



**Public Participation, Service Delivery and
Development: A Case Study of Dr. Nkosazana
Dlamini-Zuma Local Municipality**

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Declaration

I, Mphuthumi Bartholomew Mpabanga, declare that:

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3. This dissertation does not contain other person's information, unless specifically acknowledged as being sourced from other persons.
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Signed

Date

Dedication

I attribute all this achievement to the Almighty God. Without His grace, love and power I would not have completed this dissertation.

I dedicate this dissertation to my family, to my dearest wife Noluvuyo D. Mpabanga, my daughter Aphiwe Mpabanga, my sons Simthembile Mpabanga and Kreby Mpabanga. Thank you for your unwavering support and encouragement you always gave to me thus far.

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Abstract

Prior to 1994, the apartheid government had legislation and policies that were discriminatory and racially and oppressive to the black majority of the population of South Africa. After the 1994 democratic breakthrough, the democratic government devised strategies and plans to redress the atrocities of the apartheid system of government, hence the state engaged in a transitional stage. The main responsibility of the state in a transitional phase of reconstruction and development is service delivery so that all citizens can fulfil their basic needs and there is a suitable environment for economic growth. This is implemented by talking to and consolidating participatory democracy.

The Constitution of the Republic of South Africa clearly stipulates that public are to be encouraged to participate in policy-making, and that transparency must be developed by supplying the public with sufficient timely, accessible and accurate information. The local government should be responsible for the social and economic development of communities. As a result, provision has been made for the government to nurture a new culture of developmental local government. For improved service delivery, the local government sphere has the responsibility to facilitate sustained accountability and confidence in the government by interacting with citizenry in a participatory manner.

The research design used in this research was a case study of Dr Nkosazana Dlamini-Zuma (Dr NDZ) local municipality, where the researcher interviewed the residents of Ward 08 and municipal officials to establish an understanding of public participation, service delivery and development.

It was found that although there are mechanisms of public participation such as an integrated development planning outreach programme and ward committee meetings in place in Dr NDZ local municipality, there was a gap when it came to the coordination and mobilization for these programmes. The lack of information for the community members about service delivery and development left them disgruntled and confused. As a result, they have resorted to other ways of attracting the attention of the government, such as violent protests.

KEY WORDS: local government; democracy; public participation; service delivery; development; Constitution; empowerment.

Abbreviations and Acronyms

ANC	African National Congress
COSATU	Congress of South African Trade Unions
DMA	Disaster Management Act
Dr NDZ	Dr Nkosazana Dlamini-Zuma
IAPP	International Association of Public Participation
ICT	Information Communication & Technology
IDP	Integrated Development Planning
IFP	Inkatha Freedom Party
KZN	KwaZulu-Natal
LG	Local Government
MFMA	Municipal Finance Management Act
MSA 2000	Municipal Systems Act
MSA 1998	Municipal Structures Act
NA	National Assembly
NEDLAC	National Economic Development and Labour Council
NP	National Party
OECD	Organization for Economic Co-operation
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa

SALGA	South African Local Government Association
SPLUMA	Spatial Planning and Land Use Management Act
TLGF	Traditional Leadership and Government Framework
WHO	World Health Organization
WPLG	White Paper in Local Government

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Chapter One: Introduction and Background

1.1. Introduction

Dr Nkosazana Dlamini-Zuma (Dr NDZ) local municipality is a rural municipality, mainly consisting of villages, situated in the southern part of KwaZulu-Natal (KZN). This study looks at public participation, service delivery and development, as Dr NDZ has experienced continuous service delivery protests and a lack of service delivery and development.

This chapter provides a background to the study by outlining the research problem, research question and research objectives. The chapter describes the methodology used in collecting data for this study and also outlines the structure of the dissertation.

1.2. Background and Outline of the Research Problem

The main responsibility of a state in a transitional phase of reconstruction and development is to bring service delivery so that all citizens can fulfil their basic needs and there can be suitable environment for economic growth (Parnell, 2002:3). Parnell (2002) stressed the fact that the way in which this mandate is implemented must talk to and consolidate participatory democracy.

Section 195 of the Constitution of the Republic of South Africa (Republic of South Africa, 1996) clearly stipulates that the public should be encouraged to participate in policy-making and that transparency must be developed by supplying the public with sufficient timely, accessible and accurate information.

In South Africa, according to the Constitution, local government should be responsible for the social and economic development of communities. As a result, emphasis has been placed on the government nurturing a new culture of developmental local government (Parnell, 2002:28). For improved service delivery, the local government sphere has the responsibility to facilitate sustained accountability and confidence in government by interacting with the citizenry in a participatory manner (Draai & Taylor, 2009). According

to Madumo (2014), in modern democratic states, public participation is of vital importance for a successful government to be efficient and capable of providing efficient service delivery to the people. Practically, though, public participation has remained a fanciful hope, especially in the sphere of service delivery. As a result service delivery protests have been increasing, with instances linked to the deprivation of the people to voice their concerns in decision-making (Nembambula, 2014; Netswera, 2014).

With reference to engagement with the notion of public participation and its reciprocal relation with democratic governance, Tshoose (2015) has suggested a number of tasks for engagement with public participation. Firstly, it is necessary to examine the impact of public participation as a concept towards enhancing, nurturing and strengthening transparent, participatory and accountable democratic governance. Secondly, it is necessary to analyze the constant changes of public participation in the current democratic dispensation. Thirdly, it is necessary to investigate the philosophy on which public participation is based as well as the limitations aligned with public involvement in local government.

Dr NDZ local municipality is a category B municipality and one of the four municipalities under the Harry Gwala district municipality in KZN. This municipality is situated in the southern part of KwaZulu-Natal, bordering on the Eastern Cape and Lesotho. It has a population of 118 480, according to Statistics South Africa (Stats SA, 2016) the area of this municipality is 3602 square kilometres. This study focused on ward 08 in this municipality. This is a rural municipality, consisting mainly of villages that are under the Madzikane traditional authority.

There has been two major violent public protests that took place in Dr. NDZ local municipality, first one occurred on Thursday, 04 April 2019 and the other one 19 August 2019. The main reason behind these protest is the issue of service delivery, hence the MEC for Transport and community safety came to respond to the communities on the issues related to roads and district mayor on water and sanitation (www.ndz.org.za).

This study contributes towards understanding public participation as a multi-faceted phenomenon with respect to service delivery and development. It examines the nexus of participation and local service delivery in the Dr NDZ municipality.

1.3. Research Question

The main research question asks about the relationship between public participation and service delivery and development in ward 08 in Dr NDZ local municipality in Harry Gwala district in KZN province.

There have been continuous service delivery protests and a lack of service delivery and development in most of the municipalities in South Africa, yet the integrated development plan (IDP) outreach programmes, *izimbizo*, and ward committee meetings taking place at ward level, beg the question of public participation being *ad hoc*, structureless and uncoordinated, an aching tooth. Williams (2006) speculated that the bureaucratic elites of officials and councillors have been determined to impose their own sifted and modified version of community participation on particular communities.

The outcomes of public participation, according to Piper and Lieres (2008), shows a failure because of the poor implementation of public participation policy, which depicts significant administrative weaknesses, a serious lack of political will amongst political elites to ensure public participation works, and lastly the poor design of the “invited spaces”. These suggest that the “invited spaces” of public participation in South Africa will contribute less meaningful for the foreseeable future (Piper and Lieres, 2008). From exclusive cultures of politics and protest, to how poor people come to participate in these new spaces and the representational grounds on which people enter these spaces contribute immensely to complicate institutionalization of participation to get design principles right and stimulating participation (Piper and Lieres, 2008).

1.4. Objectives of the Research

The main research objective was to examine the relationship of public participation to service delivery and development in ward 08 in Dr. NDZ local municipality in Harry Gwala district municipality in KZN. To address this objective, the following questions were asked:

- What are the mechanisms of public participation in Dr NDZ local municipality?
- What are the challenges experienced in implementing these mechanisms?
- What is the relationship between public participation and service delivery in the community of ward 08 in Dr. NDZ local municipality?
- What is the role of public participation in service delivery and development in ward 08 in Dr. Nkosazana Dlamini-Zuma local municipality?

1.5. Research Methodology

This research used a qualitative approach. A purposively selected sample of 30 people from Dr. NDZ local municipality participated. The participants were the manager responsible for integrated development planning and public participation, ten people from the traditional council (six men and four women) and nineteen participants from the public (one person living with a disability, six young people, and twelve women).

Semi-structured interviews were conducted. The interview schedule covered voting, participation, meetings, and service delivery. Thematic analysis was used to analyze the data in this study.

1.6. Structure of this Dissertation

This dissertation is arranged into six chapters.

Chapter One is the background and introduction. This chapter has defined the research problem and background of public participation in South Africa. It has also discussed the research design and methodology of this study.

Chapter Two is the conceptual and theoretical framework. This chapter explores the theoretical and conceptual framework pertaining to the role of public participation in the service delivery and development processes.

Chapter Three looks at the legislative and policy framework for public participation in South Africa. This chapter discusses the legislative and policy framework that guides public participation in the policy-making process in South Africa

Chapter Four presents the method. The qualitative approach, sample selection, research instrument, and data analysis are described.

Chapter Five is the results and discussion. This chapter analyzes and interprets the data from the interviews undertaken with the community members of Ward 08 in Dr NDZ local municipality. The analysis is thematically guided by the research question. The results are then discussed with reference to the literature and the current situation in Dr NDZ.

Chapter Six concludes and makes recommendations based on the main findings from the analysis made in this study.

1.7. Conclusion

This chapter provided a background to the study by outlining the problem, research question, and objectives. This chapter also discussed the methodology followed to collect data for this study and provided the structure for the dissertation. The next chapter is the conceptual and theoretical framework.

Chapter Two: Conceptual and Theoretical Framework

2.1. Introduction

This chapter provides a conceptual and theoretical basis for the study of public participation in the process of service delivery and development by conceptualizing and theorizing about public participation and its relation to service delivery and development. This chapter deals with concepts related to development, planning, strengthening of democracy and empowerment. This chapter also discusses public participation as a mechanism to enhance the developmental approach by democratic government to address the apartheid atrocities.

This study adopted a conceptual framework of public participation. This served as an analytical basis for the study. The post-1994 period has been the most crucial and challenging moment for the South African government. South Africa has had to struggle and deal with an oppressive, apartheid induced legacy of inequalities and underdevelopment. Local government has been recognized as a key agent of development in their localities focusing on the poorest of the poor (Nel & Rogerson, 2005). Nel et al. (2001) believed that successful development requires the integration of the successes and compensation for the shortcomings of both top-down and bottom-up planning. Nel et al. (2001) stressed the need for more empathy and integration between planners and communities and the blending of theory and practice.

2.2. Understanding Public Participation

In examining the impact of public participation, Burton (2009) argued that it is not always easy to measure something that is unclearly specified at the beginning, as has been the case with public participation. Public participation should be intensively and extensively understood, particularly regarding how its benefits are conceptualized before its proper measures are constructed (Burton 2009:264). There is little that has been done regarding empirical scrutinizing of public participation, especially when it is compared to voting election processes (Burton, 2009). Emphasizing the warning by Stiefel and Wolfe (1994), Davids and Theron (2014) warned that, for some governments, public participation has

become a trending interesting word which everybody advocates but most do not understand nor practice. Public participation has been defined as process through which stakeholders act to influence and play a role in development initiatives and plans, as well as in decision-making and use of resources in all programmes in which they are directly affected (World Bank, 1996; Brinkerhoff & Crosby, 2002; Taylor, 2003; Burton, 2009).

Dauids and Theron (2014) defined public participation as a deliberative process by which affected public, civil Society and government officials or servants are involved in a policy-making before a political decision is taken (Dauids & Theron, 2014)

Many studies have been undertaken ever since around the appropriate role of public participation as an active and continuous area of inquiry, experimentation, revolution and controversy (King, et al., 1998).

If there is no reasonable degree of conceptual clarity about public participation, Burton (2009) contended that anything resulting from its measures would be baseless. According to Burton (2009), the conceptual aspects of public participation are in a form of four sets of questions which include identifying the clearly visible benefits of participation, who gets to participate, what the scope of decision-making is that the public is to participate in, and what the terms of participation are (Burton, 2009).

Burton (2014) distinguished developmental benefits for individual participants from instrumental benefits which are aligned with the decisions or policies resulting from participation (Burton, 2009:265). The developmental benefits thread, according to Burton (2009), encompasses a number of benefits. The first is that participation is perceived as a means for citizens to acquire, retain, or enhance dignity and self-esteem in a way that cannot be realized by other means. Another benefit is the educative role played by participation. This educative role Burton (2009) confirms what has been illustrated by Parker (2002) using the ladder of citizen participation. By participating in facets of public life, esteem gets boosted and developed and people have greater control over other aspects of their lives (Parker, 2002; Taylor 2003; Burton, 2009; Dauids & Theron 2014). Finally, another benefit is related to empowerment resulting from participation. This is where citizens are empowered to be able to guard against manipulations by others

including formal representatives that tend to choose for citizens what they believe is best, termed from Arnstein's ladder of citizen participation as a degree of tokenism. This results from consultation, informing and placation and non-participation coming from therapy and manipulation (Parker, 2002; Taylor 2003; Burton, 2009; Davids & Theron 2014).

Davids and Theron (2014:113) defined public participation as collaborative problem-solving with the clear goal of achieving more legitimate policies as a matter of theory of participation-legitimacy. Brinkerhoff and Crosby (2002:53) defined public participation according to the World Bank (1996:3), as a process through which stakeholders act to influence and take part in development initiatives and the decisions and resources in which they are directly affected (Brinkerhoff & Crosby:53). Creighton (2005) defined public participation as the process by which public concerns and values are embodied in governmental and corporate decision-making. According to Creighton (2005), public participation entails a reciprocal interaction between government and the public which yields results of better decisions that are welcomed and in favour of the public (Creighton, 2005). With reference to the International Association of Public Participation (IAPP), Creighton (2005) listed the following core values of public participation:

- The public should have their voice heard in decisions about actions that have an effect in their lives;
- Public participation embraces the promise that the public's contribution will have an effect in the decision;
- The public participation process imparts the interests and delivers the needs of all participants;
- Public participation desires to obtain and facilitate the involvement of those potentially affected; and
- The public participation process informs the participants how their contributions have influenced a decision.

Agere (2000) summarized these core values of public participation when stating that for good governance to be attained is when people participate in the processes of making decisions, when services are delivered efficiently, and when the government is transparent, accountable and productive (Agere, 2000).

2.3. Mechanisms of Public Participation

Public participation is the process where citizens voluntarily, directly or indirectly become involved and share in all processes of governance in the matters affecting their lives in democratic government (Houston, 2001).

2.3.1. Integrated Development Planning (IDP) and Budget Outreach

IDP is a programme where the municipalities, together with their constituencies, various stakeholders, and interested parties including traditional authorities, citizens or public and so on engage in a process of compiling strategic planning and budget preparation for the municipality.

2.3.2. Izimbizo

Izimbizo is a huge community meeting convened by the municipality or government at provincial or national level where questions are answered, concerns of the community are heard and advice is taken from the public about the government's programmes and services affecting the community.

2.3.3. Ward Committee Meetings

Ward committee meetings are where ward committee members hold a meeting chaired by the ward councillor to discuss ward service delivery and development issues. Ward meetings, convened by the ward councillor, also involve communities and the public to engage on issues such as water, electricity, housing, health and social development.

2.3.4. Written Submissions

Written submissions are used by government either from national nor provincial government to invite the public to make written contributions on policy issues of service delivery and development that affects them.

2.3.5. National Economic Development and Labour Council (NEDLAC)

NEDLAC is a consultative forum where government, labour, business and community organizations engage through cooperation, problem-solving and negotiation on economic, labour and development issues and related challenges facing the country.

2.3.6. Public Participation Mechanisms as a System for Citizen Engagement

These are some of mechanisms of public participation to mention few, which serve as a system for citizen engagement in democratic government in South Africa. These mechanisms clearly demonstrate the commitment of democratic government to participatory processes beyond periodical elections as it is evident even in the statutory and constitutional obligation that governance structures facilitate and enhance public participation in their processes (Houston, 2001). Houston (2001) contended that, where public participation is lacking, one will discover that the situation may result in an unresponsive government, which may bring confusion to the citizens in terms of legitimacy for the government and eventually the state. It may also swing to authoritarianism which will undermine human rights and freedom. Finally, there may be public protestation that will run through the spectrum of state critique, alienation from the state, to active protest in order to seek redress for social and economic issues, even to the extent of removing the ruling government in favour of another.

2.4. Challenges Facing Public Participation

Social media is a widely used mechanism of public participation. Radio is the least-used form of communication because is it expensive for the municipality to purchase a slot. Hasan and Megantara (2020:2) pointed out that since the Covid-19 has been declared

as a global pandemic, governments around the world have been encouraged to change the way people network with each other. Normal face-to-face engagements such as meetings have been restricted due to regulations imposed by the government. This situation has compelled the government to use information, communication, and technology (ICT) to facilitate public participation. This 'new normal' has some limitations, hence the 'digital divide'. 'Digital divide' has been defined as the gap between those who have and do not have access of computers, smart phones and the internet (Van Dijik, 2006). In rural areas the challenge of digital infrastructure shortage contributes more to the digital divide. Besides those that do not have computers and smart phones, even those that have these gadgets remain with a problem when they cannot get connected due to lack of network infrastructure.

The conceptual framework will assist the study in discovering if the public participation is clearly understood by both government officials and communities and also establishing if it is being implemented accordingly to yield anticipated results. Buccus, et al. (2008) witnessed the acknowledgement from various broad categories of public participation institutions that less consideration has been given to public participation, and that existing policy frameworks, institutional mechanisms and programme interventions are failing to comply with government Constitution legislation and statutory obligations in this regard. Policy frameworks have been developed by government at both municipal and provincial level in order to have a standardized approach to public participation. Processes have been implemented to develop guidelines and programmes to ensure that public participation obligations are satisfactorily met (Buccus et al., 2008). The big question, according to Buccus et al. (2008), is whether this affords substantial opportunity for public engagement or is merely a formality, hence the issue of authentic public participation. Buccus et al. (2008) argued that that public participation has been limited to forms of consultation around needs rather than any real empowerment in political decision-making or implementation, hence surveys have shown a record of low levels of participation.

2.5. Selected Studies on Public Participation

Dauids and Theron (2014:113) believed that current approaches to public participation in South Africa has been frequently shown to be ad hoc, incremental, structureless, imbalanced and uncoordinated. Examples include the N2 Gate Way Housing Project in Cape Town and the e-toll saga in Gauteng, which Dauids and Theron (2014:113) said were typical of the nature of public participation as showing to be just window dressing.

Lowndes et al. (2001) analyzed the possibilities of change through an examination of current practices as well as attitudes within local government in Britain. The study that was undertaken came with statistics regarding local government activities to enhance public participation (Lowndes et al., 2001:205). As both survey-based and qualitative research were conducted, qualitative research helped to understand experiences and aspirations of local government members and officers on public participation, both positive and negative. The two key objectives of the research, according to Lowndes et al. (2001), were to give an up-to-date picture of the nature and scope of public participation in local government through survey of all local authorities and to examine the view of local authorities and their citizens on participation initiatives in practice through case studies. The research findings related to local authorities' activities and attitudes and citizens' perspectives were that:

- people would participate in interaction with on the issues that mattered most to them, like environmental, open spaces and children's play areas, crime, housing maintenance and allocations, planning and health.
- Citizens were obviously not aware of the exact short comings of local authority responsibilities.
- The local authority survey illustrated that 81 per cent of council demand to conduct consultations in cooperation with other agencies, yet focus group participants knew nothing about any collaborations in their area.

- The survey proved hard to probe the relative popularity of unique approaches resulted from citizens 'lack of knowledge and experience of consultation.
- The findings came out to confirm the importance of having various participation methods suit unique citizen groups and circumstances (Lowndes et al., 2001:206).

The findings of anthropological research on practice of planning in western North Dakota boomtowns during 1980s were that the institutional procedures and formal instruments of planning serve to enforce dominant bureaucratic forms of organization, ideology, and connected series of utterances in ways that marginalized other ones (Tauxe, 1995). Efforts and mechanisms to involve residents in planning were in place, local voices were not taken seriously when they used local polite ways of expression and rhetoric, hence Tauxe (1995) warned of greater cultural sensitivity in matters of power and communication in planning practices.

King et al. (1998) noticed discouragement and lack of enthusiasm from citizens in participating in decision-making. Their definition of participation was that effective participation is participation that is genuine or authentic. King et al. (1980) defined authentic participation as deep and continuous involvement in administrative processes with the ability of all involved to have an impact on the situation. King et al., (1998) found that both citizens and administrators defined the key elements of authentic participation as focus, commitment, trust and open and honest engagement on issues. from Davids and Theron (2014) reached a similar conclusion: "Reality has shown that development often fails because there are methodological and process differences between authentic public participation process on the one hand and informing, consulting, involving and engagement process masquerading as public participation on the other" (Davids & Theron, 2014:126).

Ayodene et al. (2015) conducted a study in Lagos, Nigeria. They found that face-to-face interaction between public and governance administration with communities of Makoko was important (Ayodene et al., 2015). Their study showed that the potential of using ICT in promoting public participation has been underexplored in these communities, and recommended the enhancement of ICT use for public participation (Ayodene et al., 2015).

Mosotho (2013) assessed the effectiveness of public participation programmes on service delivery in the Capricorn district of Limpopo. He conducted interviews with ward committees in the Aganang and Blouberg local municipalities. He found that there was a lack of effective participation in municipal programmes by communities due to a lack of preparedness by local authorities in providing feedbacks on commitment made about service delivery (Mosotho, 2013). He also found that the level of education plays a significant role for the effective/ ineffective participation by communities within municipal programs (Mosotho, 2013). Recommendations were that mechanisms should be implemented to monitor the impact of public participation programmes, building community capacity to engage with municipalities and strengthening current public participation mechanism, such as IDP and budget outreach, izimbizo, and public hearings programmes.

From the studies reviewed the researcher has gained an understanding of the various research foci on the state of affairs of public participation in government, as well as different approaches applied when undertaking such research. It has become obvious that public participation requires continuous research in order to assist in understanding the real issues that are currently underpinning the situation in local government (Tshoose, 2015).

Although there has been no research conducted in Harry Gwala District in KwaZulu-Natal on public participation, it has become clear that public participation is one of the important deliberative processes by which the interested or affected public, civil society organization, and government actors are involved in the policy making before any political decision is taken (Davids & Theron, 2014). The matter of authenticity of public participation can create some gaps when it comes to what is expected of it. It is then necessary that studies to find out about the link of public participation to the people's lives, more especially in relation to service delivery and development, should be undertaken in an attempt to understand it and assist in addressing the outcry by some authors about public participation limitations, as viewed by Meyer and Theron (2000), Theron and Ceasar (2008), and Davids and Theron (2014).

2.6. Arnstein's Ladder of Participation

According to Taylor (2003), it is preferable to take participation as a cycle or wheel, where participants engage at the point and for the purpose they prefer. Using Arnstein's (1969) 'ladder of citizen participation', Taylor (2003), like many other authors, believed that it takes one from non-participation through tokenism to citizen power (Connor, 1988; Taylor, 2003; Botchwey et al., 2019). The much-cited famous eight-rung ladder of Arnstein ends with citizen control (Taylor, 2003). This can be seen in Figure 2.1.

2.6.1. Non-Participation

The first level, manipulation, is where the public has those in power and powerless committees that are being used by those who have power to endorse their interests, as they have no say in whatever programme of development planning and implementation. The second level, therapy, is where the attitudes of the public are made to conform. At these lower levels every issue of development and service delivery is just imposed without the public having to focus on the programme or project. Taylor (2003) following Arnstein (1969), illustrated participation from the lower level of non-participation, where the citizens or community members are subjected to manipulation and therapy. Citizens are left uninformed here and the government officials use a top-down approach in policy implementation. Here community members or stakeholders are just inactive recipients of what the bureaucratic agents bring, without any contribution from their side.

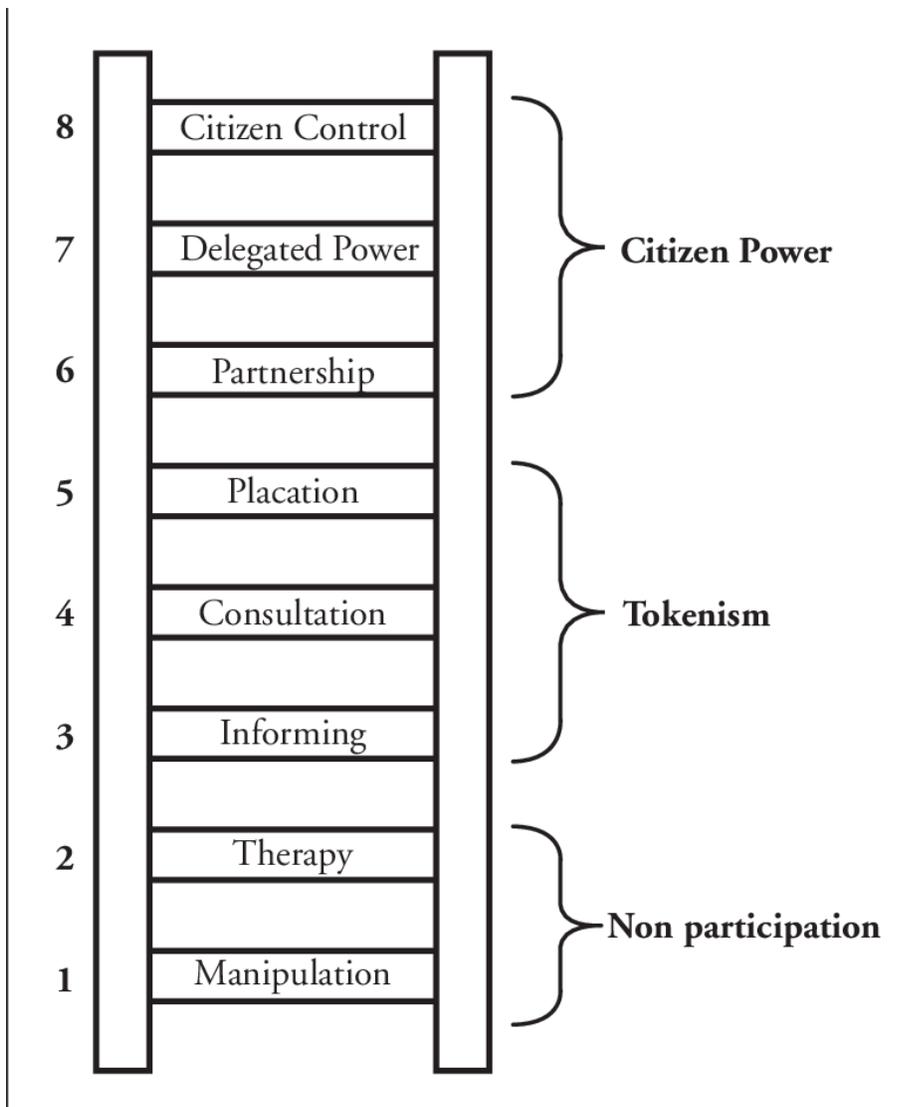


Figure 2.1: Arnstein's (1969) Ladder of Citizen Participation

Source: Arnstein (1969:217)

From the non-participation levels follow degrees of tokenism, where citizens are just informed about policy implementation and have no space to engage and provide input in this regard. It is at this level where citizens are only consulted for the sake of formality, but nothing guarantees the impact of their input. Their input is not considered, but they are consulted for the sake of calming them down or appeasing to them.

2.6.2. Tokenism

The third level, informing, is where there is a one way, top-down flow of information where the public are only informed of their rights, responsibilities and options. In all this there is nothing that allows the public to influence on the decision-making, they simply get what they are told about.

In consultation, the fourth level, the public are afforded an opportunity to give opinions on the relevant issues of development and service delivery, but that does not guarantee that these opinions will be taken into consideration when development planning is being done.

At the fifth level, placation, a few individuals from the community are handpicked and appointed to committees as a way of calming down the community members and pretending that there will be consideration of their issues. In a way this serves as a token to those that are vocal from the powerful. Those that are in power tend to destroy the invented spaces and pretend to promote invited spaces.

2.6.3. Citizen Power

Partnership, at the sixth level, is where power becomes distributed through negotiations between the public and those in power. The public are acting as valuable partners in governance programmes of development and service delivery.

The seventh level, delegated power, is where the public develops the dominant decision-making authority over a particular development programme or project or in any issue that affects their lives.

Citizen public control, the eighth level, is the top level. Here the public has the level of power needed to govern the development programmes or projects or institutions with their authority without the influence of the powerful. The public has developed control and power over the policy, actions and affairs of the state. While citizens engage as partners with government at this highest level, Taylor (2003) believed that partners bring unique expectations, goals, cultures, worldviews, skills, powers and resources to the process. In public participation at this level the participants have delegated power and control.

According to Taylor (2003), there is an assumption that the top of the ladder is the area to struggle for. The assumption here is that control is what participants want, correctly so, and that those participants who apparently gain control will then empower others (Taylor, 2003).

2.6.4. Limitations of Arnstein's Ladder

According to Botchwey et al. (2019), Arnstein's ladder of citizen participation has given useful insights into how the youth can participate in decision-making through partnership with the adults for whom the ladder was designed.

Arnstein (1969) acknowledged the limitation on her scheme, as follows:

Firstly, there is no coloration between what is depicted by the divisions used in the ladder regarding citizen power.

Secondly, some stumbling blocks like racism, paternalism and resistance of some authorities and the lack of knowledge and disorganization of various low-income communities; and

Thirdly, to cover the range of real citizen involvement levels, the actual world of people and programs might need as many as 150 rungs instead of eight rungs.

According to Connor (1988), the additional limitations were observed, such that, the diagram of ladder addresses urban, black ghettos rather than a range of urban, suburban and rural situations; and the citizen participation on a ladder analogy gives no logical progression from one level to another, one building to another.

2.7. Connor's Ladder of Participation

The main use of this ladder is to give a systematic approach to avoid confusion and bring solution to public differences about specific policies, programs and projects whether in urban or rural settings and whether governmental or private sector (Connor, 1988).

This ladder may be seen on Figure 2.2

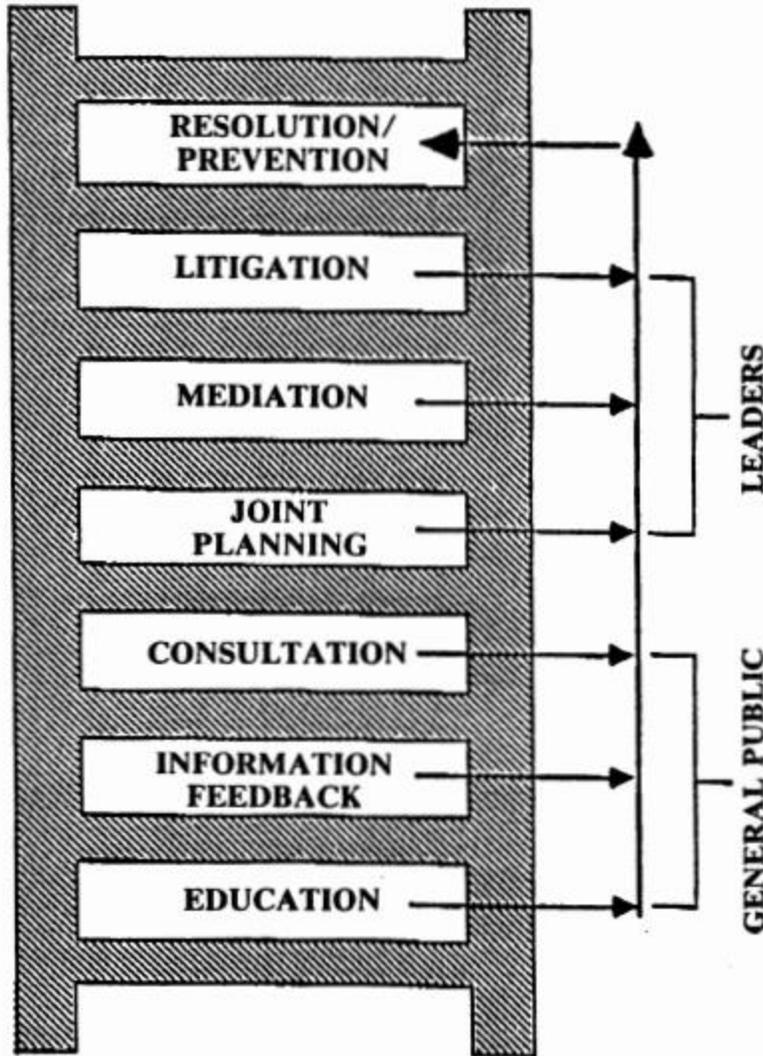


Figure 2.2: Connor's (1988) Ladder of Participation

Source: Connor (1988:262)

2.7.1. General Public

According to Connor's assertion, the fundamental base of any program to avoid and bring solution to public differences must be an informed public (Connor,1988). In many situations, when a reasonable informational base has been established in the policy, program or project, when it has been introduced it will be welcomed by general understanding and acceptance. In the lack of education, information relevant to the situation should be provided and responses provided as Information Feedback.

Proponents, real or potential, governmental or corporate, cannot have substantial proportions of their key constituencies ignorant of their objectives, activities, effects and plans (Connor, 1988).

Information feedback was the next step, when the constituencies affected by a proposal change indicate they do not understand and accept it. A fundamental factor in this strategy is to have an accurate appraisal of what each party understands and believes about the proposal and one another. According to Connor (1988), an information audit through information feedback will disclose not only information gaps, but may also depict the presence of negative myths and stereotypes which must be directly dealt with, such as “Engineers only heed cost-benefit analysis”.

When the education and information feedback programmes do not yield the expected results, the next step of consultation involves the solicitation of additional solutions to the matter than originally envisaged by the proponent, further potential evaluation criteria than initially observed, a weighing of the views of interested and informed people on evaluation criteria, and a ranking of the technically sound and economically acceptable alternative solutions.

In consultation as an advisory process, the proponent may accept or reject the views expressed by the public, although these are now clearly identified and can be dealt with in more relevant effective manner than before consultation took place. An effective consultation programme, according to Connor (1988), will ultimately lead to the ‘resolution’ rung on the ladder.

2.7.2 Leaders

If jurisdictional matters are involved, an accompanying joint planning project may also be required. When a party involved with the proposal has legal jurisdiction over some aspects of the area affected it should be involved as a partner in a joint planning process. The increasing effect of the four processes thus far may well accomplish resolution. If not, those relatively few difficult problems may now be dealt with through mediation.

Mediation, on top of being used in a long tradition of labour and management applications, has also been recently used to resolve environmental and land use issues as a more cooperative approach compared to time-consuming and costly legal actions. In mediation, a neutral, third party leads the others through a conflict-resolution process, often resulting in compromised solutions. Observing this approach, Connor (1988:255) acknowledged the stringent consequences this approach may yield and stated, “The adversarial relationship inherent in a legal action and court decision often leaves both parties feeling antagonistic towards each other. Some kind of bridge-building activity is then required before the resolution stage is reached”.

If mediation does not yield expected outcomes, there is still legal resource to explore, litigation. Litigation as a traditional method of conflict resolution is still being applied, despite criticisms that there are often delays and it is costly and divisive. Here the lawyer resolves disputes before court action is undertaken by adopting a mediating role (Connor, 1988)

2.7.3 Resolution and Prevention

Resolution and prevention may be accomplished not only by the education strategy as applied initially, but also by the public affairs technique of issue management or the use of a consumer-oriented marketing programme. Resolution of a dispute about proposed policy, programme or project implies acceptance by most of the parties involved of the agreed solution (Connor, 1988).

A practical application comes from Enserink and Koppenjan’s (2007) research on the governance aspects of China’s environmental policy-making and the conditions for effective public participation in sustainable policy-making on urbanization. China has been engulfed in huge urbanization challenges due to fast economic growth and excessive pollution and fast reduction of her natural resources (Enserink & Koppenjan, 2007). Enserink and Koppenjan’s (2007) approach presented literature about sustainable urbanization processes and environmental policy-making on governance and public participation. These presentations were supplemented with material from case study research and expert meetings in China. The findings showed the interdependency and

intertwined relationship between China's environmental governance and public participation that resulted in policy recommendations for public participation in how to conserve an ecological balance by avoiding the depletion of natural resources during urbanization processes (Enserink & Koppenjan, 2007).

2.8. Public Participation and Good Governance.

According to Graham et al. (2003), governance is not synonymous with government, but a problem of government having the corollary that it is government's responsibility to solve it. Graham et al. (2003) defined governance as being about how governments and other social organizations interact, how they relate to citizens, and how decisions are taken in the world. Governance is a process where societies or organizations make their important decisions, determining who they involve in the process and how they are accountable.

Governance is also about how other actors, such as civil society organizations, may participate in taking decisions on matters of public concern. In an attempt to define good governance, different perspectives, principles and best practices have been the subject of debate at many national and international conferences (Agere, 2000).

The Organization for Economic Co-operation and Development (OECD) took the World Bank's definition of governance and linked it to participatory development, human rights and democratization (Agere, 2000). According to Agere (2000), democratization is the legitimacy of the government and policy arms of governments, and transparency of decision-making. For good governance, it is important that a democratic form of government is in place, that people participate in decision-making processes, that services are delivered in an efficient manner, that human rights are upheld, and that the government is transparent, accountable and productive (Agere, 2000).

Good governance is therefore, *inter alia*, participatory, transparent and accountable, with the aim of ensuring that socio-political economic priorities are based on a wide consensus in society, and that the voices of the poorest and most vulnerable are heard and considered in decision-making processes regarding the allocation of the resources. For good governance to be achieved, there are various principles to be observed, but,

according to Agere (2000), accountability, transparency, combating crime, participatory governance and enabling a legal and judicial framework are the most common principles.

2.8.1. Accountability

Accountability has been defined as holding responsible elected or appointed individuals or organizations charged with a public mandate to be accountable for specific actions and decisions to the public from whom they got authority. Accountability focuses on the ability to account for the allocation, use and control of resources, and focuses on budgeting, accounting and auditing, and is also concerned with the establishment and enforcement of the rules and regulations of corporate governance (Agere, 2000).

2.8.2. Transparency

According to Agere (2000), transparency is defined as public awareness of the policies of government and confidence in its intentions by making public accounts verifiable, providing for public participation in government policy-making and implementation, and giving an opportunity for contestation over choices that have an impact on the lives of citizens. It also includes making available for public scrutiny accurate and timely information on economic and marketing conditions.

2.8.3. Combating Corruption

Corruption is defined as the act of abuse of public office or public trust for private gains. In the situation and context of the state, corruption refers to criminal or otherwise unlawful conduct by government agencies or by officials of these organizations acting in the course of their government duties (Agere, 2000). Combating corruption is a key indicator of commitment to good governance. Improvements in the effectiveness and transparency of economic policies and administrative reform, according to Agere (2000), can assist immensely in the fight against corruption as well as enhance good governance.

2.8.4. Public Participation

Agere (2000) defined participation as a process where stakeholders exercise influence over public policy decisions and share control over resources and institutions that affect

their lives. They do so by providing a check on power of government. In the context of governance, participation is mainly directed to the empowerment of citizens and addressing the interaction between the broad range of civil societies, actors and actions. It is about the establishment of an enabling regulatory framework and economic environment which create legitimate demands and monitor government policies and actions. Stakeholder participation is pivotal in engaging and committing the people for sustainable development and in fostering equity of distribution of the benefits of development. Civic participation must be inclusive. Societies must not be divided, and there must be neither gender inequality nor racial discrimination. Inclusive participation and respect for human rights are necessary for the establishment of social capital and societal cohesion. Public participation helps to foster trust and reciprocity between citizens and their government. Respect for human rights encourages the healthy benefits of the basic freedom of expression, assembly and association, as enshrined in the South African Constitution (Republic of South Africa, 1996) which empowers citizens to act to improve their living conditions. Stakeholder participation enables and enhances civil society, media and advocacy groups to criticize and demand redress from inefficient state policies.

2.8.5. Legal and Judicial Framework

A legal and judicial system that enhances good governance and development is one where the laws are clear and are applied uniformly through an objective and independent judiciary. This is a legal system which provides the necessary sanction to deter and sanction consequence management.

2.8.6. Conclusion

Good governance includes various essential elements of democracy such as participation, transparency to civil society, respect for human rights and property rights and peaceful conflict management. From definitions of good governance and public participation, it can be deduced that good governance is a means to public participation and public participation leads to good governance, hence they are reciprocally important to each other.

2.9 SERVICE DELIVERY AND DEVELOPMENT.

2.9.1 Service delivery.

Taking from Lovelock and Wright (2002), Martins and Ledimo (2015) defines service delivery as refers to the real delivery of a service and products to the customer or clients. According to Martins and Ledimo (2015), service delivery is concerned with the where, when and how a service product is delivered to the customer and whether this service is fair or unfair in nature. The Municipal Systems Act clearly stipulates that, a basic service is one that ensures an acceptable and reasonable quality of life with regard to water, sewage, refuse removal, roads, electricity and storm water control.

The state has an important role in the delivery of a broad array of public services from justice and security to services for individual citizens and private enterprises (<https://www.sigmaweb.org>).

According to SIGMA, besides traditional public services, such as health care or education, we have administrative services, such as a delivery of licenses and permissions which are subject to regulations of administrative legislative prescripts. Service delivery can also be defined as any contact with the public administration during which customers-citizens, residents or enterprises – look for or give data, handle their affairs or perform their duties accordingly ([sigmaweb.org](http://www.sigmaweb.org)). These services should be rendered in an effective, predictable, reliable and customer –friendly way. According to SIGMA, good service delivery requires the following:

- The government understands the need to promote citizen-oriented administration.
- Good administration is a policy objective put into practice coherently, through various regulatory and other mechanisms, to ensure quality services.
- Accessibility to public services is ensured.

2.9.2 Development

Citing the view of Indian Institute of Mass Communication and taking from Ganesh (1994) on top of various definitions of development, Jarso (2017), defines development as “removal of poverty, the decreasing of disparities between regions and classes, the building up of technological infrastructure, and modernization of society through shedding feudalism, tribalism and superstitions, and gradual achievement of economic self-reliance”

Asserting to Sen (1999), Jarso (2017) further defines development in terms of “removal of major resources of “despotism”, such as poverty, tyrannical government, poor economic opportunities or unemployment, existence of systemic social deprivation, neglect of public facilities as well as existence of repressive states, starvation or inadequate nutrition, absence of remedies for curable diseases, and insufficient public amenities such as scarcity of epidemiological programs, or planned arrangement of healthcare or educational facilities as well as scarcity of effective institutions for maintenance of local peace and order.

Development includes technological, social, economic, cultural and political changes (Jarso, 2017)

2.10 Chapter Summary

This chapter has covered the conceptual and theoretical framework on public participation. It has touched on the understanding of public participation, where the mechanisms of public participation have been discussed. The chapter also dealt with the challenges facing public participation in spite of the circumstantial situations in discourse. The theoretical framework touched some studies undertaken on public participation. It went further illustrating the approach of public participation through Arnstein (1969)'s ladder of participation and Connor (1988)'s new ladder of participation. The chapter then concluded with the relation between public participation and good governance.

The next chapter looks at the policy and legislative framework in South Africa.

Chapter Three: Policy and Legislative Framework for Public Participation in South Africa.

3.1 Introduction.

The chapter covers legislation as enshrined in the Constitution of the Republic of South Africa (Republic of South Africa, 1996) regarding public participation as a means to deepen democracy and enhance effective developmental programmes to improve the lives of the people.

During the apartheid era, before the 1994 democracy breakthrough, the South African government was an authoritative autocratic regime. It was a regime that defined itself totally against the needs and wills of the majority of the country's population (Mathekga & Buccus, 2006). Under the oppressive and discriminative apartheid government most South Africans were not allowed to participate in their own country's government programmes. Under the apartheid government people could not question the power of the state. Instead, they were recipients of governance, rather than participants (Mathekga & Buccus, 2006).

The trend towards participatory and direct democracy has been characterized by a number of dramatic changes in policy making, budget preparation, legislative and planning processes since the beginning of 1990 in South Africa (Houston, 2001). This has been illustrated by the increasing participation of a variety of interested groups in various processes, as well as the establishment of number of consultative participation processes, for example, through integrated development planning (IDP) processes, petitions, public hearings, policy-making discussion conferences, Green and White paper processes, and consultative forums such as the National Economic Development and Labour Council (NEDLAC) (Houston, 2001).

In 1994, the Government of National Unity demonstrated the coalition administration in which the African National Congress (ANC) shared the cabinet positions with the National Party (NP) and Inkatha Freedom Party (IFP) and two minority parties (Khosa, 2001). This

coalition administration was committed to the implementation of the reconstruction and development programme (RDP). The RDP was initially crafted by the Congress of South African Trade Unions (COSATU), and its adoption by the ANC as an election manifesto, was an expression of the 'agreement' between the ANC and its trade union ally wherein COSATU support during an election would be conditional on the ANC accepting worker-friendly policy commitments (Khosa, 2001). According to Khosa (2001), the RDP's vision encouraged a participatory approach, in which "...development should not be just about the delivery to a passive citizenry", instead it should be "people driven". It should be an all-embracing effort in which development forums will bring together all major stakeholders in formulating and implementing RDP development projects. According to Tugendhaft et al. (2020), in South Africa, public participation in decision-making has been clearly outlined and emphasized in policy documents, yet practical applications have been scarce. Engagement in ways that are deliberative could yield good results in ensuring that the public participates in a prioritization process that is evident-based, ethical, legitimate and effective (Tugendhaft et al., 2020). The 'choosing 'all together' (CHAT) tool for use in a rural setting as a specific deliberative engagement tool has according to be modified to prepare such a deliberative process in South Africa (Tugendhaft et al., 2020).

Before the 1994 democracy breakthrough, there was extensive dialogue on how the country could be transformed from an apartheid legacy to a democratic state. As a democratic state that most progressive political organizations, civil society and communities envisaged, there had to be ways and means of enforcing a transformation agenda through policies and legislative frameworks. These policies and legislative frameworks were promulgated with the aim of guiding, directing, nurturing, pursuing, enforcing and emphasizing the programme of transformation.

South Africa as a multi-party state, representative democracy with its human rights entrenched in its Constitution (Buccus et al., 2008). Though the state power is mostly centralized in the national sphere, with limited power delegated to provinces and local municipalities, the South African Constitution and some legislation have complemented the power of elected politicians with forms of public participation (Buccus et al., 2008). This chapter describes the policies and legislation relating to public participation.

2.2. Constitution of the Republic of South Africa, 1996

According to Section 59(1) of the Constitution, it is a requirement that national and provincial legislatures consult. It states that, “The National Assembly must... facilitate public involvement in the legislative and other processes of the Assembly and its committees”. Section 118 of the South African Constitution gives similar requirements for the provinces.

Section 152(1) of the Constitution states that, ‘local government must encourage the involvement of communities and community organizations in the matters of local government’. This Section confirms a number of citizen’s right and more especially, the rights of communities to be involved in local governance. Section 152 is precisely maintains the following focal points:

- (a) To provide democratic and accountable government for local communities.
- (b) To ensure the provision of services to communities in a sustainable manner.
- (c) To promote social and economic development.
- (d) To promote a safe and healthy environment.
- (e) To encourage the involvement of communities and communities’ organizations in the matters of local government

As enshrined in the Constitution, the South African government has to show commitment to public participation (Service Delivery Review, 2015). Section 195 of the Constitution states that, “People’s needs must be responded to and the public must be encouraged to participate in policy-making” (Republic of South Africa, 1996).

3.9 The Municipal Systems Act (MSA), 2000

The Municipal Systems Act, 2000, section 16, goes further in this regard by obliging municipalities to “...develop a culture of municipal governance that complements formal representative government with a system of participatory government...” For this

purpose, it encourages and establishes conditions for the local communities to participate in the affairs of the municipality, including in: (i) IDP; (ii) the performance management systems; (iii) performance; (iv) the budget; and (v) strategic decisions relating to service delivery.

Mathekga and Buccus (2006) argued that while the new institutions of local government have been established with genuine intentions to positively nurture, grow and deepen democracy and to bring about social and economic transformation at local government, these institutions have not been able to live up to and deliver according to expectations. Mathekga and Buccus (2006) suggested that the reason for this gap is that the method of implementing the new institutions has not catered effectively for the citizen dormant participatory culture. Buccus et al. (2008) believed that if this were to be vigorously addressed, this could lead to highly engaged communities such as has been evident in Porto Alegre in Brazil, and other situations where democracy and planning are closely linked. The local government's Municipal Systems Act No. 32 of 2000, Section 16, states that local communities must be encouraged to participate in the affairs of the municipality. Section 17(3) of Municipal Systems Act of 2000 emphasizes that attention should be given to people who cannot read or write, people with disability, women and other disadvantaged groups. Section 29 states that the compilation of IDP for the municipality must also involve the community. Section 4 of the Municipal Systems Act (2000) clearly stipulates that the council has the responsibility to encourage local community involvement and to consult citizens about the range, level of quality and impact of service delivered by the municipality through its direct resources or outsourcing (MSA, 2000). From Section 5 of the Municipal Systems Act of 2000, the members of the community have the right to participate in the decision-making processes of the municipal council; to be informed of decisions of the municipal council and have the right to regular disclosure of municipal affairs, including finances. The Municipal Systems Act No. 32 of 2000, Sections 29(1)(b)(i) and (d) state that the local communities must be consulted on their development needs and priorities must be consistent with any other matter that may be prescribed by regulation (Municipal Systems Act, 2000).

3.10 The Municipal Structures Act 117 of 1998

The general assertion about local government is effectively to succeed in achieving its mandatory mission of delivering services that are adequate and directly responsive to the needs of the community (Koma, 2010). This assertion is based on the preamble to the local government's Municipal Structures Act, 117 of 1998, which states, "A vision of democratic and developmental local government in which municipalities fulfil their constitutional obligations to ensure sustainable, effective and efficient municipality services, promote social and economic development, encourage a safe and healthy environment by working with communities in creating environment and human settlements in which all our people can lead uplifted and dignified lives" Republic of South Africa, 1998).

The Municipal Structures Act of 1998 stresses the requirement that local councils should consult communities on key municipal processes. It is this Act that establishes ward committees. Ward committees consisting of ten people and chaired by the ward councillor, are intended to act as the main means of communication between the council and local communities (Municipal Structures Act, 1998). According to Buccus et al. (2008), it is noticeable however that as with the national and provincial spheres, legislation makes it clear that decision-making powers rest with council alone. The public participation around key council processes or ward committees in reality means community consultation to assist the deliberations of municipal councils (Buccus et al., 2008). In other words, according to Buccus et al. (2008), public participation and ward committees assist councils to have some informed deliberations on issues affecting the communities. Section 195 of the Constitution of South Africa states, "People's needs must be responded to and the public must be encouraged to participate in policy-making" (Republic of South Africa, 1996).

With regard to the involvement of traditional leaders on the work of the municipal councils, Section 81 of the Local Government: Municipal Structures Act, 117 of 1998, provides for a 20 percent presentation of traditional leadership in municipal council meetings, though, according to the legislation, traditional leaders are not members of municipal council, and

as such they do not have legislative powers to vote and take decisions in council meetings (Republic of South Africa, 1998a). According to the South African Local Government Association (SALGA) (2005), traditional leaders only serve as representatives of their communities on matters that directly affect their communities (SALGA, 2005:2-3).

3.11 Traditional Leadership and Government Framework (TLGF) Act 41 of 2003

The Traditional Leadership and Government Framework aligns with the Spatial Planning and Land Use Management Act (SPLUMA) 16 of 2013, allowing participation by traditional leaders in development. Section 5 of the TLGF encourages partnership between municipalities and traditional councils based on the principle of cooperative governance as per the Constitution (Republic of South Africa, 1996). The Act also provides that traditional leaders should support municipalities in identifying the needs of the communities and the facilitation of the participation of communities in the IDP process and other municipal development programmes (Republic of South Africa, 2003a). The Constitution of the Republic of South Africa (Republic of South Africa, 1996), through Section 212(1), acknowledges the traditional leadership institution as a governance institution as it indicates that national legislation may provide for a role of traditional leadership as an institution at local level on matters that affect local communities on top of their role of serving as custodians of customs and tradition (Republic of South Africa, 1996).

3.12 Batho Pele Policy of 1997

The *batho pele* policy, meaning ‘people first’, is a simple and transparent mechanism, which allows citizens to hold public servants accountable for level of services they deliver (Batho Pele, 1997). In addition, *batho pele* principles were developed to serve as an acceptable policy and legislative framework regarding service delivery in the public service. These principles are in line with the Constitution ideals of promoting and maintaining high standards of professional ethics, providing services impartially, fairly, equitably and without bias, utilizing of resources effectively and efficiently, responding to

people's needs, encouraging citizens to participate in policy-making, and rendering accountable, transparent and development-oriented public administration (Batho Pele, 1997).

3.13 South African Public Service Policy of 2014

The guide on public participation in the public service policy that the Department of Public Service and Administration developed in 2014 (Service Delivery Review, 2015, Vol. 11 No. 1) outlines three objective. The first is to assist government institutions in capacitating themselves to be able to institutionalize public participation. The second is to restress the fact that government institutions are legally forced and bound by the laws to engage communities in all aspects of their operations. The third is to emphasize the importance of public participation as a tool that is critical to mitigating potential conflicts with communities on decision-making with regard to policies, projects, programmes or any other developmental initiatives.

3.14 White Paper on Local Government, 1998

The main objective of a White Paper is to give the framework for the transformation of local government by setting up principles, guidelines, recommendations, suggested policies and programmes in South Africa (Mtshali, 2016). Local Government is uniquely allocated to examine methodically and in detail and address power dynamics within a community, and to make it a point that those who tend to be excluded and marginalized can become actively involved and be equal participants in community services and the development of the settlements where they live, according to the White Paper on Local Government (Republic of South Africa, 1998b:34) and the Constitution (Republic of South Africa, 1996, Chapter 7, Section 151 (1) (e)).

The White Paper on Local Government (Republic of South Africa, 1998b), like other pieces of legislation, also puts emphasis on public participation and provides a basis for developmental legislation. Municipalities are thus obliged to develop mechanisms to ensure public participation in policy formulation, implementation, monitoring and evaluation of programs. Community participation enables continuous input by local

citizens into local politics. It is from this policy that consumers are afforded the chance to participate in how services are delivered.

According to the White Paper on Local Government (Republic of South Africa, 1998b), municipalities are required to activate participation of citizens in four levels, as voters, citizens, consumers and end-users, and organized partners. Voters can ensure the maximum democratic accountability of the elected political leadership for policies they are empowered to promote. Citizens, via different stakeholder associations, can express their views before, during and after the policy development process with the aim of ensuring that policies reflect community preferences as far as possible. Consumers and end-users expect value for money, affordable services, courtesy, and responsive services. Organized partners are involved in the mobilization of resources for the development of businesses, non-government organizations and community-based institutions.

3.15 Municipal Finance Management Act (MFMA) No. 56 of 2003

The Municipal Finance Management Act of 2003 (Republic of South Africa, 2003) aims to protect the management of the financial affairs of municipalities at the local government level and also provides treasury norms and standards for the local sphere of government. Section 23 of the MFMA (Republic of South Africa, 2003) stipulates that the municipal council must consider the views of the local community before the budget is tabled for approval. Section 84 of the MFMA ((Republic of South Africa, 2003) requires involvement of the community through public participation processes before a municipality establishes a municipal entity.

3.16 Local Government Municipality Property Rates Act No. 6 of 2004

The Local Government Municipality Property Rates Act (Republic of South Africa, 2004) gives powers and responsibilities to the municipality to enforce property rates. The Act also makes provision that the rates of the municipality that need to be increased or decreased be commented on by the citizens who are affected. This is performed through a public participation process where communities are invited by the municipality as

stakeholders to raise concerns. According to the Municipal Systems Act, Chapter 4 (Republic of South Africa, 2000), the municipality must develop a culture of community participation to obtain the views of the local community before it adopts any rates policy.

3.17 Conclusion

Globally, participatory democracy has been perceived as essential to ensure a high level of legitimacy. Public participation also contributes to empowerment and strengthening of democracy (Scott, 2009). The policies and legislative prescripts described in this chapter serve as a point of reference for whatever step is undertaken or has to be undertaken regarding public participation. Government officials are guided by these policies as to how they should interpret and implement participation of communities in their service delivery and development. These policies also served as guidelines and a point of reference for the current study. The next chapter is the method and results.

Chapter Four: Research Method

4.9 Introduction

This chapter describes a research approach and methodology design followed in the study. The structure of the study in terms of sampling is discussed in this chapter.

4.10 Research Approach and Design

This research used a qualitative approach. The research design followed in this research was the case study. According to Maxwell (2012), in a case study research design, the researcher explores comprehensively and thoroughly a programme, an event, an activity, or a process of one or more individuals, bound by time and activity. Detailed information is collected using variety forms of data collection procedures within a specified sustained period of time (Maxwell, 2012).

The researcher interviewed the residents of Ward 8 and the manager as the municipality official responsible for integrated development planning and public participation in Dr NDZ, where the individual or group experiences and social meanings and historical meanings of participants were interpreted with the intent to develop a theory or understanding about public participation and service delivery and development in this ward. This study sought to examine effects of participation on development.

4.11 Sampling

This qualitative research used non-probability sampling. The non-probability purposive sampling technique was used to determine the sample data collection (Welman and Kruger, 2001:63). Purposive sampling was used to identify appropriate municipality respondents to interview. The manager responsible for integrated development planning and public participation was interviewed. The interviewees were ten people from the traditional council, seven men and three women. The community the interviewees included one person living with a disability, six young people, and twelve women. The total sample size was twenty-nine people. The purposive sampling of this qualitative

research used non-probability sampling in selecting the participants for the study to reflect particular features within the population. The traditional council meeting was convened where ten of its members participated in the interviews. Community representatives were convened in a separate meeting where youth, women, and people living with a disability were represented.

Marshall (1996), Kuzel, (1999), Patton (2015), and Malterud et al, (2016) believed that a commonly stated principle for determining sample size in a qualitative study is that sample size (n) should be sufficiently large and varied to make the aims of the study clear. Most members of the community in Ward 08 attended community meetings, IDP outreach programmes, and *izimbizo*, as most of them participated in service delivery protests or witnessed these protests. Thus the concept of information power came from Malterud et al. (2016). If the sample had more information power there would be no need for a larger sample size (Malterud, 2016).

Therefore the sample included 29 members of the public with each village of five villages represented by up to six people, and the manager responsible for integrated development planning and public participation.

4.12 Research Instrument

A semi-structured interview schedule was used. The schedule consisted of fifteen questions. The questions covered elections, voting, and ward meetings. With respect to meetings, there were questions about issues discussed at meetings, how respondents felt about these, and participation. Follow-up on issues was also probed. There were also questions on service delivery. Contact with administration and municipal leadership was also discussed. A copy of the interview schedule may be found in Appendix C.

4.13 Data Collection Method

Semi-structured interviews were conducted with members of the public, where several key questions were asked to help understand public participation, service delivery and development in Ward 8 in Dr. Nkosazana Dlamini-Zuma local municipality. The

interviewees were allowed to diverge from the question to pursue an idea or explain in more detail when necessary.

The manager responsible for integrated development planning and public participation from the side of the municipality employees was interviewed to establish how inputs from the public are processed to finally result in service delivery and development as per the expectations of the people, as well as how public participation was implemented in this municipality. The reason for choosing this manager was because she is the relevant person who has knowledge of planning issues in the municipality. She is also responsible for integrated development planning as well as being the champion for public participation.

4.14 Data analysis.

Thematic analysis was used to analyze the data in this study. Thematic analysis is a way for methodically identifying, organizing, and giving insight into patterns of meaning across a dataset. It allows the researcher to see and make sense of collective and common meanings and experiences regarding the topic at question (Braun & Clarke, 2012). It is a popular method for analyzing qualitative data in many disciplines and fields. Thematic analysis can also be applied in many different ways and too many different datasets to address many different research questions (Braun and Clark, 2006). Acquiring the knowledge to carry out thematic analysis gives the qualitative researcher a foundation in the basic skills needed to engage with other approaches to qualitative data analysis (Braun, & Clarke, 2012).

According to Braun and Clarke (2006), there are six steps prescribed to follow when undertaking a thematic analysis and they are as follows:

1st step: *familiarizing yourself with your data:*

This step requires the researcher to be fully immersed and actively engaged in the data by firstly transcribing the interaction and then reading repeatedly the transcript and or listening to the recordings. This step helps the researcher to have a comprehensive

understanding of the content of the interaction and has familiarized him/ herself with all aspects of the data, so that the foundation of the subsequent analysis is established (Braun and Clarke, 2006).

2nd step: generating initial codes:

Once familiar with the data, the researcher then started identifying preliminary codes, which are the features of the data that appear interesting and meaningful. These codes are more numerous and specific than the theme, but give an indication of the context of the conversation.

3rd step: Searching for themes:

In this third step the researcher start interpreting the collated codes. Here, relevant data extracts are sorted according to the overarching themes and the relationship between codes, subthemes and themes.

4th step: Reviewing themes:

In thus step, a deeper review of identified themes follows where the researcher needs to check whether to combine, refine, separate or discard initial themes. Data within themes should cohere together meaningfully, though they should be obvious and identifiable distinctions between themes. The themes are checked in relation to the coded extracts and then for the overall data set. A thematic map can be generated from this step.

5th step: Defining and naming themes:

In this step, themes and subthemes are refined and defined. The researcher here gives theme names and clear working definitions that capture the essence of each theme in a concise and forceful manner so that a unified story of the data start to emerge from the theme.

6th step: Producing the report:

Ultimately, the researcher transform his/ her analysis into an interpretable piece of writing by using vivid and compelling extract examples that relate to the themes, research question and literature. The report must relay the results of the analysis in a way that convinces the reader of the merit and validity of the analysis. It must go beyond a mere description of the themes and display an analysis supported with empirical evidence that responds to the research question.

To protect anonymity, the participants were identified and simply referred to as respondents when analyzing the data. The first participant was referred to as Respondent 1, the second as Respondent 2, and so on.

The recording was done using a cellphone then all the recordings were transcribed. The following step was then to analyze the data using thematic analysis.

4.15 Ethical Issues

Before this research could proceed, ethical clearance was obtained from the University of KwaZulu-Natal Human Research Ethics Committee, Certificate Number HSSREC/00000928/2019. A copy may be seen in Appendix A. Permission to carry out the research was obtained from the municipal manager of Dr NDZ local municipality. This may be seen in Appendix B.

An informed consent form has been handed over to the participants to sign it after they have read and understood it. The form was read by the researcher for the participants to assist them to understand easily, as most of them openly indicated that they are not interested in reading, requesting the researcher to read and explain to them before they sign. Immediately after reading the informed consent form, all participants signed the form and submitted it back before the interview starts.

All responses were kept anonymous, hence they are said to be respondent number so and so.

4.16 Summary

A purposive sample of twenty-nine people participated. There were ten respondents from the traditional council, and nineteen people from the community. This arrangement covered almost all demographics of the ward. Data were collected through semi-structured interviews to reflect on the participants' experience and knowledge. The participants shared their knowledge and expressed numerous meanings on the issues of public participation and service delivery. Although interviews were based on a pre-determined, semi-structured interview schedule, emerging patterns and themes were identified from the transcripts and coded using an inductive thematic analysis approach. The interviews were recorded and transcribed verbatim. Thematic analysis was used to analyze the data. The researcher searched across the transcriptions to identify and analyze patterns. The themes were constructed and described by selecting codes and integrated with previous studies. The next chapter presents the results.

Chapter Five: Results and Discussion

5.9 Introduction

The qualitative data were analyzed using thematic analysis. The themes were developed in congruence with the research questions and other emergent themes are also captured in data analysis to interpret the research findings.

Data were collected through semi-structured interviews in order to reflect on the participants experience and knowledge. The participants shared their knowledge and expressed numerous meanings on the issues of public participation and service delivery. Although interviews were based on a pre-determined semi-structured interview schedule, emerging patterns and themes were identified from the transcript and coded using an inductive thematic analysis approach. The interviews were recorded and transcribed verbatim. The thematic analysis method was used to analyze the data. The researcher searched across the transcriptions to identify and analyze patterns. The themes were constructed and described by selecting codes and integrated with previous studies.

Five themes emerged from the data. These are presented in Table 5.1.

Table 5.1: Themes

Theme	Focus
Theme 1	Motivation for participating in elections
Theme 2	Mechanisms for public participation
Theme 3	Community challenges
Theme 4	Challenges that hinder service delivery
Theme 5	Opinions about the pace of service delivery

5.10 Motivation for Participating in Elections (Theme 1)

Participants were asked what motivated them to participate in local, provincial and national elections. Here Respondent 1 indicated that they were encouraged to participate in elections because of the promises made during election manifestos:

We are encouraged to vote because there are promises that are made to us during the election manifestos. [Respondent 1]

Similarly, Respondent 2 indicated that they were motivated by the promises made by councillors but also notes that these promises were not only made but they also delivered as promised even though not all of them are delivered as promised:

We are encouraged to participate in the elections because there are promises that are delivered to our community even though not all of them are delivered as promised sometimes but we still participate but some are delivered. [Respondent 2]

However, something different was said about meetings:

What I can say is that the matters raised during municipal meetings are followed up but those that are facilitated by the provincial departments are not followed up there is no information that is reported back to us. For example, if the department of transport comes to our meetings and make promises to the community such as providing road infrastructure, maybe even providing time frames to say in such a period of time, this and that will be delivered to the community. When those promises are not delivered and the specified time frame has lapsed, you find that the department does not come back to provide feedback but they send the local municipality to come and report back to the community that is when the conflict emerges. [Respondent 2]

The municipality's inability to deliver on its promises as well as to inform the community about any developments reflected badly on the municipality since they are the closest to the community. This is contrary to Agere's (2000) sentiment when summarizing the core-values of public participation, when stating that for good governance to be realized is when people are taking part in the processes of making decisions, when services are delivered efficiently and when government is transparent, accountable and productive.

5.11 Mechanisms for Public Participation (Theme 2)

According to the participants, the Dr NDZ municipality used five main mechanisms for public participation. There are municipal public meetings in the form of an IDP and budget outreach programme, ward committee meetings, *izimbizo*, war rooms, and so on, and traditional meetings. Amongst others, the traditional meetings are *ezitikini*, a meeting where cases at local or village level are traditionally prosecuted, and *eziqoqweni*, traditional young men gathering. During the COVID-19 pandemic era, where it was not allowed to have gatherings according to restrictions as governed by Disaster Management Act No. 57 of 2002 (Republic of South Africa, 2002), digital means such as social media and virtual platforms were used as the key mechanisms for public participation. However, it may be contended that the key public participation mechanisms highlighted above did not sufficiently represent the disempowered and the underrepresented members of the community who lacked access to the necessary resources to participate in these platforms. This comment was made on meeting attendance:

Yes. I am CDW under the NDZ here in the Ngwagwane area, part of Madzikane ward 8. The last meeting, I attended was scheduled by the Ward Councilor to talk about the crime as a challenge we are facing in South Africa which was seen as the biggest problem in our area. There were also police because our livestock was stolen quite often in our area so those are some of the topics that were discussed in these meetings I last went to. [Respondent 3]

When the interviewer asked whether there were any other meetings called for the community other than the ones called by the ward councilor, the following responses were received:

Thank you... Yes, there are other meetings that are called are called (ezitikini or eziqokoqweni) whereby we discuss matters concerning residents because some of the issues do not reach the war room platform like this one. Sometimes the issues concern (komkhulu such as when someone's cows have got in someone's garden or when a person has used someone's land and when there are gatherings

(umgidi) amongst men and fights emerge. Umhlangano wakomkhulu (traditional council meetings) normally calls such meetings. [Respondent 4]

Okay uuhm we have public meetings in particular uuhm for all wards that we have in NDZ. We have 15 wards. Uuhm so ward 8 is in very close proximity with our offices here. So what we do in terms of consulting our public, in terms of events and other things. When we want to communicate with the public in a way we convene meetings through ward councilors, particularly for things related to service delivery. [Respondent 5]

Even in COVID-19 conditions, while community development must go on, public participation has been affected. The traditional meetings have no longer been conducted due to COVID-19 lockdown regulations. However, the results show that the municipality made arrangements in accommodating public participation such as using social media such as Facebook, Twitter, Instagram, the municipal website, radio slots, loud-hailing, and cell phones, as well as the customer care complaints management, but there were some obstacles that were identified, especially related to implementing advanced technology. Social media was a widely used mechanism of public participation, but the radio was the least used form of communication because it was expensive for the municipality to purchase a slot.

As Hasan and Megantara (2020:2) noted, since COVID-19 has been declared as a global pandemic, this has encouraged governments around the world to change the way people network with each other. Normal face-to-face engagements such as meetings have been restricted due to regulations imposed by the government. As reported by the participants, the Dr NDZ municipality shifted to using ICT to facilitate public participation. This new normality has some limitations, hence the 'digital divide', the gap between those who have and do not have access of computers, smart phones and the internet (Van Dijik, 2006). In the rural areas the challenge of digital infrastructure has contributed more to the digital divide. Besides those that do not have computers and smart phones, even those that have these still have a problem when they cannot get connected due network unavailability and lack of network infrastructure.

While it is imperative that people and the government adapt the way they communicate, interfacing with communities, limiting direct contact to digital options may disadvantage people who do not have easy access to these options. Generally, the issue of electricity 'load shedding' has also posed a lot of challenges almost to everybody, hence cellphone network problems seem to be prevalent. This was summed up by a municipal official:

...but due to COVID 19 what we do now is to utilize our social media pages Facebook, Instagram, Twitter and our website as well as other tools that we are currently using to reach out the public and we also have war rooms and that are functional in the NDZ to engage key stakeholders with their wards in terms of service delivery issues uuhm... We also use radio slots but not that much because we understand that radio stations are very much expensive in terms of our public consultation on service delivery issues. Basically, that is what we do.
[Respondent 5]

This respondent went on to add:

Okay...I think like I said before that uuhm when we go to the public in terms of public meetings that we have and we receive complaints using our social media pages. That helps us to see that this is what is really needed in that ward so we should prioritize it. Like for instance, as you understand that we are regarded as one of the most rural communities within the province, the NDZ so most of our roads are very much not in a good state. Uuhm If I may put it in that way... so you will find a number of complaints from all these platforms that we use. Even if we went on IDP road shows even if to social media people will constantly complain about roads status. So that helps to understand that okay as NDZ this is our priority. You see as our roads is one of the things. Another thing that is a challenge is the issue of the network connection. As I have said that we are regarded as one of the most rural arrears. So we get all those complaints from our community members so that also influence us that by the time we plan we know what it is that we must prioritize. **[Respondent 5]**

Another respondent added:

I am not sure when we last attended meetings, because of lockdown regulations. Even if we meet we have these war rooms meetings though I am not sure if they count as meetings or you are talking about big meetings whereby the whole community meets. I cannot remember the exact date because we were not allowed to leave our homes we could only communicate through cellphones. I cannot mention the exact day or date of the last meeting because of lockdown regulations. Even now we are still under lockdown regulations. [Respondent 3]

This respondent also said:

Yes, we had meetings but due to lock down regulations we do not attend meetings. [Respondent 3]

This same respondent added:

Uuuhm... They do not come very often. I can ascertain that they have only been here twice. There was an IDP meeting in 2019. There was another IDP (in Bazini) one but I am not sure which year it was. That is all I remember. In 2017 there was a meeting about launching electricity in Kwangxola VD... They try once a year. We will remember that we have been under lock down for two years so maybe that has an impact. [Respondent 3]

Another respondent said:

Okay. On top of the public participation programs that we have, we also have the customer care complaints management system that we have introduced. As much as I wouldn't say it is an effective unit currently because there is only one incumbent who is placed under complaint services for now. But it's another mechanism that we are trying to use as the municipality to come very close to people uuuhm ... to try and respond as quickly as we may possibly can. So we have introduced system by putting customer complaint registers within our satellite offices uuuhm whereby a person on site whatever he or she is not happy about or comment for that matter and then we on a monthly basis take those complaints uuuhm... we direct them to the relevant department inside or outside municipality

and then we require the information from those relevant departments and then we come we call that particular person who has laid a complaint to say okay this is what is happening currently and this is how the municipality is trying to address your issue. So yeah ... I think they're on top of public participation that's also what we are trying to do as a municipality and try to address... [Respondent 2]

Some respondents said there were no meetings and no contact with officials:

Unfortunately, we have never had meetings. We as traditional leaders are the ones who invite the municipality to come when we have meetings. On their side, no we have not been invited to attend any meeting. Even when something is scheduled to take place, the ward councilor just uses his cellphone to inform us for instance, if a contractor needs to come and work on a road infrastructure or when its and electrical contractor. [Respondent 6]

They have never visited us. We have never seen them. [Respondent 7]

No we don't have such meetings. We have never been part of those. [Respondent 7]

The Municipal Systems Act 32 of 2000 states that the municipality must promote public participation to encourage the local community to participate in the affairs of the municipality. Here it transpired that traditional leadership is not invited in the municipal IDP and Budget outreach programmes. In this regard they are not afforded an opportunity to participate on issues affecting their communities. The Traditional Leadership and Government Framework as aligns with Spatial Planning and Land Use Management Act 16 of 2013 (SPLUMA), allows participation by traditional leaders in development. Furthermore, Section 5 of The Traditional Leadership and Government Framework (TLGF, 2003) encourages partnership between municipalities and traditional councils based on the principle of cooperative governance (Republic of South Africa, 1996). The Act further provides that traditional leaders should support municipalities in identifying the needs of the communities and also in the facilitation of the participation of communities in the IDP process and other municipal development programmes (Republic of South

Africa, 2003a). The Constitution (Republic of South Africa, 1996), through Section 212(1), acknowledges the traditional leadership institution as a governance institution as it provides that national legislation may provide for a role of traditional leadership as an institution at local level on matters that affect local communities on top of their role of serving as custodians of customs and tradition (Republic of South Africa, 1996).

The finding here is a gap on the side of the municipality in involving the traditional leadership in IDP programmes. According to Masuku (2015), *amakhosi* have a role to hold municipal authorities accountable from a citizen-based approach.

The traditional and municipal authorities are supposed to work together despite the differences in their powers of authority, with municipal authority deriving its power from popular vote and traditional authority deriving it from tradition. This they should do on the basis of cooperative governance (Masuku, 2015).

5.12 Community Challenges (Theme 3)

With regard to the challenges faced by the community, respondents highlighted that the ward councillors were lacking in terms of reporting back to the community with regards to their complaints. Some participants attributed the lack of response to the municipality on the slow pace service delivery.

The respondents were asked about issues discussed or reported in public meetings. Amongst others the respondent mentioned that water, housing and poor road infrastructure as the most challenging issues. The respondents highlighted that it was the responsibility of the municipality to provide water and housing for them. On top of the numerous challenges raised by the participants were issues of crime, lack of response from municipality, unemployment, and poor network connectivity:

We normally talk about development, about issues that concern wards as we have 12 of them. We normally discuss the water issue especially here in ward 8. Water is the biggest problem. We do not have access to water. Because we do not have access to water, we asked from the Deputy Mayor of Harry Gwala to at least

prepare community taps for us and that was done even though there are areas which still do not have access to water. Mayor has promised us that there will be new boreholes in some areas. We have submitted our requests we will see if we will be assisted because ward 8 is huge. [Respondent 7]

In some areas, we can see service delivery but in others it is slow. There are 12 wards uuhm 12 sections in this ward just for Inkosi Madzikane which all need service delivery especially water and road infrastructure. We all have similar problems. Roads are very bad especially the highway. We are crying out for service delivery. [Respondent 6]

The principles of co-operative government and inter-governmental relations acknowledges the interdependence of the three spheres of government, national, provincial and local, in South Africa (Malan, 2014). These spheres of government are distinctive and inter-related, and have an obligation to respect each other's powers, functions, and institutions and to also make each other aware of new policies. According to Malan (2014), the vision of sustainable development should be the priority of the whole government systems and institutions, though the local government sphere will mainly be the delivery agency, because of its proximity to the people. The community of Ward 08 in NDZ local municipality does not mind whether water provision is the district municipality responsibility. Housing and provincial and district roads are the provincial department's responsibility. All they know is that service delivery and development is done by the local municipality. As stipulated in the Constitution, the interdependence of the spheres of government may include particular features such as the duty of the spheres of government to empower each other as well as to monitor or intervene in the activities of a dependent sphere.

The finding here was that poor co-operative governance and inter-governmental relations have been the result of the main challenges facing the community of Dr NDZ regarding service delivery and development. The Department of Transport and the Department of Housing from the provincial sphere should have been made aware of the issues under these departments affecting the community of Ward 08 in Dr NDZ by the municipality as

well as the district municipality in relation to water issues. It also transpired that these spheres do not have a burden to account to the people. The district municipality and the two departments, the Department of Housing and the Department of Transport do not take public participation seriously. This has the potential of perpetrating violent protests by communities, hence there is no clarity as to what is actually happening regarding the issues of development and service delivery they often raise to the municipality. It is not clear whether the municipality has shared these concerns with relevant provincial departments as a matter of co-operative government and inter-governmental relations. On the other hand, it might happen that even if these issues are reported to these provincial departments, due to lack of responsibility, accountability, efficiency and effectiveness, they do not bother themselves, hence the issue of public participation has not been not part of their priorities.

5.13 Challenges that Hinder Service Delivery (Theme 4)

Significant findings included that ward committee meetings play an important role in the public participation processes of the Dr NDZ municipality. However, various challenges hindered the effective functioning of public participation, thus affecting service delivery. These included the lack of infrastructure, lack of knowledge among ward councillors, lack of commitment among councilors, lack of response from the municipality, community protests which lead to vandalizing government property, lack of feedback from municipal officials, gaps in protocol issues, and in some cases, political interference from members of the committee. The results indicate that the community did not always receive transparent and complete information. The municipality has not reported back with regards to the community progress even though the public have submitted their suggestions, opinions, and responses to the plans as a form of public participation:

It's for them to uuhm work closely with us because we would advise a councilor maybe a week or two before the event that this is what is going to be happening in uuhm your ward and these are the stakeholders that we request... that this is the kind of the problem that we have...uuhm we even bought loud hailers for the councilors uuhm just to make sure that whenever there is an event within their

words they must make sure that they move around loud hailing to the public that this event so and so it is going to take place when. I mean...but you will find out that when you talk to the councilors saying okay counselor are you going to loud hail for us? They say no they will say "no I do not have a car" yet we do have a car allowance for councilor. Okay my loud hailer is broken" but you did not report that to the municipality... You know... so we end up uuhm trying to devise mechanism as officials of the municipality to say okay so and so must go accompany a public participation officer to that particular ward. You must do the loud hailing as an official in order for that event to be a success. It is such things you know... and at some point, I think we were having an IDP road show if I'm not mistaken. We had a problem with a key for the hall. It was supposed to be... in my understanding is that the ward councilor must know where the key of the community hall and all is. But we called the Counselor he or she will leave no idea where the key is to the hall and in terms of status of the hall so you will wonder how ... yeah.

[Respondent 3]

The interviewer asked whether this would depend on the type of problems to be resolved and the person who could resolve them. The response was:

In the service delivery meetings are influenced by politics because there are people who push their own agendas during the meeting so sometimes there is some form of oppression. But in the other meetings called by (komkhulu) is fine because there are just discussions about issues that concern the community.

[Respondent 4]

The interviewer probed further:

*You have mentioned two typed of meetings that take place in this area namely the meetings that are called by (komkhulu) and the political ones which are dominated by certain individuals and that makes it difficult to discuss particular issues because some people have their own agendas... who normally convenes these meetings? **[Interviewer]***

The response was:

These political meetings are normally convened by the Councilors or the Nkosazana Dlamini Zuma municipality whereby they call all community members to assemble so that they can report back to the community regarding the requests made by the community and the projects that the municipality has implemented but the meetings are infiltrated by certain political parties just like you know that Nkosazana Dlamini Zuma municipality is dominated by the African National Congress but there are small opposition parties who come and disrupt the meeting or to show that they have some information about why some of the community projects are not complete. As a result, there are conflicting ideas about the projects that they are reporting about. [Respondent 4]

The state of public participation in the local government sphere is crucial for good governance as it enhances transparency, accountability and responsiveness to the needs of the local community. The results have indicated that ward councillors have been motivated by a wide variety of factors to participate in service delivery projects. There are some political leaders that have been willing to make a positive impact on the lives of the disadvantaged community. However, others have been driven by selfish desires and have been out to exploit the community projects for their personal gain.

Another finding here was that the lines of responsibility regarding facilitation of the IDP and budget outreach programmes between the municipal officials and ward councilors have not been clearly defined. This shows that even mobilization could not be done properly. As a result, other people might end up not knowing about the programme.

5.14 Opinions about Pace of Service Delivery (Theme 5)

Respondents were asked how the service delivery in Ward 8 in terms of community development was. The majority of the respondents' viewed service delivery to be very slow in pace:

I am a traditional leader under Madzikane in NDZ. Service delivery is slow. We have a lot of needs but they delivered very slowly. There is some service delivery but it is very slow. [Respondent 6]

Service delivery is very slow. But even though it is slow some of the community needs are delivered. [Respondent 8]

However, one respondent mentioned that the municipality responds to some community needs but the community vandalizes the community property:

I will not say it is slow because we have some community needs. The main problem here is housing. We have been asking for housing for a long time. But other services are provided. Another problem is amongst us as community members. We vandalize government property and that makes it seem like the community needs are not being met. Most community resources are being vandalized by the community. For example, there is a hall at KwaNgxongo which does not even have a single window. It hasn't even been five years since the hall was built, it is fairly new but there are no doors, nothing at all. What do you say in this case? Do you say the service delivery is slow?... it is not. It is just that people destroy community property and it ends up looking like we have nothing when the government has delivered services to our community. [Respondent 10]

From the answers provided, it can be deduced that most community members believed that service delivery is indeed very slow.

5.15 General Discussion of Results

The responses of the interviewees were analyzed and the researcher then deduced from the analysis and findings to respond directly to the research questions. Some of the responses were not about the municipality only, and reflected on the government at national, provincial and district levels.

There were various issues that transpired as the main concern of the community of Ward 08 in Dr NDZ, such as the responsibilities of the district municipality, provincial and

national departments, with respect to provincial roads, housing, and water issues. There was no clear way of how all these departments could inter-relate with the local municipality particularly with respect to service delivery and development. It was not clear how these departments dealt with issues of public participation.

The lack of accountability by these departments to the communities of Ward 08 in Dr NDZ remains a huge gap that leaves the community with some doubts in terms of the willingness of the local municipality to expedite the development and service delivery they have been crying out for all along. This indicates the need to look at the issue of cooperative governance and inter-governmental relations between the Dr NDZ local municipality and the Department of Transport (Provincial) and the Department of Human Settlement (Provincial) and also the district municipality. The finding here was that poor co-operative governance and inter-governmental relations were the result of the main challenges facing the community of Dr NDZ regarding service delivery and development. The Department of Transport and the Department of Housing from the provincial sphere should have been made aware of the issues under these departments affecting the community of Ward 08 in the Dr NDZ by the municipality as well as the district municipality in relation to water issues. It also transpired that these spheres did not have a burden to account to the people. The district municipality and the two departments, housing department and transport, do did take public participation seriously.

From the perspective of the municipality official, it transpired that the issue of coordinating IDP and budget outreach programmes was not in order, hence they expected councillors to play a big role in mobilization, considering the issue of the resources needed to carry out mobilization and coordination thoroughly. It was also found that the lines of responsibility regarding facilitation of IDP and budget outreach programmes between the municipal officials and ward councilors were not clearly defined. This shows that even mobilization could not be done properly. As a result, other people might end up not knowing about the programme. Davids (2014), looking at what Davids and Theron (2009) displayed about opportunities for capacity building through public participation, concurred that there is a limitation in identifying the role of the IDP officer as a development agent

in relation to public participation, and pointing out who is responsible for public participation at a particular level, be it national, provincial or local.

The ward councilor and the municipal officials seemed to be not taking traditional leadership as one of the key stakeholders in the local sphere of government, despite the TLGF No. 41 of 2003, Section 81 of the Municipal Systems Act No. 32 of 2000, and SPLUMA No. 13 of 2013, as partnership has been encouraged based on the principle of cooperative governance.

The mechanisms of public participation are ward committee meetings, IDP outreach programmes, and traditional council meetings. The tendency to leave the traditional leadership out on issues of service delivery and development by the municipality has undermined the important role the traditional leadership plays in the community and the trust community has in their traditional leadership. If information about service delivery and development has been passed to the traditional leadership, it would be easy for the communities to have clarity on service delivery and development matters as they interact with their traditional leadership timeously.

In response to the research question concerning the relationship between public participation and service delivery and development, from the findings it transpired that there was a lack of a properly coordinated and clearly structured manner to deal with public participation in issues of development. This left the community without any understanding as to what the municipality was up to regarding their expectations. Communities have been left without any explanation from provincial, national and also district government regarding service delivery and development, such as roads by the Department of Transport, houses by the Department of Human Settlements, and water issues by the district municipality. This has left the community members disgruntled, and at some point they have resorted to violent protest as a way of attracting the attention of the municipality or government. In addressing the question of why participation works and why it fails, Davids and Theron (2014) were concerned with deciding at which level national, provincial or local government public participation, engagement, and intervention are consolidated, and who is responsible for this.

The lack of information for the community has resulted in a misunderstanding on issues of development and service delivery, hence violent protests. Communities also do not have an understanding of who is responsible to keep community facilities safe and well-maintained. They have vandalized these facilities – a step which has tended to reverse the development strides made in by the municipality.

5.16 Legislative Perspective

According to Scott (2009), it is clear that there are many positive factors and innovative opinions in place across the legislative sector, although the weaknesses still outweigh the strengths (Scott, 2009). These sentiments were also expressed by Buccus et al. (2008) who said that participation is often advocated as encouraging a plurality of views in development, deepening democracy and having the potential for redress by those who have been historically disadvantaged, but these attributes have yet to be realized (Buccus et al., 2008).

Having such good legislation and policies related to public participation in place seems not to have totally addressed the issue of strengthening participation, hence Buccus et al. (2008) cited a threat of incapacity and co-optation: “The procedures for participation at the municipal level are complex and demand a leadership experienced in expressing community needs, but not vulnerable to co-optation”. According to Buccus et al. (2008), although the South African government has created ‘invited spaces’ for public consultation, thus far these have been mainly ceremonial and without bearing on the service delivery and development issues. The concern arises as to whether participation leads to incorporation without redress, which is debatable, or whether there is a lag in the official policy of deepening democracy (Buccus, et al., 2008). The mechanisms of public participation, IDP and budget outreach, *izimbizo*, ward committee meetings, ward meetings convened by the ward councillor, and so on, serve as a system for citizen engagement.

5.17 Conclusion

Looking at the current findings, one can reflect on the comments of Buccus et al. (2008) and Scott (2009) when they say that participation has often been advocated as encouraging a plurality view in development, deepening democracy and having potential to redress by those who have yet to be realized. Although there is good legislation and there are policies in place related to public participation, the issue of strengthening participation seems not to have been fully addressed, hence Buccus (2008) has warned of incapacity and co-option. The next chapter looks at conclusions and recommendations.

Chapter Six: Conclusion and Recommendations

6.9 Introduction

This chapter deals with a conclusion from the results from the analysis of the data collected. It depicts the findings as against the research questions. After this, the researcher makes recommendations as to how the issues that transpired can be addressed. The researcher ends with remarks based on the study as a whole.

6.10 Conclusion

The responses of the interviewees indicated that there were various issues that concerning the community of Ward 08 in Dr NDZ, especially about the responsibilities of the district municipality, provincial and national departments when it came to provincial roads, housing, and water issues. It was not clear how these departments could link with the local municipality, particularly in with respect to service delivery, development, and public participation.

There was a lack of accountability to the communities of Ward 08 in Dr NDZ from these departments. It seemed that the local municipality was unwilling to expedite development and service delivery. This indicates a need to look at the issue of cooperative governance and inter-governmental relations between government, provincial and district departments. Poor co-operative governance and inter-governmental relations have been the result of the challenges facing the community of Dr NDZ regarding service delivery and development, where these generally did not account to the people. The district municipality and the two departments, housing department and transport, have not taken public participation seriously.

Coordination of IDP and budget outreach programmes regarding facilitation of IDP and budget outreach programmes between the municipal officials and ward councilors has not been effective. Therefore mobilization could not be done properly. The role of the IDP officer as a development agent in relation to public participation, and who is responsible

for public participation at a particular level, be it national, provincial or local, have therefore not been clear.

There has been a tendency to leave the traditional leadership out on issues of service delivery and development by the municipality. This has undermined the important role the traditional leadership plays in the community and the trust community has in their traditional leadership.

With respect to public participation and service delivery and development, it was found that there was a lack of a properly coordinated and clearly structured manner to deal with public participation in issues of development. This left the community not understanding what the municipality was up to regarding their expectations, especially without any explanation from provincial, national and district government regarding service delivery and development. This lack of information has resulted in violent protests and vandalism on occasions.

6.11 Recommendations

From the conceptual framework, a lot has been said in conceptualizing public participation, service delivery and development. All that is expected regarding public participation is that it entails a reciprocal interaction between government and the public which produce results of better decisions that are welcomed and in favour of the public (Creighton, 2005). There is little that concurs with what Creighton (2005) says from the findings of the study undertaken in Dr NDZ local municipality. The recommendation here is that the municipalities and even departments at both provincial and national level should internalize the issue of public participation and institutionalize it in a structured manner. It should be clear as to who the public participants are, how they are empowered, and what has to be achieved, as guided by the policy and legislative prescripts. In other words, the recommendation is that government should start to institutionalize public participation, more especially the departments at the national, provincial and district levels.

The issue of co-operative governance and inter-governmental relations among all the spheres of government need to be re-enforced and practiced. It is often the case that provincial or national departments shift blame and point a finger at the municipality whenever there are issues to be accounted for, whereas most of the time the matter is the responsibility of the department at the provincial or national sphere of government. The municipality must be assisted by the province or national department as a matter of co-operative governance and inter-governmental relations.

The traditional leadership has a huge role to play in communities. The Constitution of the Republic of South Africa recognizes the traditional leadership and its role in the municipalities and entire government. The municipalities have to acknowledge the importance of traditional leadership and the role they are playing in their communities as enshrined in the Constitution. The questions of who participates, what the benefits are, and what the scope and terms of decision-making are when participating regarding issues affecting communities need to be analyzed and understood for public participation (Burton, 2009).

There must be a clear strategy and plan from the government to monitor and evaluate the implementation of its policies, particularly on public participation, to ensure that every sphere of government be responsible and accountable for public participation for the service delivery and development to be attained and for the objective of the democratic government as developmental government to be responsive to the concerns of the citizens to be realized.

6.12 Concluding Comments

Citizens need not rely only on government for them to be capacitated and empowered regarding public participation, but civil organizations should take it on their shoulders to assist the public in this regard to avoid violent protest and as a first step to engage their government on issues of service delivery and development.

Public participation should be taken seriously and stop being just a trending term without being practiced accordingly (Davids & Theron, 2014). The main agenda of a democratic

government of providing service delivery and development to redress the legacy of the apartheid government has in a way been disturbed by the way accountability, transparency, efficiency and effectiveness have been weakly upheld by the government. People are crying about the slow pace in service delivery and development, yet there is no explanation for the beneficiaries of the development. As a result, they have apparently resorted to invading spaces and engaging in violent protest to attract the attention of the government.

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Appendix A: Ethical Clearance



20 December 2019

Mr Mphuthumi Bartholomew Mpabanga (202519305)
School of Social Sciences
Pietermaritzburg Campus

Dear Mr Mpabanga,

Protocol reference number: HSSREC/00000928/2019

Project title: Public Participation, Service Delivery and Development: A Case Study in Ward 08 in Dr. Nkosazana Dlamini Zuma local municipality in Harry Gwala district

Approval Notification – Expedited Application

This letter serves to notify you that your application received on 17 December 2019 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted **FULL APPROVAL**.

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number. PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

This approval is valid for one year until 20 December 2020.

To ensure uninterrupted approval of this study beyond the approval expiry date, a progress report must be submitted to the Research Office on the appropriate form 2 - 3 months before the expiry date. A close-out report to be submitted when study is finished.

Yours sincerely,



Professor Urmilla Bob
University Dean of Research

/ms

Humanities & Social Sciences Research Ethics Committee
Dr Rosemary Sibanda (Chair)
UKZN Research Ethics Office Westville Campus, Govan Mbeki Building
Postal Address: Private Bag X54001, Durban 4000
Website: <http://research.ukzn.ac.za/Research-Ethics/>

Founding Campuses:  Edgewood  Howard College  Medical School  Pietermaritzburg  Westville

INSPIRING GREATNESS

Appendix B: Permission to Carry Out Research



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A Better Place for All

27 September 2019

To whom it may concern

Mr Mphuthumi Bartholomew Mpabanga, student number 202519305 is a Masters degree student at the University of KwaZulu-Natal. Dr. Nkosazana Dlamini-Zuma Local Municipality acknowledge and understand that his research project will contribute towards his Masters degree project titled: **“Public participation, services delivery and development in ward 08 in Dr Nkosazana Dlamini Zuma Local Municipality under Harry Gwala District Municipality”**

Dr. Nkosazana Dlamini-Zuma Local Municipality is aware that the study will take place during office hours for which he will be collecting data by means of interviewing key person(s) at Dr. Nkosazana Dlamini-Zuma Local Municipality which he deems necessary to achieve the objectives of this research.

Dr. Nkosazana Dlamini-Zuma Local Municipality supports and understands that this project involves accessing personal views and information from the Community of ward 08 under Dr. Nkosazana Dlamini-Zuma Local Municipality. Such data will be provided to the researcher with all personally identifying information; however, during the data presentation in the form of the final thesis e.g., names shall be removed so that the data cannot be traced to any individual.

I support and grant permission to conduct this research at Dr. Nkosazana Dlamini-Zuma Local Municipality.

Yours faithfully;

NC Vezir

Municipal Manager

A Better Place for All



Appendix C: Interview Schedule

1. How long have you been participating in both National and Provincial and Local government elections?
2. How did you get encouraged to go and vote in these elections?
3. When did you last attend the meetings called by Ward councillor/ Ward Committee?
4. What were the issues discussed or reported in those meetings?
5. Are there any other meetings called for the community other than the ones called by Ward councillor? If yes, name them.
6. Did you ever participated in these meetings?
7. How did you participate?
8. How did you feel during the meeting and after the meeting?
9. Were the issues raised in the meeting later had follow ups?
10. Did you get any report back about the issue/ issues raised in the meeting later? If yes, how did you feel about that report back?
11. How is the service delivery and development in your ward?
12. How is the service delivery in other wards in this municipality?
13. How often does the municipality in a form of municipal leadership and administration visit in your ward?
14. When the meeting/s have been called, are there any preparations for those meetings done by the community?
15. Did those preparations assist the community?

Appendix D: Turnitin