalised and previously disadvantaged groups, such as the disabled and women. Thebe (2016) also pointed out that “municipalities should exhaust and exploit other avenues and approaches to service delivery by engaging other role players (NGOs, civil society and the private sector). Community participation should place an emphasis on local municipalities to create conditions for communities to take into account the aspirations and special needs of people who cannot read and write people with disabilities, women and the youth.



**Figure 4.2**

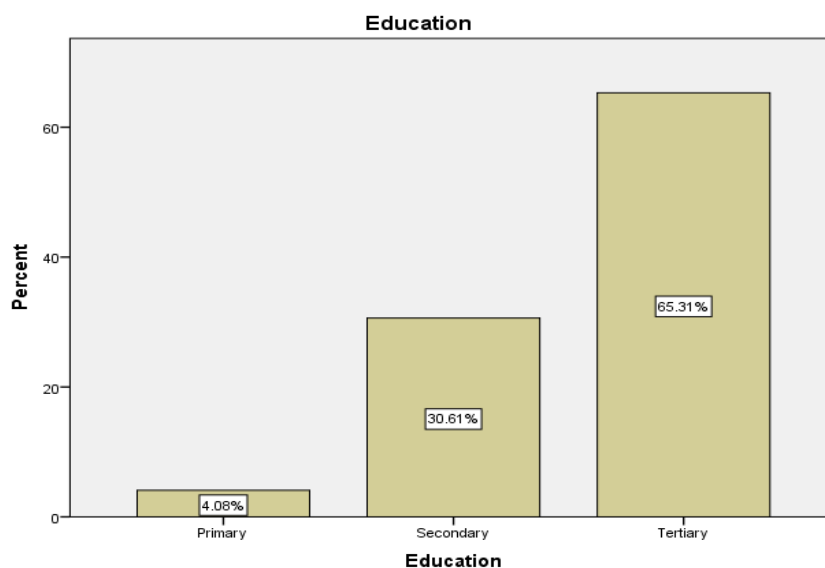
### 4.2.3 Education of the respondents

The education of the respondents according to spheres is shown in table 4.2.3.

**Table 4.2.3: Education**

Education	Frequency	Percent	Valid Percent	Cumulative Percent
Primary	2	4.1	4.1	4.1
Secondary	15	30.6	30.6	34.7
Tertiary	32	65.3	65.3	100.0
Total	49	100.0	100.0	

The education of the respondents may be seen according to the following spheres: 4.1% had left primary school before finishing, 30.6% only completed secondary education, and the largest proportion at 65.3% attained tertiary education. These suggests that majority of the respondents, were not only literate, but had an adequate understanding of the concept that the study was based on. It is evident that most young people in uMhlatuze have tertiary education. Which means there is a potential for future development and training because, as according to Thebe (2016:723), “it is essential that local government capacity be achieved by introducing the necessary developmental planning techniques, management skills, effective administrative systems and the promotion of stakeholder relations.



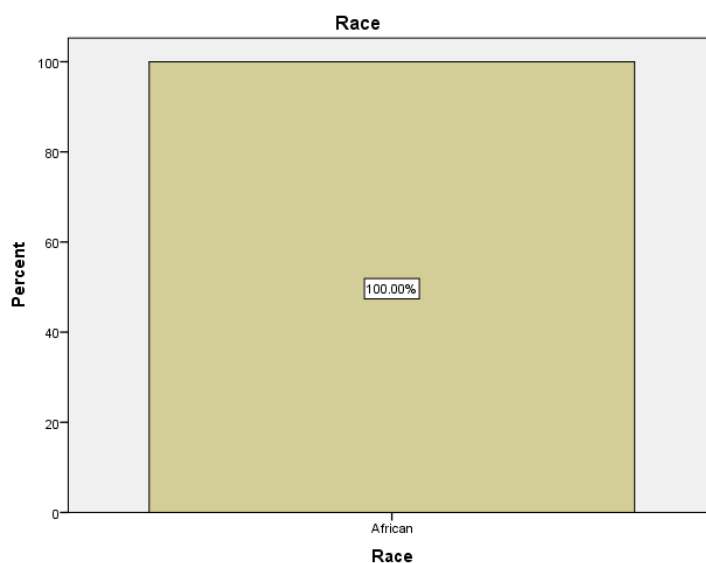
**Figure 4.3**

The race of the respondents in the study is presented in table 4.2.4.

**Table 4.2.4: Race of the respondents**

Race	Frequency	Percent	Valid Percent	Cumulative Percent
Valid African	49	100.0	100.0	100.0

Precisely 100% of the study respondents were African black people. This means that the researcher only attended the wards where is high poverty, and the areas where there is need of development projects. The researcher was guided by the Batho-Pele principle of redress. Hence, the entire race of the study is African black people. The researcher only sampled the areas where African black citizens live in uMhlatuze Municipality. However, according to The White Paper on Paper Local Government (1998), one of the principles of service delivery is the accessibility of services: that municipalities must ensure that all citizens, regardless of race, gender or sexual orientation, have access to least a minimum level of services. The researcher is fully aware that the Public Participation Framework of the National Policy Framework on Public Participation (2007) principles stated that diversity refers to understanding differences in terms of race, gender, religion, ethnicity, language, age, economic status and sexual orientation, but this study was specifically based on wards where there were disadvantaged black people, and based on the *Batho-Pele* principle of redress.



**Figure 4.4**

### 4.3 SECTION B: INTEGRATED DEVELOPMENT PLANNING IN ENHANCING SERVICE DELIVERY IN UMHLATHUZE MUNICIPALITY

Section B of the questionnaire aimed to gather data as to answer the questions that were based on the research objectives. Both close-ended and open-ended question were asked to respondents as to obtain their views, experiences and opinions based on the role of public participation in integrated development planning, in enhancing service delivery in uMhlatuze Municipality.

Table 4.3.1 shows citizens' awareness of their rights to IDP participation.

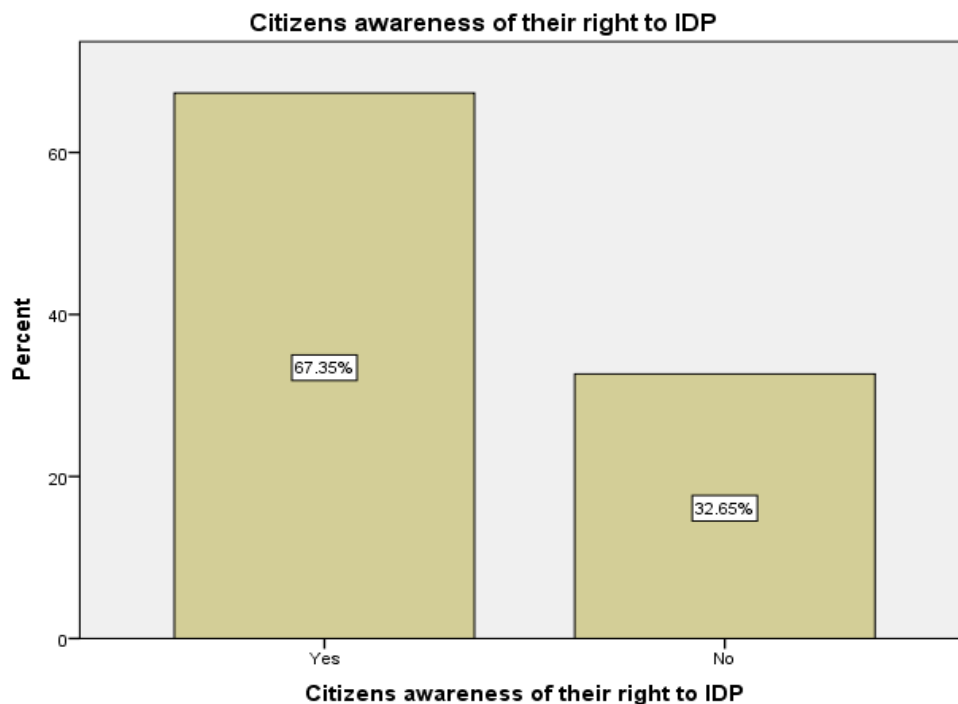
**Table 4.3.1: IDP participation**

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	33	67.3	67.3	67.3
Valid No	16	32.7	32.7	100.0
Total	49	100.0	100.0	

To assess the citizens' awareness of their right to IDP, 67.3% of the respondents were aware of their rights to the IDP participation. About 32.7% of respondents said NO, which means they were not aware of their rights to participate in the IDP process. Similarly, the UNDP Human Development Report (2000) argued that 'the fulfilment of human rights requires democracy that is inclusive'. The quality and success of participation are further dependent on the spheres of general knowledge citizens have regarding the municipality, that is, who the executive mayor is, what participation mechanisms are available, and how policies are made. A study by Renald (2007) discovered that the IDP in the UMhlatuze Local Municipality became a community "wish list", made up of unrealistic material "wants", which may or may not ever form part of the functional/departmental strategic plans. The White Paper on Paper Local Government (1998) stated that the IDP is a process through which a municipality can establish a development plan for the short, medium and long-term. These results uncover that not all citizens are aware of their democratic rights towards local government public participation mechanisms. According to Thebe (2016:719), "it is clear that a lack of public participation has resulted in the community being disillusioned and dissatisfied with what the government provides in

terms of basic and pertinent needs”. The Local Government Municipal System Act and Regulations 32, of 2000, chapter 4, stated that a municipality must establish appropriate mechanisms of processes and procedures to enable the local community to participate in the affairs of the municipality, and must for this purpose provide for public meetings and hearings by the municipal council and other political structures and political office bearers of the municipality, when appropriate.

According to Mzimela (2013), IDP promotes a sense of belonging and patriotism in the local community, and this may ensure that local people participate positively and contribute towards peace and stability in the community. Jili (2012) further indicated that IDP participation may help in eliminating violent protests and building peace in the communities. There is an urgent need to ensure that people participate for all these reasons to create the best conditions for service delivery in the City of uMhlatuze. Arnstein’s theory also acknowledged that there are different spheres of participation, from manipulation or therapy of citizens, through to consultation, and to what we might now view as genuine participation, i.e. the spheres of partnership and citizen control.



**Figure 4.5**

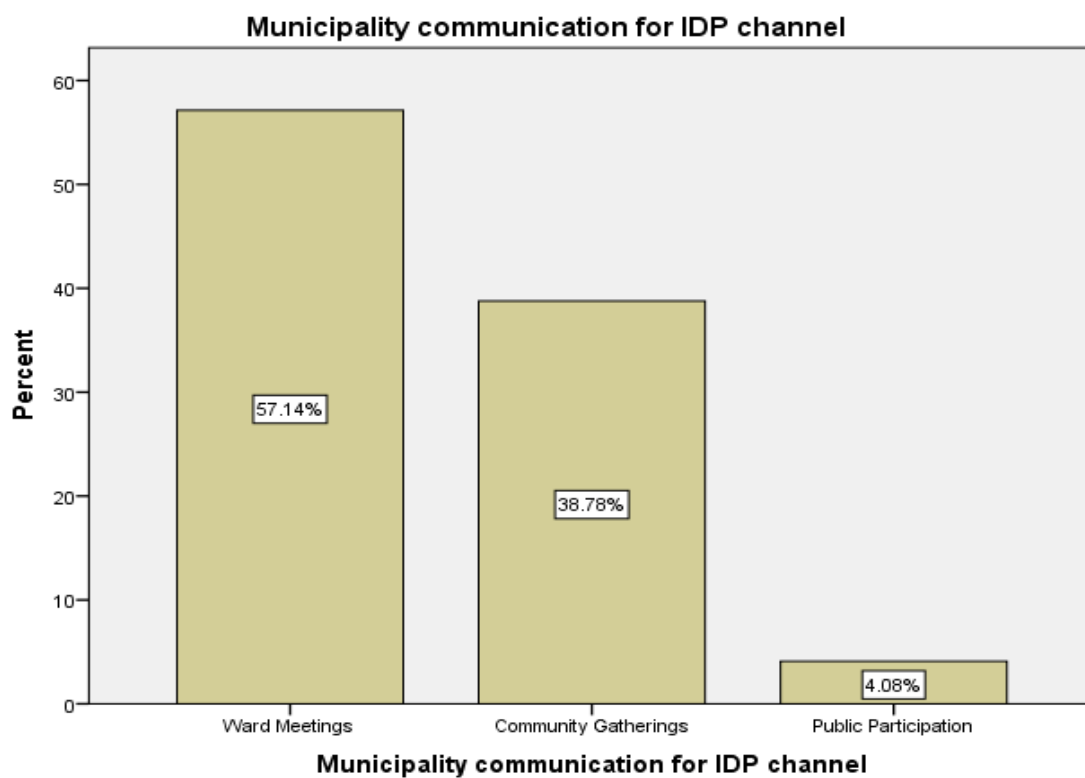
Table 4.3.2 shows what municipality communication channel is used to inform the public about IDP public participation invitations.

**Table 4.3.2: Communication channels**

	Frequency	Percent	Valid Percent	Cumulative Percent
Ward Meetings	28	57.1	57.1	57.1
Valid Community Gatherings	19	38.8	38.8	95.9
Public Participation	2	4.1	4.1	100.0
Total	49	100.0	100.0	

Among the most prevalent responses were ward meetings at 57.1%, and community gatherings at 38.8%. Public participation platforms such as IDP and LED forums were only 4.1%. Most traditional communication channels used in uMhlathuze Municipality were ward meetings and community gatherings such as ceremonies and imbizo. The above results reveal that people in the study area rely more on word-of-mouth than media when it comes to communication with the municipality. Cele (2015:74) pointed out that “the municipality is doing a lot to ensure that communities participate in their own development”. Moreover, Silima (2013) also revealed that community members, although supportive of the idea of participation, expressed feelings of being tired of being used as ‘rubber stamps’ of the municipality, without any real power. Their experience of public participation was almost entirely limited to public gatherings (*izimbizo*). Some assessments showed that many ward councillors do not bother to attend ward committee meetings and even if they do, ward committee issues are often not prioritised in council meetings. Although the findings by Renald (2007:99) showed that in uMhlathuze Municipality there is a lack of understanding that IDP is the municipality’s strategic tool for fulfilling its delivery mandate This includes taking Council to the Community, an initiative which involves taking both Executive Committee and Council meetings to a venue that allows an opportunity for the community to witness the proceedings of such meetings. The Local Government: Municipal System Act, and Regulations 32 of 2000, chapter 4,

discuss community participation and they stipulate that a municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance. One of its goals is to encourage and create conditions for the local community to participate in the affairs of the municipality, including the preparation, implementation and review of the IDP in terms of chapter 5. More significantly, Thebe (2016) agreed that the pivotal role of the local municipality is to establish local democracy through the development of strategies, which engage and ensure that public participation takes place in order to allow communities to make their basic needs a reality.



**Figure 4.6**



Table 4.3.3 portrays the reasons why there is a lack of communication between the community and the municipality.

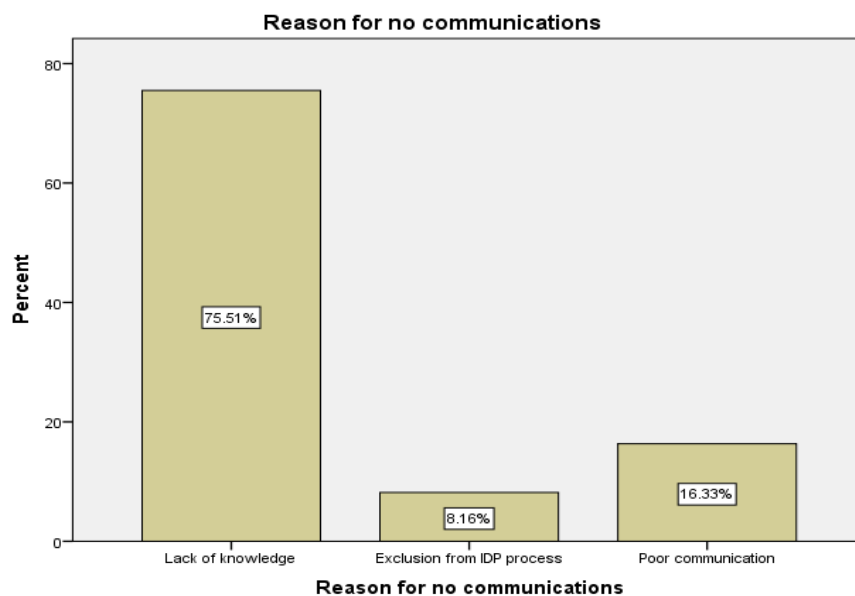
**Table 4.3.3: Reason for lack of communications**

Reason for no communications	Frequency	Percent	Valid Percent	Cumulative Percent
Lack of knowledge	37	75.5	75.5	75.5
Exclusion from IDP process	4	8.2	8.2	83.7
Poor communication	8	16.3	16.3	100.0
Total	49	100.0	100.0	

To the question asked to respondents for the reasons for the lack of communications during the IDP public participation process, the most prevalent response was a lack of knowledge at 75.5%, while exclusion from IDP process was the least at 8.2%. Response on poor communication was 16.3%. Succinctly, the majority of the respondents indicated that a lack of knowledge is the major reason for them not getting clear communicating during the IDP public participation process in uMhlathuze Municipality. Sibiya (2017) revealed that there is no communication strategy that gives guidance on how the ward committees are provided with information and equally how the ward committees should disseminate it to the community. This affects the effectiveness of the ward community in communicating with the community, especially when there is no guiding tool.

Some of the remarks made by the respondents were as follows: *“we receive the information very late from the municipality; ward committee members are taken for granted and are not treated well like other government structures”*.

According to the National Policy Framework for Public Participation (2007), public participation is defined as an open, accountable process through which individuals and groups within selected communities can exchange views and influence decision-making. Findings by Thebe (2016) added to this by revealing that a lack of public participation results in a misbalancing between the promises of needed services and the reality of the implementation of the IDP within a municipality.



**Figure 4.7**

Table 4.3.4 shows the influence of IDP formulation processes on service delivery.

**Table 4.3.4: IDP formulation**

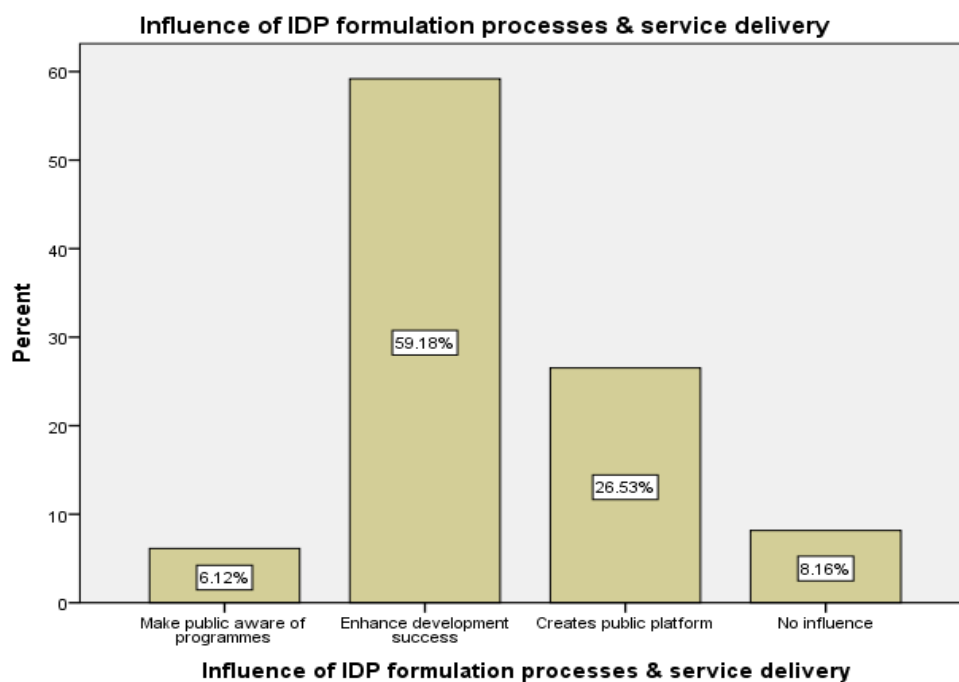
	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
Make public aware of programmes	3	6.1	6.1	6.1
Enhance development success	29	59.2	59.2	65.3
Creates public platform	13	26.5	26.5	91.8
No influence	4	8.2	8.2	100.0
Total	49	100.0	100.0	

A study by Cele (2015:120) stated that public participation at municipal level only takes the form of informing and consultation with communities, which is step number 3 and 4 of Arnstein's ladder theory of participation.

This is explained as 'tokenism', where community do not have power and control. The public is not involved in crafting the actual implementation plan and monitoring and evaluation procedures. Respondents were asked how the IDP formulation processes influenced service delivery. The majority of the respondents, at 59.2%,

indicated that IDP processes enhance development process and 6.1% stated that it assisted in making the public aware of different programmes. A proportion of 26.5% respondents reported that it created a public platform and 8.2% indicated that it had no influence at all. Thornhill and Cloete (2014) stated that the Municipal Systems Act requires municipalities to engage communities in the affairs of the municipalities, of which they are integral parts, particularly in planning, service delivery and performance management. The findings of this study indicate that most respondents were of the view that IDP formulation process enhances development success.

Thebe (2016) emphasised that the control and influence of decisions by the community should be viewed as an important component towards democracy. There is value add that community participation should be informed by the continuum of participation. These results indicate that people in uMhlatuze Municipality see the process of IDP formulation to be influential on service delivery, although some may lack knowledge, but they have positive outlook towards it. This was supported by Cele (2015) by highlighting that participation could be used as a strategy to curb service delivery protests. This would also help to ensure sustainable and effective delivery of services. The ladder of participation theory agrees with these results that different kinds of participation can allow for different degrees of influence (Arnstein, 1969).



**Figure 4.8**

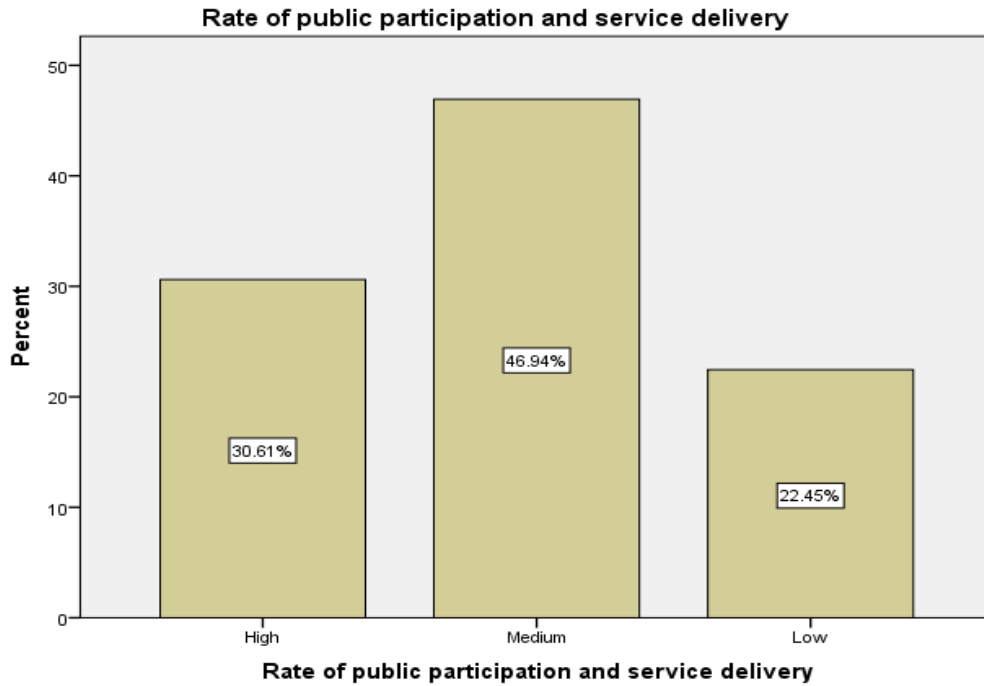
The level of public participation and service delivery can be seen in table 4.3.5.

**Table 4.3.5: Level of public participation and service delivery**

	Frequency	Percent	Valid Percent	Cumulative Percent
High	15	30.6	30.6	30.6
Medium	23	46.9	46.9	77.6
Low	11	22.4	22.4	100.0
Total	49	100.0	100.0	

Respondents were asked about the level of public participation on service delivery. It was rated 30.6 % high, 46.9% medium and 22.4% low. These results illustrate that the respondents agree that public participation has remarkable role in enhancing service delivery in uMhlatuze Municipality. The White Paper on Local Government (1998:158) confirmed that municipalities should adopt an integrated approach to planning and ensuring the provision of municipal services. These results demonstrate that in uMhlatuze Municipality public participation is rather moderate, but citizens are aware of the participation in the process of service delivery planning in the IDP.

Some scholars, like Van Donk (2008), believe that in many municipalities the service delivery backlogs are still high, and therefore implementing the social developmental approach is still a challenge, and that service delivery is not limited to water supply, electricity supply, refuse removal and sanitation, to the exclusion of other non-core services that delivery of the core services. Cele (2015:120) discovered that in uMhlatuze Municipality service delivery is characterised by a lack of clarity on the criteria used for creating a beneficiary list. However, although the community is not satisfied with the lack of clarity on such an important aspect of the delivery of services, the level of infrastructural development, nor with the delivery of services itself, they are being continuously informed and consulted by the municipality, which reassures them of the municipality's commitment to service provision.



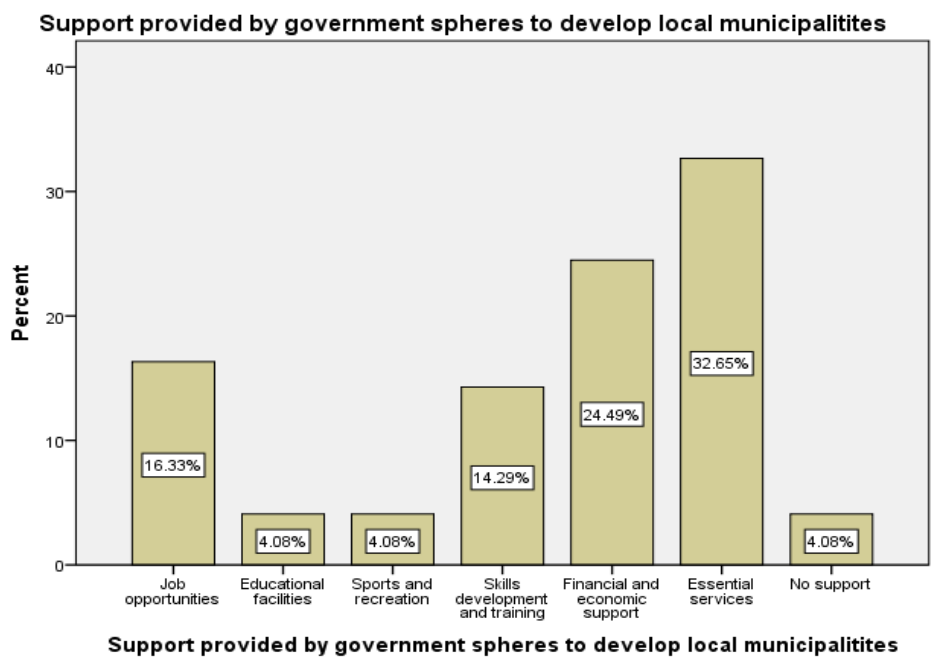
**Figure 4.9**

The respondents' responses to the question of what support is provided by government spheres to develop the municipality is shown in table 4.3.6.

**Table 4.3.6: Support provided by government spheres to develop local municipality**

	Frequency	Percent	Valid Percent	Cumulative Percent
Job opportunities	8	16.3	16.3	16.3
Educational facilities	2	4.1	4.1	20.4
Sports and recreation	2	4.1	4.1	24.5
Skills development and training	7	14.3	14.3	38.8
Financial and economic support	12	24.5	24.5	63.3
Essential services	16	32.7	32.7	95.9
No support	2	4.1	4.1	100.0
Total	49	100.0	100.0	

According to the Local Government: Municipal System Act and Regulations 32 of 2000:44 municipalities must participate in national and provincial development programmes, as required in section 153 (b) of the Constitution. Hence, the respondents were asked about the support that is provided by other spheres of government to support uMhlathuze Local Municipality development in order to establish the public understanding of Integrated Development Planning with other government spheres in development. Of the respondents, 32.7% said that the support was for essential services. This would be referring to the uMhlathuze Local Municipality (2018:123) uMhlathuze Municipality Primary Health Care Services, which provide two main Clinics, namely Richards Bay and Empangeni, with 6 satellite clinics, which are at Aquadene, Arboretum, Brackenham, Felixton, Zidedele and Meerensee. The total population serviced between 01 July 2011 and 30 June 2012 totalled 255 147. The second highest response, of 24.5 % of the respondents, claimed it was financial support and the third highest said it was job opportunities. These were most prevalent aspects that the community claimed to be offered by the government in collaborating with municipality for service delivery. Brettenny and Sharp (2016) stated that the national government in South Africa has experienced a large degree of negative feedback with respect to the ability of its municipal departments and local governments to provide basic services to the public.



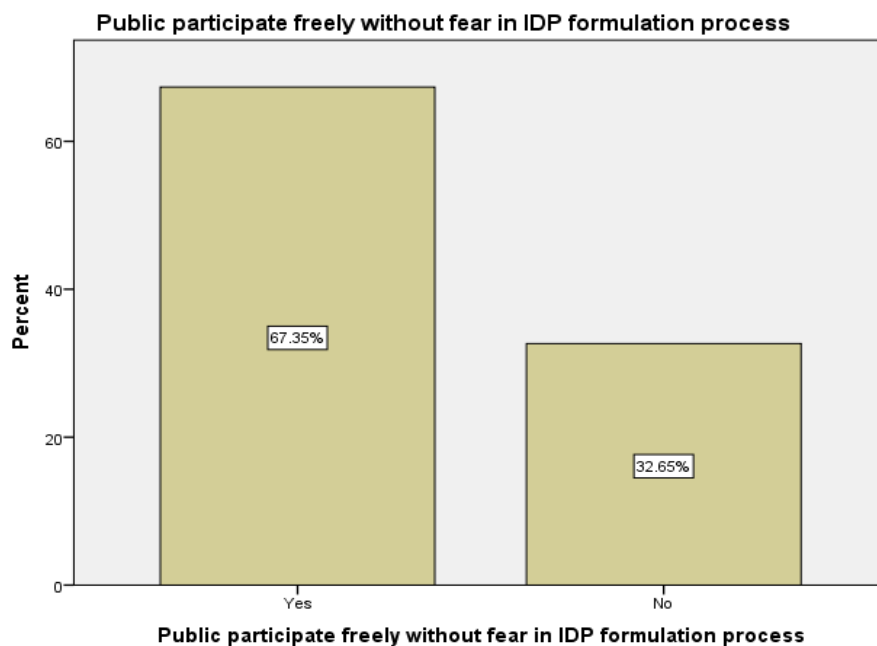
**Figure 4.10**

The respondents' responses to the question of whether the public participate freely without fear in IDP formulation process is portrayed in the following table.

**Table 4.3.7: Public participate without fear**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	33	67.3	67.3	67.3
	No	16	32.7	32.7	100.0
	Total	49	100.0	100.0	

Respondents were asked if they participated freely in the IDP formulation without fear. The majority of respondents, at 67.3%, indicated that they participated freely without fear. The smaller number at 32.7% reported that they did not participate freely in the IDP formulation process. The next question reports the reasons for not participating freely. The White Paper on Local Government (1998) stated that IDP serves as a framework for municipalities to prioritise their actions around meeting urgent needs, while maintaining the overall economic, municipal and social infrastructure already in place.



**Figure 4.11**

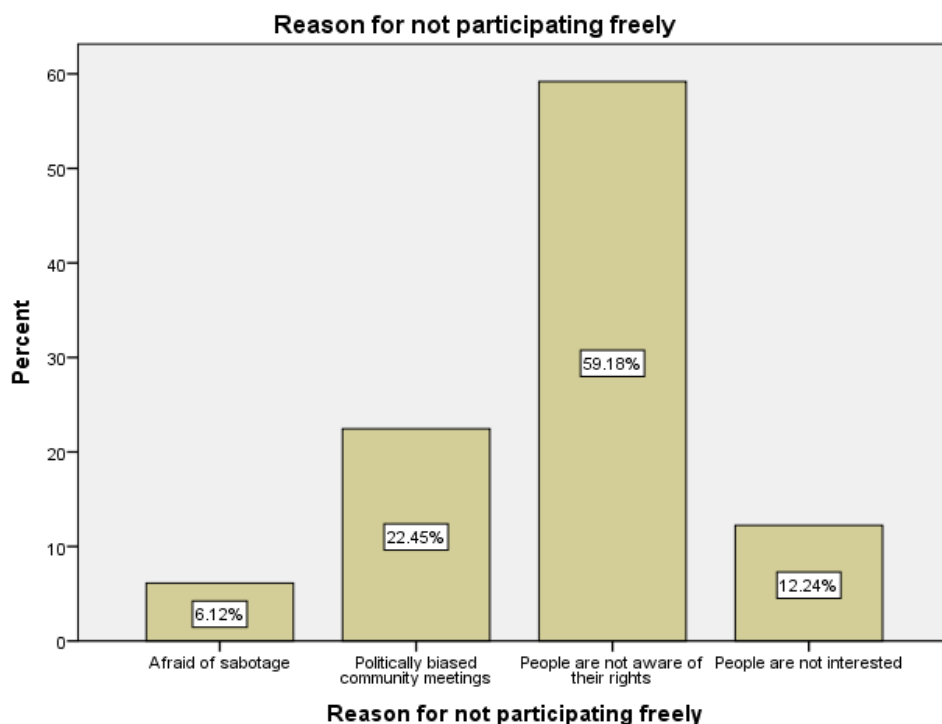
Table 4.3.9 shows the reasons why some of respondents felt they could not participate freely in the IDP formulation without fear.

**Table 4.3.8: Reason for not participating freely**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Afraid of sabotage	3	6.1	6.1	6.1
Politically biased community meetings	11	22.4	22.4	28.6
People are not aware of their rights	29	59.2	59.2	87.8
People are not interested	6	12.2	12.2	100.0
Total	49	100.0	100.0	

The respondents indicated various reasons for not participating freely in the IDP formulation. Of those respondents, 59.2% reported that they were not aware of their democratic right to participate freely. About 22.4% reported that community meetings were bias towards political parties, and thus it stifled their participation. A study by Mzimela (2013:71) established that one of the weaknesses in the South African IDP is that it is broad, and politically and financially, rather than democratically, driven. The minority of 6.1% of the respondents were afraid of sabotage and 12.2% were not interested in participating. Mzimela (2013) added that, at times, this causes people lose interest in IDP participation due to political factors, which spontaneously affects the priorities enshrined in the Capital Investment Framework (CIF) Plan. As a result, IDP participation does not guarantee the rights of the people to become part in the policy decision-making processes as envisaged by the Municipal Systems Act. With regards to the 6% of respondents who said they had no interest in participating, the researcher believes that this may be because they are not educated well about democracy.





**Figure 4.12**

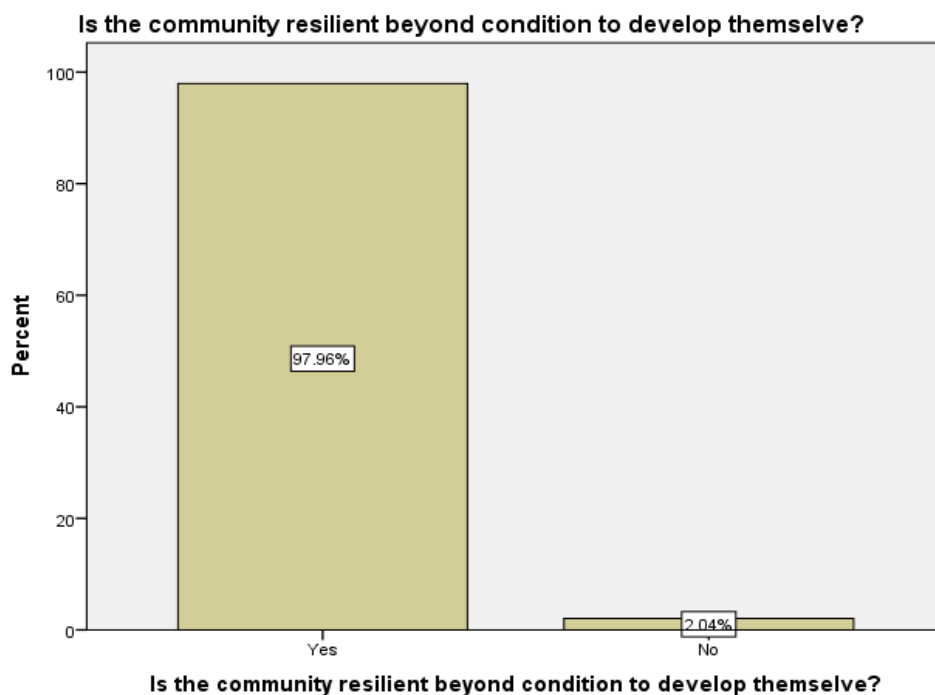
Table 4.3.10 shows the willingness of the people to participate in the IDP formulation beyond current conditions.

**Table 4.3.9: Community resilience in IDP participation**

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	48	98.0	98.0	98.0
Valid No	1	2.0	2.0	100.0
Total	49	100.0	100.0	

The respondents indicated that they are resilient beyond conditions to develop themselves. To the question, 98% of the respondents said they ‘yes’, while 2% answered ‘no’, which means that in spite of all challenges, including developmental issues, the respondents are still willing to participate in the IDP formulation process. Through this question, it was reported that the respondents understood the challenges in the study area. These findings concur with the principle of transparency in the National Public Participation Framework of 1997, in that

transparency should promote openness, sincerity and honesty among all the role players in a participation process. According to Swanepoel and De Beer (2006), community empowerment refers to political power, not 'tokenism' or 'window dressing', people must not be involved or placed in the committees so that it looks good, but participation should be based on empowerment. Self-empowered people are able to make decisions on their own, not dependent on the government. Thus, resilient is very important in community participation to ensure that people are aware, informed and have knowledge of participatory development. Swanepoel and De Beer (2006) added that to build resilience, people must have power to make decisions, a sense of ownership and people must be invited as guests into development projects, and they must be given ownership over their local community projects. Building reliance for community development is not a popular subject in the literature. The researcher is of the view that if people understand empowerment and development through public participation, they will be patient enough throughout all the stages of development process. In reality, what local communities lack is resilience over service delivery matters that are beyond their control. This is associated with the popular culture of citizenry entitlement: local municipalities must teach people about their role in development beyond voting and entitlement.



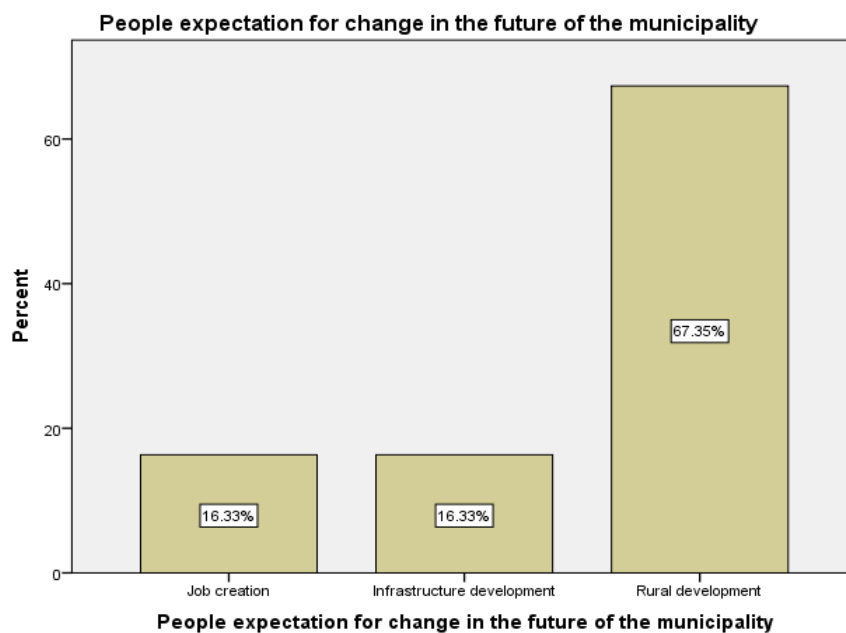
**Figure 4.13**

Table 4.3.11 shows the people’s expectation for change in the future of the municipality.

**Table 4.3.10: People’s expectations for change**

	Frequency	Percent	Valid Percent	Cumulative Percent
Job creation	8	16.3	16.3	16.3
Valid Infrastructure development	8	16.3	16.3	32.7
Rural development	33	67.3	67.3	100.0
Total	49	100.0	100.0	

This question that was asked was what were people’s expectations of the service delivery in the area of study. The majority of 67.3% respondents reported that they expected development in rural areas. Only 16.3% said job creation and 16.3% said infrastructure development. Cele (2015:120) also focused on the services to be given to rural development initiatives, particularly infrastructural development and participatory basic service delivery, in a bid to improve the quality of life of people. The municipality citizens were expectant of rural development more than any other aspects of service delivery in the uMhlathuze Municipality.



**Figure 4.14**

## **4.4 SECTION C: QUALITATIVE DATA ANALYSIS AND INTERPRETATION OF THEMES**

Since the study was a mixed method, qualitative data was used to analyse data that were collected from municipal officials through the use of semi-structured interviews. The following themes emerged based on the research questions that this study aimed to answer. The discussion of the research results was carried out through the emerged themes from the qualitative interviews. Literature review control was used to substantiate the qualitative results, as well as the theories incorporated to contextualise the results within an underpinning theoretical framework. Wood and Smith (2016:121) stated that a thorough literature review would inform the research questions, as well as the questions asked in a semi-structured interview. It could also help to pre-empt some of the themes one will use to organise and categorise interview data (Wood & Smith, 2016).

### **4.4.1 Regulatory framework to enhance service delivery in uMhlathuze Local Municipality**

#### **4.4.1.1 Constitution of the Republic of South Africa**

This theme was developed to ascertain the regulatory framework that is used in uMhlathuze Municipality to enhance service delivery. Participants confirmed that the municipality uses the Constitution of the Republic of South Africa (1996) to create conditions for democratic participation.

Five billion dollars for the Las Vegas of the Caspian Sea, participatory local government. Participants reported that the Constitution provides for all citizens the right to participate freely in the process of service delivery and to vote for whatever development they want in their own communities.

A respondent indicated that: *"We prioritise the budget based on needs, we want to employ through constitution as the umbrella framework to ensure that people's needs are met based on their demands they raise during roadshows."*

This contention is endorsed by the Constitution (1996) which states that one of the objectives of local government is to encourage the involvement of communities and community organisations in matters of local government (clause 152(1) (e)). It is obligatory for the local sphere of government to promote an environment that is conducive enough for communities to participate in the affairs of the municipalities.

It was pointed out by a respondent that: *“We are guided merely by section 152 (1) to run public participation based on democratic principles to enhance public participation. The municipality is guided by the constitution of the Republic of South Africa in order to align itself with the democratic citizen participation section”*.

#### **4.4.1.2 The Integrated Development Plan**

In uMhlathuze Municipality, the IDP was the most prevalent regulatory framework that the participants acknowledged to be useful in enhancing service delivery.

One of the participants reported that: *“The municipality uses IDP to enhance public participation, in the UMhlathuze Local Municipality public participation is double folded first there is a road show for IDP and there is also a roadshow budget to collect needs for services”*.

According to Swanepoel and De Beer (2006), municipalities must be clear on the view of what participation really means; they cannot mobilise people for token participation or limited participation. It is important that IDP does not involve people in certain conditions but they have to participate in the decision-making process. The municipality's IDP must ensure that the local people input is used based on development. During the study, participants were confident and very clear that the IDP is the main regulatory framework that drives the process of public participation in service delivery matters.

One respondent stated: *“The IDP provides a platform for our citizens to make inputs in terms of their needs; it creates a sense of ownership to people into the development of their own municipalities”*.

The IDP seemed to be giving them more of a platform to discuss the issues of service delivery with the community. Even further, in ensuring that services are provided without interruptions.

A respondent said: *“The IDP process is the only one I know that is regulatory promotion for service delivery as an official process that is institutionalised and reviewed by the provincial government. It's aligned with other local government plans” respondent indicated”*.

Mayekiso (2013) stated that IDP is a master plan that assists municipalities in how they will spend their capital budget for the next five years, and it allows them to set

their budget priorities. The participants were further asked if the regulatory framework is implemented and they agreed that the regulatory framework that is used to promote service delivery works and it has benefited the municipality in ensuring public participation.

One response was” *“Yes, it does, because we do IDP roadshows, we use cluster ward committees. However, it is not limited to IDP road shows alone, other public participation through human settlement, water, and it is embodied in the community quality strategy”*.

Swanepoel and De Beer (2006:28) agreed that citizens must become part of the decision-making and planning of the development projects, and true participation means that they are part of the implementation and evaluation of the projects. The results show that IDP participation helps in terms of improving current projects and the pace of service delivery in the wards.

This was expressed by one participant that said: *“It does improve in my experience, issues raised by public informs the municipality in the needs approach that influences strategy of the municipality. Projects ongoing in the wards are driven by the community concerns through the public participation mechanism”*.

Sewell and Coppock (1997) mentioned that through IDP formulation processes, public hearings may be held in various areas in order to allow a greater number of community members to participate and voice their views. The timing and venues for the hearings are important, as they will affect the degree of public influence, which include, the IDP processes. The collected information is used to meet the needs of the people through budget provision, through the process of public participation identification of needs of a particular cluster or local community met based on budget. People participate through giving their views, areas of concerns and the municipality plan according to the needs of the people.

#### **4.4.1.3 Municipal Systems Act**

Participants unanimously agreed that another regulatory framework used to enhance service delivery is the Municipal Systems Act. The role of the Act is to define the legal nature of municipalities, as part of a system of co-operative government. It also clarifies the rights and duties of the municipal council, local communities, and the municipal administration.

One of the participants indicated that: *“We are compelled to IDP process engaging with the citizen of uMhlathuze to develop a background of IDP process plan, this plan talks to public participation. It has phase, the first phase of analysis. We are required to engage with the public”*.

This is suggestive that the municipality complies with the regulations of participatory democracy. Section 5 of the Municipal Systems Act provides for the rights of members of a local community. It states that the members of the community have the right to contribute to the decision-making processes of the municipality. This includes the consultation of community members on the development of municipal needs and priorities, as well as the drafting of an Integrated Development Plan. Section 5 of the Municipal Systems Act calls for community members to be informed of the decisions of the Municipal Council, which may affect their rights, property and reasonable expectations. In Chapter 4 of the Act, the prescription is that municipalities should develop a culture of municipal governance that augments formal representative government with a system of participatory governance.

#### **4.4.2 Effectiveness of community participation in IDP formulation**

The majority of the participants agreed that there is effective community participation in the formulation of IDP in uMhlathuze Municipality. The responses vary according to the experiences of the participants, although one participant indicated that it is not fair to agree since they cannot measure themselves on their own performance, although the municipality has won awards in terms of IDP formulation.

One respondent said: *“The municipality has a number of IDP awards provincially and nationally for the past four years, this implies that there is effective community participation in the municipality”*.

One participant pointed out that there is effective community participation because there is a remarkable number of people attending, roadshows for budget and IDP increases yearly. This implies that people want to be part of the movement in the city, since they continue to attend.

A respondent stated: *“Effective, because yearly number of public participants grow. If not, people would not be coming to attend”*.

One participant stated that people during the roadshows raise issues of service delivery based on positive matters and they are contributing by commenting on the

lack of service delivery matters, such as water, electricity and roads. This suggest that people wish to see change in their own communities.

A response from one respondent was positive: *“We get feedback on people based on the service delivery and it brings encouragement to the municipality official side, I have never seen a municipality that has maximum participation like uMhlathuze”*.

Similar findings by Ngami (2014) revealed that public participation is a process, not a single event. It consists of a series of activities and actions by a sponsoring agency, over the full lifespan of a project, to both inform the public and obtain input from them.

Results from quantitative research gave similar information from the qualitative research. In the quantitative research, 77,6% of the respondents agreed that communication and participation is effective in service delivery in the area. This suggests that both community members and municipal officials hold similar views about community participation. Although one official maintained that even though community participation is effective in uMhlathuze Municipality, there is a room for improvement, especially in ensuring that all stakeholders and interest groups are involved.

The official said: *“The level of citizen participation in IDP still need to be improved through constant lobbying, Publication of our IDP, Operation Sukuma Sakhe and reaching to the Redress on interest groups, such as women and youth. Section 17 (2) of the Municipal Systems Act, which obliges community advisory structures to increase their representation of women, and people with disabilities”*.

#### **4.4.3 Public participation influence on service delivery**

The results based on the public participation influence on service delivery pointed out that the municipality receives positive contribution from the local communities. This implies that there is an institutionalised participatory democracy present. In contrast with the quantitative results, only 8, 2% of respondents claimed that public participation has no influence on service delivery, while the entire group claimed that it does influence service delivery.

A respondent said: *“Public participation influence service delivery to greater extent because it is the juncture where people give feedback on their views of the service*



*they get, as the municipality we get the feel of the people, opportunity to know what they are concerned about and take corrective actions for short comings”.*

Waldt (2014) described citizen participation as the cornerstone of local democracy. He stated that, increasingly, citizens demand more information on how public goods are managed, and they want to know how their tax money is spent. They expect better services, and they want to participate in the developmental processes and in making decisions that will affect them.

This suggested public participation in uMhlatuze benefits both parties, and this shows that the level of participation, according to Arnstein (1969), is effectively in the first phase, the degree of citizen, where there is citizen control, citizen delegation and power. This theory stated that these spheres imply that the municipality involves the public in their development, there is an effective participation.

A respondent stated: *“Previous people’s development was imposed to them but in this new democracy, people are consulted. In my experience, centralized governance during apartheid was not focusing on the unique need of local communities, but through public participation the government has decentralized service delivery according to the needs of people rather imposed to them through public participation government is controlled by the people”.*

This demonstrates that public participation in UMhlatuze Municipality is built upon democratic principles. The majority of the participants indicated that most of the service delivery concerns are adopted in order to ensure that budgeting is compatible with the needs of the people in the local communities. There is an understanding in uMhlatuze Municipality that through public participation, the local government can be controlled by the people.

#### **4.4.4 Strategies to promote citizen participation in service delivery**

##### **4.4.4.1 Partnership with municipal stakeholders and key role player**

One participant, in her introduction, emphasised that a communication strategy is used in the municipality to ensure that it also contributes to promoting citizen participation for service delivery.

She said: *“The municipality has the communication strategy which addresses the approach that it used to promote service delivery through public participation, and the municipality has a war room with different professionals who ensure that*

*community development exists in the wards, all the sectors are involved. The municipality has 34 wards and there are 10 wards committees in each ward hence there are 340 wards committees”.*

This suggests that different departments work towards a goal of promoting service delivery in all the spheres. The municipality ensures that communication channels are established to reach out to the local communities. This is supported by Nzimakwe (2010), who stated that public participation is an all-encompassing label used to describe various mechanisms that individuals or groups may use to communicate their views on a public issue. In probing, the response of one participant indicated that the municipality uses other strategies to communicate with local communities based on public participation.

For instance, he mentioned that: *“Although there is framework, but to make it operationally dedicated public participation unity goes out, we use tools such as: - Social media, Ward councillors Internal Publications, Clustering of wards -34 and Traditional Authorities (Leadership)”.*

This shows that, in uMhlathuze Municipality, partnerships with different key role players and stakeholder ensure that all people are represented in the process of public participation, as the local municipality also exists to ensure the economic development of local communities through business initiatives. More than one participant mentioned that the role of the traditional leadership is also recognised in terms of enhancing public participation.

One respondent said: *“Engagement with traditional leadership to assist to gather the community”.*

This is a common way to gather people in the rural wards where traditional leadership is still regarded as a source of leadership and wisdom in the communities. It is evident that the municipality is diverse so one strategy is not a ‘one-size-fits-all’ solution: people in the local communities of uMhlathuze Municipality live in different settings and it calls for an appropriate strategy for each setting. According to Arnstein (1969), there are different spheres of participation, from manipulation or therapy of citizens, through to consultation, and to what might now be viewed as genuine participation, i.e. the spheres of partnership and citizen control. There is room for improvement to engage with partnership with stakeholders, such as NGOs, CBOs and private companies, to ensure that involvement build unity and expansion.

#### **4.4.4.2 The use of road shows**

The majority of the participants indicated that roadshows are the most prevalent mechanism the municipality uses to enhance service delivery through public participation. Although some participants indicated that roadshows do not happen always and other ways to enhance public participation are still required.

One participant said: *“Mechanism exist to promote public participation are IDP roadshows – ward committees in terms of Municipal Structure Act, because are easy to use and local newspapers, radio slots and other printed media such as brochures and fliers”.*

One participant pointed out that roadshows also help to educate people about their rights to participate in the process of public participation. These rights concur with the quantitative data that revealed that one of the reasons for not participating in the process of IDP formulation is the lack of knowledge about citizens’ rights. Both quantitative and qualitative results concur that people still need to be educated about their rights to participate in the local government sphere.

A participant stated: *“Public participation is meaningful the municipality is willing to educate people on the role of public participation, across all the spheres of government, through collecting information to satisfy the needs of the people, we have a number of activities to enhance service delivery through collecting people’s needs through roadshows for IDP and budget process”.*

#### **4.4.4.3 The system of ward committees**

Ward committees are known for their inclusive nature to enhance public participation at a fundamental level. During the study, participants agreed that ward committees are functional and operational in uMhlathuze Municipality. The municipality consists of 34 wards and in each ward, there are 10 ward committees. Thus, ward committees appear to be the most common public participation structure in uMhlathuze Municipality.

One participant pointed out that: *“The wards committees participate by producing reports that are on monthly basis, each report provides the municipality a feedback on government operations with the ward, be it any programme or development related to service delivery, the municipality”.*

According to Mayekiso *et al.* (2013:189), 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 the development of specific areas within municipal boundaries.

The municipality has institutionalised the system of ward committees to ensure that the municipality complies with democratic principles of public participation as stipulated in the constitution and the Municipal Structure Act.

This was indicative as one participant stated that:

*“Institutionalised Ward committees’ system and the IDP should be institutionalised, it must be improved by ensuring the understanding to the people, by allowing academics to do research and give feedback to the people, explaining to them about the value of public participation”.*

Mayekiso *et al.* (2013:199) further pointed out that ward committees, to become more effective in influencing the policy-making process in local government, need to be strengthened and nurtured. Entirely, the process of public participation in uMhlathuze Municipality does not only focus on municipal service delivery. According to the participants, this has become an approach that includes provincial and national government programmes, through which the municipality enhances the process of public participation in all the spheres. It is evident that roadshows also help in ensuring that all community-based activities involve people, be it the national or provincial government.

One participant said: *“Ward committees represent different sectors, the role of ward committees –represent to the municipality through the help of district and provincial government, ward committees understand the process of public participation”.*

The results indicate that the ward committee system does not only provide a platform for public participation, rather it gives the municipality an opportunity to consult with the people on service delivery matters.

A respondent stated: *“When local people have problems related to each service delivery, such as water or electricity ward committees appropriate their response to needs. The ward committee’s system as institutionalised, they meet monthly and they submit reports through designed tools for data collection, working with community-based organisations such as schools, clinics and NGO’s to ensure that*

*they partner with the municipality in enhancing service delivery and social services, different issues and problems are brought forward”.*

Also, it ensures that the local people give feedback to the municipality on the services they receive, unlike during the old dispensation where development was based on one-way communication. This relates to the basis of the citizen act that public participation in decision making is fundamental, to enable people claim their democratic rights. In South Africa, this right is enshrined in the Constitution of the Republic of South Africa (1996), section 19, which states that: every citizen is free to make political choices and to participate in political process. Although Mathekga and Buccs (2006) believed that in South Africa ward committees exist to guarantee public participation, this outcome has not materialised in some places. Masuku (2018) argued that people in South Africa have developed a ‘wait and see’ attitude, where the government gives development programmes to people without their input.

In the area of this study, it is different based on the responses of the participants: ward committees are used to consult the communities on the available service delivery matters. Underpinned in the theory of ladder of participation, the precincts of Arnstein’s framework emphasises on involving communities in government affairs, allowing the public to control or have power in governance by involving them in decision making and responding to their (community) needs.

#### **4.5 SUMMARY**

Chapter four has discussed both qualitative and quantitative research results. The first section discussed quantitative results and interpretation through tables and graphs. The second section discussed qualitative research results based on the themes that emerged from interviews. An explanatory synthesis was developed through the discussion of literature and theoretical framework that underpins the study. Interestingly, both quantitative and qualitative results most concurred based on the research question. The results are reliable and validity is based on both methods. Chapter 5 will present the summary of findings, conclusion and recommendation of the study.

## **CHAPTER 5**

### **SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS**

#### **5.1 INTRODUCTION**

The previous chapter focused on the data analysis, interpretation of results and presentation. This chapter presents the summary of findings, conclusion and recommendations of the study.

##### **5.1.1 Objective 1: Examine the role of participation in effective service delivery**

In examining the role of participation in service delivery, South African citizen's awareness of their right to IDP participation emerged, where the majority at 57% of the participants indicated that they are aware of their right to participate in the service delivery process through IDP. Although it was found that not all citizens are aware of their rights to participate in the IDP process for service delivery strategic plan formulation. The study established that there is lack of public knowledge in terms of people participation on IDP formulation. The study's findings revealed that the role of public participation in uMhlatuze is limited to ward meetings and ward committees and community gatherings. It also emerged that other forms of communication are not effective enough to get citizens to play their role effectively in enhancing service delivery through public participation. A proportion of 75% of community members pointed out that their reason for not participating is lack of communication, poor communication and also being excluded from the IDP process.

##### **5.1.2 Objective 2: To determine the impact of IDP on service delivery in uMhlatuze Local Municipality**

The findings of the study show that 39% of citizens are of the view that IDP enhances development skills and 26% believed that it creates a public platform for service delivery enhancement in uMhlatuze Municipality. The study has found that IDP formulation process and service delivery has impact in getting people participating through the IDP process. The study also rated the relationship between public participation and service delivery enhancement in the area: 46.9% of citizens rated medium, and 30.6% rated high. From these percentages, the study has found

that there is a positive response regarding the rate of public participation and service delivery in the area. The study has found that public participation contributes in the role of enhancing service delivery in uMhlathuze Municipality.

### **5.1.3 Objective 3: To determine the level of community awareness on the value of public participation in IDP formulation and implementation in UMhlathuze Local Municipality**

The study discovered that 32.7% of citizens indicated that government spheres and departments have a role in the IDP to enhance service delivery. Essential services were among the valuable services that were reported to be very reliable and consistent. Support provided by departments through the municipality is stated in the IDP were second most prevalent services that the citizens indicated to be well articulated and delivery according to the IDP formulation and implementation. The study found that people understand that access to health care is among the IDP priorities that the municipality provides effectively in the area. The study found that financial support from different government departments in partnering with the municipality was another service delivery they have realized to be well implemented.

The study established that 87.3% of citizens agreed that they could participate freely without fear in the IDP formulation process. Although the study discovered the 59.18% of the citizens in the study do not participate because they do not have knowledge of the rights to do so. The study also established that 22.45% do not participate because of their perception of political biasness in community meetings. The study determined that 98% people are resilient to participate, even though they may feel threatened and excluded because of their willingness to see development and contribute to the enhancement of service delivery.

### **5.1.4 Objective 4: To determine the regulatory process in IDP formulation and implementation in uMhlathuze Local Municipality**

The study discovered that the municipality utilizes the Constitution as the main legislative framework to regulate the processes of public participation as to ensure service delivery. The municipality was found to be compliant to Section 152 of the Constitution of the Republic of South Africa. The municipality officials indicated that community participation is conducted in accordance with the Constitution and Chapter 4 of the Municipal Systems Act of 2000.

One of the key findings of the study was that IDP roadshows are the most common public participation platform used by the municipality to enhance public participation and service delivery in uMhlathuze Municipality. Another key finding was that the municipal officials believe that the IDP has been useful in formulating strategic development plans in accordance to the needs of the people in order to accelerate service delivery in the communities. In terms of determining the level of participation in IDP formulation, the municipal officials were discovered to face difficulties on how to determine the level of participation, since there was no tool to monitor and evaluate the process of public participation.

The study has shown that municipal officials were positive that there is an effective role in public participation that enhances service delivery. However, the lack of monitoring and evaluation of the effectiveness of public participation into service delivery was still a challenge. As a result, some officials were doubtful about the effectiveness of the process of implementation of IDP and public participation in service delivery. The study discovered that municipal officials associated public participation with mere attendance of people at roadshows. This is contrary to what other scholars, such as Swanepoel and de Beer (2006), agree that public participation involves the right to be part of decision-making mechanism affecting citizen's development. Swanepoel and de Beer (2006) pointed out that public participation is not only being physically present or about local practical knowledge, it is citizens' democratic rights to be there and make decisions regarding the developments and service delivery because it involves their future.

The Municipal Manager indicated that the level of citizen participation in IDP still needs to be implemented through constant lobbying of the IDP, involvement of interest groups and enhancement of old people gatherings called "Sukuma Sakhe".

From the ward, the study has discovered that the level of community participation in IDP formulation and implementation in uMhlathuze has institutional problems that need to be addressed. The study established that community members were less confident about their role in service delivery enhancement. In contrast, the majority of municipal officials claimed that the entire process of public participation in the enhancing of service delivery is operational. Masuku (2017) stated that local government institutions, such as municipalities, are perceived as political institutions because the management and both political and administrative leadership are



politically appointed to score political points and the needs of the people are not the priority. The study discovered that there are partnerships with municipality key role players, through a communication strategy to ensure that communication channels are sustainable for people to be informed. The study discovered that uMhlathuze Municipality believes in cooperative partnerships with different key role players to ensure development and implementation of public participation. Engagement of traditional leadership was another strategy they use to ensure rural ward participation in the process of IDP formulation. The study has revealed there is more focus on private company-based stakeholders than NGO's, and there is more need to build partnership with community organizations to promote people involvement and unity.

## **5.2 CONCLUSIONS OF THE STUDY**

The study concludes that the citizens hold different views to municipality officials with regard to the status of public participation, and the level of involvement. In contrast, the citizens only indicated that they attend the roadshows and listen to speakers. This means that there is inconsistent public participation for IDP in enhancing service delivery. The view of the municipality is not similar to the citizens in terms of the process of public participation, and this is caused by a lack of communication and as a result there is an apparent information gap between the municipality and the public regarding the institutionalization of IDP public participation and role in enhancing service delivery. Communication between the citizens and the municipality is still a huge barrier to development.

'Tokenism' or 'rubberstamping' attributes emerged during the study due to conflicting views on how the process of public participation makes contributions into enhancing service delivery. This was evident from clashing views on the development of IDP formulating, more precisely on roadshows and ward committees' functions. Political influence drives participation in rural settings and it affects the process of public participation. A conclusion can be made that people go and attend meetings, but their role was described through the process of strategic influence of decision making in the IDP formulation.

The municipality lacks strategies to enhance community participation, as to ensure that all members of the community, at all spheres, youth and senior citizens, participate in the formulation of service delivery and enhancement of service delivery. The public has very limited strategic influence on the direction and formulation of IDP in uMhlathuze Municipality. According to the empirical evidence gathered in this study, people come to listen to the planned programmes but they do not form part of decision making.

### **5.3 RECOMMENDATIONS FOR THE STUDY**

It is recommended that the municipality improves its communication strategy to ensure that all groups of people, of all ages and social classes, are invited to participate in the process of IDP formulation and present their service delivery needs.

The municipality needs to develop a monitoring and evaluation tool to measure their effectiveness on the impact of public participation, to ensure that there is citizen contribution into service delivery planning.

The municipality must safeguard political influence on the process of public participation in order to promote participatory democracy that is non-partisan and non-discriminating.

Access to information and public education must be strengthened in terms of IDP roadshows and other structures that enhance public participation. It is recommended that people are educated about their democratic right to participate in the process of IDP formulation, and more specific in the rural areas.

These events must be held in underdeveloped places where people will have physical proximity to the events.

The municipality need to depoliticize the ward committees, so that people will participate without fear of political association.

Recommendations for municipality service delivery

- It is recommended that Municipality Management and the office of the Speaker review the municipal public participation strategies, precisely to ensure that all structure is effectively practicing democratic public participation.

- It is recommended that Municipality management reconsider improving the existing e-governance systems to ensure that e-service delivery is implemented, including public participation through digital platforms to ensure that public participation is efficient, accessible and transparent.
- Through public communication that aims to improve service delivery and participation by giving information to relevant stakeholders.
- Giving platform for dialogue between municipal council representative and key stakeholders on issues of service delivery, as to listen and engage with stakeholders (NGO's, NPC's and Business chambers), the dialogue should involve mutual exchange of ideas.
- It is recommended that from the public and stakeholder a predetermined structure for decision making is emerged to promote accountability, transparency and democratic governance in the process of public participation.
- The municipality must ensure systematically it creates equal opportunities through public participation to influence the developmental programmes and service delivery.

### **Recommendations for future research**

- It is recommended that a qualitative study be conducted to explore the experiences of citizens with regard to their participation into service delivery plans.
- It is recommended that a qualitative study be conducted in obtaining difficulties and challenges of municipal IDP managers into enhancing public participation in the local government sphere.
- It is recommended that a quantitative study be conducted on how to ensure that monitoring and evaluation of public participation is measured in public sector organizations.
- It is recommended that an elevation study is conducted to ascertain the institutional barriers that hinder municipalities from the practice of participatory democracy.

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## Appendices

### Appendix A: Permission to conduct study



5 Park Street Civic Centre  
Kingsley District  
Wentworth 3120  
Richard Gij 3921

Telephone: 035 907 5000  
Toll-free: 011 4415 607  
Tel. Fax No: 035 213 630

[www.umhlathuze.gov.za](http://www.umhlathuze.gov.za)

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Contact: **V SINGH**

Our file ref:  
In response to DMS No:

Date: **11 JULY 2017**

ATTENTION: Mr S Mnguni (Student number: 201225879)  
University of Zululand

Dear Sir

#### **RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH**

Your email dated 10 July 2017 that was sent to the Municipality requesting permission from Council to conduct your research has reference.

You are hereby granted permission to conduct your research within the City of uMhlathuze. In order to ensure that your study can also be used to improve the City of uMhlathuze overall, you may be requested to do a presentation for Council's Management Team on your findings upon conclusion of your research.

If you require any further information, please contact Mr Phiwe Mhlongo (035- 907 5050) and Mr Cedric Koekemoer (035- 907 5406).

I wish you all of the best with your research and await a bound copy of your dissertation upon completion of your studies.

Yours faithfully

**Ms SS Masondo**  
**Deputy Municipal Manager: Corporate Services**  
DMR: 1170256



ALL CORRESPONDENCE MUST BE ADDRESSED TO THE MUNICIPAL MANAGER

## Appendix B: Informed consent

### UNIVERSITY OF ZULULAND



**Researcher:** Mr Sibusiso S. Mnguni

**Supervisor:** Miss Nokukhanya N. Jili

**Co-Supervisor:** Prof. Chris Isike

**Research Dean/Officer:** Prof. Irrshad Kaseeram

### INFORMED CONSENT

Dear Sir/Madam

You are kindly requested to complete the questionnaire for academic purposes, as I am doing my Masters in Public Administration. I am undertaking a study titled "Assessing the role of Public Participation in enhancing Integrated Development Planning (IDP) and Service Delivery: A Case of uMhlatuze Local Municipality". You will not be required to write your name or your contact details, therefore your response will remain anonymous. This study does not intend to cause any harm now or in the future, your privacy and confidentiality will remain. You may refuse or withdraw to participate from the project at any time you want.

Your Participation in this study will be of great importance, should you have any queries you should feel free to contact myself (researcher) or my supervisor using the following contact details.

Mr. Sibusiso Mnguni (Researcher)

[sibusisosiphamandla@gmail.com](mailto:sibusisosiphamandla@gmail.com)

Cell Number: 082 819 2005

Miss NN Jili (Supervisor)

[JiliN@unizulu.ac.za](mailto:JiliN@unizulu.ac.za)

Office Number: 035 902 66

# INFORMED CONSENT DECLARATION

(Participant)

Project Title: Assessing the role of Public Participation in enhancing Integrated Development Planning (IDP) and Service Delivery: A Case of uMhlathuze Local Municipality

Sibusiso Mnguni from the Department of Public Administration, University of Zululand has requested my permission to participate in the above-mentioned research project.

The nature and the purpose of the research project and of this informed consent declaration have been explained to me in a language that I understand.

I am aware that:

1. The purpose of the research project is to fulfil the requirements for Master in Public Administration
2. The University of Zululand has given ethical clearance to this research project and I have seen/ may request to see the clearance certificate.
3. By participating in this research project I will be contributing towards understanding the role of Public Participation in enhancing Integrated Development Planning (IDP) and Service Delivery in uMhlathuze Local Municipality.
4. I will participate in the project by responding to research questions and assisting with relevant documents needed for the study
5. My participation is entirely voluntary and should I at any stage wish to withdraw from participating further, I may do so without any negative consequences.
6. I will not be compensated for participating in the research, but my out-of-pocket expenses will be reimbursed.
7. There may be risks associated with my participation in the project. I am aware that:
  - a. The following risks are associated with my participation: none
  - b. The following steps have been taken to prevent the risks: none



- c. There is a 0% chance of the risk materialising
- 8. The researcher intends publishing the research results in the form of Masters Dissertation and Journal articles. However, confidentiality and anonymity of records will be maintained and that my name and identity will not be revealed to anyone who has not been involved in the conduct of the research.
- 9. Any further questions that I might have concerning the research or my participation will be answered by Miss Nokukhanya N Jili (Supervisor) Tel: 035 902 6615 and Email: [JiliN@unizulu.ac.za](mailto:JiliN@unizulu.ac.za)
- 10. By signing this informed consent declaration I am not waiving any legal claims, rights or remedies.
- 11. A copy of this informed consent declaration will be given to me, and the original will be kept on record.

I, ..... have read the above information / confirm that the above information has been explained to me in a language that I understand and I am aware of this document's contents. I have asked all questions that I wished to ask and these have been answered to my satisfaction. I fully understand what is expected of me during the research.

I have not been pressurised in any way and I voluntarily agree to participate in the above-mentioned project.

.....

**Participant's signature**

.....

**Date**

## Appendix C: Data collection instruments

### Uhla Lwemibuzo

**Isihloko: Assessing the role of Public Participation in enhancing Integrated Development Planning (IDP) and Service Delivery: A Case of uMhlathuze Local Municipality**

#### Imigomo

Faka uhlamvu 'X' endaweni efanele

#### Isigaba A: Imininingwane Yabahlali

##### 1. Ubulili

Owesilisa		Owesifazane	
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##### 2. Uhla lweminyaka

18-25		26-32		33-40		41+	
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##### 3. Ezemfundo

Amabanga Aphansi		Amabanga aphansi esibili		Imfundo ephakeme	
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#### Isigaba B: Izinzuzo Kubahlali

1. Ngabe uMkhandlu wohulumeni basekhaya uMhlathuze uyabazisa yini abahlali noma izakhamizi ngamalungelo abo ngenqubomgomo kahulumeni yokwakha kabusha nokuthuthukisa umphakathi (IDP)?

Vuma		Phika	
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Uma uvuma, kanjani? Uma uphika, kungani?

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2. Ucabanga ukuthi abahlali abangaphansi koMkhandlu wohulumeni basekhaya uMhlathuze badlala indima enkulu futhi baphinde bebandakanywe ekwakhiweni kwenqubomgomo yokwakha kabusha nokuthuthukiswa kwezwe nokunikezelwa kwezidingo zomphakathi?

Vuma		Phika	
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Uma uvuma kanjani, Uma uphika kungani?

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3. Kunamthelela muni ukumbandakanywa komphakathi ekwakhiweni kwenqubomgobo yokuthuthukiswa nokwakhiwa kabusha kwezwe emkhandlwini wohulumeni wasekhaya uMhlathuze?

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.....  
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4. Ungasebenzisa yiphi indlela ukuhlola ukuzibandakanya komphakathi ezinhlelweni zezakhamizi emkhandlwini wohulumeni basekhaya uMhlathuze?

luphansi		phakathi		phezulu	
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5. Yiluphi uxhaso olulethwa uhulumeni kumbe enye yezinhlango ezizimele ngenhloso yokuthuthukisa umphakathi owakhele lendawo?

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6. Ucabanga ukuthi izakhamizi zizibandakanya ngokukhululeka ngaphandle kokwesaba nokwenzelela ekebunjweni kohlelo lukahulumeni lokwakha kabusha nokuthuthukisa izwe nokunikezelwa kwengqalasizinda okanye usizo lokuthuthukisa izimpilo zabantu emkhandlwini wohulumeni wasekhaya uMhlathuze?

Phika		Vuma	
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Uma Uvuma, kanjani? Uma uphika, kungani?

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7. Ucabanga ukuthi umphakathi waseMhlathuze ungahlango kanjani ndawonye ubumbe inhlango elwela intuthuko? Unamaphi amaphupho ngekusasa lomkhandlu wasekhaya uMhlathuze

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**Siyabonga ngokuba yingxenye yalenhlobo**

## Appendix D: Ethical Clearance

**UNIVERSITY OF ZULULAND**  
**RESEARCH ETHICS COMMITTEE**  
 (Reg No: UZREC 171110-030)



**RESEARCH & INNOVATION**  
 Website: <http://www.uz.ac.za>  
 Private Bag X1001  
 KwaMhlangeniwa 3906  
 Tel: 035 902 6807  
 Fax: 035 902 6222

### ETHICAL CLEARANCE CERTIFICATE

<b>Certificate Number</b>	UZREC 171110-030 PGM 2017/396			
<b>Project Title</b>	ASSESSING THE ROLE OF PUBLIC PARTICIPATION IN ENHANCING INTEGRATED DEVELOPMENT PLANNING (IDP) AND SERVICE DELIVERY: A CASE OF UMHLATHUZE LOCAL MUNICIPALITY			
<b>Principal Researcher/ Investigator</b>	Mnguni SS			
<b>Supervisor and Co-supervisor</b>	Miss N Jili	Prof C Isiko		
<b>Department</b>	Public Administration			
<b>Faculty</b>	Commerce, Administration and Law			
<b>Type of Risk</b>	Low risk - Data collection- Desktop			
<b>Nature of Project</b>	Honours/4 <sup>th</sup> Year	Master's	<input checked="" type="checkbox"/> x	Doctoral
				Departmental

The University of Zululand's Research Ethics Committee (UZREC) hereby gives ethical approval in respect of the undertakings contained in the above-mentioned project. The Researcher may therefore commence with data collection as from the date of this Certificate, using the certificate number indicated above.

- Special conditions:**
- (1) This certificate is valid for 2 years from the date of issue.
  - (2) Principal researcher must provide an annual report to the UZREC in the prescribed format (due date-01 July 2018)
  - (3) Principal researcher must submit a report at the end of project in respect of ethical compliance.
  - (4) The UZREC must be informed immediately of any material change in the conditions or undertakings mentioned in the documents that were presented to the meeting.

The UZREC wishes the researcher well in conducting research.

  
 Professor Gideon De Wet

Chairperson: University Research Ethics Committee  
 Deputy Vice-Chancellor: Research & Innovation  
 20 September 2017

**CHAIRPERSON**  
 UNIVERSITY OF ZULULAND RESEARCH  
 ETHICS COMMITTEE (UZREC)  
 REG NO: UZREC 171110-30

**2017-09-20**

**RESEARCH & INNOVATION OFFICE**