

**Understanding Environmental Assessment and Public Participation Process  
Challenges Among the Vulnerable Interested and Affected Parties: Five Cases  
Studies from rural KwaZulu-Natal**

**Isaiah Mahlalani Mahlangu**

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## DECLARATION

I, Isaiah Mahlalani Mahlangu, hereby declare that the work contained in this thesis is my original work conducted in the Centre for Environmental, Agriculture and Development, Faculty of Sciences and Agriculture, University of KwaZulu-Natal, under the supervision of Dr. Mark Dent. The work of other authors used in this study has been referenced appropriately. This work has not been submitted for any other degree.

Signature of student

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Isaiah Mahlalani Mahlangu

Date-----

Signature of supervisor

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Dr. Mark Dent

Date-----

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I thank my wife CD for unlimited support. To my ancestors, parents, four sisters, family members and friends I dedicate this work to you all.

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## **ABSTRACT**

The Public Participation Process (PPP) for Environmental Assessment (EA) is a mandatory procedure to facilitate participation of Interested and Affected Parties (IAAPs) in decision making for proposed development projects. Participation of the vulnerable IAAPs in the PPP is affected by complex challenges. These challenges make it difficult or impossible for Environmental Assessment Practitioners (EAPs) to successfully conduct and complete PPPs. This study investigated the nature and impact of the challenges in the decision making process. The study sought to develop an understanding of the challenges and suggest better approaches. Based on purposive sampling, a case study approach was adopted to analyse five PPP cases conducted in rural KwaZulu-Natal.

Five key challenges: lack of EA legislation awareness; imbalanced power relations; negative past experience; threat to environmental autonomy; and poor project planning affected the PPP cases analysed in this study. These challenges emanate from internal and environmental factors. The study argues that internal challenges such as a lack of EA legislation awareness can be managed better during the PPPs. However, external challenges such as imbalanced power relations are usually impossible to resolve during the PPP. The modes of communication play a key role in public participation. Word of mouth is appropriate to facilitate participation of the vulnerable IAAPs. A key finding was the combined impact of the challenges and appropriateness of communication mode determines the PPP outcome, with the challenges being significant determining factor.

The study maintains that a good understanding of potential challenges associated with development project sites will enable EAPs to design better and more responsive PPP approaches. To achieve this, the study recommends a Dual Approach Planning Model (DAPM). This approach recommends designing the PPP through preplanning information appraisal and prediction of potential challenges to create awareness about potential challenges. The DAPM argues that this awareness will assist EAPs to better estimate the time and to mobilise tools and resources required to manage the challenges, while focussing on successful completion of the PPP. This approach is also adaptive in nature.

## **ABBREVIATIONS**

BEA	Basic Environmental Assessment
BEE	Black Economic Empowerment
CEDAW	Convention on the Elimination of all Forms of Discrimination Against Women
DAEA	Department of Agriculture and Environmental Affairs
DEAT	Department of Environmental Affairs and Tourism
DOT	Department of Transport
DFID	The Department for International Development
DLA	Department of Land Affairs
DME	Department of Minerals and Energy
DPAM	Dual Approach Planning Model
DWAF	Department of Water Affairs and Forestry
EA	Environmental Assessment
EAP	Environmental Assessment Practitioner
EIA	Environmental Impact Assessment
ECA	Environmental Conservation Act
ESR	Environmental Scoping Report
GFC	Golden Frontier Citrus
IAAPs	Interested and Affected Parties
IDC	Independent Development Cooperation
IEM	Integrated Environmental Management
HCM	Hibiscus Coast Municipality
LRAD	Land Redistribution for Agricultural Development
KZN	KwaZulu-Natal
KTC	KwaNzimakwe Traditional Council
LTC	Luthuli Traditional Council
MCF	Makhathini Cotton Farming
NCDC	Nondabuya Community Development Cooperation
NDCF	Nondabuya Community Development Farming

NEMA	National Environmental Management Act
NEPAD	New Economic Partnership for Development
NTC	Nyawo Traditional Council
PPP	Public Participation Process
ROD	Record of Decision
RRTF	Rural Road Transport Forum
SADC	Southern African Development Community
SMME	Small, Micro and Macro Enterprise
UDM	uGu District Municipality

## TABLE OF CONTENT

DECLARATION	II
ACKNOWLEDGEMENT	III
ABSTRACT	IV
ABBREVIATIONS	V
<b>CHAPTER 1</b>	<b>1</b>
INTRODUCTION	1
1.1 BACKGROUND	1
1.2 PROBLEM STATEMENT	2
1.3 AIM OF THE STUDY	3
1.4 RESEARCH OBJECTIVES	3
1.5 OVERVIEW OF METHODOLOGY	4
1.6 THESIS STRUCTURE	4
<b>CHAPTER 2</b>	<b>6</b>
<b>LITERATURE REVIEW</b>	<b>6</b>
2.1 INTRODUCTION	6
2.2 DEFINITION OF KEY CONCEPTS USED IN THIS STUDY	6
2.2.1 Description of Public Participation	7
2.2.2 The Notion of Community	8
2.2.3 Interested and Affected Parties	10
2.2.4 Vulnerable Interested and Affected Parties	10
2.3 DYNAMICS OF PUBLIC PARTICIPATION	12
2.3.1 Power relations	12
2.3.2 Social Empowerment	13
2.3.3 Manipulation of Public Participation	14
2.3.4 Rural Traditional System Influence on Public Participation	15
2.3.4.1 Rural Traditional System Influence on the Role of Youth in Public Participation	16
2.3.4.2 Rural Traditional System Influence on the Role of Women in Public Participation	18
2.4 THEORETICAL PERSPECTIVE OF COMMUNICATION MODES	19
2.4.1 Oral Culture	19
2.4.1.1 Definition and Functioning of Oral Culture	19
2.4.1.2 Strengths and Limitations of Oral Culture	22
2.4.2 Literate Culture	23
2.4.2.1 The Nature and Functioning of Literature Culture	24
2.4.2.2 Strengths and Limitations of Literate Culture	25
2.5 AN OVERVIEW OF ENVIRONMENTAL LEGISLATION	26

2.6	CASE STUDY RESEARCH METHODOLOGY	29
2.6.1	Brief Background of Case Study Methodology	30
2.6.2	Designing Case Studies	31
2.6.3	Case Study Data Collection and Processing Steps	31
2.6.3.1	Selecting Units of Analysis in Case Studies	31
2.6.3.2	Case Study Data Collection	32
2.6.3.3	Case Study Data Analysis	34
2.6.3.4	Reporting Case Studies	34
2.7	CONCLUSION	34
<b>CHAPTER 3</b>		<b>36</b>
<b>RESEARCH METHODS</b>		<b>36</b>
3.1	INTRODUCTION	36
3.2.	STEPS FOLLOWED TO CONDUCT THIS STUDY	36
3.2.1.	SAMPLING METHODS	36
3.2.2.	DATA GATHERING METHODS	38
3.2.2.1.	Literature Review	38
3.2.2.2.	Document Analysis	38
3.2.2.3.	Non-participant Observation	40
3.2.2.4.	Semi-structured Interviews	40
3.2.3.	DATA ANALYSIS	42
3.3.	CHALLENGES IN PLANNING RESEARCH METHODS	43
3.4.	CONCLUSION	43
<b>CHAPTER 4</b>		<b>45</b>
<b>PRESENTATION AND PRELIMINARY ANALYSIS OF CASES</b>		<b>45</b>
4.1	INTRODUCTION	45
4.2	THE DESCRIPTION OF CASES	45
4.2.1	Irrigated Agricultural Project	46
4.2.1.1	Description of the Irrigated Agricultural Project	46
4.2.1.2	Public Participation Process for the Irrigated Agricultural Project	48
4.2.2	uMzumbe Regional Cemetery	50
4.2.2.1	Description of the uMzumbe Regional Cemetery	50
4.2.2.2	Public Participation Process for the uMzumbe Regional Cemetery	51
4.2.3	Shemula Citrus Farming	52
4.2.3.1	Description of the Shemula Citrus Farming	52
4.2.3.2	Public Participation Process for the Shemula Citrus Farming	53
4.2.4	P69 Road	55



4.2.4.1	Description of P69 Road	55
4.2.4.2	Public Participation Process for the P69 Road	56
4.2.5	Estcourt / Ladysmith Community Access Roads	57
4.2.5.1	Description of the Estcourt / Ladysmith Community Access Roads	58
4.2.5.2	Public Participation Process for the Estcourt / Ladysmith Community Access Roads	59
4.3	ASPECTS OF CHALLENGES MANIFESTED IN THE FIVE CASES	60
4.3.1	Origin and ownership of the Proposed Development Projects	61
4.3.2	Required Land Size and Current Use of the Proposed Sites	62
4.3.3	Prospects for Benefits Associated with the Proposed Projects	63
4.3.3.1	Jobs	63
4.3.3.2	Service Delivery	64
4.3.4	Modes of Communication Used to Consult Stakeholders	64
4.3.5	Levels of Cooperation by Interested and Affected Parties	66
4.3.6	The Nature of Participation by the Vulnerable Interested and Affected Parties	66
4.3.7	Local Experience in Relation to the Proposed Development Projects	68
4.3.8	Imbalanced Power Relations Among Interested and Affected Parties	69
4.3.9	Outcomes of Public Participation Process	71
4.4	CONCLUSIONS	72
<b>CHAPTER 5</b>		<b>73</b>
<b>ANALYSIS AND INTERPRETATION OF RESULTS</b>		<b>73</b>
5.1	INTRODUCTION	73
5.2	KEY PUBLIC PARTICIPATION CHALLENGES	73
5.3	INFLUENCES OF CHALLENGES ON THE ROLE OF INTERESTED AND AFFECTED PARTIES	75
5.3.1	Lack of Environmental Legislation Awareness among Vulnerable Stakeholders	76
5.3.2	Imbalanced Power Relations Among Interested and Affected Parties	78
5.3.3	Negative Past Experience	80
5.3.4	Threats to Environmental Autonomy	81
5.3.5	The State of Project Readiness	82
5.4	APPROPRIATENESS OF PUBLIC PARTICIPATION PROCESSES APPROACHES	83
5.5	COMBINED IMPACT OF CHALLENGES AND APPROACHES ON THE PUBLIC PARTICIPATION PROCESS OUTCOME	85
5.5.1	Combined Impact of the Challenges and Approaches for Irrigated Agricultural Project	88
5.5.2	Combined Impact of Challenges and Approaches for uMzumbe Regional Cemetery	90
5.5.3	Combined Impact of Challenges and Approaches on the Shemula Citrus Farming	92
5.5.4	Combined Impact of Challenges and Approaches on the P69 Road Project	94

5.5.5	Combined Impact of Challenges and Approaches on the Estcourt/Ladysmith Community Access Roads	95
6	CONCLUSION	97
<b>CHAPTER 6</b>		<b>99</b>
<b>DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS</b>		<b>99</b>
6.1	INTRODUCTION	99
6.2	SUMMARY AND CONCLUSIONS	99
6.3	UNDERSTANDING EMERGING FROM THIS STUDY	103
6.4	RECOMMENDATIONS	106
6.4.1	Planning stage	107
6.4.2	Initiating and managing Public Participation Process	110
6.5	TOPICS FOR FUTURE RESEARCH	111
REFERENCES		112
<b>APPENDIX 1</b>		<b>121</b>
<b>GUIDELINE QUESTIONNAIRE</b>		<b>121</b>

## List of figures

Figure 1:	Interviewee showing the Watershed Road Planned in the 1960s.....	68
Figure 2:	Separation of Men and Women .....	70
Figure 3:	Diagrammatic Depiction all Scenarios of the PPP Outcome .....	86
Figure 4:	Outcome of the Irrigated Agricultural Project Case .....	89
Figure 5:	Outcome of the uMzumbe Regional Cemetery Case.....	91
Figure 6:	Outcome of the Shemula Citrus Farming Case.....	93
Figure 7:	Outcome of the P69Road PPP Case .....	95
Figure 8:	Outcome of the Estcourt/Ladysmith Community Access Raod Case.....	97
Figure 9:	Application of the Dual Planning Model.....	110

## List of tables

Table 1	Location of the PPP cases analysed in this study .....	45
Table 2	Reporting on the number of IAAPs who accessed news papers.....	65
Table 3	Summary of aspects of challenges, key issues and PPP outcome .....	101
Table 4	Information Gathering and Planning Template .....	108

# CHAPTER 1

## INTRODUCTION

### 1.1 BACKGROUND

In South Africa, Environmental Assessment (EA) is a management tool to investigate impact on the proposed environment and to assist the decision making processes regarding environmental authorisation for proposed development projects (Department of Environmental Affairs and Tourism 2004b). One fundamental element of the EA is the Public Participation Process (PPP). The PPP seeks to incorporate the input of the Interested and Affected Parties (IAAPs) in decision making (Department of Environmental Affairs and Tourism 2004b). This process creates opportunity for the collection and incorporation of local knowledge from IAAPs into decision making.

Effective participation in the PPP requires IAAPs to be acquainted with EA legislation, procedures for participation and to have a clear understanding of roles and responsibilities (Department of Environmental Affairs and Tourism, 2004a; Deetz, 1999). Generally, IAAPs in rural areas appear to be less informed about environmental legislation and PPP procedures. This situation is exacerbated by a range of socio-political factors inhibiting the effective participation of the local IAAPs. Patriarchal values and social inequalities still exist in rural South Africa in general and KwaZulu-Natal (KZN) in particular; these threaten the democratic principles and objectives of the PPPs (Castil, 1993). Consequently, the combination of various social dynamics poses challenges to the initiation and management of the PPP among the vulnerable IAAPs.

The EA culminates in a decision whether a proposed development should be implemented. Decision making is the responsibility of relevant government authorities. The relevant government authorities depend on information obtained during the PPP to make a reasonable decision. By implication, the PPPs have to be conducted in the most appropriate and effective manner possible. If the PPP is faced with complicated

challenges, decision making is severely affected. This situation necessitates the need to investigate and understand the nature and impact of the challenges.

This research study is the outcome of a scientific enquiry undertaken to investigate and understand the challenges involved in initiating and managing the PPPs for EAs. The focus of the study was purposefully premised on the PPPs conducted among vulnerable IAAPs. The study is based on five cases of the PPPs conducted in different rural areas of KZN. The purpose of the study was to understand the nature and impact of the PPP challenges encountered by Environmental Assessment Practitioners (EAPs) among the vulnerable IAAPs. In addition, the study sought to recommend approaches for managing these challenges.

## **1.2 PROBLEM STATEMENT**

The PPP is a fundamental and an integral part of the EA, which is an environmental management tool to assess potential impact of proposed development projects. Stakeholder input obtained through the PPP assists the relevant government authorities to make informed decisions regarding proposed development projects. However, participation of the vulnerable IAAPs in the PPPs is threatened by complex challenges. These challenges make it difficult and sometimes impossible for EAPs to successfully conduct the PPPs.

The PPP outcome is dependent on two key groups of factors, the nature and extent of the challenges and the appropriateness of approaches adopted to conduct the PPPs. Generally, a combined impact of non-resolvable challenges and inappropriate PPP approaches results in uncompleted PPPs. By the same token a combination of resolvable challenges and appropriate approach often leads to successfully completed PPPs. However, this is not always the norm. Exceptional cases resulting from interaction of a range of factors may also influence the PPP outcome. Impediment to the PPPs weakens the ability of stakeholders to participate effectively and therefore threatens quality and

equitable decision making. An uncompleted PPP leads to no decision being made with reference to whether the proposed development can take place. Further, an uncompleted PPP implies a lost opportunity for generating information for future planning and decision making purposes.

Based on observation and anecdotal information suggests that vulnerable IAAPs participating in PPPs encounter complex challenges, well researched information regarding the severity of this problem is lacking. Based on the importance of the PPP in decision making, it becomes crucial to fully understand the nature and impact of the challenges. This research study was necessitated by the need to understand factors hindering effective participation of the vulnerable IAAPs in the decision making process. The better understanding of challenges will lead to finding effective approaches to conducting the PPPs. This will in turn enhance effective participation of IAAPs in decision making and enable relevant government authorities to make better informed and more equitable decisions.

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

The aim of this study is to develop a greater understanding of the challenges and approaches hindering effective participation of vulnerable IAAPs in PPPs. The aim encompasses investigation of the impact of the challenges and appropriateness of approaches on the PPP outcome and improving the participation of the vulnerable IAAPs.

### **1.4 RESEARCH OBJECTIVES**

The objectives of this research study are:

- i To identify the PPP challenges among the vulnerable IAAPs in EAs conducted in KZN
- ii To investigate the influence of the challenges on the role of the vulnerable IAAPs in decision making for environmental authorisation

- iii To analyse the appropriateness of the PPP approaches for involving the vulnerable IAAPs in decision making for environmental authorisation
- iv To investigate the combined impact of the challenges and approaches on the PPP outcome of EAs conducted among the vulnerable IAAPs in KZN
- v To recommend better and more effective PPP approaches among the vulnerable IAAPs.

## **1.5 OVERVIEW OF METHODOLOGY**

This research adopted a case study methodology to investigate the research question. In particular, the study adopted purposive sampling to select and analyse five PPP cases conducted in various rural areas of KZN. Theoretical aspects of the case study approach are presented in Chapter 2 Section 2.6, while the actual methods followed in this study are presented in Chapter 3.

## **1.6 THESIS STRUCTURE**

This study is divided into six chapters. Chapter 1 has set the context of the study by providing a brief background of EAs in general and the PPPs in particular. It proceeds to present the problem statement and aims of the study. In addition, this chapter outlines the research objectives. This is followed by a brief reflection on the methodological aspects of the study.

It is important for this study to reflect on the existing body of knowledge developed from previous research and academic work. Chapter 2 reviews existing literature relevant to this research study. This chapter also defines key concepts used in the study. Importantly, Chapter 2 pays attention to: theoretical aspects of the PPPs; vulnerable IAAPs; and the legislative framework for conducting the PPPs. Lastly, Chapter 2 presents the theoretical aspect of the research methodology adopted by this study.



Chapter 3 presents the methodology adopted for the investigation of this study. This is followed by the presentation of the actual research steps adopted to collect and analyse data and writing the study report. Multiple approaches followed to collect and analyse data are discussed. The steps added value with regard to strengthening gathered evidence. Lastly, this chapter presents challenges experienced with respect to planning the case study research methodology.

The PPP cases and findings of the research study are presented in Chapter 4. The chapter presents a synopsis of the five PPP cases analysed in this research study. This is followed by the presentation of study results. The results are summarised into nine aspects of key factors emerging from the analysis of the five PPP cases. Where appropriate, tables are used to highlight and summarise specific findings.

Chapter 5 presents a detailed analysis and interpretation of the results of this research study. In this Chapter, the nature and influences of the PPP challenges hindering participation by the vulnerable IAAPs are discussed. The nine aspects summarised in Chapter 4 are classified into five key challenges of the PPPs analysed in this study. In addition, appropriateness of approaches to conduct the PPPs is analysed. The combined impact of challenges and approaches on the PPP outcomes are depicted diagrammatically to assist analysis and understanding of the overall PPPs problems among the vulnerable IAAPs.

Lastly, Chapter 6 presents a discussion of findings and conclusions of this research study. Importantly, this chapter highlights understanding emerging from analysis of the five PPP cases. This chapter also recommends effective PPP approaches for effective inclusion of the vulnerable IAAPs in the decision making process. Furthermore, this chapter suggests topics for future research. These research topics are suggested with a view to improving the role vulnerable IAAPs play in the PPPs from perspectives that are not incorporated in this study.

## **CHAPTER 2**

### **LITERATURE REVIEW**

#### **2.1 INTRODUCTION**

This chapter is organised into six sections. These sections can be outlined as follows:

- i. The first section defines and discusses key concepts used in this study. The concepts used in this research may be applicable with different connotations in other disciplines. This section demonstrates the specific context and usage of these concepts in this study.
- ii. The second section sets the context of the public participation process.
- iii. The third section focuses on various dynamics facilitating or impeding public participation.
- iv. The fourth section presents the theoretical perspective of modes of communication with a particular focus on how these are applied in the PPPs.
- v. The fifth section provides a brief account of EAs and the legislative framework for the PPPs.
- vi. The last section discusses the theoretical aspects of case study research methodology.

#### **2.2 DEFINITION OF KEY CONCEPTS USED IN THIS STUDY**

It is important to define and contextualise key concepts to demonstrate their relevance in this research study. These concepts include public participation, community, IAAPs and vulnerable IAAPs. This section also demonstrates the implications of these concepts.

## 2.2.1 Description of Public Participation

The concept of public participation is used in various disciplines. This concept has been used over many decades in planning, development and political circles (Arnstein, 1996; Midgely, 1986a). It must also be noted that various other concepts are used to refer to public participation. Examples of these include ‘citizen participation’ and ‘community participation’ (Hall, 1986; Jacobson and Servaes, 1999; Gaventa, 2004). In some cases, the terms ‘community participation’ and ‘stakeholder participation’ are used interchangeably (Beierle and Konisky, 2000). Limitless use of this concept may cause confusion. For this reason, public participation particularly in the context of this study needs to be clearly defined.

White (1994) observes that the concept of participation has become part of development jargon and forms part of most project proposals. White (1994) also acknowledges that the concept of participation is complex and sometimes illusive. “But the word ‘participation’ is kaleidoscopic; it changes its colour and shape at the will of the hands in which it is held. And, just like the momentary image in the kaleidoscopic, it can be very fragile and elusive, changing from one moment to another” (White, 1994:16).

The PPPs provide an opportunity for stakeholders to contribute to decisions and policies affecting their welfare (Arnstein, 1969; Midgely, 1986a; Midgely, 1986b; Servaes and Arnstein, 1999). To ensure good quality decisions “... governments are increasingly seeking better ways to fulfil their regulatory mandates while constructively engaging the public in environmental decision making” (Beierle, 1998:5). This process ensures the incorporation of stakeholder input in decision making (Glasson, Therivel and Chadwick, 1995). Proposals for development projects require environmental authorisation to determine the impact on the environment; this is obtainable through the PPP for the EA. While the PPP ensures the incorporation of input from the IAAPs, the final decision making for environmental authorisation is the responsibility of the government. In South Africa, environmental decisions are made by designated provincial and national authorities, the Department of Agriculture and Environmental Affairs (DAEA) in KZN

and the Department of Environmental Affairs and Tourism (DEAT) at national level (Department of Environmental Affairs and Tourism, 1998). The PPP for EA and decision making processes culminates in the relevant authorities issuing the Record of Decision (ROD) indicating whether the proposed development has been approved.

In summary, various forms of public participation can take place in various contexts. This study is concerned with the PPP in the context of EAs to provide opportunity for IAAPs to participate in decision making. This process involves gathering local knowledge and incorporating stakeholder input in decision making. In practice IAAPs participate in decision making for environmental authorisation through expressing their opinions regarding impact associated with proposed development projects. Stakeholder input is expressed verbally during public meetings or by sending written submission to EAPs. Final decision making regarding environmental authorisation is the responsibility of the designated government authority. By its definition, public participation is not at any stage perfect, both theoretically and practically. Academics and governments are constantly seeking ways for a better definition and application of public participation.

### **2.2.2 The Notion of Community**

The notion of community is broad and may be open to abuse and misuse. Understanding community participation in decision making should begin with familiarisation with the notion of community. An understanding of the notion of community is drawn from three views: 'geographical', 'composition' and 'functional' perspectives.

The geographical perspective views a community as a group or population living within a particular geographical or physical boundary (Rubin and Rubin, 1992). According to Rubin and Rubin (1992), members of the community share common life-styles, ethics and cultural backgrounds. By implication, the geographical perspective suggests that a community is a homogenous entity.

From a composition point of view, the community is defined based on the manner in which it is constituted. The composition perspective suggests that a group can exist within and across boundaries (Poole, Keyton and Frey, 1999). However, these boundaries are not necessarily defined on a physical basis; they can also be defined in social, political or cultural terms (Johnson and Johnson, 1994). Furthermore, these boundaries are fluid and not fixed. Poole, Keyton and Frey (1999) observe fluidity of membership and permeability of group boundaries as key group features. “The boundaries and borders of groups often change, change in part because their membership changes over time. New members sometimes join, and or established members may leave ...” (Poole, Keyton and Frey, 1999:93).

The functional perspective can be understood as a progression of the composition perspective. According to this view, groups or communities are bound together by specific objectives they seek to achieve (Rubin and Rubin, 1992). In order to be successful: groups define their jurisdiction; and develop approaches to achieve set objectives (Castil, 1993). Individuals are bound into a community in terms of needs and interests rather than by location.

The geographical view of community was criticised by Johnson and Johnson (1994) and Midgely (1986b). These authors argued against the notion of homogeneity and noted the existence of diversified backgrounds and interests among members of groups or communities. Midgely (1986b) criticised the geographical perspective as being populist thought rather than a serious analysis of community life and its complex characteristics and dynamics. This research study views community on the basis of its objectives and functions as opposed to geographical space. This logic is based on the recognition that, usually proposed development projects overlap any number of geographically defined boundaries. Also, proposed development may interest or affect individuals or groups located across geographical boundaries.

### **2.2.3 Interested and Affected Parties**

Public participation is concerned with the involvement of individuals, groups or communities in planning and decision making. Previous discussions regarding the notion of community provided key community characteristics. These characteristics form the base of stakeholder features. However, to further eliminate possible confusion, in EAs, stakeholders are referred to as IAAPs. In specific terms, IAAPs are individuals or groups affected by or having interest in a particular issue or issues arising from a proposed development project (Department of Environmental Affairs and Tourism, 2004a; Department of Environmental Affairs and Tourism, 2004b). Further, the Department of Environmental Affairs and Tourism (2004a) defines IAAPs as “A sub-group of the public whose interest may positively or negatively be affected by a proposal or activity and /or who are concerned with a proposal or activity and its consequences. IAAPs include different role players such as the proponent, authorities and all interested and affected parties” (Department of Environmental Affairs and Tourism, 2004a:19).

It is concluded that IAAPs are not necessarily limited to any physical boundary, but are formed around particular issues in relation to a proposed development project. In a general sense, IAAPs may be viewed as a heterogeneous community comprising of members sharing specific common interests and objectives for a defined length of time. Based on flexible boundaries IAAPs may move on once the objective of engaging the proposed development has been achieved. This research study refers to stakeholders as IAAPs.

### **2.2.4 Vulnerable Interested and Affected Parties**

The vulnerability of individuals or groups varies from one context to another. The United Kingdom, Department for International Development (DFID) refers to vulnerability in terms of individual ability to access resources to maximise livelihood (The Department for International Development, 2001). Vulnerability also refers to an individual’s ability

to deal with the varying external shocks or disasters negatively affecting livelihood. Beall, Mkhize and Vawda (2005) used the concept of vulnerability in the context of livelihood and in relation to social status in the society. Beall, Mkhize and Vawda (2005) observed that women in rural KwaZulu-Natal have limited rights and in some cases “...no access to communal resources outside their relationship with their father or husband and limited representation on traditional councils” (Beall, Mkhize, and Vawda, 2005: 764). Vulnerable groups are also referred to as ‘the have-nots’, ‘the powerless’, ‘the ordinary people’, ‘disfranchised groups’ and or ‘the grassroots people’ (Arnstein, 1969; Midgely, 1986a; Moyo and Graig, 1995).

In this research study, vulnerability specifically refers to marginalised groups with limited opportunity to participate in decision making. These limits may include lack of awareness about environmental policies, lack of access to information or a range of factors hindering their participation in decision making. Referring to the vulnerability of marginalised groups in decision making, Beierle (1998) explains “The problems are well known: the public lacks basic knowledge about many environmental issues; policymakers inadequately consider public values and preferences...” (Beierle, 1998:5).

There are two key factors about vulnerable groups. Firstly, vulnerable groups are normally in the majority and are generally excluded from making an effective contribution in decision making (Midgely, 1986a). Secondly, despite being deliberately excluded, ineffective participation by vulnerable groups is viewed as passivity and indifference (Midgely, 1986a). However, “... the real problem is the lack of opportunity for their direct involvement” (Midgely, 1986a:9).

The term vulnerable IAAPs in this research study refers to disadvantaged individuals or groups with regard to participation in decision making. They are hindered from participating fully in decision making by different circumstances. On the one hand, vulnerable IAAPs may be hindered by: limited or nonexistent access to information and government policies; and a lack of environmental legislation awareness (Agunga, 1996; Lejakane, 1997). On the other hand, socio-cultural and political factors of various types

may hinder vulnerable IAAPs from contributing significantly in decision making (Mchakulu and Ezra, 2007). As is the case with the notion of the community, IAAPs are not necessarily homogenous.

## **2.3 DYNAMICS OF PUBLIC PARTICIPATION**

The PPP context is influenced by various social dynamics. During literature review, certain social dynamics influencing the PPP context were identified. Social dynamics discussed in this section include:

- i. Power relations.
- ii. Social empowerment.
- iii. Manipulation of public participation.
- iv. Rural traditional systems influence on public participation.

It must be born in mind that some or all of these dynamics may occur simultaneously. The complexity resulting from the combination of these dynamics may determine the extent to which individual stakeholders are able to participate in the PPPs.

### **2.3.1 Power relations**

The IAAPs are not homogenous, but have different needs and interests. As a result, conflict of interests and power struggles are inevitable. Two perspectives can be used to view power relations. The first perspective views power relations in continuum. According to this perspective, individuals or groups with a certain level of power are placed on either end of the continuum. For example, ‘the powerless’ and the ‘the power-holders’ may be found on either end of the continuum (Arnstein, 1969). Power relations exist between: ‘the powerless’ and ‘the power-holders’; ‘people at grassroots’ and ‘the state’; or between ‘ordinary people’ and ‘experts’ (Arnstein, 1996; Midgely, 1986a; Moyo and Graig, 1995; Le Roux, 1998). Power relations may be political, economical, social, and administrative or knowledge based (White, 1994; Bordenave, 1994; Midgely, 1986b).



The second perspective of power relations demonstrates that inequalities do not only occur between groups, but also among group members (Castil, 1993). This view concurs with the notion discussed in Section 2.2.2 that a community is not "... a cohesive entity..." and as a result "...even the most deprived sections of the community suffer from conflicts, rivalries and factionalism" (Midgely, 1986b:35).

By implication, power relations between and among groups is not balanced. Imbalanced power relations affect the role of individual stakeholders in public participation. The 'powerless' in the social environment are the most vulnerable group to participate in the PPPs.

### **2.3.2 Social Empowerment**

IAAPs participate in the PPP by expressing their views and information about the perceived impact of proposed development projects (Bordenave, 1994; Arnstein, 1969). To participate effectively, vulnerable IAAPs need to be empowered to understand the objectives and procedures of the PPP. One way of empowerment is through the distribution of power from the 'power-holders' to the 'powerless' (Moyo and Graig, 1995). The other way is through sharing knowledge to enable IAAPs, especially the vulnerable ones, to participate effectively, make informed choices and influence decisions (Department of Environmental Affairs and Tourism, 2004a; Deetz, 1999). Arnstein (1969) defines participation as "...a categorical term for citizen power. It is the redistribution of power that enables the have-not citizen, presently excluded from the political and economic processes, to be deliberately included in the future" (Arnstein, 1969:217). Empowerment is a necessary process to bridge both the knowledge gap and the social inequalities between and among various IAAPs.

Despite the importance of empowerment, the sharing of power is, however, a painful process on the part of the power-holders who would rather maintain the status quo. To this effect Servaes and Arnstein (1999) argue that the empowerment of previously

disadvantaged individuals "... may not sit well with those who favour status quo and thus they may be expected to resist such efforts of reallocating more power to the people" (Servaes and Arnstein, 1999: 115-116). Some authors are sceptical of public participation. Beierle (1998) wondered "Are participatory programs intended to empower disenfranchised groups or to make it easier for government agencies to implement their programs?" (Beierle, 1998:5). Commitment to social empowerment on the part of the government authorities needs to be complemented by practical social empowerment programmes. Social empowerment programmes may empower even the most vulnerable groups to participate effectively in the PPPs. However, lack of social empowerment means that the vulnerable groups remain unable to participate effectively.

### **2.3.3 Manipulation of Public Participation**

Public participation is at risk of being manipulated or distorted. Planners, states or elites may use public participation as a tool to legitimise and maintain particular decisions (Servaes and Arnstein, 1999; Midgely, 1986a; Arnstein, 1969). Manipulation of public participation means that IAAPs are involved only to be informed about planned development projects and not to effectively contribute to decision making. Arnstein (1969) notes that: planners; politicians; project leaders; and power-holders for instance "...still address all variety of manipulation as participation in the process" (Arnstein, 1969: 216). White (1994) warns that when planners have too much power and control, there is a great possibility for this to result in pseudo-participation. Bordenave (1994) views this form of public participation as a "ritual with little or no meaning" (Bordenave, 1994:45)

Manipulation is equivalent to participation without the power to influence decisions. "There is a critical difference between going through the empty ritual of participation and having the real power needed to affect the outcome of the process" (Arnstein, 1969:217). The implication of manipulation is that IAAPs are used in the implementation or the ratification of decisions already taken by external bodies (Arnstein, 1969). In addition,

manipulation limits the opportunity for the powerless to contribute in decisions, while enabling power-holders to justify their actions (Arnstein, 1969).

### **2.3.4 Rural Traditional System Influence on Public Participation**

The PPP cases analysed in this research study took place in rural KZN. Reference to traditional patriarchal conditions associated with rural areas in KZN took place in Section 2.2.4. It is important to explore influences of these conditions on public participation in great detail. A point must be made that the level of vulnerability varies among vulnerable groups. Generally, rural groups are vulnerable in the PPPs because of: limited access to information and government policies; and socio-cultural and political conditions. However, even among vulnerable groups, there exist sub-groups with varying levels of vulnerability. Women and youth are identified as the most vulnerable sub-groups in the context of a rural traditional context. Sections 2.3.4.1 and 2.3.4.2 focus on the role of youth and women in decision making within the context of a traditional system.

Available information on traditional systems shows that these are not democratic institutions. Traditional systems in Africa and in South Africa are patriarchal, instating *amakhosi* or chiefs in leadership positions based on hereditary and not merit. Inherently this system poses the danger of, in some cases, putting less capable individuals in the most important leadership positions. Inherited leadership also implies that the removal of incompetent leaders is in this context difficult. Hereditary elements of chieftaincy prevent this institution from transforming and adopting democratic principles speedily. Based on observations in KZN, Beall, Mkhize, and Vawda (2005) suggest that "... chieftaincy in Africa operates on principles that are antithetical to democratic ideals. Selection for the office of chief is not by popular vote but is usually hereditary and for life" (Beall, Mkhize, and Vawda, 2005:760). Further; Beall, Mkhize, and Vawda (2005) suggest that the hierarchical and patriarchal system is inherently exclusive and oppressive to women.

The other source of power to *Amakhosi* is socio-political in nature by virtue of their involvement in party politics. Using political power to impose certain ideas in communities may in itself be manifestation of social inequalities. Beall, Mkhize, and Vawda (2005) consider the socio-political context as a source of social inequality and as a factor preventing free public participation. Beall, Mkhize, and Vawda (2005) recall that during transformation from apartheid to democracy, political violence in KZN claimed 20 000 lives and displaced half a million people. As a result of this experience, local people tend to avoid confrontation and any expression of opinion that may cause disagreement in public meetings. Divergence of opinions during public meetings is avoided for fear of sparking conflict and possibly violence. Fear to freely express opinions that may be regarded by others as confrontational is not limited to South Africa. For example, Mchakulu and Ezra (2007) observe that having emerged from a dictatorship in 1994, people in rural Malawi are still tentatively testing the levels of political tolerance. Beall, Mkhize, and Vawda (2005) note that coupled with the autocratic rule of traditional leaders in KZN, the history of violence still prevents free public participation. In this regard, autocratic rule prevents the rural people from emerging from a vulnerable state to be able to participate effectively in the PPPs.

#### **2.3.4.1 Rural Traditional System Influence on the Role of Youth in Public Participation**

The notion of youth is defined on the basis of chronological age or from the perspective of social status. Legislation in South Africa defines youth on the basis of age. The National Youth Policy in particular, defines youth as "...young males and females aged from 14 to 35 years. Young people in this age group require social, economic and political support to realise their full potential" (Government of the Republic of South Africa, 1997:10). Defining youth on the basis of chronological age, appears to be a western approach to classifying individuals. Anecdotes suggest that the African traditional way of classifying stages of individuals is based on certain rights of passages. In rural KZN for instance and perhaps many other parts of Africa, the status of manhood

or womanhood as opposed to boyhood or girlhood is accorded through marriage. The stage of boyhood and girlhood is associated with a stage of dependence upon significant others, parents or elders. In a patriarchal environment, an unmarried man or woman is barred from performing certain cultural rituals. While there are differences between the Western and African definitions of youth, these perspectives also share a common ground. On the one hand, the Western perspective puts emphasis on chronological age as opposed to social status in defining youth. From the African patriarchal perspective, on the other hand, social status and not age is critical in the definition of youth. As a result of this, an unmarried individual above the age of 35 may still be viewed from the perspective of girlhood or boyhood and be barred from rituals performed by elders. The agreement between the two definitions occurs in the sense that in both definitions youth is associated with a level of dependency upon the significant others.

Although age should not determine the right to public participation, in the case of extensive social dynamics, societies apply various classifications to draw boundaries of entitlement. In this way, social status is used to discriminate against the youth in their entitlement of participation in public affairs. Mchakulu and Ezra (2007) observe that in many African countries, culture is used to justify the exclusion of many young people from participating in public affairs. This is because, in the context of African culture, adults represent authority and youth should remain respectful and subservient. This attitude has consequences for youth participation in the PPPs. In the context of this research study, youth form part of the vulnerable IAAPs.

Discrimination from participating in public affairs, has in some parts of Africa, encouraged the youth to devise alternative ways of expressing their views. In Malawi, for example, young women overcame exclusion from public forums by establishing Radio Listening Clubs. The purpose was to create a forum through which they could participate in the deliberation of issues of importance, an opportunity which a headmen's court could not provide (Mchakulu and Ezra, 2007).

It is worth noting that in South Africa, there are various radio and television talk show programmes discussing various topical issues affecting society in different ways. These programmes do not discriminate on who participates on any basis; instead they provide equal opportunity for participation. Radio and television talk shows are important for creating social awareness on issues of public interest. They are, by nature, not aimed at contributing towards the decision making process. For this reason, while radio and television talk shows are important for creating an alternative public platform, they may not be an appropriate tool for the PPPs. Participation in decision making by youth under strict African traditional systems poses a critical challenge for the PPPs.

#### **2.3.4.2 Rural Traditional System Influence on the Role of Women in Public Participation**

In the context of rural traditional systems women are vulnerable with respect to contributing significantly in community affairs (Beall, Mkhize, and Vawda, 2005). The lowly status of women, resulting from African customary law, contrasts with statutory law, which supports social equality and basic human rights (Banda, 2006). While statute law promotes democratic principles, customary law strives to maintain the status quo, characterised by social inequalities. In rural areas, patriarchal systems hinder progress towards reasonable gender equality (Banda, 2006). Despite this, various women emancipation initiatives are taking place at different levels. The Southern African Development Community (SADC) countries have adopted the Bill of Rights, among other things, prohibiting gender-based discrimination (Banda, 2006). The New Economic Partnership for Development (NEPAD) and the Convention on the Elimination of all Forms of Discrimination against Women (CEDAW) both strive to promote gender equality (Banda, 2006).

Of the SADC region, “South Africa is hailed as a good example for women emancipation in public space.” (Walsh 2006:85). Women emancipation in South Africa is most evident at a national level, through women’s participation in parliament. Walsh (2006) argues

that ‘just debate’ has elevated the position of women in South Africa. The concept of ‘just debate’ refers to: deliberate inclusion of marginalised and repressed participants; marginalised and repressed ideas; and the promotion of expansive discussions (Walsh 2006). However, it appears that gains at national level with regard to women’s emancipation have not been fully transferred to rural areas. “In rural regions, access to women organisations and the right to speak and be heard at civic meetings was a critical problem.” (Walsh, 2006:95). This is partly because the role of rural women in public participation is constrained by patriarchal and customary values.

## **2.4 THEORETICAL PERSPECTIVE OF COMMUNICATION MODES**

Public participation hinges on the extent to which approaches used to distribute and collect information are appropriate. Communication approaches are essential to both distributing and collecting information to and from stakeholders. Subsequently, it is important to consider the function of communication modes in public participation. Two theories of communication are discussed in this section. They are oral culture or spoken word and literate culture or written word. Both these theories have implications for the participation of the vulnerable IAAPs in the PPPs.

### **2.4.1 Oral Culture**

This section discusses a theoretical perspective of oral culture. Two key aspects are discussed. The first aspect focuses on the definition and functioning of oral culture. The second aspect deals with the strengths and limitations of oral culture.

#### **2.4.1.1 Definition and Functioning of Oral Culture**

This section discusses the nature and function of oral culture and its role in the PPPs in traditional communities. In addition, the traditional system of communication with

reference to rural KZN is discussed; this provides practical examples of the functioning of oral culture. Oral culture refers to orally transmitted or interpersonal communication. This culture is associated with non-literate or pre-literate societies largely characterised by high levels of illiteracy and limited access to modern information technology. Communication in this context relies on word of mouth (Ong, 1991). Morality is not a fixed state. McGray (1991) associates morality with a primary phase in the history of human communication. Societies may progress from a state of morality to a secondary and more sophisticated state of literate communication. The impact of oral culture is influenced by at least three main factors: the social space; human memory; and power relations.

From the perspective of social space, oral culture is effective for the distribution of information from source to targeted groups located in close proximity. Distribution of information through word of mouth across vast space becomes challenging (McGray, 1991). Even in close proximity, effective mass communication is facilitated by social events; this enables the audience to receive information at a personal and first-hand level. Beyond personal experience, information becomes hearsay, its impact wanes as it is distributed further from the centre (Burke, 1991). Social space refers to both physical and social context. The extent to which individuals and groups interact with each other depends on the scale of social relations (De Plooy-Cillers and Olivier, 2001). Social relations are a complex state of affairs influenced by: social norms and cultural values; friendliness or unfriendliness; formality or informality; and humour or seriousness of the situation (Du Plooy-Cillers and Olivier, 2001).

Another important communication dynamic is the recording of information. In the absence of written records, oral culture relies on human memory to distribute information across time. McGary (1991) argues that over time information recorded only in human memory becomes less available and finally vanishes as generations pass away. Interpersonal communication suffers from these social risks.



Examples of non-literate societies can be traced to ancient Greek societies before the advent of literacy in and around 700 B.C. (Havelock, 1991). Also, medieval people relied on the oral culture for communication and information dissemination (Burke, 1991). Both, Havelock (1991) and Burke (1991) maintain that, over time, these societies progressed from oral culture to literate culture. To date, orality is widely associated with communities in poor countries in general and rural areas in particular. Aspects of oral culture in Africa include interpersonal communication and folk media channels predominantly in rural areas (Lejakane, 1997). In South Africa poor rural areas still suffer from the legacy of apartheid regarding the low levels of literacy and the lack of a communication infrastructure (Le Roux, 1998; Barberton, 1998). This results in poor access to information. Low levels of literacy and a lack of a communication infrastructure are associated with oral culture and rural communities.

Communities in rural KZN rely on oral communication to deal with community affairs such as the allocation of resources and dispute resolution (Hatch, 1996). Rural communities rely on interpersonal communication to deliberate and make decisions on matters such as the allocation of land and other resources. These decisions are made at public gatherings taking place at *Inkosi* (chief), *Induna* (headman) or community level (Thorp, 1997). Cross and Friedman (1997) state “Communal tenure can be controlled almost entirely by the community, with disputes over land arbitrated at the local level, and with little central intervention. Or it can be the subject to arbitrary control by chiefs, depending on the informal system in practice” (Cross and Friedman, 1997:21). Boyd-Barrett (1980) notes that rural dwellers use traditional communication systems to request land; make and communicate decisions back to respective applicants.

The community meetings context is embraced by social norms, cultural values and power relations. It is no coincidence that there is an emphasis on the role of *Induna* in organising community meetings. Socio-cultural values recognise the position of an *Induna* and in turn confer responsibility and mandate to organise and convene community meetings to the incumbent. Assuming the responsibility of organising community meetings without this status may not receive similar acknowledgement and respect. Thorp (1997)

emphasises that it is also no coincidence that community meetings are usually attended by men. In general, rural women are excluded from decision making (Walker, 1997; Cross and Friedman, 1997; Naicker, 1998).

#### **2.4.1.2 Strengths and Limitations of Oral Culture**

The strengths of oral culture rest with its appropriateness to involve the vulnerable IAAPs in the PPPs. Two strengths of oral culture are highlighted. Firstly, oral culture does not require literacy and can be used by both literate and illiterate societies. Because of this, no individual, group or community is alienated from the use of this approach. Secondly, oral culture encourages intimacy and interpersonal interaction. Opportunity for face-to-face and interpersonal contact adds value by encouraging the development of mutual understanding and trust between interlocutors (Goody and Watt, 1991). Interpersonal communication further creates the opportunity to engage or interrogate information between sender and receiver, a situation not always possible through the use of the literate culture.

While oral culture is suitable for engaging the vulnerable IAAPs in the PPPs, there is ample evidence showing that even this approach has substantial limitations. Four key limitations are identified. Firstly, dependency of oral culture on interpersonal communication suggests that effective conveyance of messages requires contact between senders and receivers of information. Beyond first-hand experience of information, doubts and mistrust becomes inevitable (Burke, 1991).

Secondly, in oral culture, the effects of distances make it difficult for information to reach a widespread audience and vast areas. Two risks are associated with the movement of information from centre to distant destinations. On the one hand, information may lose value along the way or even not reach certain destinations (Burke, 1991). On the other hand, reliance on interpersonal communication has implications for sparsely populated areas. “If people in sparsely populated areas or in areas with difficult terrain wish to

organise around an issue they have to invest far more in doing so than people in urban areas. The time and financial costs of attending meetings are major obstacles for people. In many instances these costs effectively exclude poor people's participation'' (Barberton, 1998:247).

Thirdly, oral culture is associated with unreliable information recording. McGary (1991) argues that reliance on human memory limits the reliability of recording information. Human beings may forget and they grow old and die. When one generation passes on, a certain degree of information is lost. Reliance on human memory may work better in societies with a limited body of information to share. In modern societies for instance, there is large volume of information requiring sophisticated recording methods.

Fourthly, in recent times, although oral and literate societies coexists side-by-side, senders of messages tend to favour the print media despite inequalities regarding the communication infrastructure, especially among rural societies. In comparison with the literate culture, oral culture often struggles to compete as a credible mode of communication. In this regard, a low level of literacy and poor access to information disadvantages rural people in public participation. Rural communities lag behind and have fewer opportunities for learning from the experiences of other communities (Barberton, 1998). Poor access to information and a low level of literacy hinder rural dwellers to lobby and organise more efficiently around issues of concern (Barberton, 1998).

#### **2.4.2 Literate Culture**

A pattern of discussion similar to oral culture is adopted. Discussion starts with the background of literate culture and proceeds to strengths and limitations. As it will be made clear, the essence of the literate culture is the written word conveyed through print and electronic medium.

### **2.4.2.1 The Nature and Functioning of Literature Culture**

If non-literate society is predominantly associated with primary orality, literate society is therefore associated with written word communication modes. Some of the challenges experienced with respect to oral transmission such as slow movement of information and a lack of reliable recording systems are resolved through the literate culture. Literate transmission is dependent on electronic and print media (Menache, 1991). This way, information is able to reach audiences in vast areas within a short space of time in comparison to oral culture. Interlocutors in literate society regard written messages as the genuine medium (Menache, 1991).

The theory of literate culture is associated with theories of development adopted after the Second World War. Mody (1991) argues that the role of mass media after the Second World War was to communicate development approaches from the developed to the developing countries. Furthermore, mass media communication was based on the diffusion theory advocating a linear, unidirectional, one-to-many communication activity to generate an understanding for beneficiaries regarding better development strategies (Agunga, 1996). It can be argued that in South Africa, authorities view literate culture as an appropriate approach to communicate messages from government offices to the mass population in rural settlements. The emphasis by the environmental legislation on mass media communication to engage IAAPs is evidence of government's attitude towards this approach.

While literate culture appears to be a more advanced stage of communication than oral culture, this culture adopted certain oral culture traits. Goody and Watt (1991) observed that: "For even written literate culture, the oral tradition – the transmission of values and attitudes in face-to-face contact nevertheless remains the primary mode of cultural orientation..." (Goody and Watt, 1991:50). Literate culture is viewed as an important aspect of democracy in the sense that "...a majority of the free citizens could apparently read the laws, and take an active part in elections and legislation" (Goody and Watt,

1991:48). Although, literate culture is an advanced stage of communication, its appropriateness, accessibility and usability by the vulnerable groups is limited.

#### **2.4.2.2 Strengths and Limitations of Literate Culture**

In developing countries, the role of the mass media is regarded as an important tool to disseminate ideas to expedite development initiatives (Mody, 1991; Lejakane, 1997). Two main strengths of literate culture are noted. Firstly, mass media has the ability to disseminate messages to dispersed areas speedily (Lejakane, 1997). Secondly, literate communication has the ability to keep permanent records. This adds to the reliability of information. Reliable recording eliminates the possibility of distorted information.

At least three limitations are associated with mass media with respect to dealing with communities and individuals in predominantly illiterate societies. The first limitation is associated with centralised mass media facilities. Centralisation of communication infrastructure and facilities makes it difficult for rural people to access information. For example, the majority of rural people do not have access to Internet facilities (Agunga, 1996; Lejakane, 1997).

The second limitation is that the language used in mass media communication also raises doubts regarding the appropriateness of this approach to engage vulnerable rural stakeholders. The tone and language used appear not to be targeting grassroots people, but rather the elite audience. Because of this and perhaps other factors, Lejakane (1997) notes that there is enough evidence suggesting that modern mass media in Africa is designed to work better in urban environments than in rural areas.

Lastly, mass media communication usually lacks interpersonal interaction between the sender and the receiver of information. This may encourage the recipient to avoid responding or taking the necessary action upon receipt of the information. Unlike interpersonal communication requiring active engagement, written correspondence may

easily be avoided (Goody and Watt, 1991). Literate information is often solitary and does not provoke discussions or debates. As a result, the receiver of information may not take action to either read or respond to information (Bordenave, 1994).

Literature culture is arguably more advanced compared to oral culture because it is capable of distributing information massively, speedily and reliably. However, this approach is practically less appropriate and less effective regarding the participation of the vulnerable IAAPs in the PPPs. The reason for this is that mass media is often inaccessible to vulnerable groups. To be more sophisticated does not suggest that literate culture is superior to illiterate culture. To be effective among vulnerable IAAPs, mass media needs to be complemented with oral cultural.

## **2.5 AN OVERVIEW OF ENVIRONMENTAL LEGISLATION**

The definition of EA should begin with an understanding of the term ‘environment’. Environment refers to the surroundings, conditions or influences under which humans or objects exist (Department of Environmental Affairs and Tourism, 2004a; Galpin, 1995).

It must be understood that EAs arise from the need to strike a balance between detrimental human activities and the desire for sustainable development. “Human activities are increasingly stressing and degrading environmental quality” (Checile, 1991:1). In contrast, it is argued that “Humanity has the ability to make development sustainable to ensure that it meets the needs of the present without compromising the ability of future generations to meet their own needs” (United Nations, 1987:24).

The EAs should also be understood against the background of relationships between IAAPs and the total environment. Proposed development projects may trigger different responses from IAAPs, depending on the impact on relationships between locals and the environment. Working in El Salvador and Zimbabwe, Balint (2006) identified a phenomenon of environmental autonomy. This phenomenon refers to the relationship between local people and the environment based on access to social space and use of natural resources. Some proposed development projects may interfere with this

relationship. Similar observation was made among the Eastern Cape Mpondo community by Haag and Hajdu (2005); local stakeholders perceived that proposed dune mining and coastal toll road construction projects threatened environment autonomy.

The EA is a systematic process investigating the impact caused by planned activity or development on the environment (Checile, 1991; Department of Environmental Affairs and Tourism, 2004a; Department of Environmental Affairs and Tourism, 2004b). The EA is conducted: by gathering information; identification of environmental effects; and ameliorating against any negative impact. This information assists the relevant authorities to judge whether planned development should be permitted (Republic of South Africa, 1998; Singleton, Castle and Short, 1999; Checile, 1991).

The South African Constitution and the National Environmental Management Act (NEMA) has set a legislative framework for EAs. Chapter Two of the South African Constitution outlines a series of basic human rights. Among these human rights is the right for all people to access information and participate in decision making (Republic of South Africa, 1996). The involvement of IAAPs in planning and decision making is therefore regarded as a human right. Environmental legislation as prescribed in the NEMA deals with the practical aspect of the PPPs.

In South Africa, the National Environmental Management Act (Act No. 107 of 1998) regulates EAs. The NEMA provides procedures and guidelines followed by EAPs in conducting EAs (Republic of South Africa, 1998). The EA starts with the Basic Environmental Assessment (BEA). An assessment process may in some cases only involve the BEA. However, in the event of severe impact, the EA starts with BEA and proceeds to an Environmental Impact Assessment (EIA) (Republic of South Africa, 2005). There have been significant changes in environmental legislation in South Africa. Before July 2006 environmental legislation was proclaimed under the Environment Conservation Act of 1989 (Act No. 73 of 1989). In July 2006, environmental legislation was proclaimed under the NEMA. This research includes the PPP cases conducted before and after these changes took place.

The EAs may fall within the jurisdiction of the provincial or the national government departments. These are the respective relevant authorities. In KZN, the relevant authority invested with powers for environmental authorisation and the issuing of RODs is the DAEA. At a national level the relevant authority is the Department of Environmental Affairs and Tourism (DEAT). Other government bodies such as the Department of Minerals and Energy (DME) have jurisdiction over specific applications for environmental authorisation.

Environmental legislation provides procedures for conducting EAs and the PPPs. In the event of a proposed development, an independent EAP is employed to conduct the EA including public participation (Department of Environmental Affairs and Tourism, 1998). Guidelines for conducting the PPPs require EAPs to identify, inform and engage IAAPs with respect to proposed development projects (Republic of South Africa, 1998; Galpin, 1995; Glasson, Therivel and Chadwick, 1994). In terms of the Environmental Conservation Act (ECA), public participation involves the following broad steps:

- i Identification and notification of IAAPs regarding the proposed activity
- ii Registration of IAAPs
- iii Conducting public participation meetings
- iv Identification of environmental issues and concerns
- v Drafting the EA report
- vi Commenting on the EA report
- vii Appeals
- viii Issuing of ROD (Department of Environmental Affairs and Tourism, 1992; Department of Environmental Affairs and Tourism, 2002; Department of Environmental Affairs and Tourism, 2004a; Department of Environmental Affairs and Tourism, 2004b).

The NEMA retained the PPP steps prescribed by the ECA as outlined above. In addition, the NEMA includes the following steps:

- i Fixing a notice board on site about the proposed activity
- ii Giving written notices of proposed activity to IAAPs



- iii Placing an advertisement in one local newspaper and any official Gazette
- iv Placing an advertisement in at least one provincial or national newspaper.

In summary, the EA legislation ensures that a thorough investigation of the impact on the environment takes place prior to making a decision for environmental authorisation. The legislation also protects the interests of local people who might be affected by the proposed development projects. In addition, the legislation ensures reasonable and fair decision making through involving the IAAPs in the PPPs. The PPP culminates in the compilation and submission of the EA report to the relevant authorities. Based on the EA report, the relevant authority issues a ROD for or against the proposed development (Greyling, 2002; Department of Environmental Affairs and Tourism, 2002; Galpin, 1995).

Although the legislative framework provides clear guidelines for the EA assessment in general and for conducting the PPPs in particular, there is lack of decisive guidance with regard to dealing with the vulnerable IAAPs. The literature consulted for this study clearly demonstrated that the vulnerable IAAPs are affected by lack of access to information technology, social inequalities and lack of EA legislation awareness. Because of inappropriateness of the literate culture, it can be assumed that even the strictest application of the guidelines provided in the EA legislative framework may not be effective to involve the vulnerable IAAPs in the decision making.

## **2.6 CASE STUDY RESEARCH METHODOLOGY**

This section presents a theoretical perspective of case study research methodologies. The discussion presents the background of the case study methodology, its definition and steps involved in collecting and processing data. The discussion of the case study methodology in this section provides the context for research methods discussed in Chapter 3.

### **2.6.1 Brief Background of Case Study Methodology**

Case study methodology is regarded as one of most challenging of all social science endeavours (Yin, 2003). Case study methodologies have been the subject of stereotypes and have been viewed as less accurate than qualitative or quantitative research methodologies since the 20<sup>th</sup> Century. A number of reasons for criticising the case studies have been advanced. Yin (1994), note that critics of the case study method base their concerns on at least three ideas. It is suggested that case study investigators follow equivocal evidence to influence results, that this approach provide less basis for scientific generalisation and that its results are often unreliable (Yin, 1994). Yin (1994) also suggests that the weakness of the case study method appear to be severe with respect to single case. The image of the case study method continues to be the case in the 21<sup>st</sup> Century (Yin, 2003). However, Gillham (2000), Yin (2003), Platt (2006) and Stoecker (2006) acknowledge that a case study is a recognisable empirical inquiry to investigate a phenomenon in its real-life context. The phenomenon investigated in this research study is the PPP among the vulnerable IAAPs. This phenomenon is premised on a social-political and a cultural environment context. The socio-political and cultural environment is the real life context within which the PPP takes place. In terms of the case study methodology, investigation of the PPP should include the understanding of the real-life context.

The case study method put emphasis on document analysis and open-ended interviews (Hamel 1993). Case studies may be used to analyse a single case or multiple cases (Robson 1993). Yin (as cited in David 2006) suggests that the case study methods have two strengths. Firstly, case study methods are useful to study phenomena that are not really separable from their context. Secondly, case study methods employ a broad range of empirical tools. The features of the case study method including the ability to investigate multiple cases and to apply a range of stools made this approach to be effective in conducting this research study.

## **2.6.2 Designing Case Studies**

Research design is defined by Yin (2003) as "...the logical sequence that connects the empirical data to a study's initial research question and, ultimately, to its conclusion" (Yin, 2003:20). Case studies may be based on single-case or multiple-cases approaches (Gillham, 2000; Stake, 2005; Platt, 2006; Jacques, 2006). Like qualitative and quantitative approaches, case studies are able to mobilise a multiple method approach. Case study methods can be strengthened by incorporating aspects of qualitative or quantitative methods or a combination of both whenever this is necessary (Gillham, 2000). In this research study five PPP cases were analysed using a multiple approach to collect and analyse evidence.

## **2.6.3 Case Study Data Collection and Processing Steps**

Key logical steps involved in the case study include the selection of cases, data collection, data analysis and report writing. These steps are discussed below.

### **2.6.3.1 Selecting Units of Analysis in Case Studies**

Selection of sampling units of analysis involves extracting a subset from a total population (Strydom and Venter, 2002; Bailey, 1987). "Sampling may include but is not limited to objects, persons, events and so forth from which the actual information will be drawn" (Bless and Higson-Smith, 2002:83). The total population in the context of this study is all the PPPs of EAs involving vulnerable IAAPs conducted in the rural areas of KZN. Sampling was therefore concerned with selecting units of analysis from such population. However, as Mathews (2006) suggests, each event is comprised of sub-units. Based on this logic, this study regards the IAAPs as sub-units of analysis within the PPP of each EA case. Sampling for this study was concerned with selecting the PPP events.

Two sampling procedures were followed to select the units and sub-units of analysis. Elsenhardt (2006) suggests that the goal of sampling in the case study approach is to choose cases likely to replicate or extend the objective of the study. The implication therefore is that, sampling is concerned with selecting units of analysis likely to support study objectives. Yin (as cited in David 2006) argues that the case study methodology is usually suitable for inclusion of known units of analysis in the study. For this reason, this study adopted a purposive sampling procedure to select the PPP cases. It is argued that "...purposive selection is the preferred" sampling procedure to select cases (Elsenhardt, 2006:303). It is also argued that, "...far too often cases seem to be selected solely on the basis of convenience..." (Gomm, Harmmersly and Foster, 2000:107). Based on purposive sampling and prior observation, the researcher of this study selected cases featuring complex challenges related to participation of vulnerable IAAPs in the PPPs.

Another sampling procedure considered in this chapter is simple random sample. This approach ensures equal opportunity of individual units in the population to be selected (Strydom and Venter 2002, Bailey 1987). A simple random sampling was followed to select the sub-units, the IAAPs as interviewees of the study.

### **2.6.3.2 Case Study Data Collection**

Yin (as cited in David 2006) suggests that one of the strengths of the case study method is the use of a range of empirical tools. On this basis, data gathering approaches for case study methods include a literature review, document analysis, interviews and observations (Bless and Higson, 2002; Huysamen, 1996; Strydom and Delpont, 2002; Elsenhardt, 2006; Gomm, Harmmersly; Hamel 1993 and Foster, 2000). The literature review provides a clear theoretical and conceptual understanding of the question the study seeks to investigate (Fouché and Delpont, 2002). Another purpose of the literature review is to identify knowledge gaps to which the study may contribute (Bless and Higson, 2002; Huysamen, 1996).

The case study methods regard official documents as valid sources of evidence. Documents such as letters, memoranda, communiqués, agendas, announcements, minutes and policy statements are recognised sources of evidence applicable to case studies (Strydom and Delpont, 2002; Yin, 2003; Elsenhardt, 2006). As part of document analysis, public participation minutes, EA reports and letters from IAAPs were analysed for this research study.

Interviews are an important source of evidence for the case study method. The nature of interviews for the case study method tends to be strictly semi-structured whereas quantitative methods can also successfully adopt structured interviews. It is suggested that “The interviews will appear to be guided conversations rather than structured queries” (Yin, 2003:89). This type of interview is also known as a one-to-one or unstructured interview. Semi-structured interviews enable the researcher to probe and explore issues arising during the interview that might not have been included in the original guided questionnaire (Greef, 2002; Huysamen, 1996; Bless and Higson-Smith, 2002). Semi-structured interviews were adopted for this research study. A guided questionnaire is attached to this study in Appendix 1. Key questions highlighted in the guided questionnaire formed basis for interviews while enabling the researcher of this study to probe further based on necessity.

Observation starts with a visit to the case study site (Yin, 2003). The field visit is useful to observe the pattern of behaviour of the phenomenon under investigation and the environmental conditions. Bless and Higson-Smith (2002) identifies two types of observation techniques, the participant and the non-participant. Participant observation requires participation in group activities and is suitable for research conducted over a long period (Bailey, 1987; Strydom and Venter, 2002). As part of data gathering for this study, observation approach was also applied. The type of observation adopted by this study is non-participant observation. This approach enabled the researcher to observe local features and behaviour of the IAAPs as an outsider.

### **2.6.3.3 Case Study Data Analysis**

The purpose of data analysis is to process collected data and create meaning out of it. This process culminates in concluding the outcome of study results and making generalisations regarding the total population (Bless and Higson-Smith, 2002). The primary objective of data analysis is to "...bring order, structure and meaning to the mass of collected data" (De Vos, 2002:339). The first data analysis step involves the description of particular cases. The description of cases familiarises the researcher with each case as an individual entity, while simultaneously giving insight to unique patterns emerging from each case (Elsenhardt, 2006). Analysis of case studies also involves examining, categorising and tabulating evidence to address the propositions of the study (Yin, 2003; Elsenhardt, 2006). A description of the PPP cases is presented in Chapter 4. Text, tables and pictures are used to present analysed data in Chapters 4, 5 and 6.

### **2.6.3.4 Reporting Case Studies**

Reporting is the last logical framework step for case studies. This step serves to summarise and conclude the findings of the study. Several steps are considered as part of writing a case study report. For the purpose of this study only two of these are considered. The first is that writing a report needs to target a specific audience, which may include academics, policymakers and the general community to mention just three examples (Yin, 2003). The second step concerns reporting structure. This report targets the academic community, policy makers and the general public interested in the PPPs. This study is written in an academic context. As a result, the structure of the report is guided by the principles of academic writing.

## **2.7 CONCLUSION**

This chapter presented the theoretical, policy and legislative context of the PPPs and defined key concepts in this research and discussed the theoretical dynamics of the PPPs.

Oral and literate culture were highlighted as key aspects of communication modes. Because of limited access to modern communication facilities in rural areas, oral culture appears to be effective for engaging the vulnerable IAAPs. This chapter argued that participation by the vulnerable IAAPs in rural areas is also limited by social inequalities forming an integral part of the socio-cultural context. Such limiting factors make it difficult for the vulnerable IAAPs to participate effectively in the PPP. The context of environmental legislation with respect to procedures and guidelines for the PPPs was presented. Furthermore, the chapter discussed the theoretical aspects of the methodology used in this research study.

## **CHAPTER 3**

### **RESEARCH METHODS**

#### **3.1 INTRODUCTION**

This chapter presents the research methodology followed to investigate the question of this study. The theoretical aspects of research methodology applied in this study were discussed in Section 2.6. This chapter presents actual steps followed to conduct this study and some challenges encountered during data gathering.

#### **3.2. STEPS FOLLOWED TO CONDUCT THIS STUDY**

This research study is based on the analysis of the PPP cases conducted among the vulnerable IAAPs in rural KZN. The case study methodology was adopted to conduct this study. Section 2.6.1 argued that the case study methodology is an appropriate approach to investigate case studies in their real life context. Subsequently, this approach was adopted to select and analyse the five PPP cases. This study contends that the PPP cases could not have been fully analysed and understood outside their immediate real life context. Discussions in Section 2.6.1 also suggested that the case study methodology is appropriate for selecting known units for analysis. This was another reason for adopting the case study methodology in this study. This section discusses key steps followed in this study. They include sampling, data gathering and data analysis. Discussion of key steps will demonstrate the relevance of the overall approach adopted in the investigation of the PPP cases.

##### **3.2.1. SAMPLING METHODS**

Sampling was concerned with the selection of units of analysis. In Section 2.6.3.1 it was indicated that units of analysis for the case study research include objects, persons and



events. This study selected events and persons as units of analysis. These units of analysis were selected using two different approaches, purposive sampling and simple random sampling.

The purposive sampling procedure was adopted to select five PPP cases conducted in various rural areas of KZN. These PPP cases are:

- i The Irrigated Citrus Agricultural Project PPP case
- ii The uMzumbe Regional Cemetery PPP case
- iii The Shemula Citrus Farming PPP case
- iv The P69 Road PPP case
- v The Estcourt/Ladysmith Community Access Roads PPP case.

The purposive sampling procedure was adopted to ensure the selection of units of analysis featuring particular characteristics desired for the purpose of this investigation. The two characteristics the units of analysis had to include were that the PPPs were conducted among the vulnerable IAAPs and the PPPs that experienced complex challenges. The nature and complexity of such challenges is discussed in Chapter 5, Section 5.2.

Once the units of analysis had been selected, a simple random sampling procedure was adopted to select sub-units for analysis. The IAAPs or in this context interviewees, are regarded as sub-units of analysis. As discussed in Section 2.6.3.1, simple random sampling provides interviewees equal opportunity for selection. Unlike the PPP cases, interviewees did not have to bear distinctive characteristics other than being IAAPs to the proposed development projects. As a result, simple random sampling was used to select six interviewees in each PPP case. A total of thirty interviewees were selected as sub-units of analysis for this study. The IAAPs were selected for interviews to increase the validity of the evidence and to ensure the investigation of the socio-cultural and political context within which the PPP cases took place.

### **3.2.2. DATA GATHERING METHODS**

In accordance with the data gathering methods discussed in Section 2.6.3.2 multiple sources of evidence were adopted. These sources included literature review, document analysis, non-participant observation and semi-structured interviews. A combined approach for information gathering was adopted to create the opportunity to verify information and to increase the credibility of study results.

#### **3.2.2.1.Literature Review**

As discussed in Chapter 2, the literature was reviewed to develop a theoretical context of the subject matter of this study. Main sources included scientific literature, journals and government policies. The literature review provided an opportunity to define key concepts used in this study. Importantly, rural systems and communication systems affecting the PPPs were reviewed. Also, the literature review assisted with familiarisation of the theoretical aspects of the phenomenon investigated in this study and the context of the PPPs. Lastly, the literature review presented theoretical aspects of the case study method.

#### **3.2.2.2.Document Analysis**

Document analysis, as opposed to a literature review, is the data gathering step that distinguishes the case study approach from the qualitative and quantitative research approaches. Case studies tend to depend substantially on documents as source of evidence (Yin 1994). Such documents may include letters, agendas memoranda, newspaper clippings and formal studies. It is suggested that 'Because of their overall value, documents play an explicit role in any data collection in doing case studies' (Yin 1994:81). Emphasis on documents, including non-scientific ones, placed in case studies appears not to be the case with respect to qualitative and quantitative methods. In addition

to features discussed in Section 2.6, over reliance on documents is perhaps another factor distinguishing case studies from qualitative and quantitative methods.

Documents reviewed for this study included IAAP letters, public participation meeting minutes and EA reports. Although both minutes and EA reports are according to Strydom and Delpont (2002); Yin (2003) and Elsenhardt (2006) recognised sources, they tend to differ in terms of the details of the information. Public participation minutes may be regarded as a source of evidence that has not been analysed in detail. In preparing the minutes, the author does not analyse and interpret information presented at a particular meeting by participants. The EA reports provide information processed through incorporating: field data; literature; environmental legislation and policies; and public participation minutes. The difference in the level and the depth of information contained in documents may be viewed as the limitation of this approach. However, the use of multiple-source approaches compensate for weaknesses such as this.

Compared to a general literature review, document analysis is case specific. For this reason, documents referred to in this section provided detailed information that formal literature might not have provided. Document analysis was crucial for this study to give insight to individual PPPs. The purpose of analysing these documents was to identify the following key issues:

- i The challenges experienced by IAAPs participating in the PPPs
- ii Approaches adopted to conduct the PPPs
- iii Issues and concerns raised by the IAAPs
- iv The outcome of each PPP case.

These key issues are discussed in Chapter 4 and Chapter 5. Document analysis showed that the PPP cases were in some instances unique but also shared common features in other respects. It must be mentioned that not all of PPP features were identified simply through document analysis. In this regard, document analysis alone could not have been sufficient to investigate and understand the PPP cases and their real life context.

Subsequently, it became important to apply other sources of data collection, such as observations and interviews.

### **3.2.2.3. Non-participant Observation**

Observation is the third data gathering approach adopted by this study. The type of observation followed was non-participant observation. Field visits were conducted to observe the project site environmental features and the pattern of IAAPs behaviour in public participation meetings. Key environmental features observed include features of the natural environment and the level of infrastructure such as roads, electricity telecommunication and local shops. The pattern of behaviours observed included: attendance of meetings; seating arrangement at meetings; and level of contribution in public meetings. It was observed that the use of public space manifested aspects of gender based social inequalities. Female and male groups in public meetings always sat opposite each other. The investigator of this study also observed that male participants dominated the meetings. The socio-political and cultural environment and the physical environment observed gave hints about challenges experienced by vulnerable IAAPs in the PPPs. Observed hints are incorporated in the presentation of the PPP cases and study results in Chapter 4 and Chapter 5 respectively. Evidence gathered through observation is important to understanding the real life context of the PPP cases.

### **3.2.2.4. Semi-structured Interviews**

To complement information sourced through document analysis and observation, semi-structured interview techniques were adopted. As already discussed in Section 3.2, interviewees were chosen on the basis of simple random sampling. Strydom and Venter (2002) and Bailey (1987) noted that simple random sampling ensures all individuals in a population have an equal opportunity to be selected. This approach supported the

assumption that all IAAPs were valuable sources and equally capable of providing relevant information.

Some key questions were prepared as guidelines for the interviews. These key questions sought to establish the opinions, awareness and experiences of the interviewees about the following issues:

- i Knowledge of the IAAPs about particular proposed development projects and PPPs
- ii The socio-political, cultural and physical environment
- iii The nature and functioning of the local communication system
- iv Procedures for EAs in general and of the PPP in particular
- v Challenges affecting the participation of IAAPs in the PPPs.

Information gathered through interviewees based on these key questions is incorporated in Chapter 4 and Chapter 5. The guided questionnaire is provided in Appendix 1.

Most interviewees selected for this study accepted and showed keen interest to participate in the study. However, in some instances interviewees participated on the basis of anonymity for fear of victimisation by other community members. This was common where social dynamics were severe; IAAPs feared that their views might be regarded as controversial. The advantage of this approach is that interviewees were able to reveal even the most sensitive opinions. It is assumed that interviewees were not able to freely express their views in public participation meetings as they did with respect to one-to-one interviews.

### **3.2.3. DATA ANALYSIS**

This study adopted various steps to analyse data. The first step was to present the description of the five PPP cases. This takes place in Section 4.2. A description of each case provides background information about the proposed projects and details of the procedures followed to conduct the PPP. Also, a description of the cases focused on information relevant to the questions of this research study.

The second step was to categorise information into nine aspects of challenges based on the analysis of the five PPP cases. This takes place in Section 4.3. Organising information into the nine aspects of challenges was an initial step towards ordering and analysing the data. Identification of the aspects of the challenges was based on convergence and divergence of information. These nine aspects of the challenges were further classified into five key challenges.

The third step involved the analysis and interpretation of results. This takes place in Chapter 5. In this chapter variables are explored further to demonstrate their impact on the PPP outcome. Demonstration of the impact of the challenges on the PPP outcome is viewed from the perspective of the extent to which challenges were resolved and the appropriateness of the PPP approaches.

The fourth and last step of data analysis involved concluding the report by highlighting the emerging understanding resulting from this study and the recommending of a better PPP approach. This takes place in Chapter 6. Presentation of the emerging understanding generalises about the participation of the vulnerable IAAPs in the PPPs.

The interpretation of results made reference to the literature reviewed in Chapter 2. This was useful to compare the study results with the existing body of knowledge. On the one hand, study results confirmed existing knowledge. For example, it was confirmed that women and youth are the most marginalised groups in rural traditional systems and that oral culture is effective to engage vulnerable IAAPs. On the other hand, this study

identified an information gap with regard to the existing body of knowledge, at least with reference to the literature reviewed for this study. In this respect, this study identified poor project planning, negative past experience and a range of socio-political factors influencing the role of vulnerable IAAPs in the PPPs. A discussion of the study results takes place in chapter 5. Also, to support the analysis and the interpretation of the results, diagrammatic depictions were adopted. Diagrammatic depictions used in Chapter 5 and 6 are original to this research study.

### **3.3. CHALLENGES IN PLANNING RESEARCH METHODS**

Two key challenges were experienced in planning for this study. Firstly, the case study approach overlaps with the qualitative and quantitative methods. This required the researcher of this study to be careful and not to confuse case study method with either qualitative or quantitative methods. This challenge was managed with the guidance of existing literature on case studies. Secondly, the selection of representative samples was challenging. The total population of the PPP cases conducted among the vulnerable IAAPs in KZN is large. While the sample used in this study is reasonable to collect and analyse information, generalisation of study results to the total population lacks confidence. This challenge is not particularly resolved within the scope of this study. This challenge should form part of the debate about the validity of the case study method. However, reliability of the case study method can be improved through the use of multiple cases and a range of steps to collect and analyse data.

### **3.4. CONCLUSION**

Chapter 3 presented the methodological aspects of the case study method. This chapter discussed sampling, data collection and data analysis. The chapter demonstrated the steps followed to select five PPP cases and thirty interviewees. The essence of the case study methods as demonstrated in this chapter is the use of a range of empirical tools to collect and analyse data. The relevance of these tools in this study was discussed. Lastly, this

chapter highlighted challenges experienced regarding the use of the case study methodology.



## CHAPTER 4

### PRESENTATION AND PRELIMINARY ANALYSIS OF CASES

#### 4.1 INTRODUCTION

The purpose of this chapter is to present descriptions and analysis of the five PPP cases. The description of cases is organised to respond to the key questions of this research study. The analysis of the PPP cases takes into account frequency, recurrence, similarities and differences of features across the five PPP cases. The data was grouped into nine aspects of the challenges. This chapter is divided into two main sections:

- i Description of the five PPP cases
- ii Presentation of the nine aspects of the challenges identified through the description of cases.

#### 4.2 THE DESCRIPTION OF CASES

This section presents a synopsis of the five PPP cases. Each synopsis provides information about the proposed project, the PPP procedures and the PPP outcome. The PPP cases analysed in this study are listed in Table 1.

Table 1 Location of the PPP cases analysed in this study

The PPP case	Location
Irrigated Agricultural Project	uMkhanyakude District Municipality
uMzumbe Regional Cemetery	uGu District Municipality
Shemula Citrus Farming	uMkhanyakude District Municipality
P69 Road	uGu District Municipality
Estcourt/Ladysmith Community Access Roads	uThukela District Municipality

## **4.2.1 Irrigated Agricultural Project**

This PPP was conducted on three different occasions over a period of three years. The EA for the Irrigated Agricultural Project took on an unusual pattern of EA process. Normally, the EA for a particular proposed project is a single occurrence conducted over a limited time period. It is usual that each process stretches over unreasonably long period but it is not the norm that a single proposed project requires a number of EAs to be instituted. This unusual situation was caused by three changes of ownership of the proposed project. On each occasion of change of ownership, the new proponent amended certain elements of the proposal. This required the commissioning of a separate EA. The core of the proposed development concept remained the same.

This case study presents the background and context of the proposed project and the reasons for the changes in ownership. Furthermore, procedures followed to conduct the PPP are described. Particular attention is paid to the cultural and socio-political context of the project site and its effect on the PPP. Finally, the outcome of the PPP is presented.

### **4.2.1.1 Description of the Irrigated Agricultural Project**

The Irrigated Agricultural Project entailed the establishment of an irrigated estate for cotton production in Nondabuya, a rural settlement north of Makhathini Flats. Cotton production was not new in the area. Local small-growers were already practising dry land cotton production on small scale basis (Institute of Natural Resources, 2005c). Nondabuya is in northern KZN and is under the administration of Nyawo Traditional Council and Jozini Local Municipality, respectively. This rural area is characterised by high levels of poverty, high levels of illiteracy and high unemployment (Institute of Natural Resources, 2005c; Statistics South Africa, 2001). Nondabuya is also characterised by poor road infrastructure and a lack of communication infrastructure such as telephone lines. Through observation, it was evident that local shops did not sell newspapers. To access newspapers, local people had to travel an average of 45km return

trip to and from the nearest town, Jozini. The land required for this proposed farming was 1 200 hectares and was not occupied by settlements. Local people were using the project site for cattle grazing, subsistence agriculture and the harvesting of natural products.

The companies that in turn proposed the Irrigated Agricultural Project were: firstly Makhathini Cotton Farming (Pty) Ltd (MCF); secondly Nondabuya Community Development Co-operative (NCDC); and lastly a joint venture between the MCF and the Nondabuya Farming Company (NFC). Each time a proposal was made, an application for environmental authorisation followed by EA and the PPP ensued.

In 2002 a proposal for the Irrigated Agricultural Project for cotton production in Nondabuya was made by the MCF. In terms of EA regulations, the proposed activity required environmental authorisation. The MCF commissioned an EAP to undertake EA and subsequently the PPP. The MCF proposal involved creating job opportunities for local people. In addition, there would be the opportunity for local farmers to become shareholders in the business. This opportunity was only going to be realised once loan repayment was completed (Institute of Natural Resources, 2005c). The MCF proposal did not receive government support, in particular the Department of Land Affairs (DLA). This was because the proposal did not involve local farmers in the ownership of the business from the outset. The DLA had plans to support local farmers to buy equity in the enterprise through the Land Redistribution for Agricultural Development (LRAD) programme. Lack of government support meant that without the LRAD grant to local farmers, the MCF alone could not raise the funds required for implementation of the proposed project. This resulted in the MCF withdrawing the proposal in June 2003, before the EA and the PPP were completed. Subsequent to the withdrawal of the proposed project, the EA and the PPP were also withdrawn.

In July 2003, following the withdrawal of the initial project proposed by the MCF, NCDC became the proponent for the same development project. NCDC proposed to provide not only employment but an opportunity for local farmers to participate in business ownership from the outset. The proposed development required environmental

authorisation. To this effect, an EA and the PPP were conducted. NCDC proposal was dependent on loans from the Land Bank and the LRAD grant. Based on poor financial credit records of the local farmers, the Land Bank declined the loan application by NCDC. In 2004, failure to raise finance by NCDC led to their withdrawal of the proposed development plan. This was followed by the withdrawal of the EA and the PPP (Institute of Natural Resources, 2005c). Again, as it had been the case with the first proposal, the second proposal was withdrawn before the EA had been completed.

In 2004 MCF and NCDC formed a joint venture based on 51% and 49% equity respectively to pursue a similar proposed development project (Institute of Natural Resources, 2005c). For the third time an application for environmental authorisation followed by the EA and the PPP was instituted. This time, the proposal had the potential to raise the necessary capital finance. Consequently, this enabled the EA process to take place fully. In 2005 the EA was completed.

#### **4.2.1.2 Public Participation Process for the Irrigated Agricultural Project**

Procedures followed by the EAP to notify IAAPs about the proposed project and the PPP included consultation with local organisations like the Nondabuya Development Committee (NDC) and the traditional council. Formal consultation with IAAPs is a requirement of the EAs to ensure that stakeholders are effectively involved in the PPPs. The same procedures were followed during all three EAs. Although the PPP was advertised in print media, the IAAPs did not see the Isolezwe Newspaper. IAAPs indicated they became aware of the proposed development and public meetings through the NDC. Word of mouth played a significant role as the local people received and passed on information about the proposed project to their neighbours. Public meetings were held to formally engage IAAPs. Delays in the PPP frustrated the IAAPs. They expressed dissatisfaction and accused the EAP of being incompetent and responsible for the delays. Despite this, the IAAPs remained committed to cooperate for the duration of the three occasions that the PPP had taken place.

The newspaper advertisement seemed to have fulfilled the procedural requirement of the EA legislation rather than the purpose of communicating the message to the IAAPs. As it has been indicated earlier local IAAPs did not have access to newspapers. Even if newspapers had been accessible, the high level of illiteracy would have disadvantaged the majority of the IAAPs. Participation in the PPP was largely co-ordinated through interpersonal communication.

The traditional leader of the area, *Inkosi Nyawo* and the local people supported the proposed project. The *Inkosi Nyawo* allocated alternative land for subsistence activities. The fact that the project required 1 200 hectares was not seen as a threat to subsistence agriculture by IAAPs. Instead, the project was seen as a source of jobs and an opportunity to support small-scale cotton producers to progress into commercial farming.

During the PPP, issues raised by local IAAPs were largely based on socio-economics. Local stakeholders expected the proposed project to create jobs and improve local livelihoods. For this reason, local stakeholders were prepared to compromise subsistence agricultural land. There was no evidence of openly displayed social dynamics or conflict of interest among the IAAPs caused by the proposed project. There is also no evidence of environmental or cultural concerns of substance having been raised by local IAAPs during the PPP.

The main challenge experienced during the PPP relates to delays caused by the proponent failing to gain government support or the inability to raise funds. However, this challenge does not seem to have discouraged the IAAPs to cooperate with the PPP. In spite of good cooperation, the pattern of making comments and raising issues for this project was regarded as a challenge to the PPP. Comments and issues raised by IAAPs were biased as they only revolved around socio-economic concerns. The PPP requires the IAAPs to raise issues regarding all aspects of the local environment affected by the proposed development, for example, social issues, economic issues and natural environmental issues. Identification of issues in a narrow manner on the part of the IAAPs is of great concern as this may compromise the quality of the decision making processes. It may be

assumed that the limited role of the IAAPs is attributed to the lack of EA legislation awareness among rural communities.

In 2005, the PPP was successfully completed. A draft Environmental Scoping Report (ESR) was submitted to stakeholders for comment. With the exception of two letters from the *Inkosi* and the NDC acknowledging receipt of ESR, there was no evidence that other IAAPs had submitted comments. A final ESR was submitted to the DAEA for consideration and decision making. After considering the report, the DAEA issued a ROD in favour of the proposed development.

#### **4.2.2 uMzumbe Regional Cemetery**

Evidence shows that in South Africa, particularly in rural KZN, traditional systems are based on autocratic leadership principles (Beall, Mkhize, and Vawda, 2005). Among other things, this gives rise to the exclusion of marginalised groups from decision making, while simultaneously enabling traditional leaders to impose their will. The PPP case for the proposed uMzumbe Regional Cemetery showed that when united, marginalised community groups can successfully challenge the autocratic leadership of the *Inkosi*. This case study presents details of the proposed project, describes procedures followed to conduct the PPP and lastly presents the PPP outcome.

##### **4.2.2.1 Description of the uMzumbe Regional Cemetery**

In 2004, uGu District Municipality (UDM) proposed a regional cemetery development at uMzumbe as part of a spatial planning initiative. The area of uMzumbe is poor and affected by high levels of illiteracy and high unemployment (Statistics South Africa, 2001). The UDM introduced and discussed the proposed development project with the local *Inkosi* Luthuli of Luthuli Traditional Council (LTC) (Bukindalo Consultancy, 2004). The *Inkosi* supported the plan and offered a piece of land for the project. The *Inkosi* claimed ownership of the land and indicated that it was no longer agriculturally

productive. (Bukindalo Consultancy, 2004). The proposed development was intended to provide a formal regional burial site. During construction, the project would provide a limited number of job opportunities to local people.

#### **4.2.2.2 Public Participation Process for the uMzumbe Regional Cemetery**

In terms of the EIA regulations, the development of the regional cemetery required environmental authorisation. The EA was commissioned to fulfil this legal requirement. Subsequent to the commissioning of the EA, the PPP was conducted. The PPP involved notifying the local IAAPs about the proposed development project and providing an opportunity for comment. The EAP notified potential stakeholders through fixing posters in strategic public places such as taxi ranks and local shops instead of using newspaper advertisements. The fixing of posters was complemented with some levels of consultation with stakeholders to explain the posters and to introduce the PPP process. This approach was taken due to poor access to print media in the area. IAAPs were also invited to a public meeting through word of mouth by the local *Induna* (headman). During the public meeting, local IAAPs raised concerns and allegations against the *Inkosi* and requested solutions before they cooperated with the PPP. IAAPs indicated that:

- i They were not satisfied that the *Inkosi* had accepted the proposed project without consultation with community members
- ii *The Inkosi* had allocated land owned by a widow headed households and had demanded resolution to a potential land dispute
- iii They suspected that the *Inkosi* supported the project for personal gain.

IAAPs stated that in previous development projects the construction company owned by the *Inkosi* was awarded contracts to build community facilities such as local schools. IAAPs suspected that the *Inkosi* was using his leadership position to unfairly increase the opportunity to be awarded contracts to construct the regional cemetery. Furthermore, IAAPs were not satisfied that the recent site inspection by surveyors took place without consultation with local community members (Bukindalo Consultancy, 2004). IAAPs

declined to take any further part in the PPP because the land dispute was not resolved. As a result of this, the EA was not completed nor was the ROD issued.

### **4.2.3 Shemula Citrus Farming**

Although South Africa is praised for democratic principles, certain sectors of the society are still oppressed and excluded from participation in significant public affairs. Women and youths are such oppressed sectors of the society (Banda, 2006; Mchakulu and Ezra, 2007). Complex socio-political contexts inhibit participation in the PPP by enfranchised stakeholders. The divergence of values and principles between traditional and democratic systems exacerbated the challenges for the PPP. This case study presents a project description, the PPP procedures and the PPP outcome.

#### **4.2.3.1 Description of the Shemula Citrus Farming**

In 2004 Golden Frontier Citrus (GFC), in partnership with the Independent Development Cooperation (IDC), proposed citrus farming in Shemula area. Shemula is located on the western part of Phongolo River. This rural settlement of Nyawo Traditional Council falls under Jozini Local Municipality and the uMkhanyakude District Municipality. High levels of illiteracy and a high level of unemployment formed part of the social and economic landscape of the area (Statistics South Africa, 2001). The proposed development involved two phases of 500 hectares each and R55 million in capital investments per phase. Five homesteads occupied land in the project site. The remaining part of the land was used by local people for subsistence farming, livestock grazing and the collection of natural products (Institute of Natural Resources, 2005c).

From the outset, the project model involved the participation of local people in business ownership through a Community Trust and a Workers Trust. Further, the enterprise sought to benefit the local community through job creation and various business opportunities. The ownership structure involved the IDC 65%, Workers Trust 12.5%,



Community Trust 12.5% and GFC 10%. In addition, the IDC intended to sell all its shares to the Workers Trust and Community Trust in the future (Institute of Natural Resources, 2005b). Six hundred job opportunities would be created during the establishment of the farm infrastructure and operations. Local Small, Micro and Macro Enterprise (SMMEs) would be contracted to provide the following service to the citrus farm: tractor hiring; irrigation; weed control; pruning; and the picking of fruit (Institute of Natural Resources, 2005b)

#### **4.2.3.2 Public Participation Process for the Shemula Citrus Farming**

The proposed Shemula Citrus Farming required environmental authorisation. To meet this requirement the proponent employed the EAP to undertake the EA including the PPP. The EAP notified the IAAPs about the proposed development and the PPP through word of mouth and consultation with the local *Induna*. In addition, an advertisement was placed in *Isolezwe* Newspaper, traditional leaders made announcements and local people were invited to public participation meetings.

During the process of public participation, different forms of conflict arose among IAAPs. Rivalry occurred between supporters and non-supporters of the project. Non-project supporters became suspicious about the intention of commercial farming. This group of IAAPs expressed that farmers allegedly treated workers inhumanly and murdered them. Furthermore, there were fears of losing residential and subsistence agricultural land through the forced removals usually associated with spatial development. The local people were also concerned that the proponent visited and surveyed the proposed development site without their knowledge or consent. As a result of these perceptions, some IAAPs became reluctant to participate in the PPP. It emerged that local IAAPs were reluctant to participate in the PPP fearing that the authority would interpret this as acceptance of the proposed development project.

According to all interviewees, the Inkosi supported the project and had assured the proponent that he would coerce the community. This led to further animosity. Some

IAAPs stated that the Inkosi had been bribed by the proponent to impose the proposed development project. The conflict resulted in rumours, threatening the lives of *Inkosi and Induna* if they took further part in organising community meetings about the proposed development project. Fearing being drawn into further controversy, the local *Induna* became reluctant to discharge his responsibilities of organising community meetings. The *Inkosi* also began to become less involved in the project. This created a leadership void and the opportunity for a self-imposed leader emerged to fill the gap and take responsibility for organising community meetings. The self-imposed leader was against the proposed development project. With reference to meetings organised by the self-imposed leader, some interviewees indicated that there was no freedom for disagreement.

The participation by the youth of the area in the PPP was hindered by cultural values. The youth held different perceptions from the elderly people about the value of the proposed development project. The youth supported the proposed citrus farming project because it would create jobs and address problems of unemployment in the area. They perceived that commercial farming, rather than subsistence agriculture, was the best use of the available land. The elderly people argued that the local community have always relied on subsistence agriculture. In the minds of the elderly people, the proposed citrus farming threatened local livelihoods. The differences in perceptions resulted in the elderly people suppressing the youth from participating freely in the PPP. During public meetings and interviews, both youth and elderly people demonstrated great awareness of each other's perceived status and roles.

The role of women in public meetings was limited. Observations in public meetings indicated that few women, compared to men, attended the public meetings. Also, the public participation minutes showed that fewer women spoke in public meetings compared to men. It is assumed that the limited role of women in the PPP was associated with the gender based discrimination of traditional patriarchal systems.

The power struggle and social inequalities between and among different groups of the community hindered the PPP. The PPP meeting minutes demonstrate that the EAP were

unsuccessful in negotiating with IAAPs to cooperate with the PPP. The lack of progress with the PPP resulted in the proponent deciding to withdraw the proposed development. The PPP and EA were terminated before they could be completed.

#### **4.2.4 P69 Road**

Unfulfilled past promises by government may affect trust on the part of local communities. The lack of trust could result in local communities becoming despondent about government programmes. The proposed P69 Road is one example demonstrating the legacy of unfulfilled government promises. Although IAAPs cooperated well with the PPP, they clearly indicated a lack of trust of the commitment of government to implement planned development projects. This case study presents: a description of the proposed P69 Road; the context of the social system; the role played by IAAPs; and the PPP outcome.

##### **4.2.4.1 Description of P69 Road**

In 2005, the Department of Transport (DOT) proposed converting a 13km road from gravel to blacktop in KwaNzimakwe Traditional Council (KTC). Blacktop refers to road surfaces constructed from asphalt. KTC was under the leadership of a female *Inkosi*. The investigator of this study was interested to observe the influence of a woman's leadership on social dynamics. The proposal for the road construction followed a request to DOT by the local Rural Road Transport Forum (RRTF). The local RRTF is a community based organisation constituted by community members to identify local needs and prioritise needs for road construction. KTC is a rural area under Hibiscus Coast Local Municipality (HCM) and uGu District Municipality respectively. The proposed project was a linear development. As opposed to a spatial development, linear development takes place in a narrow line. By implication, linear development does not require a large area of land. The P69 Road was proposed on an existing alignment and was not going to require any more land than the area of the existing road. The road passed through sugar cane farms, rural

settlements and community facilities such as schools, shops and a clinic (Bukindalo Consultancy, 2006b).

Although the DOT was the official applicant and the financier of the project, by virtue of having requested the construction of the road, the local RRTF was effectively the applicant. By implication, the local community was not only part of the IAAPs; they were the co-owners of the proposed project. The role of the DOT was to provide the required capital and to maintain the road once it had been constructed. Potential benefits of the proposed project included opportunities for local SMMEs to be contracted for certain aspects of the construction and jobs during road construction. Also, the construction would improve community access to public transport.

#### **4.2.4.2 Public Participation Process for the P69 Road**

The PPP started with an initial meeting between the EAP and KTC to introduce the PPP for the proposed project. This resulted in KTC offering to inform the community about the proposed development and invite the IAAPs to the public participation meeting. Based on poor access to print media, the EAP decided to communicate with the IAAPs through traditional systems rather than print media. This decision was taken on the understanding that, local IAAPs would not have accessed newspapers had the PPP been advertised.

During the public participation, it appeared that although the local IAAPs had concerns about the proposed project, they were not discouraged from cooperating with the PPP. The first concern was that according to the local *Inkosi*, it was not the first time that there had been discussions about the construction of the road. In the early 1990s, government promised to construct the same community access road. This promise was not fulfilled. Local IAAPs did not have faith in government constructing the proposed road (Bukindalo Consultancy, 2006b). Local IAAPs were also concerned that the surveyors and engineers visited and surveyed the site without prior consultation with the local *Inkosi* and people.

The IAAPs felt they were excluded from this particular aspect of planning for the construction of the road. The IAAPs also believed that the proponent should have informed the community about the site visit as part of stakeholder consultation.

In terms of raising issues and commenting about the proposed activity, IAAPs emphasised that:

- i The construction of the road would threaten the safety of school children crossing the road
- ii Road construction would improve access into the area
- iii Employment opportunities should be offered to the locals before non-local people were considered
- iv Local SMMEs should be considered to tender for construction work.

The IAAPs were male dominated. There was no evidence that the leadership of a female *Inkosi* enhanced the participation of local women in public matters. This can be attributed to the fact that, although the *Inkosi* was female, the system remained patriarchal. IAAPs raised concerns without hindering the progress of the PPP. In the EA report the EAP suggested the construction of speed humps and the provision of level crossing road signs to address the concerns about the safety of school children. At the completion of EA, DAEA considered the report and granted the environmental authorisation for the proposed project to be implemented. Although EIA regulations require IAAPs to participate in all stages of the EA process, IAAPs only participated at the initial stages of identification of the issues.

#### **4.2.5 Estcourt / Ladysmith Community Access Roads**

Of the five cases, the PPP for the proposed Estcourt/Ladysmith Community Access Road was the only one taking place under the new EIA regulations were proclaimed in July 2006. This case shows two major challenges facing the PPPs among vulnerable stakeholders. Firstly, this PPP demonstrates that print media in rural areas appears to have

limited effect in communicating messages to stakeholders. Secondly, the case study shows that vulnerable IAAPs tend to support projects with potential to address the socio-economic needs of the local community. In this regard, vulnerable IAAPs focus on benefits rather than on the impact of the proposed development project in its entirety. This case study presents the description of the project, the PPP procedures and lastly the PPP outcome.

#### **4.2.5.1 Description of the Estcourt / Ladysmith Community Access Roads**

In 2006 the DOT, in association with the local RRTF, proposed construction of seventeen community access roads in the rural KZN areas of Estcourt, Bergville and Ladysmith. This region covers five local municipalities. They include uMtshezi, oKhahlamba, Ladysmith/uMnambithi, iNdaka, and iMbabazane Local Municipality. All of these municipalities fall under uThukela District Municipality. A single EA was commissioned to assess all of the proposed seventeen community access roads.

The focus of this project was to provide access roads in remote rural areas. Thirteen of the proposed roads were existing tracks of badly maintained gravel roads. The remaining four roads were either footpaths or tracks accessible by four-wheel drive vehicle only. The proposed roads passed through fields, grazing land and in a few areas natural vegetation.

Officially, the DOT was regarded as a proponent. However, the RRTF had initially requested the construction of the seventeen roads on behalf of the community. In essence, there was an indirect partnership between the DOT and the RRTF. The proposal included benefits such as jobs and construction opportunities for the local people and SMMEs. Site visits and surveying of the roads took place with involvement of the RRTF and some members of the local communities.

#### **4.2.5.2 Public Participation Process for the Estcourt / Ladysmith Community Access Roads**

The EAP used the print media to inform the IAAPs about the proposed project. Notices about public participation were published in the Estcourt Midlands News and the Ladysmith Gazette. In addition, the EAP approached the RRTF and the Ward councillors to inform the local community about the proposed project. In accordance with the new environmental legislation, the EAP distributed letters notifying landowners and residents located within 100 meters of the project site. Two hundred and fifty letters were distributed to households along the seventeen proposed community access roads. In addition, a poster giving notice to IAAPs was fixed on each of the seventeen roads (Institute of Natural Resources, 2007). During the distribution of the letters, the EAP verbally presented to local IAAPs detailed information of the proposal and the procedures for raising comments. In response IAAPs commented that:

- i The proposed project would create jobs and provide easy access
- ii In the past, the government had promised to construct some of the proposed seventeen community access roads; but these were never fulfilled
- iii The current conditions made it difficult to access public transport and services and that construction of the community access roads would improve this situation
- iv That some roads might affect graves in certain areas.

IAAPs also indicated that elderly and sick people were transported in wheel-barrows to public services such as clinics and government grant pension-pay-out-points. The local people thought that construction of roads would improve this situation and further attract other services such as electricity and telephone infrastructure. In addition to these issues and comments, four IAAPs made written submissions indicating that communities needed and accepted the proposed community access roads (Institute of Natural Resources, 2007). It must be noted that only four IAAPs submitted written comments in response to the 250 letters distributed to the IAAPs. In spite of the effort to place notices in the Estcourt Midlands News and the Ladysmith Gazette, during the interviews IAAPs indicated that they did not access these newspapers. This could be attributed to the fact

that the project sites were located some distance from the urban centres. Remoteness of the area made it difficult for these communities to access print media. Interviewees indicated that the RRTF and Ward councillors orally informed the local community about the proposed development. In the first quarter of 2007, the EAP completed the PPP. Subsequently, an EA report was submitted to the DAEA for consideration. The DAEA considered the report and decided to issue an ROD enabling the DOT to construct ten roads. The DAEA did not issue environmental authorisation for the remaining seven roads, due to negative impact to the natural environment associated with these roads.

### **4.3 ASPECTS OF CHALLENGES MANIFESTED IN THE FIVE CASES**

Section 4.2 presented an overview of individual cases in isolation to one another. In reality, these cases are unique in some respects and common in others. To understand the relationship between these cases, it is important to identify unique and common features of these PPPs. To highlight uniqueness and commonality of the cases, this section identifies and presents nine aspects of challenges featured in all five PPP cases. The presentation of aspects of the challenges further highlights the nature of challenges affecting the participation of vulnerable IAAPs in the PPPs. This section also focuses on appropriateness of the approaches adopted to conduct the PPPs. In-depth discussion of challenges and approaches of the PPP takes place in Chapter 5. The nine aspects of challenges discussed in this section are:

- i. Origin and ownership of the proposed development projects
- ii. Size of land required and its current use
- iii. Prospects for benefits offered by the proposed project
- iv. Communication modes used to consult IAAPs
- v. Level of cooperation by IAAPs
- vi. The role of IAAPs in public participation
- vii. Local experience in relation to the proposed development
- viii. Imbalanced power relations among IAAPs
- ix. Outcome of the PPP.



#### **4.3.1 Origin and ownership of the Proposed Development Projects**

The origin and ownership of the five proposed projects analysed in this study varied. Three ownership models can be identified in association with project conceptualisation. These are project ownership by an external entrepreneur, a local entrepreneur or a joint venture between the two. The Shemula Citrus Farming and uMzumbe Regional Cemetery presented an external party ownership model. These two projects were initiated by external parties, GFC and UDM respectively (Institute of Natural Resources, 2005a, Bukindalo Consultancy, 2004). Although these projects would assist address socio-economic and cultural situations, they were not primarily initiated in response to local needs. On the one hand, the Shemula Citrus Farming was primarily conceptualised as a commercial initiative to advance the business interests of GFC and its partners. On the other hand, the proposed cemetery development was initiated as part of a municipal spatial planning initiative to service the region rather than a specific locality. It is assumed that because these projects were initiated externally, local parties had no opportunity to participate in project conceptualisation and develop sense of ownership.

The P69 Road and the Estcourt/Ladysmith Community Access Roads presented a local party ownership model. These projects were initiated from within the local communities by local RRTFs (Bukindalo Consultancy, 2006b; Institute of Natural Resources, 2007). Although in both cases, the DOT became the official project applicant and the financier, the projects were based on local needs. In addition, it is assumed that during project conceptualisation, local parties developed a sense of ownership.

The Irrigated Agricultural Project represented a joint-venture ownership model. While this is true of the final version of the business model for this project, initial plans did not involve local parties as co-owners. Based on the final version of the business plan, local and external parties negotiated joint ownership of the proposed project.

The assumption is made that inclusion or exclusion of local parties in project conceptualisation is the basis for a sense of project ownership, or lack thereof. The sense

of project ownership, or lack thereof, may influence particular patterns in attitudes and IAAP behaviour during the PPPs.

#### **4.3.2 Required Land Size and Current Use of the Proposed Sites**

The size of land required for the proposed development potentially affects the current land use. Required land is viewed from two perspectives, spatial and linear development. On the one hand, spatial development is associated with large portions of land. The Irrigated Agricultural Project and Shemula Citrus Farming are examples of spatial development. The Irrigated Agricultural Project and the Shemula Citrus Farming project required 1 000 and 1 200 hectares respectively. On the other hand, linear development refers to projects requiring a narrow stretch of land. The P69 and Estcourt/Ladysmith Community Access Roads are regarded as linear developments.

Proposed development projects are also viewed from the perspective of the effect they will have on current land use. Current land use by the local communities varied from residential settlements, subsistence agriculture and livestock grazing to the harvesting of natural products. Sites for uMzumbe Regional Cemetery, Shemula Citrus Farming and Irrigated Agricultural Project were mainly used for subsistence crop production, communal grazing and the harvesting of natural resources (Bukindalo Consultancy, 2004; Institute of Natural Resources, 2005b; Institute of Natural Resources, 2005c). The Shemula Citrus Farming site was the only one with residential settlements. In cases such as the P69 Road and Estcourt/Ladysmith Community Access Roads land was already used for the same purpose as the proposed development project.

It is evident that the extent of land required for proposed development projects, and the effect this development may have on the current land use, influenced the perceptions and behaviour of the IAAPs in the PPPs. However, this depended on two other factors, the value of the proposed development in comparison to the value of the current land use as well as the possibility of compensation. For example, in Shemula Citrus Farming, IAAPs

valued the current land use while in the Irrigated Agricultural Project importance was put on the value of the proposed development project. The IAAPs regarded that the P69 Road and Estcourt/Ladysmith Community Access Roads were of more value to the local community than the current land use. The IAAPs cooperated well with these proposed development projects. Most elderly IAAPs for the Shemula Citrust Farming perceived that the current land use had more value than the proposed development project. As a result, there was poor cooperation with the PPP. In the case of the Irrigated Agricultural Project, two factors were prominent. Firstly, the IAAPs perceived that the proposed development project was of higher value than the current land use. Secondly, the NTC provided alternate land in the event that the project took place (Institute of Natural Resources, 2005c). The identification of alternate land would compensate for possible loss of opportunities. Both these factors might have led to good cooperation by the IAAPs.

### **4.3.3 Prospects for Benefits Associated with the Proposed Projects**

Opportunities for community benefits associated with the proposed development projects, included jobs, participation in business ownership and improved community services. Section 4.3.1 has already presented details related to project ownership models. This section will focus on jobs and service delivery.

#### **4.3.3.1 Jobs**

All five proposed development projects had prospects for creating job opportunities. The number and permanency of jobs varied between projects. Shemula Citrus Farming and Irrigated Agricultural Project, had prospects for more jobs on a long-term basis. uMzumbe Regional Cemetery, P69 Road and Estcourt/Ladysmith Community Access Roads had prospects for fewer jobs on a short-term basis. As has been the case with land related issues, the assumption is that the IAAPs assessed job opportunities to determine the value of the proposed development project.

#### **4.3.3.2 Service Delivery**

The uMzumbe Regional Cemetery, P69 Road and Estcourt/Ladysmith Community Access Roads were associated with service delivery to local communities. One interviewee indicated that poor road conditions hindered easy access to public transport, health care services and government grant pay-out-points (Personal communication, March 1, 2007). These projects had been planned for public benefit as opposed to profit making. Improving access between remote communities and the centres of public service, and the provision of burial sites, are regarded as direct service delivery. In addition, these projects had the potential to stimulate the delivery of further services to the local people. Another interviewee hoped that construction of the roads would attract further public services such as water, electricity and telephone infrastructure (Personal communication, March 1, 2007). The Irrigated Agricultural Project and Shemula Citrus Farming had indirect potential to improve service delivery through infrastructural development for water and electricity supply. However, these projects were primarily initiated for profit making rather than for service delivery.

#### **4.3.4 Modes of Communication Used to Consult Stakeholders**

Modes of communication are critical at two stages of the PPPs. The first stage is concerned with giving notice to potential IAAPs of the proposed development in general and about the PPPs in particular. The second stage of importance is the coordination of input and comments from the IAAPs. The appropriateness of the mode of communication in a particular context may facilitate or hinder participation of the IAAPs.

Approaches used to inform IAAPs about proposed development projects and the intention to conduct the PPPs include using word of mouth and the written word, that is notices put in public places. Word of mouth relied on interpersonal communication with local leaders such as *Amakhosi* and *Izinduna*. This led to consultation with the community at large.

The written word relied on the use of newspaper advertisements, posters and letters to the IAAPs.

Word of mouth was adopted for uMzumbe Regional Cemetery and P69 Roads. The word of mouth and print media were adopted for the Irrigated Agricultural Project and the Shemula Citrus Project. Advertisements were placed in *Isolezwe* newspaper. For the Estcourt/ Ladysmith Community Access Roads, advertisements were placed in the Estcourt and Midlands News and the Ladysmith Gazette. This was followed by the fixing of posters and the distribution of notices to landowners and residents adjacent the proposed sites. (Bukindalo Consultancy, 2004; Bukindalo Consultancy, 2006a Institute of Natural Resources, 2005a; Institute of Natural Resources, 2005b).

Analysis of the public participation meeting minutes and the EA reports showed that, largely IAAPs participated in the PPPs through interpersonal communication. There was limited use of literate modes the IAAPs. Only two letters were recorded for the Irrigated Agricultural Project and four letters for the Estcourt/Ladysmith Community Access Roads. No written submissions from IAAPs were recorded for the Shemula Citrus Farming, P69 Road or the uMzumbe Regional Cemetery. The limited use of the written word to comment on the proposed development projects corresponds with the limited effect of print media to communicate with the IAAPs. Most interviewees indicated they did not see the newspapers in which advertisements had been placed. Table 2 below shows the percentage of interviewees who had seen the advertisements where these had been adopted.

**Table 2 Reporting on the number of IAAPs who accessed news papers**

The five PPP cases analysed	News papers used to notify IAAPs	Number of interviewees per PPP case	Percentage of interviewees who accessed the news papers
Irrigated Agricultural Project	Isolezwe Newspaper	6	16.7%
Shemula Citrus Farming	Isolezwe Newspapers	6	33%
Estcourt /Ladysmith Community Access Roads	Estcourt and Midlands News, Ladysmith Gazette	6	0%

#### **4.3.5 Levels of Cooperation by Interested and Affected Parties**

Stakeholder cooperation is essential for conducting the PPPs. Cooperation is assessed in terms of IAAPs willingness to participate in the PPP. Attendance of the PPP meetings and a positive reaction by the IAAPs is for this purpose seen as an indication of willingness to cooperate. Good cooperation and a positive response support the management of the PPP. In the case of poor stakeholder cooperation, management of the PPP becomes difficult. It is assumed that stakeholder cooperation or lack thereof is a manifestation of stakeholder attitudes, resulting from a range of challenges. The level of stakeholder co-operation has direct bearing on the PPP outcome.

Stakeholder cooperation for the Irrigated Agricultural Project, P69 Road and Estcourt/Ladysmith Community Access Roads was satisfactory. Stakeholder cooperation during the PPP for these three projects contributed to successfully completed PPPs. Stakeholder cooperation for the uMzumbe Regional Cemetery and the Shemula Citrus Farming was not satisfactory. Poor stakeholder cooperation for these two projects contributed to uncompleted PPPs.

#### **4.3.6 The Nature of Participation by the Vulnerable Interested and Affected Parties**

The pattern and type of issues identified showed that the IAAPs either had limited understanding of their roles or that they conveniently manipulated the PPP. The PPPs require IAAPs to honestly identify negative and or positive impacts pertaining to the social, economic and environmental issues. In all five PPP cases, IAAPs appear to have focused on positive issues of a socio-economic nature and ignored the negative aspects and impacts to the natural environment. Failure to focus on the impact of the development on the natural environment might suggest a limited awareness of the IAAPs regarding their roles in the PPP. It also emerged that the IAAPs viewed impact as positive or negative depending on whether or not the IAAPs supported the proposed

development. The behaviour of the IAAPs demonstrating their support or rejection of the proposed development project affected their ability to honestly identify issues and concerns.

The IAAPs showed signs of a lack of clarity regarding their responsibilities in the PPPs. While, their responsibility is to contribute towards the decision making, in a number of cases, the IAAPs assumed the role of making decisions. In terms of EA procedures, the role of making decisions is a prerogative of the relevant government authorities. The IAAPs from the Estcourt/Ladysmith Community Access Road indicated that the community had extensively deliberated and unanimously decided that the road should be constructed (Personal communication, March 18, 2007). Also, IAAPs for the Shemula Citrus Framing indicated that the community had decided not to accept the proposed development project. In both these cases, IAAPs assumed decision making positions.

Evidence showed that on occasion the IAAPs manipulated the PPPs. Stakeholder cooperation was associated with the proposed projects favoured by the IAAPs. However, poor stakeholder cooperation was associated with unfavourable proposed projects. In the case of the Shemula Citrus Project, a stakeholder group that did not support the proposed project made it difficult for other IAAPs to participate in the PPP. However, in other cases, individual IAAPs supporting the proposed project suppressed the identification of negative impacts by other IAAPs. This was experienced during the PPP for the Estcourt/Ladysmith Community Access Roads. During the public meeting, the investigator of this study observed a woman being interrupted and ordered to sit down before she had finish making comments. This woman was concerned that the road construction might affect field in which crops are grown and wanted to know if they would be compensated for the lost portion of land. A male participant stood and indicated that the community had unanimously agreed that they wanted the road. The male participant added that demands for compensation might send a message to the government that the community did not want the road.

#### 4.3.7 Local Experience in Relation to the Proposed Development Projects

IAAPs displayed particular patterns of responses towards the proposed development projects based on past experience. IAAPs used past experience as a frame of reference to assess proposed development projects. Past experience was based on: unfulfilled promises; the nature of proposed projects; and in some instances the known history or reputation of the proponent. It included the events of the remote and the immediate past.

IAAPs for the P69 Road and the Estcourt/Ladysmith Community Access Roads indicated that discussions about road construction were not new. An interviewee indicated that one of the seventeen community access roads, the Watershed Road, had been planned in the 1960s. This interviewee showed the investigator of this study the planned road site (see Figure 1). The road was never built (Personal communication, March 1, 2007). Also, in the past two decades, the DOT promised to construct the P69 Road, but the promise was not fulfilled (Personal communication, January 16, 2006). *Inkosi* Nzimakwe did not have faith that the road would be constructed even in the case of environmental authorisation being granted (Personal communication, January 16, 2006).



**Figure 1:** Interviewee showing the Watershed Road Planned in the 1960s

IAAPs for the Shemula Citrus Farming identified two concerns with regard to commercial farming. Some IAAPs raised concerns that farmers treated farm workers inhumanly. The reputation and intentions of GFC were questioned. One IAAP indicated



that GFC did not have a good reputation regarding the treatment of farm workers on existing sugarcane and citrus farms in Komatipoort, Mpumalanga Province (Institute of Natural Resources, 2005 a). Another concern raised in association with the Shemula Citrus Farming was the possible forced removal and loss of 1 000 hectares of arable land to make way for citrus farming. IAAPs indicated that spatial development plans had a history of forced removals (Institute of Natural Resources, 2005a).

The experiences of the immediate past were raised in two projects, the Shemula Citrus Farming and P69 Road. In both cases IAAPs were concerned that site surveys had taken place without prior consultation with local communities. In the Shemula Citrus Farming, IAAPs raised fears that in the past, site surveying and fixing of pegs were often followed by forced removals and the loss of agricultural land. One interviewee indicated that “We saw people fixing pegs and marking trees with paint without our permission. We suspect they have come to take our land” (Personal communication, April 07, 2006).

#### **4.3.8 Imbalanced Power Relations Among Interested and Affected Parties**

Imbalanced power relations have the potential to hinder participation by IAAPs in the PPPs. All five projects showed various levels of imbalanced power relations. It was found that imbalanced power relations existed between and among community members and leaders. Imbalanced power relations were as a result of perceived differences on the basis of social status, economic status, gender and age.

Examples of imbalanced power relations between the proponent and the community were identified in the Shemula Citrus Farming PPP. On the one hand, it is assumed that the proponent approached the community from a position of economic power and technical farming expertise. On the other hand, it is assumed that the community engaged the proponent from the basis of the intrinsic value of the land. In this particular case, the members of the community perceived that undeveloped land was of significant value than the benefits of citrus farming. Community members indicated that subsistence crop

production and cattle grazing took place on the same land proposed for citrus production (Institute of Natural Resources, 2005a).

In the Shemula Citrus Farming and uMzumbi Regional Cemetery, dynamics based on social status were displayed between traditional leaders and ordinary community members. The IAAPs, suspected that *Inkosi* Nyawo and *Inkosi* Luthuli respectively used their leadership power to impose the proposed projects in order to advance their personal interests (Bukindalo Consultancy, 2004; Institute of Natural Resources, 2005a).

It was observed that levels of social inequality existed between male and female participants. In public meetings for the Estcourt /Ladysmith Community Access Roads, the researcher of this study observed that men spoke more than women. In one public meeting, a woman participant broke the silence that had been in place for some time. In a loud voice this women directed a question to men sitting on the opposite side, “*Athule athini amadoda!*” (‘What are men keeping quiet for?’). The implication of this question was that by then someone, preferably a male person, should have expressed an opinion on behalf of the community. After this gesture, more men started to participate and to raise issues concerning the community. However, women remained passive as men dominated the proceedings. The use of social space further entrenched gender inequalities. Men and women sat opposite each other in meetings. Figure 2 demonstrates the seating arrangements in two separate public meetings.



**Figure 2:** Separation of Men and Women

Another level of dynamics was observed among ordinary members of the community. There were indications that in some instances, such as in the case of Shemula Citrus Farming, IAAPs lacked the confidence to express their views freely. An interviewee indicated that community members were not confident to raise controversial opinions in public meetings for fear of causing conflict within the community (Personal communication, March 16, 2006). Lastly, dynamics occurring between the youth and elderly people were identified. In the Shemula area, youth supported the proposed development because it had prospects for jobs and economic benefits. One youth argued that subsistence farming was declining and that commercial farming was a better option for the future (Personal communication, March 15, 2006). An elderly interviewee, on the other hand, argued that loss of arable land was going to be fatal for subsistence agriculture and in turn compromise local livelihood (Personal communication, March 15, 2007).

#### **4.3.9 Outcomes of Public Participation Process**

All the aspects of the challenges presented in Section 4.3 demonstrate that the success of the PPP is dependent on complex socio-cultural, political perceptions and realities. These perceptions and realities pose severe challenges to the PPPs. The extent to which the challenges are resolvable is the key determinant of the PPP outcome. Approaches adopted to conduct the PPP also affect its outcome.

The PPP outcome varied from one case to another. In some PPPs, the challenges experienced by EAPs were severe and could not be resolved. These challenges made it difficult for EAPs to complete the PPPs successfully. The Shemula Citrus Farming and the uMzumbe Regional Cemetery were not completed because challenges could not be resolved. In other PPPs, challenges were resolvable. As a result of this, the PPPs for the Irrigated Agricultural Project, P69 Road and Estcourt/Ladysmith Community Access Roads were successfully completed.

It must be emphasised that the resolvability or non-resolvability of the challenges is not a simple matter. It depends on a combination of factors. They include the idea that:

- i Some challenges are based on perceptions of IAAPs while others are real.
- ii In some cases IAAPs lacked understanding of environmental procedures, while in others, they manipulated the PPPs.
- iii Some challenges emanate from inappropriate PPP procedures while others are manifestations of severe socio-political and cultural dynamics.

In brief, the effects of challenges and approaches on the PPP outcome are case specific and need to be understood in their particular context.

#### **4.4 CONCLUSIONS**

This chapter presented the description of the five cases investigated as part of this research study. This was followed by the presentation of classification of key features of the cases into nine aspects of challenges, representing the attitudes and patterns of IAAP responses to the PPPs. The aspects of challenges suggest that IAAP responses were influenced by a range of complex factors. These factors are related to the nature of proposed projects, procedures followed to conduct the PPPs and the socio-political context of project sites. This chapter also showed that while there were unique circumstances, to an extent IAAP responses were common across the five proposed projects. Furthermore, this chapter showed that the PPP outcome is dependent on the complexity and extent of the challenges as well as the appropriateness of the adopted PPP approaches.

## **CHAPTER 5**

### **ANALYSIS AND INTERPRETATION OF RESULTS**

#### **5.1 INTRODUCTION**

The purpose of this chapter is to analyse and interpret study results. The analysis of study results addresses the objectives of this study presented in Chapter 1. In addition, data analysis will reflect on the literature reviewed in Chapter 2.

This chapter is divided into the following four sections:

- i The first section identifies and summarises key PPP challenges
- ii The second section demonstrates the influence of the key challenges on the role of the vulnerable IAAPs. This section also reviews the extent to which the PPP challenges were resolved
- iii The third section analyses the appropriateness of the PPP approaches
- iv The fourth section analyses the combined impact of the challenges and the appropriateness of the PPP approaches on the process and the PPP outcome.

These four sections are associated with the first four objectives of this study. The fifth objective, to suggest better approaches to improve the management of the PPPs, is discussed in Chapter 6. Analysis of the study results of the PPP cases is largely presented in text format. As it was suggested in Chapter 3, diagrammatical depictions were designed to complement the text.

#### **5.2 KEY PUBLIC PARTICIPATION CHALLENGES**

In this research study the notion of ‘challenges’ refers to factors that either made it difficult or impossible to initiate and manage the PPPs. A range of challenges emanating from different sources were experienced in all five PPP cases. Challenges emanated from the external or the internal environments associated with the PPPs. On the one hand, the

internal environment includes factors associated with the EA legislation and the tools for conducting the PPPs. On the other hand, the external environmental factors include social, cultural and political factors characterising project sites. Discussions on challenges will demonstrate that the EAPs are better able to manage internal challenges than external environmental factors.

This section identifies and classifies key challenges experienced during the initiation and management of the PPPs. In this section the nature and impact of the challenges are not discussed in details. This takes place in Section 5.3 and Section 5.5 respectively. Based on the nine aspects of challenges presented and discussed in Section 4.3, this section classifies these features into five key challenges. Each key challenge may incorporate one or more of the nine aspects of challenges presented in Section 4.3.

It must be noted that the PPP takes place within a context surrounded by internal and external settings. The internal setting refers to internal factors influencing planning and designing the PPP approaches, such as the EA legislation guideline and modes of communication. The EAPs are in better position to manipulate the internal environment to achieve the desired PPP approach. The external setting to the PPP refers to factors beyond the scope the PPP such as socio-economic and cultural factors. These factors also have influence on the PPPs. The EAPs do not have full control of the external environmental factors to the PPPs. Factors associated with the planning of the proposed development projects are not fully internal to the PPPs as only the proponent is responsible for this process. However, the EAPs may have input by advising the proponents in dealing with certain aspects of the EAs.

The five key challenges are:

- i **A lack of EA legislation awareness** among the vulnerable IAAPs. This challenge is associated with high levels of illiteracy, a lack of access to government policies and a lack of social empowerment programmes to create EA legislation awareness. The EA legislation awareness is inherent to the EA and the PPP.

- ii **Imbalanced power relations** among IAAPs. This is embedded in the cultural, social and political context of the project site. A degree of power struggle between: the power-holders and the powerless; and among the powerless took place in various PPPs as a result of imbalanced power relations. A power relation is external and exists independently but is influential to the PPP.
- iii **Negative past experience** of IAAPs. This challenge is associated with: unfulfilled past promises by government and developers; the nature of proposed projects; the reputation of the proponents; and the manner in which certain project planning activities are carried out, such as surveying. Depending on the nature of particular cases, past experiences pose both internal and external factors to the PPP.
- iv **Threat to environmental autonomy**. This challenge is associated with the size of land required for development and the possibility of finding alternative land for use by the local people. Environmental autonomy is external to the PPP, but closely related to the nature of proposed development projects. In some cases, the extent of the impact of proposed development projects can be exaggerated or understated based on stakeholder perceptions.
- v **The state of project readiness**. This challenge is associated with project planning processes that need to be finalised before an application for environmental authorisation is made. The state of project readiness is an external factor to the PPP.

The influence of these challenges is discussed in details in Section 5.3.

### **5.3 INFLUENCES OF CHALLENGES ON THE ROLE OF INTERESTED AND AFFECTED PARTIES**

The challenges influence the role of IAAPs in the PPP to varying degrees. This section analyses the five key challenges and demonstrates how these influence the role of IAAPs in the PPPs. Discussion makes reference to the extent to which the challenges were

resolvable. Further analysis demonstrating the impact of challenges on the PPP takes place in Section 5.5.

### **5.3.1 Lack of Environmental Legislation Awareness among Vulnerable Stakeholders**

A lack of awareness regarding environmental legislation is one of the challenges limiting the participation of the vulnerable IAAPs in the PPPs. Beierle (1998) stated that the general public lack basic knowledge about many environmental issues and policies. Among the vulnerable IAAPs, a lack of awareness regarding environmental legislation is associated with a high level of illiteracy in general and poor access to information and government policies in particular. The combination of these factors prevents the vulnerable IAAPs from accessing and understanding government policies and as a result it becomes difficult for the vulnerable IAAPs to clearly understand their roles in the PPPs. Despite various factors preventing vulnerable IAAPs from becoming aware of environmental policies, some government authorities maintain that all stakeholders are provided with the opportunity to participate in decision making. This view suggests that poor participation results from stakeholder apathy. However, Midgely (1986a) argues that blaming the lack of awareness among vulnerable groups is being too simplistic. This author is also critical of authorities who maintaining that vulnerable groups are often passive. According to Midgely (1986a) this view shifts ineffective participation to vulnerable IAAPs instead of blaming government for the lack of social empowerment programmes. To put this into perspective, the real problem is not a lack of awareness and high illiteracy, but government's failure to institute social empowerment programmes.

Social empowerment has been identified as a key factor in terms of facilitating the participation of vulnerable groups. Arnstein (1969) and Moyo and Graig (1995) agree that empowerment gives knowledge and power to the powerless and enables them to participate effectively. In the five PPP cases there was no evidence of empowerment programmes to help IAAPs to understand and engage effectively with the PPPs. This lack



of empowerment neither redresses the pessimism held by some regarding public participation, nor does it help to improve the participation of the vulnerable. Servaes and Arnstein (1999) and Beierle (1998) doubt whether public participation really seeks to involve all stakeholders in decision making or justify particular preconceived decisions.

The presentation of cases in Section 4.2 identified high illiteracy levels as common feature among the vulnerable IAAPs. In all five PPP cases, IAAPs displayed little knowledge of EA legislation and lacked a clear understanding of their roles. This resulted in IAAPs making biased input in the PPPs. Comments made by IAAPs were largely about socio-economic benefits with little or no reference to natural environmental impact. While it might be easy to focus on socio-economic factors due to immediate needs, it is still very important for the IAAPs to identify impact on natural environment. Impact on the grazing area, crop land and communal areas for harvesting natural products also affect local people's lives directly. Examples demonstrating the lack of environmental awareness among vulnerable IAAPs were specifically observed in two PPP cases. IAAPs in the Shemula Citrus Farming and Estcourt/Ladysmith Community Access Roads assumed a decision making role as opposed to contributing towards decision making. The IAAPs perceived that they were involved in the PPPs to make final decisions about the proposed development projects. The reality is that the PPP is not a platform for the IAAPs to reject or accept proposed development projects, but to provide input towards decision making based on the identified impact. Decision making power remains the prerogative of the relevant government authority, in this case the DAEA.

Misperceptions about the decision making responsibility might be caused by the nature of the PPPs involving the collection of information from local areas, but making decisions at government offices. Two points needs to be made about this. Firstly, the rural traditional systems involve decision making at a local level. Thorp (1997) demonstrated that in the context of rural traditional systems, issues are deliberated and decisions are made at the court of the *Induna* or *Inkosi*. The decision making process involving the collection of information from local areas, but the making of decisions elsewhere, is not familiar to

vulnerable IAAPs. Related to this, the second point is that local people might easily suspect the authenticity of decisions made outside the local area.

The lack of awareness regarding environmental legislation and procedures has serious implications for the participation of vulnerable IAAPs in the PPPs. Evidence obtained during the literature review and data gathering indicates that the vulnerable IAAPs are unable to participate effectively without understanding their roles and responsibilities. Consequently, participation by vulnerable IAAPs in the PPP is often ineffective.

There is no doubt that the lack of awareness regarding environmental procedures limits the ability of stakeholders to participate effectively in the PPP. The pattern of participation and the nature of issues and concerns identified, showed that the IAAPs in all five PPP cases lacked clarity regarding their roles. While the EAPs are required to introduce EA legislation and procedures for participation, this is not sufficient to empower the vulnerable IAAPs. The lack of awareness regarding environmental policies is not a challenge that could sufficiently be resolved within the context of the PPP cases. A separate social empowerment programme is required to address this challenge.

### **5.3.2 Imbalanced Power Relations Among Interested and Affected Parties**

Social systems influence the PPPs greatly. Imbalanced power relations, an autocratic leadership style and social inequalities are factors that significantly affected participation by the IAAPs in all five PPP cases. These challenges were often experienced largely during the management of the PPP. Imbalanced power relations appeared to be entrenched in patriarchal rural traditional systems; it defined the roles of its members on the basis of social status, age or gender. Socially defined roles have implications for the participation of the vulnerable IAAPs in the PPPs.

Chapter 2 demonstrated that imbalanced power relations occur between groups. A different view is that imbalance power relations can also take place within groups.

Arnstein (1969), Midgely (1986a) and Moyo and Graig (1995) argue that imbalanced power relations exist between the 'power-holders' and the 'power-less'. Castil (1993) maintains that the power struggle may also occur within the 'power-holders' and the 'power-less' respectively. Furthermore, Mchakulu and Ezra (2007), Banda (2006) and Walsh (1994) argue that in African culture, youth and women are discriminated against regarding participation in decision making on matters of public interest. They agreed that this phenomenon mostly affects rural people. All these forms of imbalanced power relations affected the PPP cases analysed in this study in varying degrees.

Imbalanced power relations occurred between: traditional leaders and the ordinary community members; and among community members. In Shemula Citrus Farming and uMzumbe Regional Cemetery, IAAPs suspected that the *Amakhosi* were abusing their positions and imposing their will for personal gain. Abuse of power by power-holders often weakens the position of the ordinary community members. Furthermore, the Shemula Citrus Farming demonstrated a power struggle among ordinary community members. Some IAAPs indicated that they lacked the confidence to freely raise opinions for fear of contradicting opinions of other community members. Other IAAPs wanted all other stakeholders to accept their views regarding the proposed development projects.

In all the five PPP cases, rural traditional values affected participation by women and the youth. Evidence of this was extensive in the Shemula Citrus Farming and Estcourt/Ladysmith Community Access Roads cases. The Shemula Citrus Farming case showed an example of elders discriminating against youth participation. Also, in a number of instances, social inequalities hindered the participation of women. During public participation meetings, it was observed that women and men sat on opposite sides. Although, the effects of seating arrangements may not have been fully determined in this study, it is sufficient to indicate that this had some influence on the participation by the women. Anecdotal explanation suggests that the use of social space forms part of patriarchal system, reaffirming male domination and women's subservience. Consequently, men tended to make more contributions in public meetings than women.

Different forms of imbalanced power relations imply that some individuals or groups in society have an advantage over others regarding their participation in the PPPs. Fear, intimidation and a lack of confidence are some of the consequences of social inequalities. Furthermore, imbalanced power relations may compromise the key fundamental principle of the PPPs, which is to provide equal opportunity to all IAAPs to participate effectively. The challenge of imbalanced power relations was not resolvable as this would require efforts beyond the scope of the PPPs. In Section 6.4 suggestions to manage imbalance power relations and ensure effective participation of all IAAPs are made. The effects of this challenge varied from one PPP to another depending on the occurrence of other challenges. For example, in the Estcourt/Ladysmith Community Access Roads, social inequalities between men and women were prevalent; however, this challenge alone did not hinder the entire PPP. Sections 4.2.2 and 4.2.3 demonstrated that the cases of uMzambe Regional Cemetery and the Shemula Citrus Farming imbalanced power relations were exacerbated by a range of other complex issues.

### **5.3.3 Negative Past Experience**

Past experience affects the attitudes of IAAPs to the PPP. This includes the experiences of the remote and the immediate pasts. It also includes unfulfilled past promises and local experience of specific types of proposed development projects. Beierle (1998), Arnstein (1969) and Midgely (1986a) note that based on negative past experience, various local communities become suspicious of government programmes. In three of the five PPP cases, past experience significantly affected the PPPs.

The experience of remote past was associated with unfulfilled promises. In the case of P69 Road and Estcourt/ Ladysmith Community Access Road PPPs, IAAPs indicated that in the past government had promised to construct roads. This promise was never fulfilled. The experience of immediate past was associated with planning and surveying activities taking place in the P69 Road and the Shemula Citrus Farming PPP cases. The lack of consultation with respect to site visits caused suspicions and unhappiness. In the case of

the Estcourt/Ladysmith Community Access Roads, site visits by surveyors involved local stakeholders. As a result, no animosity occurred between the proponent and the IAAPs. In most cases, the challenge posed by past experiences was not significant enough to hinder the PPPs. In contrast, it is concluded that the challenge of past experience in Shemula Citrus Farming contributed to the factors that eventually made it impossible to complete the PPP.

Past experience led IAAPs to display substantial negative attitudes and perceptions towards the proposed development project. In such scenarios, IAAPs became less cooperative with the PPPs. However, in cases where negative past experiences were not regarded as severe by the IAAPs, the PPPs were not hugely affected. While the challenge posed by negative past experience was not resolvable entirely during the PPPs, its effects varied between cases depending on the complexity resulting from other challenges.

#### **5.3.4 Threats to Environmental Autonomy**

Environmental autonomy refers to the relationship between local people and the surrounding environment (Haag and Hajdu, 2005). Often this relationship is associated with the ability of the local people to access and use naturally occurring resources. The work of Haag and Hajdu (2005) and Balint (2006), suggests that IAAPs are likely to resist projects requiring large pieces of land. The reason for this is that such projects are seen to be limiting access to natural resources and thus compromising local livelihoods.

One of the reasons indicated for the rejection of Shemula Citrus Farming was the fear of losing vast subsistence agriculture land. Similar concerns were raised in the uMzumbe Regional Cemetery PPP case. This challenge in both these cases was not resolved. Although the Irrigated Agricultural Project required a large piece of land, threats to environmental autonomy were resolved by the allocation of alternative land. This was possible because of sufficient communal land in the area. In addition, the Irrigated Agricultural Project was seen by the IAAPs as having the potential for generating

benefits for emerging commercial cotton farmers. Vulnerable IAAPs are largely associated with rural poor, who are dependant on the use of the land for their livelihood. It is on this basis that the requirement of vast areas of land for development often becomes challenging.

The threat to environmental autonomy is likely to influence the attitudes of IAAPs negatively. This becomes severe when there are no prospects for alternative resources or the proposed project does not compensate the loss in any other way. In this situation, threat to environmental autonomy could be expressed through resistance to the PPP by the IAAPs.

### **5.3.5 The State of Project Readiness**

Ideally, proponents of development projects need to have adequately completed all planning activities of the proposed development projects prior to application for environmental authorisation and before the EAP and the PPP commence. The planning phase must ensure that the proposed development project is feasible and will attract required financial investment and support from various stakeholders.

The key challenge experienced by the EAP in the case of the Irrigated Agricultural Project was related to the state of project readiness. Evidence suggests that the project was not ready at the time that the proponent made the application for environmental authorisation. This is proved by the fact that initially this project failed to attract investment on two occasions and that the ownership model and the business plan had to be altered to ensure project feasibility. Aspects of securing support and financial backing of government and of obtaining a loan from the Land Bank should have been anticipated and addressed during the planning phase.

The challenge of poor state of project readiness for the Irrigated Agricultural Project caused unnecessary delays to the PPP. These delays caused substantial dissatisfaction among the IAAPs and minimised the possibility of stakeholder cooperation. Despite

levels of dissatisfaction, the IAAPs perceived that the proposed development project would contribute to local livelihood. For this reason, IAAPs continued to cooperate with the PPP. Although effects of delays made it difficult to conduct the PPP, this challenge did not make it impossible to complete the PPP and EA.

The challenge caused by poor state of project readiness was resolved from two perspectives. Firstly, this challenge was addressed through altering the business plan and changing ownership to make the proposed project attractive to investors and to receive support from various stakeholders. Secondly, the IAAPs demonstrated free will to cooperate with the PPP based on socio-economic interest. The Irrigated Agricultural Project is a classical example of the implication of poor state of project readiness. Had it not been for the socio-economic interest of the local stakeholder, there is possibility that the delays could have hindered the PPP.

#### **5.4 APPROPRIATENESS OF PUBLIC PARTICIPATION PROCESSES APPROACHES**

Appropriateness of the PPP approaches can be measured from two perspectives. The first perspective involves assessing the compliance of the PPP approaches with environmental legislation. The second perspective involves assessing the effectiveness of adopted PPP approaches among particular audiences, in this case the vulnerable IAAPs. In all cases, the PPP approaches were compliant with environmental legislation. To be compliant with environmental legislation does not necessarily imply that the PPP approach is effective. This section focuses on the effectiveness of the approaches adopted to conduct the PPPs. In particular, assessment of the appropriateness of the PPP approaches focuses on communication modes adopted to engage stakeholders.

The mode of communication that is not accessible to the targeted audience is in the context of this study inappropriate. The challenge created by inappropriate modes of communication occurred both during initiation and management of the PPPs. The written word approach is not effective among the vulnerable IAAPs because these stakeholders

are affected by high levels of illiteracy and a lack of access to modern communication facilities. Guidelines for conducting the PPPs stipulated in environmental legislation require the use of the print media to notify and consult with IAAPs regarding proposed development projects. IAAPs are also required to make written submissions to present their comments and concerns regarding proposed development projects. These communication requirements are not practical for consulting with the vulnerable IAAPs. This study found that only a small percentage of IAAPs accessed the newspaper advisements. Most IAAPs provided input verbally during public meetings. Due to high levels of illiteracy and lack of access to information technology, most IAAPs were not able to make written submissions. Once EA reports have been prepared by EAPs, the EA make provision for written submissions, however this only favours literate IAAPs. Lejakane (1997) regard interpersonal communication as an effective way of engaging people in rural areas. Also, Le Roux (1998) and Barberton (1998) regard that the success of print media in rural areas is limited by the high level of illiteracy and a lack of access to communication facilities.

Challenges associated with the communication modes and the literacy levels of targeted audiences were common in all five PPP cases. Although challenges posed by inappropriate communication modes were not significant in hindering the PPPs, the use of the print media among vulnerable IAAPs limited the accessibility of information. It must be noted that although print media faces some challenges, this is not fatal flaw for the PPPs as it can be addressed through alternative communication approaches. Oral or interpersonal communication approaches were adopted and effectively applied in all five PPP cases.

The discussion of cases in Section 2.4.1.1 demonstrated that compared with the written word, the spoken word is the appropriate approach for engaging the vulnerable stakeholders in rural areas. The modes of communication for the P69 Road and uMzumbe Regional Cemetery were appropriate since the EAP engaged the IAAPs through word of mouth. This choice was made with consideration of poor access to print media. Models of communication adopted for the Irrigated Agricultural Project and the Shemula Citrus



Farming, were regarded as partially appropriate. In both these cases, notices about the proposed development projects were first announced through print media before reverting to word of mouth.

The mode of communication for the Estcourt/Ladysmith Community Access Roads was regarded as inappropriate for engaging the vulnerable stakeholders. This approach put emphasis on the written word for an audience with poor access to print media and a high level of illiteracy. Illiterate mode of communication adopted for this project as a result of EA legislation guideline was supported by the word of mouth.

## **5.5 COMBINED IMPACT OF CHALLENGES AND APPROACHES ON THE PUBLIC PARTICIPATION PROCESS OUTCOME**

This section, addresses the fourth study objective to investigate the combined impact of the challenges and the appropriateness of approaches to the outcome of each PPP case. It was evident at an early stage of the study that both the challenges and the PPP approaches have serious implications for the process and outcome of the PPPs. It can also be anticipated that these challenges have implications for the quality of decisions made. However, measuring the impact of challenges on the quality of the decision was beyond the scope of this study.

In order to understand the impact of the challenges and the appropriateness of the approaches on the process and outcome of the PPPs, this study asks:

- i Were experienced challenges resolvable within the scope of the EA?
- ii Were the PPP approaches appropriate for vulnerable IAAPs?
- iii Were PPPs successfully completed?

The extent to which the challenges were resolvable and the appropriateness of the approaches have already been discussed in Section 5.3 and Section 5.4. This section summarises and presents the combined impact of the challenges and the appropriateness of the PPP approaches in a diagram format.

The researcher of this study developed a template for the purpose of depicting the combined impact of the challenges and the appropriateness of the PPP approaches. Figure 3 demonstrates this depiction. The quadrangle is comprised of a Y-Axis and an X-Axis on the outside and the text boxes on the inside. The Y-Axis presents the extent to which challenges were resolvable while the X-Axis presents the extent to which PPP approaches were appropriate. Each quarter of the quadrangle represents points of encounter between the respective ends of the Y-Axis and X-Axis.

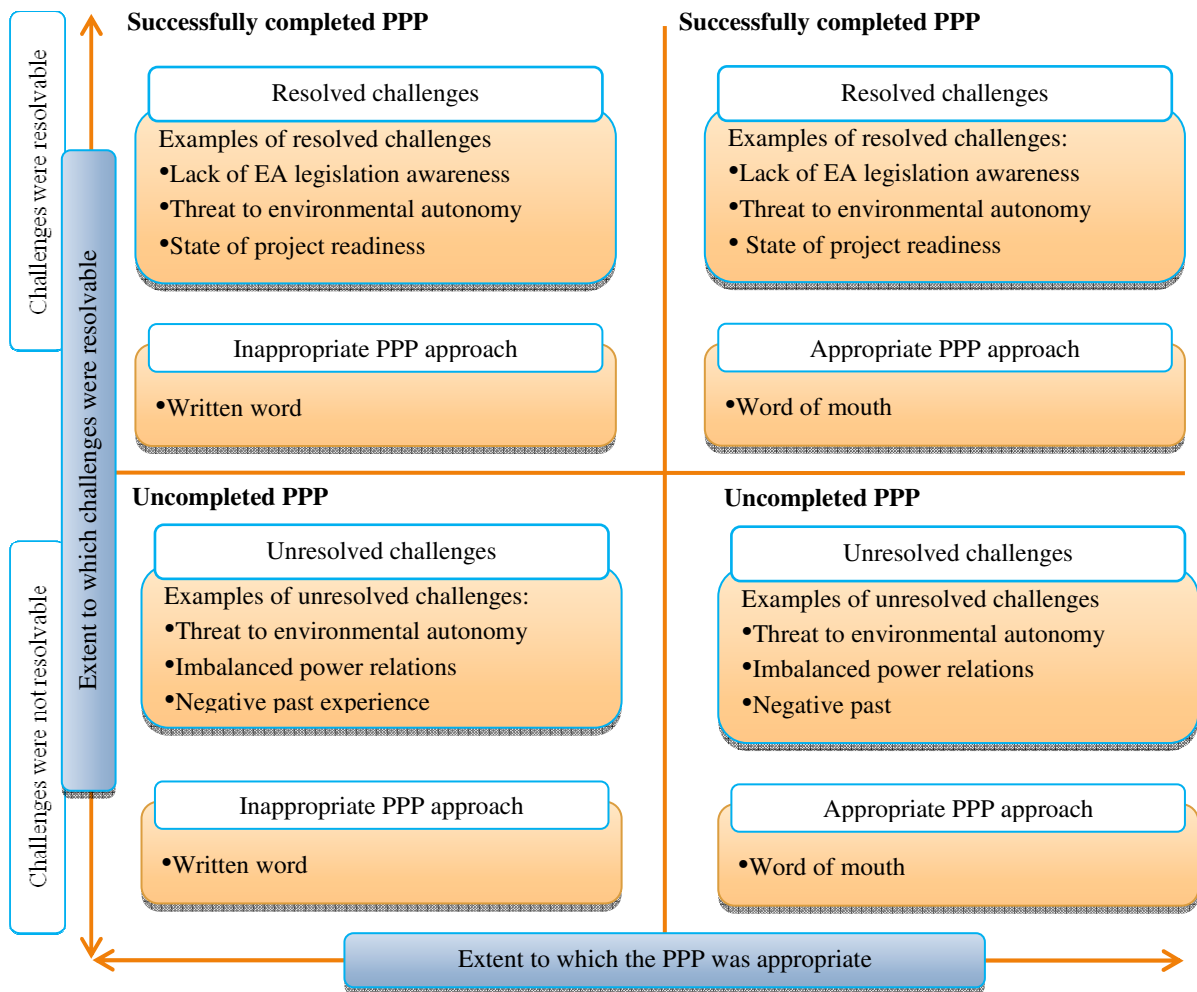


Figure 3: Diagrammatic Depiction all Scenarios of the PPP Outcome

The points of encounter between the Y-Axis and the A-Axis further indicate whether the PPPs were successfully completed or not completed. The implication of completing or

failing to complete the PPP is significant to this study. On the one hand successfully completed PPPs may imply that the challenges were manageable and that the PPP approach adopted was appropriate. Consequently, the decision regarding environmental authorisation was made by the relevant authorities followed by issuing of the ROD. On the other hand, uncompleted PPPs imply that the challenges might have been severe and that the PPP approach adopted might have been inappropriate. Consequently, the relevant authorities were not able to make decisions or to issue the ROD. This study maintains that ability to complete the PPPs and EA assessment does not necessarily translate to the strength or quality of decisions made. Also, successfully completed PPPs include decisions both in favour or against the proposed development projects. In this template, text boxes provide examples of the key challenges and the types of the PPP approaches influencing a particular PPP outcome.

In Sections 5.5.1 to 5.5.5, this model diagram is used to summarise the key challenges, the appropriateness of the communication approaches and the outcome of each of the five PPP cases. It is also proposed that this model diagram can be used during the planning stage for the PPPs to predict potential challenges. This is demonstrated in Section 6.4.1 of Chapter 6. The presentation of the PPP outcome of each case serves to:

- i. Highlight the key challenges
- ii. Demonstrate whether the challenges were resolved
- iii. Demonstrate whether the PPP approaches were appropriate
- iv. Indicate whether the PPP outcome was successful.

As already indicated, it must be stressed that completion of the EA may not be equated with the quality of decisions by the relevant authorities. Successfully completed PPP refers to the assessment process that was completed and enabled the authorities to make environmental authorisation decision. Completion of the PPP relies on information supplied by the IAAPs, which in itself depend on how well the IAAPs understood their roles. Understanding government policies and access to information technology also play a significant part with regard to the quality of information supplied by the IAAPs. This study also suggested that in some cases, information supplied by the vulnerable IAAPs

may be biased. All these factors may contribute to the quality of the decisions made. This study was limited to the extent to which challenges and appropriateness of approaches may hinder the completion of the PPPs.

### **5.5.1 Combined Impact of the Challenges and Approaches for Irrigated Agricultural Project**

The key challenges for the Irrigated Agricultural Project included the state of project readiness and lack of EA legislation awareness. The requirement of 1 200 hectares of land had the potential to threaten environmental autonomy. This potential challenge was avoided through the *Inkosi* allocating alternative land for communal needs such as grazing and subsistence food production. The challenge relating to the fact that the application for environmental authorisation took place at the time when the project was not ready, led to substantial delays and unhappiness among the IAAPs.

The two key challenges that affected the Irrigated Agricultural Project were resolved during the PPP. The poor state of project readiness was resolved by the proponents through restructuring a business plan and changing project ownership. This approach adopted to resolve this challenge worked partially because the local stakeholders were keen for the project to take place despite prolonged delays. The lack of awareness was addressed by the EAP through introducing and educating the IAAPs about the EA legislation and procedures. It must be noted that both these challenges were possible to resolve because they are associated with the internal environmental factors. Poor project planning was inherent to project conceptualisation while EA environmental awareness was directly inherent to the PPP.

Initially, an advertisement regarding the PPP had been placed in the *Isolezwe* newspaper. However, in consideration of local conditions, the entire stakeholder consultation was conducted through word of mouth, thus making the PPP approach appropriate. The print media could not have been effective, as most IAAPs did not have access to newspapers. Because the challenges were manageable, the IAAPs cooperated well with the PPP.

The PPP outcome for the Irrigated Agricultural Project is demonstrated in Figure 4 below. This diagrammatic depiction demonstrates that the ability to resolve the key challenges and the adoption of an appropriate communication approach led to a successful completion of the PPP. In this case, the combination of resolvable challenges and adoption of appropriate approach led to successful completion of the PPP. Successful completion of the PPP simple implies that the EA was completed by the EAP. In turn the DAEA was able to make a decision and to issue the ROD in favour of the proposed development to take place.

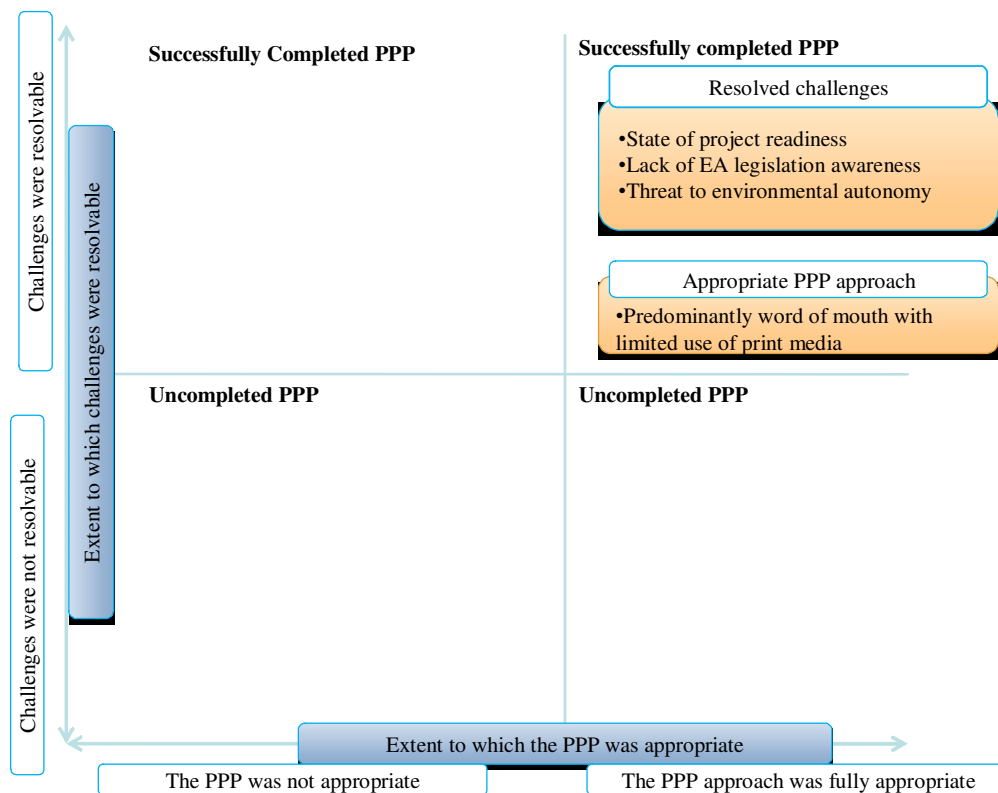


Figure 4: Outcome of the Irrigated Agricultural Project Case

### **5.5.2 Combined Impact of Challenges and Approaches for uMzumbe Regional Cemetery**

The key challenges in the uMzumbe Regional Cemetery PPP included imbalanced power relations, a possible loss of agricultural land and a lack of the EA legislation awareness. The local *Inkosi* excluded the community in preliminary project discussions with the proponent. During initial consultation the *Inkosi* expressed support and offered land for the project. Based on this and on previous experience, the IAAPs suspected that the *Inkosi* supported the project for personal gain. The IAAPs indicated that the project site identified by the *Inkosi* would affect agricultural land.

Evidently, imbalanced power relations and a threat to environmental autonomy are profoundly embedded in the external environment to the PPP. Failure to resolve the land dispute and consult properly with local traditional leadership was the reason for the IAAPs being unwilling to cooperate with the PPP. In turn, this made it impossible for the EAP to address these challenges. This situation resulted from the fact that the local IAAPs had indicated that their participation in the PPP was conditional to these two challenges being resolved.

In consideration of the fact that the local area was rural and lacked access to print media, word of mouth was adopted to inform and invite the IAAPs to the public meetings. Local leaders played a role to inform community members about the proposed project. This communication approach was considered appropriate for rural people. While the communication approach was appropriate, the other challenges relating to threat to environmental autonomy, imbalance power relations and the negative past experience were so severe that it became impossible to conduct the PPP. This particular case shows that despite appropriate approaches, unresolved challenges become the determining factor with regard to the PPP outcome. Because of the challenges experience, the IAAPs were only willing once solutions to the problems have been found. The *Inkosi* was expected to take initiative to resolve the challenges. When *Inkosi* failed to address these challenges, the IAAPs withheld their cooperation to the PPP. Consequently the PPP for uMzumbe

Regional Cemetery was not completed. This is demonstrated in Figure 5. The EAP was not able to complete the PPP and subsequently the EA. As a consequence the DAEA was unable to make the decision regarding environmental authorisation.

This diagrammatic depiction demonstrates the combination of non-resolvable challenges and fully appropriate PPP approach. However, despite appropriateness of the approach followed, the PPP was not completed. The implication therefore is that resolvability of challenges is the key determining factor.

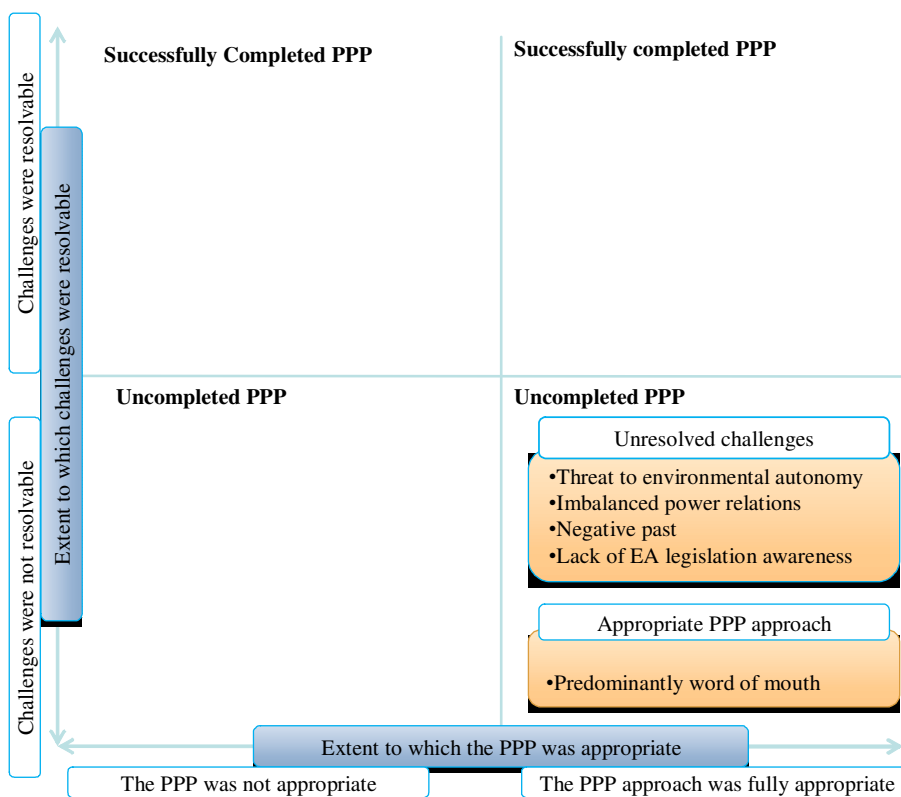


Figure 5: Outcome of the uMzumbe Regional Cemetery Case

### **5.5.3 Combined Impact of Challenges and Approaches on the Shemula Citrus Farming**

The challenges in the Shemula Citrus Project included imbalanced power relations, a negative past experience, a lack of EA legislation awareness and the possible loss of agricultural land. Most challenges were entrenched in the socio-cultural system of the area. The perceived cultural value of land, for example, was more important than the socio-economic value of the project.

With the exception of the lack of EA legislation awareness, the three other challenges were part of the external environment to the PPP. As a result of this the EAP could not address these challenges. These challenges also resulted in poor cooperation by the IAAPs. This further denied the EAP an opportunity to create EA legislation awareness. The challenges resulted in poor cooperation by the IAAPs. These challenges also resulted in a temporal collapse of local leadership with the *Inkosi* and *Induna* distancing themselves from this matter and the self-imposed leader assuming the leadership role. Unresolved challenges forced the proponent to withdraw the proposed development.

Initially, the EAP had adopted the print media and later altered to the word of mouth approach. The reason for reverting to word of mouth was based on poor access to print media in the area. The word of mouth approach relied on consultation with traditional leaders and following the local communication systems of holding community meetings. This approach is considered partially appropriate.

The Shemula Citrus Farming PPP case shows two important elements of the impact of challenges. Firstly, this PPP case demonstrates that socio-cultural and politically motivated challenges are extremely difficult to manage during the PPP. Such challenges are not only difficult for the EAP to manage; it is evident that they can also be difficult for the local traditional system to manage. Secondly, this PPP case also demonstrates that despite the appropriateness of the PPP approach, unresolved challenges may lead to uncompleted PPPs.



Figure 6 below demonstrates the outcome of the PPP. Due to complex challenges forced the proponent to withdraw the application for environmental authorisation. As a result the PPP was not completed. As a result the DAEA was not required to make the decision regarding environmental authorisation. This diagrammatic depiction suggests that the appropriateness of the approach was neither inappropriate nor appropriate. However, because the challenges were not resolvable, this PPP was not completed. This is another example demonstrating that resolvability of challenges is the key determining factor for successful completion of the PPP.

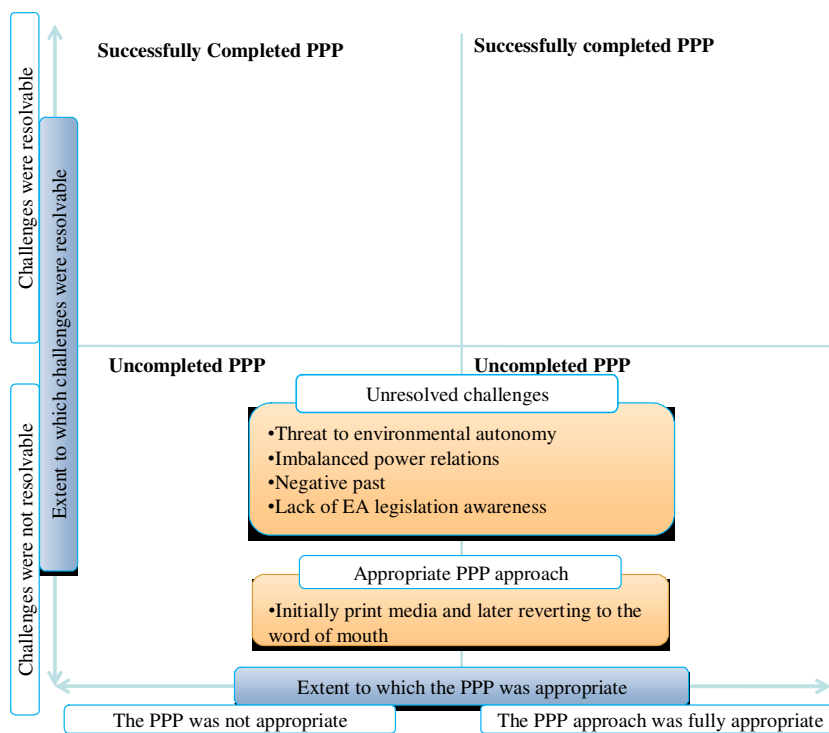


Figure 6: Outcome of the Shemula Citrus Farming Case

#### **5.5.4 Combined Impact of Challenges and Approaches on the P69 Road Project**

The challenges for the P69 Road case emanated from negative past experience and a lack of EA legislation awareness. Past experience related to unfulfilled promises and a lack of consultation during surveying. These two challenges are associated with both internal and external environmental factors to the PPP.

Although unfulfilled past experience had been identified as a challenge, this did not discourage the IAAPs from participating in the PPP. The IAAPs perceived that the proposed project was an important community need. Perceptions about the importance of the road minimised the severity of the challenges, and thus served as a local mechanism to address these challenges. During the PPP, the EAP created some level of awareness regarding EA legislation and procedures for participation.

The word of mouth approach was adopted to inform and communicate with the IAAPs. The use of word of mouth was in view of a lack of access to print media and a high level of illiteracy in the area. Interpersonal communication used for this PPP is regarded as the appropriate approach. The extent of the challenges was not perceived as severe by the local IAAPs. This led to their cooperation with the PPP. Figure 5.5.4-1 demonstrates that the combination of resolved challenges and an appropriate PPP approach, led to successfully completed PPPs. The EAP successfully completed the PPP and the EA. Based on the PPP outcome, the DAEA was able to make the decision about the environmental authorisation. The ROD was issued in favour of the proposed development to take place. This case is an example of successfully completed PPP resulting from the combination of resolvable challenges and fully appropriate approach followed to consult with stakeholders.

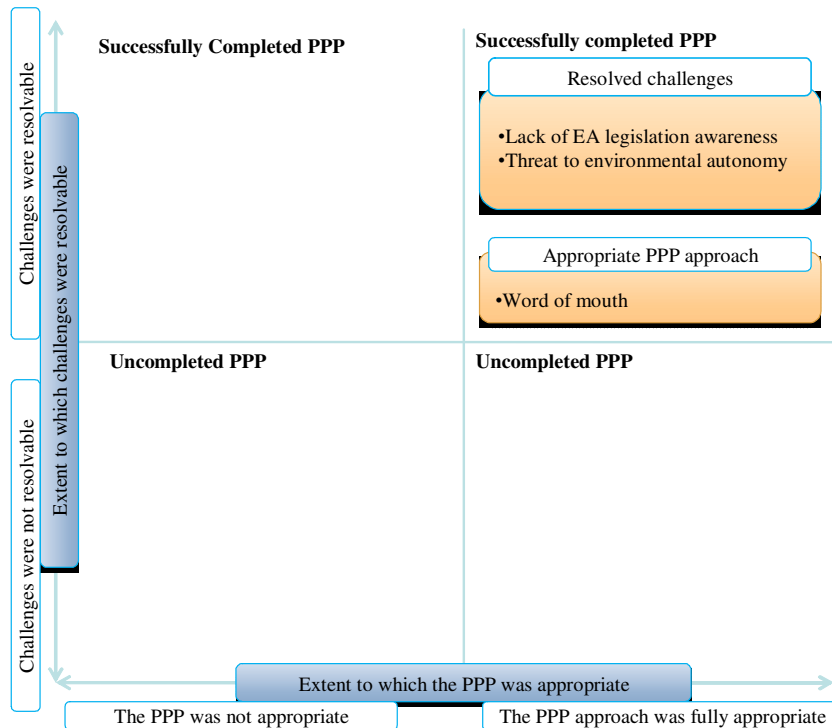


Figure 7: Outcome of the P69Road PPP Case

### 5.5.5 Combined Impact of Challenges and Approaches on the Estcourt/Ladysmith Community Access Roads

The PPP for Estcourt/Ladysmith Community Access Roads was affected by social inequalities, negative past experience and a lack of EA legislation awareness. Social inequalities were demonstrated through skewed participation in terms of gender and age. Based on negative past experience, some IAAPs indicated that they lacked trust of government programmes. The IAAPs manifested a lack of EA awareness and a lack of clarity on their roles during the PPP. Two of the three challenges are associated with the external environmental factors to the PPP.

Although the IAAPs were concerned with unfulfilled past promises this did not hinder the PPP. The IAAPs valued the socio-economic benefits associated with the proposed project. The socio-economic benefits were perceived to redress social inequalities and past challenges. Positive attitudes and perceptions of the IAAPs served to resolve the

challenges associated with external environmental factors to the PPP. These perceptions also enabled the IAAPs to cooperate well with the PPP. During the PPP, the EAP created awareness about the EA legislation through outlining the context and introducing procedures for participation.

The communication approaches for this PPP focused on the print media. Emphasis on written word was in accordance with guidelines for the PPP provided by the NEMA as proclaimed in June 2006. However, it was evident that the effectiveness of written word communication among the vulnerable IAAPs was limited. The IAAPs did not access the newspaper advertisements and they did not submit written comments as prescribed in the guidelines for the PPP. This communication approach is considered inappropriate for IAAPs in rural contexts characterised by poor communication facilities. This PPP case shows that despite an inappropriate mode of communication, the ability to resolve the challenges enabled the PPP to be completed. This is demonstrated in Figure 8. This case also emphasised the point that solutions to the challenges related to the external environment are best derived from within the local traditional context.

The EAP successfully completed the PPP. Based on the outcome of this assessment the DAEA issued the ROD approving the construction of 10 of the 17 roads and disapproving the other 10 roads. In Section 5.5, it was indicated that successfulness of the PPP outcome refers to both favourable and unfavourable RODs. The Estcourt/Ladysmith Community Access Road is an example of successfully completed PPP demonstrating the ROD issued in favour of some and against other proposed activities.

This case is an example of successfully completed PPP resulting from the combination of resolvable challenges and inappropriate approach. This scenario also demonstrates that resolvability of challenges is the determining factor with regard to the PPP outcome.

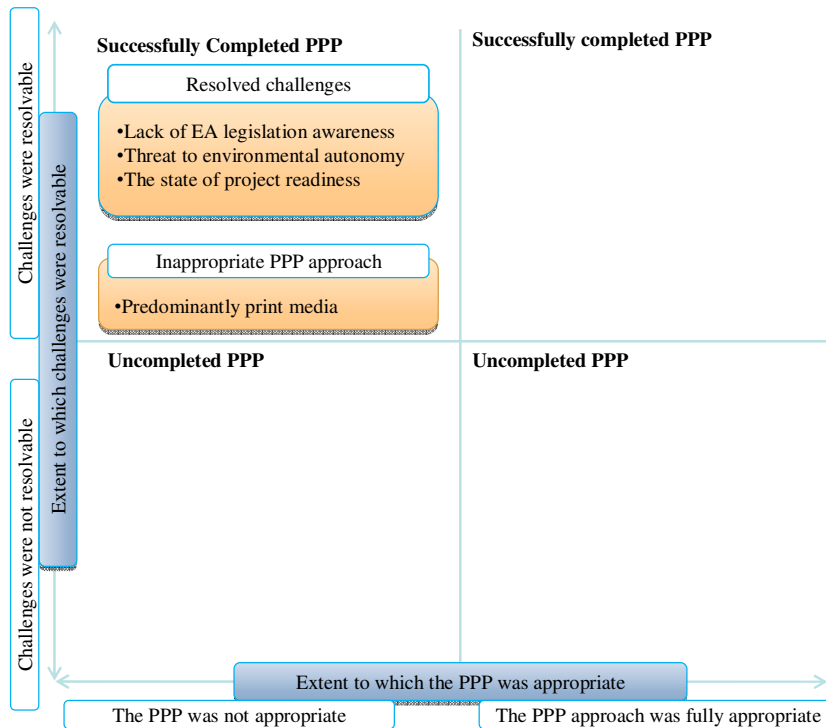


Figure 8: Outcome of the Estcourt/Ladysmith Community Access Road Case

## 6 CONCLUSION

This chapter focused on the first four objectives of this research study in the following ways:

- i. Identified and classified five key challenges
- ii. Discussed the influence of these key challenges on the role of the IAAPs
- iii. Analysed the appropriateness of the PPP approaches
- iv. Interpreted the combined impact of the key challenges and approaches on the PPP outcome.

Discussion in this chapter demonstrated that the PPPs analysed in this study were affected by different types of challenges, emanating from internal and external environments. Some PPPs were affected by simple challenges and others by complex ones. Simple challenges proved more likely to resolve than complex challenges. Also, challenges that were not resolvable impeded the PPP while resolvable challenges facilitated this process. The possibility of resolving challenges did not only depend on the simplicity or complexity of the challenges, but also on the perceptions of the IAAPs. Perceptions about

the value of local resources, in comparison with benefits or impact of the proposed development projects, greatly influenced the participation of the IAAPs in the PPPs.

It is evident that resolving the challenge of a lack of EA legislation awareness during the PPP enabled the IAAPs to participate better. However, it was also evident that the creation of EA awareness within the scope of the PPP was not necessarily sufficient. A lack of clarity regarding the roles and responsibilities displayed by the IAAPs proved that awareness during the PPP can only be created to a degree. This chapter demonstrated that external challenges such as socio-cultural and politically motivated challenges were impossible to resolve during the PPP. However, the EA is capable of addressing some internal challenges especially when appropriate PPP approaches have been adopted. The ability to resolve external challenges lies with local traditional systems.

The other key aspect discussed in this chapter is the appropriateness of PPP approaches adopted. The PPP approaches were measured based on communication modes. This chapter demonstrated that the word of mouth approach was appropriate to consult the vulnerable IAAPs. High levels of illiteracy and poor access to print media rendered the written word inappropriate for communicating with vulnerable IAAPs. The combined impact of the challenges and the approaches affected the PPP outcome. This chapter demonstrated that some types of challenges still remained impossible to resolve even by the best approaches within the scope of the PPPs for the EAs.

## **CHAPTER 6**

### **DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS**

#### **6.1 INTRODUCTION**

This chapter concludes the work of this research by presenting a summary discussion of the study results. It is important to highlight the understanding emerging from this study regarding the conducting of the PPP among the vulnerable IAAPs. It is anticipated that this understanding will contribute towards the improvement of PPPs among the vulnerable IAAPs. The first four objectives of this study were discussed in Chapter 5. This chapter addresses the fifth objective to articulate recommendations for improved PPPs. While this research study developed a good understanding of the challenges and their influence on the PPPs, knowledge gaps were identified. These give rise to potential topics for future investigation presented in Section 6.5.

#### **6.2 SUMMARY AND CONCLUSIONS**

This research study was motivated by the observation of the PPP challenges among the vulnerable IAAPs. Chapter 1 presented: background information; the problem statement; the study aim; and the five study objectives. The aim of this study was twofold: to understand the nature and impact of the challenges; and to recommend an improved approach for managing the PPP challenges among the vulnerable IAAPs.

Concepts and theories referred to in this study were defined and presented in Chapter 2. Key concepts defined include the PPP, the notion of community, IAAPs and the vulnerable IAAPs. The PPP was defined as processes to involve the IAAPs in decision making. This study viewed the community as a heterogeneous group formed at any time by different individuals sharing common interest and collaborating to achieve particular objectives. The definition of community formed the basis for understanding the IAAPs.

Generally, IAAPs are not viewed as a group or community defined by physical boundaries, instead they become a group based on common interest. While IAAPs were defined as individuals or groups interested or affected by a particular matter, the vulnerable IAAPs were regarded as individuals or groups characterised by a high level of illiteracy, poor access to information and limited opportunity to participate in decision making. Also, vulnerability resulting from complex socio-political challenges and social inequalities hinders IAAPs from effective participation in the PPPs. There is consensus within the literature consulted that vulnerable IAAPs are mostly associated with the rural context, characterised by patriarchal conditions antithetical to the democratic ideals of the PPPs.

The mode of communication was identified as a crucial public participation element. Two theories, oral and literate culture, describing the nature and functioning of different modes of communication regarding conveying messages, were discussed in detail. This study argued that oral transmission or spoken word is the appropriate communication mode to consult effectively with vulnerable IAAPs. Literate culture on the other hand is often not effective among the vulnerable IAAPs. However, legislative guidelines for conducting the PPP put emphasis on the use of literate culture. This study suggested that conducting PPPs can be procedural and effective by adoption of both oral and literate cultures.

As demonstrated in Chapter 2 and Chapter 3, the case study approach was adopted as an appropriate research methodology for this inquiry. Various case study research steps were followed to select and analyse the five PPP cases. The appropriateness of this research method has been to select a sample of multiple cases displaying the anticipated features suitable for advancing the study objectives.

The backgrounds of the five PPP cases were presented in Chapter 4. The result of the analysis of the five PPP cases was the identification of nine aspects of the overall challenge demonstrating common and distinctive features. These features were then used to highlight the PPP challenges among the vulnerable IAAPs. The nine aspects of

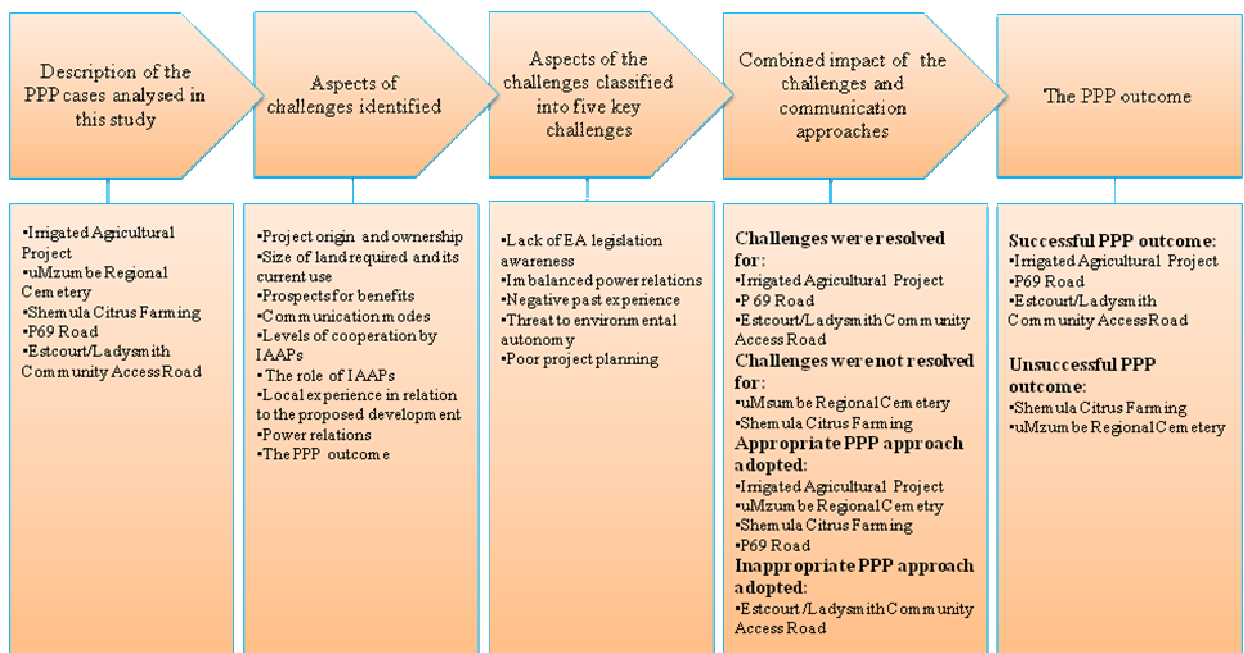


challenges were further classified into five key challenges presented in Chapter 5. Discussion of the nature of challenges in Chapter 5 culminated in the presentation of the PPP outcome. The second part of this study, to recommend an improved PPP approach, took place in Chapter 6. This was preceded by the presentation of understandings emerging from this study.

The presentation and analysis of the five PPP cases took place in the following sequence:

- i. Presentation and discussion of the five PPP cases
- ii. Identification of the nine aspects of challenges
- iii. Classification of the nine aspects of challenges into five key challenges
- iv. Discussions of the combined impact of the challenges and the appropriateness of the PPP approaches
- v. Presentation of the PPP outcome.

These steps are demonstrated in Table 4 below.



**Table 3 Summary of aspects of challenges, key issues and PPP outcome**

In summary, it must be emphasize that the PPP is evidently an important aspect of the EA and that the participation of the IAAPs in the decision making process is crucial. Collection and incorporation of local knowledge in decision making is dependent on the

effectiveness of the PPP in involving the IAAPs. It is therefore crucial that the approaches used to consult local IAAPs are appropriate. Despite its importance, the PPP faces numerous complex challenges among the vulnerable IAAPs. Coupled with inappropriate approaches, these challenges may hinder the successful completion of the PPPs.

This study argued that challenges may emanate from the internal or external environment to the PPP. The PPP tools are able to address internal challenges such as a lack of EA legislation awareness. However, external socio-cultural and politically motivated challenges such as imbalanced power relations are impossible to address within the context of the PPPs. The PPP challenges in a rural context are exacerbated by the discrepancy between patriarchal values characterised by social inequalities, and democratic principles seeking to provide equal opportunity to the IAAPs to participate in decision making. Challenges of a socio-cultural and political nature require different kinds of interventions. The study also argued that, the IAAPs can be motivated by socio-economic and political factors to support or reject a particular proposed development, in a manipulative manner.

Finding solutions to complex challenges facing the PPPs among the vulnerable IAAPs is not a simple task. This study makes recommendations in Section 6.4 to directly intervene on challenges associated with the management of the PPPs. This study does not focus on provide solutions for socio-cultural and politically motivated challenges, since this falls beyond the scope of this research study and the objectives of the PPPs. However, this study maintains that greater awareness of the potential challenges, including politically motivated ones, is crucial to designing sensitive and effective PPP approaches. Recommendations by this study are aimed at generating this greater awareness of potential challenges and the possible behaviour by the IAAPs.

### 6.3 UNDERSTANDING EMERGING FROM THIS STUDY

As indicated in Section 6.2, one of the study objectives was to develop a good understanding of the challenges. Emerging understanding is summarised into eight points presented below. While these points emerged from the analysis of the five PPP cases in this study, there are great possibilities that other PPPs among the vulnerable IAAPs will experience similar or some of these situations.

**Firstly, when conducting the PPPs the EAPs are faced with unanticipated challenges.** The PPP among the vulnerable IAAPs can face numerous challenges unanticipated during the planning stage. Unscheduled efforts to address unforeseen challenges have the potential to derail progress. Unforeseen challenges can be simple or complex. Simple challenges such as a lack of environmental legislation awareness are inherent to the EAs and are therefore possible to resolve during the PPPs. Complex challenges are often associated with socio-cultural and political situations and are therefore often impossible to resolve within the scope of the PPP for EAs.

**Secondly, numerous factors influence the IAAPs to hinder or cooperate with the PPPs.** Proposed development projects threatening environmental autonomy may result in IAAPs developing antithetical attitudes and becoming less cooperative to the PPPs. However, proposed development projects that are perceived to have more potential to stimulate socio-economic benefits than the current resource use, tend to be supported by the IAAPs. The consideration of whether to cooperate with or hinder the PPP, based on sentiments to accept or reject proposed development projects, may result in IAAPs manipulating the process. The IAAPs may conveniently support or reject the proposed development project for reasons not related to EAs.

**Thirdly, since it is based on democratic principles and values of equality, the PPP is a potential threat to the patriarchal status quo characterised by social inequalities.** The PPPs seek to involve all interested and affected individuals or groups in decision making on the basis of equality. This principle of equality may threaten the hierarchy and

the leadership of traditional societies. The discrimination of vulnerable groups such as women, youth and people of low status is inherent to patriarchal societies. Men, elderly and traditional leaders may feel threatened by principles of equality supported by the PPP and thus resort to suppressing participation of various vulnerable groups through social discrimination. Because the vulnerable groups are part of the system that suppresses them, they may lack the confidence to fully exercise their right to participate in the decision making process. Supporters of a patriarchal hierarchy may strive to maintain the status quo.

**Fourthly, the appropriateness of the PPP approaches is critical for involving the IAAPs in decision making.** Compared with the written word, the word of mouth approach is appropriate in facilitating the participation of the vulnerable IAAPs in the PPPs. The issues of high levels of illiteracy and poor access to the print media associated with rural areas make the written word approach inappropriate among the vulnerable IAAPs.

**Fifthly, the combined impact of the challenges and the PPP approaches influence the PPP outcome.** Section 5.5 showed a simple and straightforward impact of the combination of the challenges and the PPP approaches:

- i. A combination of resolvable challenges and appropriate approaches often lead to successful completion of the PPPs. Examples of this scenario are the Irrigated Agricultural Project and P69 Road.
- ii. A combination of non-resolvable challenges and inappropriate approaches hinder the completion of the PPPs. Although the approach was regarded as neither inappropriate nor appropriate, failure to resolve the challenges hindered the completion of the Shemula Citrus Farming PPP case.

Section 5.5 also demonstrated a complex impact of the combination of the challenges and PPP approaches:

- i. When the approach is not appropriate but challenges are resolvable, the PPP is likely to be successfully completed. The Estcourt/Ladysmith Community Access Road is one example of this scenario.

- ii. The PPP may not be completed even when the approach is fully appropriate as long as the challenges have not been resolved. The Umzumbe Regional Cemetery is an example of this scenario.

The emerging lesson is that while the appropriateness of the PPP approaches contributes to the successful completion of the PPPs, this is less significant compared to the impact of the challenges. It is concluded that resolvability of the challenges is usually the key determining factor.

**Sixthly, the impact of the challenges and the PPP approaches affects the quality of participation by the vulnerable IAAPs.** The purpose of the PPP is not to involve stakeholders as a matter of formality, but to ensure their effective participation and meaningful contribution to decision making. The challenges may hugely limit the quality of contributions by the vulnerable IAAPs in decision making. Social inequalities for instance suggest that the views of certain sectors of the society are excluded in the process. In turn, this implies that decisions might be less informed of the local realities than might be the case with participation based on equal opportunity. In this case, even completed PPPs do not indicate that the IAAPs have participated effectively. It may simply mean that technically the EAP has complied with all procedures to conduct the PPPs for the EAs and that the IAAPs have cooperated with the process.

**Seventhly, challenges have implications for the PPP time schedule, budgets and quality of decisions made.** Upon encountering challenges, the PPP is affected, as the focus shifts towards addressing particular problems, which may or may not be resolved. The time required to address the challenges depend on the nature of the challenges. A prolonged process of addressing challenges affects the time schedule and the budget allocated to conduct the PPP within a reasonable timeframe. This further compromise the process and the quality of information collected. Once particular challenges have been resolved, an accelerated recovery process may make up for lost time. This may compromise the quality of information gathered from the IAAPs.

**Eighthly, delays and uncompleted PPPs have implications for escalation of project costs, economic development and generation of benchmark information.** On the one hand, delays may result in the escalation of the initial project costs. On the other hand, uncompleted PPPs may mean that planned projects to provide service delivery and stimulate economic development may not be implemented for reasons other than environmental authorisation. In addition, despite being area specific, successfully conducted EAs can generate benchmark information valuable for future reference. The impediment of the PPPs for EAs implies that an opportunity to develop such valuable local knowledge is lost.

**Lastly, most challenges only become apparent during the initiation and management of the PPPs.** The fact that the challenges only become apparent at this stage proves that the PPPs are initiated without substantial understanding of the social context of the proposed project site. Possibly, the PPPs normally commence prior to understanding the character of the local area because this is not required by the EA legislative guidelines. Identification of challenges during the initiation and management of the PPP implies that opportunities to incorporate measures into the PPP design to deal with such challenges are not created.

## **6.4 RECOMMENDATIONS**

It is evident that the PPP challenges may have far reaching repercussions both in terms of effective participation by the IAAPs and the quality of the PPP outcome. The one aspect of the objective of this study, to understand the PPP challenges among the vulnerable IAAPs, has been well captured in Chapter 4 and 5. The second aspect of the objective of this study, to recommend is addressed in this section.

This study maintains that to design an appropriate PPP approach; EAPs rely on guidance based on EA legislation framework and information provided about the proposed development projects. Equally an insight about the socio-cultural and political

characteristics of the area and understanding of the stakeholders could assist the EAPs to design most appropriate and effective PPP approach. This study also maintains that unanticipated challenges are often experienced during the EAPs because of lack of insight about the socio-cultural and political context of the project site prior to the PPPs. This study also maintains that it is crucial to improve effective participation of the vulnerable IAAPs to ensure the quality of information collected and decisions made.

To improve effective participation of the vulnerable stakeholders, this study recommends a Dual Planning Approach Model (DPAM). The DPAM is an original idea to this study. Conceptualisation of this idea was motivated by the need to understand and manage the types of challenges as identified during the analysis of the five PPP cases.

The DPAM consist of two aspects:

- i The planning stage
- ii The initiating and management of the PPP stage.

The planning stage is aimed at understanding local characteristics useful to predicting challenges and subsequent possible scenarios. Whereas the traditional PPP approach fails to specifically appraise and incorporate local features, the DPAM emphasises the importance of understanding and integrating local realities in designing appropriate PPP. Planning for the PPP must include a pre-planning information gathering phase or information appraisal. Information appraisal informs the actual planning and adoption of the PPP approach. The planning stage is followed by adopting an adaptive PPP approach.

#### **6.4.1 Planning stage**

The planning stage consists of four steps: information appraisal; the prediction of possible scenarios; designing the PPP and the adoption of the adaptive PPP approach. The emphasis is on the adaptive aspects of this approach. The essence of this approach lies with the ability to make adjustments to deal effectively with unforeseen challenges.

The first DPAM step involves information appraisal. The emphasis in this step is on information appraisal of the proposed project, the potential local stakeholders and the project site. The appraisal of the project site includes developing an understanding of the socio-cultural, political and natural environment. Information appraisal can take place through reviewing available information, site visits to observe the local conditions and where possible preliminary consultation with potential stakeholders. Information gathering using the guided questionnaire model suggested in Table 4 may enhance the outcome of this process. Other questions may be asked depending on the nature of the proposed development project or project site. Table 4 also provides columns for potential responses and actions. These are essential for the probing of potential challenges and the identification of measures to manage such challenges as demonstrated in Table 4.

Table 4 Information Gathering and Planning Template

Theme areas for information gathering	Possible situations	Possible actions by the EAP
<b>Project planning</b> i. Is the proposed development plan complete and ready for the application for Environmental Authorisation? ii. Is the proponent planning to conduct a site visit or surveying activities?	i. There are gaps in project planning. ii. Site visit required	i. Identify gaps and advise the proponent to provide sufficient information. ii. Advise the proponent to consult IAAPs.
<b>Power relations</b> i. What social structures or formations exist in the local area? ii. How do social structures relate to each other in public forums? iii. What is the level of social inequalities	i. The community is comprised of different groupings. ii. Intolerance among between community groups. iii. Social inequalities affect participation of youth and women in PPPs	i. Ensure inclusion of all social structures. ii. Adopt individual social structure focus group interviews in addition to general PPP meetings. iii. Adopt focus groups targeting youth, women and other marginalised groups
<b>Literacy</b> i. What is the level of literacy in the local area?	i. High levels of illiteracy.	i. Emphasise word of mouth communication.
<b>Communication</b> i. What communication systems exist in project site? ii. What communication infrastructure is available? iii. What types of communication media do locals have access to?	i. Traditional leaders forums, meetings and gatherings. ii. No communication infrastructure. iii. No access to print media.	i. Consult IAAPs through existing systems. ii. Emphasise word of mouth communication. iii. Emphasise word of mouth communication.
<b>Past experience</b> i. What is the general local experience about the type of proposed activity? ii. What experience do local people have about the specific proposed activity?	i. Negative past experience. ii. Experience of unfulfilled promises.	i. Understand and manage consequential dynamics. ii. Understand and manage consequential dynamics.
<b>Awareness about EA legislation</b> i. Have the local IAAPs ever participated in the PPP for EA?	i. No awareness of EA legislation	i. Create awareness before expecting the IAAPs to participate reasonably in the PPP
<b>Environmental autonomy</b> i. What is the extent of the land required for the proposed activity? ii. How do local people currently use natural resources and land? iii. How will the proposed activity impact on current use of local resources?	i. Large piece of land is required ii. To sustain livelihood iii. Will jeopardise local livelihood	i. Assess impact and suggest mitigation ii. Assess impact and suggest mitigation iii. Assess impact and suggest mitigation



The second DPAM step is the probing of the potential situations. Gathered information will help develop an understanding of the social conditions and the potential IAAPs. This information can also be used to predict possible challenges and to anticipate particular scenarios of the PPP outcome. Gathered information will enable the EAP to predict whether the potential IAAPs are aware of the EA legislation or whether social inequalities are prevalent. The probing of potential challenges and then prediction of scenarios can be achieved by applying the potential responses provided in Table 5 on the quadrangle presented in Figure 3. A successful estimation of possible challenges will enable the EAP to identify measures to manage the challenges.

The third step is designing the PPP approach. The third column of Table 4 above provides potential actions based on the possible responses in the information gathering questionnaire. These potential actions will not only be useful in identifying the measures to manage the challenges but also in designing the desired PPP approach. For example, to deal with the lack of EA legislation awareness, the EAP can prepare tools to create EA awareness and allocate the time to address challenges. Also, if the IAAPs are largely characterised by high levels of illiteracy and poor access to communication, the use of the spoken word will be appropriate.

Plans to create EA legislation awareness and adopting a particular communication approach help the EAPs deal with factors internal to the PPP. It is equally difficult to identify measures to address socio-politically motivated challenges as these are external factors and as such require solutions from within the socio-cultural and political context of local areas. However, prior awareness of such challenges will enable the EAPs to cope with situations better than it might have been the case without this knowledge.

The last DPAM step is the adoption of the adaptive PPP approach. It must be noted that the first three steps progress towards an adaptive PPP approach. As a result, there is no particular action that needs to be taken in this step except acknowledgement of the fact that the designed PPP approach is adaptive. The flexibility of the PPP approach will be useful in the event that the EAP encounters circumstances that require adjustments to the

approach. The EAPs may only be required to take action when they encounter challenges and when it becomes necessary to adjust the PPP approach. Steps followed to design the PPP approach may be repeated to deal with the encountered situation. Figure 9 demonstrates the DPAM planning process.

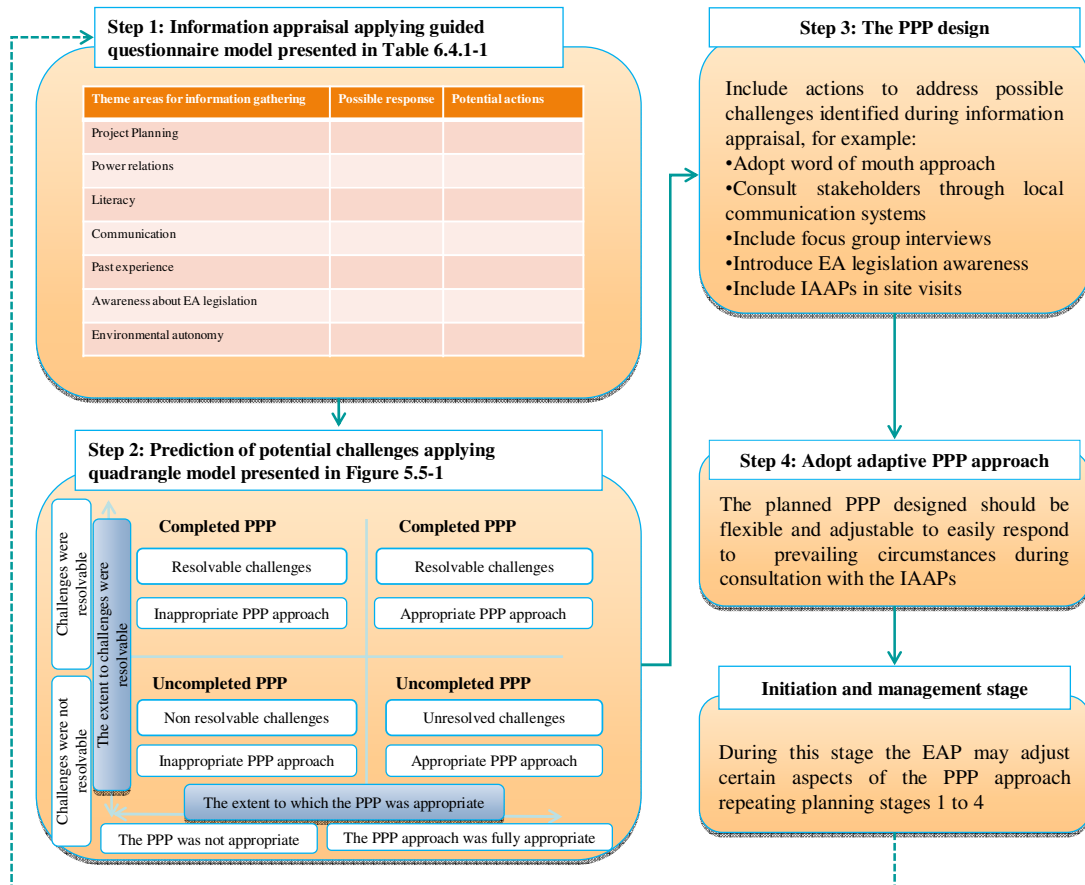


Figure 9: Application of the Dual Planning Model

### 6.4.2 Initiating and managing Public Participation Process

Once a particular PPP approach has been designed, the EAP is ready to conduct the PPP. During this stage, the PPP approach is practically tested against local realities. This stage provides the EAP with an opportunity to identify factors that were not anticipated during the planning and design stage. It is quite possible that some external factors would

already have been incorporated in the plan. However, in the case of unanticipated factors, it is suggested that the EAP revise the plan to respond better to local realities. The essence of the adaptive PPP approach is that it raises awareness of the need to adjust certain aspects of the approach to deal with prevailing circumstances. Making judgements about adjusting the approach is at the discretion of the EAP and should be informed by the nature of the challenges encountered at a particular time. Appropriate adjustment of the approaches will contribute to the success of the PPPs.

## **6.5 TOPICS FOR FUTURE RESEARCH**

Based on the knowledge gaps identified in this study the following research topics are suggested for future investigation:

- i Investigation into interventions required to increase the effective participation of the vulnerable IAAPs in decision making
- ii Assessment of the effectiveness of literate modes of communication in engaging vulnerable IAAPs
- iii Understanding of the extent and implication of abandoned EAs in environmental authorisation and service delivery
- iv Investigation of traditional systems to manage social dynamics as lessons for addressing the PPP challenges
- v Assessment of the quality of information and decisions for environmental authorisation.

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### **LIST OF PERSONAL COMMUNICATION:**

Inkosi Nzimakwe, IAAP for P69 Road (January 16, 2006) Personal Communication.

Mr. Buthelezi, IAAP for Shemula Citrus Farming (April 07, 2006) Personal Communication.

Mrs. Dlamini, IAAP Estcourt/Ladysmith Community Access Road (March 1, 2007a) Personal Communication.

Mr. Ngubane, IAAP for Shemula Citrus Farming(March 16, 2006) Personal Communication.

Mrs. Mthethwa, IAAP for Estcourt/Ladysmith Community Access Road (March 1, 2007b) Personal Communication.

# **APPENDIX 1**

## **GUIDELINE QUESTIONNAIRE**

### **About the awareness of the proposed project**

- How did you become aware of this proposed development project, who informed you, how were you informed?
- Do you think the whole community is aware of the proposed development?
- Has this project been proposed in the past before?

### **About the community**

- Please tell me how the community is structured?, who are the members of the community, what organizations are there in the community?
- Who are the leaders of the community?
- What is the general perception of the community about the community leaders?
- Who are the key individuals or sectors of the community do you think should participate in this PPP?

### **Communication facilities and communication systems**

- What community facilities are there in the community?
- How do members of the community mobilize themselves to participate in the decision making of its affairs?
- Who has the responsibility to make call the meetings
- How does the different sector of the community participated in decision making.

### **About the awareness of the Environmental Assessment**

- Are you aware of the Environmental Assessment?
- Have you participated in a Public Participation Process (PPP) for environmental authorization before?
- Has someone informed you about the procedures of the PPP

### **About the awareness of this particular Public Participation Process**

- This PPP was advertise in a local news paper / or was notices were placed in local shops/ or community leaders undertook to inform the community:
  - How were you informed about this PPP and the scheduled meetings?
  - Did you see the newspaper advertisement?

### **About participation**

- Were you free and confident to participate in the public participation meetings?
- Do you think everyone was confident to participate freely?
- Did you understand your role in the PPP?
- Do you think all participates were free to air their opinions?

### **About challenges**

- Did you experience any challenges during participation in public participation meetings?
- What were these challenges?