

**Integrated Development Planning and Public Participation: -
The Case Study of Shakaskraal- KwaDukuza Local
Municipality**



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DECLARATION

The following dissertation is submitted in partial fulfilment of the requirements of the course work Master Degree in Town and Regional Planning at the University of Kwa Zulu Natal (2014)

This states that all work contained in this research dissertation is the original work of the author, unless otherwise stated. This dissertation has been supervised by Ms Annette von Riesen.

This dissertation has not been previously submitted to any other University, or organization for consideration or examination.

Mrs Prashina Mohangi

Date

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ABSTRACT

Integrated development planning was introduced as a developmental planning tool in South Africa after 1994 to address the imbalances that were created during the Apartheid era. The intention was that all municipalities will produce and Integrated Development Plan (IDP) which will serve as the overarching development plan for the municipality. The IDP process plan would guide the development of the municipality and help to align its resources in order to achieve the goal of sustainable development. The plan was to be inclusive and based upon the engagement of communities at municipal level. Part of this process was to enable residents to drive the development process at local government level. Whilst the intentions of the plan were noble, municipalities across the country have been struggling to attain the objectives of the plan due to a range of reasons some of which include scarce resources at municipal level and lack of institutional capacity.

The purpose of this study has been to focus in on the Integrated Development Plan prepared for the Local Municipality of KwaDukuza which is located in the province of KwaZulu-Natal. The research has specifically focused on the area of Shakaskraal because it represented a microcosm of the challenges and short comings of the IDP process at “*community level*”. The research explores and evaluates whether or not the IDP participatory process has managed to succeed in engaging the community of this area and ultimately encapsulated their concerns into the plan.

The core of the evaluation lies in the assessment of the public participation processes of the municipality. By conducting this evaluation by means of questionnaires and in-depth interviews, it has been found that the community of Shakaskraal was not adequately informed of the IDP process, hence participation in the process has been minimal by the community. As a result, the community needs of the people of Shakaskraal have not been addressed in the IDP. Development has taken place since the introduction of IDPs in 2000 however, the development encapsulated in the three generations of IDPs prepared by the municipality is not that initiated by the community.

In order for there to be overarching development in an area, residents need to be aware of the process of development. They need to understand how they fit into the process of integrated development planning and equally they need to actively participate in the development of the plan. The end result needs to be that communities own the IDP of their municipal area. They can only

achieve this goal and add value to the IDP process if they are actual participants in the process. A plan would then emerge that would use their assets and provide strategies to enhance their livelihoods which will ultimately lead to sustainable development.

The recommendation emerging from this research is that the KwaDukuza Local Municipality needs to find and devise innovative methods of public participation which do not rely solely on Ward Committees and Ward Councillors. Members of the community must be able to access local government from their most convenient point of access and through methods that are accessible and affordable. Only then will the desired environment of institutional accountability and transparency encapsulated in the principle of developmental local government and the objectives of the IDP be attainable.

ACRONYMS

ANC:	African National Congress
CASP:	Community Action Support Programme
CBP:	Council Based Plan
CBPA:	Community Based Planning Approach
CoGTA:	Department of Co-operative Governance and Traditional Affairs, Province of KwaZulu Natal
CPC:	Citizen Participation Continuum
CPF:	Community Participation Framework
CSIR:	Council for Science and Industrial Research
DFID:	Department of International Development
DPLG:	Department of Provincial and Local Government
DSB:	Development and Services Board
GTZ:	Gesellschaft Technische Zusammenarbeit (German Technical Corporation)
HC:	Health Committee
IDP:	Integrated Development Planning
KDM:	KwaDukuza Municipality
KPA:	Key Performance Area
KWD	KwaDukuza Local Municipality
KZ-N:	KwaZulu-Natal
KZ-NPGDP:	KwaZulu Natal Provincial Growth and Development Plan
KZ-NPGDS:	KwaZulu Natal Provincial Growth and Development Strategy
LM:	Local Municipality
MEC:	Municipal Executive Council
MSA:	Local Government: Municipal Systems Act, (No. 32 of 2000)
NC:	Neighbourhood Committees
NDP:	National Development Plan

NPA:	Natal Provincial Administration
NPM:	New Public Management
PRD:	Partido de la Revolucion Democratica
RDP:	Reconstruction and Development Program
SDF:	Spatial Development Framework
SHC:	Shakaskraal Health Committee
SLA:	Sustainable Livelihoods Assessment
SPLUMA:	Spatial Planning and Land Use Management Act (Act No. 16 of 2013)
WC:	Ward Council
WCSP:	Ward Committee Support Plan
WF:	Ward Forum
WSSD:	World Summit on Social Development

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1.0 INTRODUCTION

Integrated development planning is a development methodology that has been introduced in post-apartheid South Africa to address the social, spatial, physical and economic ills that were created in the apartheid era. The culmination of the process of integrated development planning is a five year strategic plan (the Integrated Development Plan or IDP) which is produced by local, district and metropolitan municipalities to guide and inform development in the municipality (Todes; 2007). It was the 1998 White Paper on Local Government that identified the IDP as a tool for 'developmental local government' a term used to describe the post-apartheid local government (Harrison; 2002).

Integrated development planning is not a new concept that has been introduced or specifically designed for the South African landscape. The theory of an IDP is drawn from strategic planning initiatives emerging from the developed Western Countries where new territorial and economic entities were created post 2000. As part of this development initiative, the New Public Management approach emerged. It was viewed internationally especially in the United Kingdom as a neo-liberal approach to governance which linked together public management strategies with the developmental state model of East Asia (Harrison; 2002). A key element to New Public Management theory which was also filtered into the South African IDP is the incorporation of a business like culture or managerialism into the public service. This new corporate approach to the public service also witnessed the rebranding and marketing of local government as being the drivers of implementation and development. A key to post-apartheid governance was ensuring that while local government was the main point of planning and service delivery they were also accountable to the people that they served.

During the apartheid era, development that occurred was racially biased and exclusionary. Therefore in post-apartheid South Africa, there was a need for the democratic government structures to rebuild relationships with all race groups and communities. This system of engagement would ensure that the voices of the local people were heard and that their needs were prioritized and accommodated for in the planning process. Legislation in the country like the National Constitution and the Municipal Systems Act (Act No. 32 of 2000) mandated local government to pursue public participation in their development discourse.

This research dissertation focuses primarily on this concept of public participation. Gueli et al (2007) mentions that this strong focus on public participation in the integrated development planning process is reminiscent of the United Nations Agenda 21 programme of 1991 which South Africa was one of the countries who committed to the programme.

1.1 MOTIVATION

The researcher is very interested in the practice of integrated development planning as a post-apartheid development tool. By undertaking this research, the researcher will be able to identify how public participation in the integrated development planning process is working at ground level. It will critically evaluate whether or not the IDP is achieving its objectives as stated in the South African Constitution and the Municipal Systems Act (Act No. 32 of 2000).

Besides having a passion for the topic, the researcher would like to contribute to the discussion of public participation in the integrated development planning process similar to the dialogue that currently exists whereby academics including, Todes (2002 and 2006); Subban and Theron (2013), Gueli et al (2007) have contributed to.

The case study area that has been selected is the home of the researcher and this personal knowledge provides the basis for an enquiry into how the process and goals of integrated development planning have been practised in this space. The main reason for choosing Shakaskraal as a case study is that the researcher wanted to have an understanding of the IDP and public participation dynamics in an area which is familiar. Another related point of enquiry is whether the community is part of the decision making process of the Integrated Development Plan (IDP) of the municipality in terms of the mandate provided for it in terms of the Municipal Systems Act (Act No. 32 of 2000).


1.2 THE AIM OF THE DISSERTATION

While the research acknowledges the birth of this hybrid form of integrated development planning in South Africa as a tool for development, the aim of the research is to focus on a specific aspect namely the participatory process in integrated development planning in the KwaDukuza Local Municipality. The intention of the research is to focus on the community of Shakaskraal and evaluate if they have participated in integrated development planning in the KwaDukuza Local

Municipality over the period of the three generations of its implementation and revision. A measure of success would be that the development needs of the community would be reflected in the Integrated Development Plan and the Spatial Development Framework (SDF). A lack of these aspects would likewise be indicative of a level of failure in terms of the inclusionary objectives of the IDP.

In reviewing the IDP over the three generations, it introduces a temporal framework into the research and this is explicitly acknowledged. The Department of Co-operative Governance and Traditional Affairs in the Province of KwaZulu- Natal coined the term '*the Generations of IDP*' (COGTA KZN, 2006), therefore in this research the term three generations of IDP of KwaDukuza refer to the following periods of time as illustrated in Table 1 below:-

Table 1: Three Generations of Integrated Development Plans

GENERATIONS OF INTEGRATED DEVELOPMENT PLANS (IDP)	YEAR	TEMPORAL PERIOD OF RESEARCH
1 ST Generation Integrated Development Plan (IDP)	2002-2006	
2 ND Generation Integrated Development Plan (IDP)	2007-2011	
3 RD Generation Integrated Development Plan (IDP)	2012-2017	

Source: CoGTA, 2012.

Within this temporal framework, the research questions are addressed and evaluated. It is noted that although the current third generation of IDPs life span ends in 2016/17, this research collation will end in 2012. Essentially then the temporal period of evaluation is the decade of 2002-2012.

Guiding this evaluative research are two main tenets that advocate the need for public participation in South Africa and these will inform this research; the first is the South African National Constitution and the research is premised on the following section:-

Section 152 of the Constitution deals with local government and states that the responsibility of this sphere of the state is to *“provide democratic and accountable government for local communities”* and *“to encourage the involvement of communities and community organizations in the matters of local government.”* The interpretation of the above statement refers to two critical elements. The first being that local government must be democratic and accountable and secondly communities should be encouraged and be involved in the decision making of local government. The research focuses on the latter.

The second tenet of this research is based on the content of the Local Government: Municipal Systems Act (MSA) (No. 32 of 2000). Chapter 4, section 16 (1) of the Act states that a *“municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance, and must for this purpose-*

- a) *Encourage, and create conditions for, the local community to participate in the affairs of the municipality, including in-*
 1. *The preparation, implementation and review of its integrated development plan in terms of Chapter 5”*

The MSA is clear about the role that communities play in the processes of local government and emphasises the mandatory requirements associated with community participation in governance. In particular Chapter 5 of the Act addresses the integrated development planning process and the Integrated Development Plan that is the outcome of this planning and development approach. In both the process and the plan the matter of public participation is addressed.

The researcher is of the opinion that public participation is a vital component in integrated development planning and if communities actively participate in the process of the IDP, their needs will be identified and addressed. This participatory involvement in governance will enable communities to develop holistically and will contribute to achieving the goal of sustainable development which underpins integrated development planning.

1.3 MAIN RESEARCH QUESTION

The main research question upon which the research is premised is the following:-

“To what extent and how successfully has the community of Shakaskraal participated in integrated development planning in the KwaDukuza Local Municipality?”

1.4. The Sub-Questions

The following are ten sub questions that have been devised to assist in answering the main question and are detailed below:-

1. What does the international, national, and local literature suggest about the role of public participation in successful planning developments?
2. Are there international case studies for successful participation strategies which demonstrate good practice and could be applied in South Africa?
3. Are there appropriate theoretical and conceptual frameworks to address the role of public participation in integrated development planning?
4. Are residents of Shakaskraal aware of the Integrated Development Plan and the process that underpins it?
5. Are residents aware of their rights to participate in the Integrated Development Planning Process?
6. Have the residents of Shakaskraal participated in the Integrated Development Planning Process?
7. How successful has the public participation been in Shakaskraal?
8. What are short comings of the current public participation model being used by the KwaDukuza Local Municipality?
9. What could be done to ensure that there is a higher level of public participation in the IDP process.

1.5 OBJECTIVES OF THE RESEARCH STUDY

The objectives of this research study are indicated below:

1. To understand the concepts and key debates outlined in international, national and local literature which discusses public participation in integrated development planning.
2. To gather an understanding of how public participation has been successful in development initiatives in the international context and lessons of which can be applied to KwaDukuza.
3. To critically evaluate the theoretical and conceptual frameworks linked to the concept of public participation and its role in planning
4. To provide lessons from international practice in public participation and development that could be applied to the case study area.
5. To enquire if the residents of Shakaskraal are aware of the Integrated Development Plan and the process of the KwaDukuza Local Municipality.
6. To enquire if the residents of Shakaskraal are aware of their right to participate in the Integrated Development Planning Process.
7. To enquire if residents of Shakaskraal participated in the IDP process of the municipality.
8. To enquire how successful public participation has been in the IDP process in Shakaskraal.
9. To provide recommendations that could assist in ensuring more effective public participation in the IDP process.

1.6 HYPOTHESIS

Public participation in integrated development planning is meant to be an inclusive process that will yield an IDP that is reflective of the community for which it was developed. In many instances this has not occurred at the municipal level of governance despite the mandatory requirements for it to do so. Thus the hypothesis addressed in this dissertation is outlined as follows:-

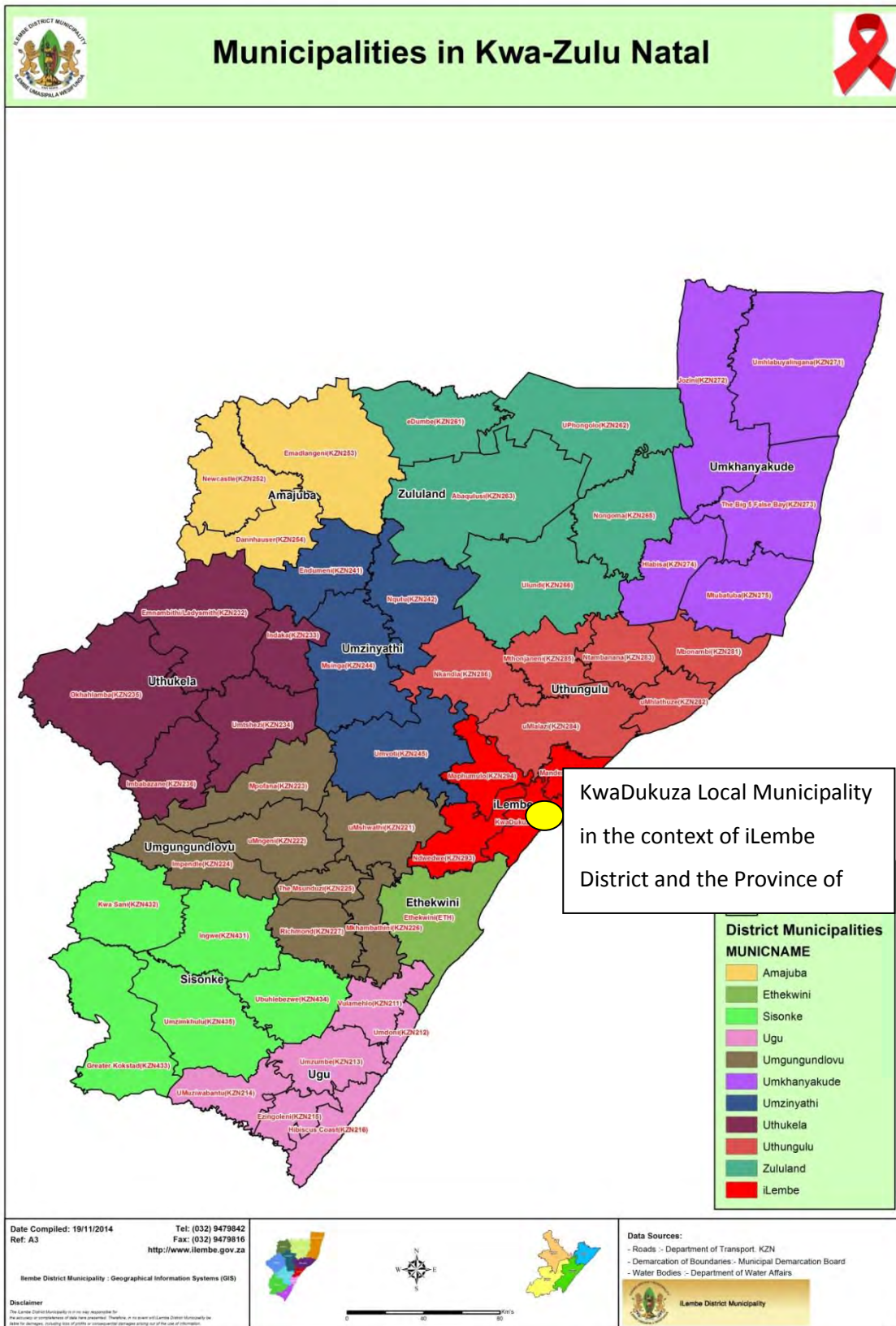
“public participation in the integrated development planning process is less than optimal within the KwaDukuza Local Municipality and requires additional strategic interventions to fulfil its mandate.”

1.7 THE CASE STUDY AREA - SHAKASKRAAL LOCATED IN THE KWADUKUZA LOCAL MUNICIPALITY

KwaDukuza Local Municipality is located on the east coast of the Province of KwaZulu- Natal, South Africa and is one of four local municipalities that comprise the iLembe District Municipality. The municipality has been regarded as one of the fastest growing municipalities in the country.

(KwaDukuza IDP, 2013/2014). Map 1 indicates the location of the municipality in the context of the District Municipality of iLembe and the Province of KwaZulu-Natal.

Map 1: Location of KwaDukuza Local Municipality in iLembe District and the Province of KZN



Source: iLembe District Municipality, GIS Unit, 2014

Shakaskraal is a secondary node in KwaDukuza Local Municipality and is situated along the R102 corridor of the municipality (KwaDukuza SDF, 2012). The area represents a microcosm of the development and planning challenges being confronted by the municipality as it has a mix of income groups and it is also a multicultural community. Shakaskraal forms part of Ward 22 of in the municipality. This research will evaluate how successfully the community of Shakaskraal have participated in the integrated development planning process of the municipality. Although it is acknowledged that some local specifics may influence this engagement it is argued that this area is representative enough of the demographical profile of the municipality to provide an indication of how successful the public participation strategy of KwaDukuza Municipality (KDM) has been. Thus it will provide a profile and set of criteria against which the public participation process in other wards in the municipality could be benchmarked.

1.8 CHAPTER OUTLINE

This dissertation has been compiled and created through separate chapters each of which provide different facets of information and objectives which form the theme of the research work. The chapters are structured as follows:-

Chapter 1: Research Framework

This chapter introduces the purpose of the dissertation and also states the aims and the objectives of the research. The chapter introduces the research questions, sub questions and states the hypothesis and also gives an introduction to the study area.

Chapter 2: Literature Review

The literature review unpacks the literature surrounding public participation and integrated development planning firstly in an international context and thereafter in the national context and finally in the local context.

Chapter 3: Precedent Studies

The chapter looks at how public participation has occurred in the Integrated Development Planning process of the City of Cape Town and also looks at public participation processes in Port Alegre in Brazil.

Chapter 4: Conceptual and Theoretical Framework

This chapter firstly looks at the concepts that inform the study and briefly describes what these concepts are and why they are applicable to this research. The theoretical component of this chapter investigates the various theories that inform the research and illustrate how these theories have a bearing on the research topic.

Chapter 5: The Case Study- Shakaskraal

This chapter introduces and describes the case study area. The case study is also described in its contextual location, as an area that is part of the country South Africa, the province of KwaZulu-Natal and thereafter the KwaDukuza Local Municipality.

Chapter 6: Research Methodology

The chapter discusses how the research was undertaken what methods of data collection were used and justifies why these methods were used. The chapter also provides details as to which individuals were identified to be interviewed for the research. Findings from the interviews and questionnaires will be analysed to provide answers to the research question.

Chapter 7: Research Findings

This chapter analyses the findings of the research from the questionnaires and the interviews that were undertaken in the previous chapter and tests the hypothesis and the research question.

Chapter 8: Recommendations and Conclusion

This chapter provides recommendations on improving public participation during the IDP processes and is based on the research findings that were uncovered in chapter 7. This chapter provides closure to the research.

1.9 CONCLUSION

This chapter has provided a background and rationale for the research topic, outlined the aims and objectives of the research, and stated the hypothesis. It has further outlined the main research question together with the sub research questions. The research question and the sub questions that have been stated form the foundation of the dissertation. The answers to them will be used to

validate or disprove the hypothesis. The case study has been introduced, and the relevance of case study has been explained and the context in which the case study is situated has been discussed.

This chapter has provided a clear and logical sequence to the dissertation which will assist the reader in understanding the research. The chapter outline that has been provided gives insight into the various facets that comprise this dissertation.

2.0 INTRODUCTION

The literature review provided, looks at the integrated development planning process and public participation in the international, national and local context. This section will investigate what the thinking is around these planning and development concepts to help provide a better understanding which will assist in providing a foundation for this research dissertation. Integrated Development Planning and Public Participation are the key elements being critically evaluated in this research study.

Once the context has been set in this chapter, the following chapter will evaluate two precedent studies which have been identified from the literature review process. A brief overview of these case studies will be presented, and their relevance to KwaDukuza Municipality discussed. The success and shortcomings of each of the precedent studies will be addressed in order to extract lessons from the practice. These lessons will assist in the evaluation process of the participation strategy in KwaDukuza and in drafting recommendations for this dissertation. The aim is provide observations and strategies to inform good practice in integrated development planning, translation of the outcomes on the Integrated Development Plan (IDP) and the public participation strategy in KwaDukuza Local Municipality in the future.

2.1 INTEGRATED DEVELOPMENT PLANNING IN THE INTERNATIONAL CONTEXT

This section examines the origins of integrated development planning as a process, the definition of it, and looks at the functions and the role that this planning approach plays in the development context.

To understand the concept of integrated development planning it is important to grasp the concept of integration first. Many scholars have done research on the concept of “*integration*” mainly from an economic perspective. Douglas (2011), Balassa (2013) and Robson (2012) set the scene in relation to understanding the concept of “*integration*.” According to Balassa (2013), integration refers to the convergence of “*parts into a whole*”. Alternatively, Douglas (2011, page 2) mentions that integration in regional development literature has been associated with a ‘*multidisciplinary*’ or

'interdisciplinary' doctrine. This research favours the interpretation of the concept of integration which is provided by Douglas (2011) as it is relevant in the development context and in this research.

Within the developmental context in economic terms, Balassa (2013: page 6) stipulates that *"integration means a process that encompasses measures designed to abolish obstacles or discrimination between economic units belonging to different national states"*. From the interdisciplinary perspectives according to Douglas, (2011: page 2) *"integration promotes an 'integrated' perspective in regional development and planning as a purposeful tempering of the hegemony associated with the long-established economic perspective."*

Therefore, the use of the term *"integrated"* relates to the expressed need to address development issues in the context of multiple levels of government (Douglas, 2011: page 3). Based on the views of the comprehensive perspective, the logic behind formal planning procedures required that the survey, analysis, plan design, and planning itself secure a comprehensive understanding of the development context, and the issues at hand (Douglas, 2011). It is in this regard that integrated planning comes into existence and refers mainly to a multi sectorial approach that brings together various elements. Tying in with the definition of integration provided by Balassa (2013), Gueli et al (2007: page 92) mentions that *"integrated planning is about different actors and sectors working together under a commonly designed agenda and re-aligning individual supply-chains to produce a commonly defined objective or product."*

According to, Binns and Nel (2002, page 923) *"integrated planning"* became popular internationally in the 1990's. This can be attributed to the growing strength of the environmentalist lobby, which was concerned with promoting a holistic approach to planning in which there was a strong concern for the environmental implications of development initiatives. This environmental approach to planning was also influenced in great detail by Local Agenda 21 which enlisted a range of objectives to include environmental sustainability, transparency in government, poverty eradication, gender empowerment, provision of basic services, accountability and transparency of government (Gueli et al 2007).

Internationally, the introduction of integrated development planning emerged in response to the new territorial configuration in Europe post 2000 and the need for tools that would allow the

implementation of political, economic and social reforms through planning. Around the world, the use of integrated development planning as a tool for the production of strategic plans has intensified in practice. Similar initiatives have been witnessed in the inclusion of participatory practices in planning. In Brazil, attempts have been made to integrate participatory approaches to planning and budgeting, whilst Turkey and Switzerland had implemented programmes of integrated regional development planning (Binns and Nel, 2002). Literature surrounding integrated planning has indicated that Indonesia and Papua New Guinea had also embarked on integrated rural development planning.

Harrison (2006) gives a clear reflection of how integrated development planning as an approach came to fore internationally and thereafter was incorporated into the development dialogue and mainstream planning of South Africa. Harrison refers to integrated development planning as an approach to planning. The approach is both process and production orientated. Thus the process of integrated development planning produces two outcomes – a process plan in the form of the Integrated Development Plan (IDP) and its spatial translation into the Spatial Development Framework (SDF). While the IDP remains as an instrument employed in post-apartheid South Africa to restructure the fragmented *landscape* “*the nature and form of the IDP were strongly circumscribed by the international discourse*” (Harrison, 2006, page186). At the time of transition, the African National Congress (ANC) led government looked to international practices in planning and political directives to guide the thinking of the new democratic government. At the time, the ANC was seen to have been a progressive movement and looked for policies that they could adapt that were not conservative in nature and which could be viewed as moving towards “*progressive governance*” (Ibid, 2006).

In his chapter, Harrison argued that integrated development planning and therefore the Integrated Development Plan were the outcomes of the convergence of two specific policies namely the New Public Management (NPM) and the Third Way Politics approach. The latter approach was developed as a response for those nation states and leaders that did not agree with New Public Management (NPM) in its entirety. The key tenet of New Public Management was that its foundation forms part of the neo-liberal approach to development challenges. NPM was about incorporating a business like culture into the public sector with efficiencies that resembled the business sector. He mentions that the “*key elements of the New Public Management Approach often included professional and flexible management at the top of the public sector bodies; the separation of policy making from operations;*

the disaggregation of public sector departments into corporatized units; the introduction of competition into service delivery; outsourcing and competitive tendering; and an emphasis on output-based performance evaluation"(Ibid, 1996, page 188.)

Harrison did note however the first wave of NPM which occurred during the 1980's was not very successful and nor was it planning friendly. The Third Way approach came to being in the 1990's and was developed by governments in Europe that did not agree with the fundamental principles of the NPM. The Third Way politics approach *emphasised "building community, inclusion, participation, poverty alleviation, and integration"* (Ibid, 1996.) Accordingly there was a move away from the pure economic rationality towards thinking about more social aspects of governance and development. It is imperative to understand the composition of these two approaches that influenced the conceptualisation of integrated development planning as it provides a greater understanding of the foundation and the building principles that were used in the composition of this approach.

Tying in with the founding of integrated development planning, Harrison (2006); Hall (2003) and Long and Franklin (2004) mentioned the international adoption of integrated models for development in the United Kingdom, Australia and New Zealand where national governments were responsible for setting policy frameworks. The expectation was that the local and regional government were to perform most co-ordination and integration functions thus creating an institutional structure where policy development and the devolvement of delivery by the national spheres of governance to lower governmental agencies and institutions could occur. More interestingly, they argue that these models involved continued devolution to sub-national government and partnership structures. Essentially, the model proposed a top-down set of directives for bottom-up execution. This strikes immediate resemblance to the post-apartheid planning system in South Africa where focus was at the local level of government and local government is regarded as being the drivers of development. From a participatory planning approach, this is counter intuitive since a top down institutional model tends to be one directional and authoritarian in nature.

In another example of devolution of governance to the local level Baker and Wong (2013; page 83) mentions that the dawn of regional spatial planning in England saw a shift from the previous top-down, target-driven approach of spatial planning to a more local oriented style. In terms of the

extent to which integrating planning was in practice, the 1997–2010 Labour Government in United Kingdom (UK) had set out to “modernise” public service delivery through a plethora of reforms intended to ‘join up’ government activity (Pugalis and Townsend 2013, page 108). In 2010, the Coalition Government re-worked the geographical scales of policy-governance to do more with the politics of dwindling public resources and ideological viewpoints than to do with locating a more appropriate spatial scale for the leadership and operation of sub-national planning and development (Pugalis and Townsend, 2013, page 117). This planning shift in England saw a move away from the top-down approach to planning and is reminiscent of planning approaches in post-apartheid South Africa where planning functions were encouraged to be a bottom up inclusive approach.

In Japan cities like Aichi portray elements of integrated planning. Jacobs (2002) notes that strong vertical support at national policy level and consistent horizontal planning and management coupled with a strong corporate commitment are key elements for successful integrated planning. Such concepts have been included into the model adopted in South Africa in the form of intergovernmental cooperation and the introduction of performance management systems. These elements illustrate a level of managerialism in governance and a shift in the expectations of planning where the practice had be seen to echo the strategic nature of paradigm that underpinned it. *“From this perspective, the concept of integration has attained something of a normative status in development planning and management, as recognition of the shortcomings of previous perspectives, dominantly those from economics, and the real world complexity of regional and other development contexts”* (Douglas, 2011.)

2.2 INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA

This section looks at the concept of integrated development planning and its product the IDP in the South African context. It illustrates the extent to which both process and plan are used in the country for promoting development to redress the ills caused by Apartheid planning. It must be stated at the onset, that both integrated development planning as an approach and the IDP as the end product of process are planning and development tools designed for the South African landscape post 1994. The IDP was introduced in post-apartheid South Africa to address and correct the mass spatial inequalities and disaggregation that existed and continue to exist due to the legacy of racially based apartheid laws that separated people along the lines of colour. The key tenets of post-apartheid governance and which is enshrined in the Constitution is that inclusiveness, public

participation, transparency and accountability are fundamental in the development agenda. The policy and legislative prescripts that detail these concepts will be dealt with later on in this chapter.

Among others, Harrison (2006), Theron (2005), Todes (2004); Gueli et al (2007); Binns and Nel (2002); Sowman and Brown (2006); Robinson (2009) all have extensively researched integrated development planning in South Africa. According to Todes (2004, page 844), integrated development planning in South Africa can be viewed as a new form of regional planning as the concept defines specific spatial entities and advocates for holistic territorial development. Todes further defines IDP by stating that IDPs *“are intended to be holistic, integrated and participatory strategic plans guiding the work of the municipality”* (Todes 2004, page 849). A key concept that Todes refers to in her definition of integrated development planning is that the IDP is meant to give effect to the term of *“developmental local government”* which is a term that has been interchangeably used with post-apartheid local government.

In relation to the literature review about integrated development planning in South Africa, many scholars have noted its importance in the development context in the post-apartheid period to nurse and heal the wounds that were created by the previous government. Primarily it is noted that the purpose of the Integrated Development Plan was to restructure the fragmented spatial form of the country, to make government more transparent to ensure that citizens received basic services and also to allow the public to participate in the decision making processes of the government. Thus the intended outcome of the planning process is to ensure that the country has a reconstructed and inclusive governance system which enables all of the elements mentioned above.

The objectives of post-apartheid South Africa’s development policy and the creation of the Integrated Development Plan were influenced to a large extent by international development agendas and reflected influences of the United Nations popular *“Agenda 21”* which built its foundation on, environmental sustainability, transparency in government, poverty eradication, gender empowerment and provision of basic services, accountability and transparency of government. (Gueli et al, 2007) This international model has been adapted worldwide where is termed Local Agenda 21 but has the same tenets underpinning its implementation.

While the concept of integrated development planning was largely conceptualised from international discourse, the formal concept of an Integrated Development Plan was introduced by the Local Government Transition Act, Second Amendment Act in 1996. At that time there was a growing awareness that there was a need for change and restructuring of local government but there was no clear guidance to municipalities on how to go about preparing and implementing such a planning instrument. This shortcoming was addressed by the introduction of numerous IDP guide packs drafted by the national government department, Department of Provincial and Local Government (DPLG)¹ to assist municipalities in compiling the IDP. However the guide packs that were provided focused mainly on what the contents of the IDP should be and there was little emphasis on the process that needed to be followed in order to compile this five year strategic plan of the municipality. (Harrison; 2006)

Integrated development planning encompasses a range of activities from its inception. In the Local Government Transition Act, Second Amendment Act (No. 97 of 1996) it was stated that local authorities in the country need to promote rational and development orientated planning within their areas of jurisdiction. In addition, planning processes were to be linked to the performance management processes of officials and staff in the municipality. This idea was imported from Europe and links to the New Public Management approach which introduced corporate models of governance for public institutions.

Whilst the IDP was intended to encourage development, bring local government to the people and provide strategies to eradicate poverty, the IDP also had to be strategic, a business like document that promoted a municipality in an attempt to attract investment into the area. All development that occurred in the municipal space had to be tied to measurable performance indicators, which will hold the municipality accountable to the public in terms of financial expenditure and outcomes achieved.

The legislation that followed the Local Government Transition Act spelt out similar expectations of integrated development planning and added to the refinement to the IDP document. It addressed the process that was to provide the basis for the IDP. The National White Paper on Local Government was published in 1998 after the Local Government Transition Act came into being and

¹ The Department of Local Government is now called the Department of Cooperative Governance (DCoG)

reiterated concepts like developmental local government and performance management. Harrison (2006) notes that there was a prominent resemblance of the White Paper on Local Government introduced by the South African government to the document produced by Britain's New Labour Party which was called *'Modern Local Government: In touch with the people'*. This document of the British government emphasised the following four principles as outlined in table 2 below:-

Table 2: Comparison Table of British Modern Local Government and Principles from the White Paper of South Africa

BRITAIN'S 'MODERN LOCAL GOVERNMENT'	SOUTH AFRICA'S WHITE PAPER ON LOCAL GOVERNMENT'
Performance Management	Developmental Local Government
Integrated Planning	Public Participation
Community Participation	Co-operative Governance
Service Delivery Partnerships	Performance Management

Source: Harrison, 2006

From the illustrative table above, the similarities in the outcomes of these documents are evident. This similarity highlights the incorporation of international influences in the conceptualisation and formulation of South Africa's integrated development planning process and the IDP. Whilst drawing upon international practice, the IDP had to be specific to the country's context and relate to emerging institutional structures, planning and development outlined in the White Paper and policy directives. The fundamental constitution principle aspect of public participation could be included through an adaptation of the British model which is shown above.

The Local Government: Municipal Systems Act (Act No. 32 of 2000) is the final piece of legislation that mandates municipalities to compile an Integrated Development Plan and it lists the minimum mandatory contents of the document in chapter five. The Act also outlines the process that should

be followed in the compilation of the plan and the degree to which community participation is an integral part of the both the process and plan production.

2.3 INSTITUTIONAL ENGAGEMENT WITH INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA

The Council for Scientific and Industrial Research (CSIR) and the Gesellschaft Technische Zusammenarbeit (GTZ) were instrumental in the formulation of the Municipal Systems Act (MSA). It is important to note the influences that these organizations brought to integrated development planning as this provides a better understanding of the intentions of the plan, what international and local influences contributed to the make-up of it. Understanding these threads of the development of the planning process will also help to contextualise the IDP in greater depth and detail.

The Gesellschaft Technische Zusammenarbeit (GTZ) is a German organization that is part of the German Federal Government and works with development issues around the world. Concepts such as gender, HIV/Aids prevention, poverty alleviation, disaster management and local economic development were brought to the fore in the plan by the organisation indicating their focus on the analytical inputs of the process. In contrast, the Council for Scientific and Industrial Research (CSIR) brought technical rationalism to the thinking of IDP as the organization is primarily focused on scientific and technological research. The technical rationalism of the CSIR was based on *“details of procedure and institutional structures, and on the development of technique.”* (Harrison, 2006, page 200). The CSIR also emphasized the key elements of sustainability which were linked to the international principles of Agenda 21 and South Africa’s approach to sustainable development in accordance with Agenda 21.

The contribution of these development agencies and enabling policy and legislative framework introduced at the time provided the basis and set the foundation for the introduction of new approaches to planning and the implementation of the IDP. The guide packs produced by government departments also assisted municipalities in defining what an IDP is and in formulating their use of the planning tool.

2.4 THE PRINCIPLE OF DEVELOPMENTAL LOCAL GOVERNMENT IN SOUTH AFRICAN INTEGRATED DEVELOPMENT PLANNING

There needs to be reflection about the term '*developmental local government*' as a concept and its inclusion in both integrated development planning as a process and the IDP as the product. The concept first emerged in the national Constitution where it is outlined in Chapter 7, Section 153 where it addresses the "*development duties of Local Government*" and was carried through subsequent policy papers and supporting legislation. According to Theron (2005), there are four primary characteristics of developmental local government these are outlined in detail below:-

1. Developmental local government is meant to maximize social development and the growth of communities and this should be done by using local government functions to develop communities and meet the basic needs of such communities;
2. Developmental Local Government needs to employ integrated development planning methodology which strengthens integration and co-ordination;
3. The third characteristic of developmental local government as presented by Theron (2005) is democratizing development, empowerment and redistribution which entail the involvement of communities in the design and delivery of municipal projects; and,
4. Developmental Local Government is an important player in building social capital.

All four characteristics of developmental local government reflect on the need to develop and empower communities and this re-enforces the foundation of post-Apartheid planning which aims at uplifting previously disadvantaged communities.

2.5 INTEGRATED DEVELOPMENT PLANS

Integrated Development Plans are the outcome of the legal framework that underpins them. They have a process and set of tools inherent in them. Being strategic, managerial and project orientated in nature the plan takes the form of a document similar to a strategic business plan. Their spatial component lies not in the document itself but in the linked Spatial Development Framework which is the translation of the plans vision and objectives. There are also other components to the plan. The IDP assists the municipality with its budgeting over a five year period. A key definition that Todes (2004) provides is that "*IDPs are seen as prime vehicles for redressing poverty and inequality and for restructuring urban and rural areas away from the apartheid legacy.*" (page34). An important point that Todes (2004), Theron (2005), Gueli et al (2007) all state is that the production of the plan (IDP)

is a statutory requirement for all local authorities and includes district municipalities. The production of the plan and inclusion of its parts as outlined in Chapter 5 of the Municipal Systems Act are mandatory.

Gueli et al, (2007, page 101) introduces the specific purpose and the key principles of the IDP. He mentions that *“South Africa’s integrated planning approach was launched after 1994 as a platform for previously marginalized municipalities to: directly partake in service delivery planning; reform old and build new institutions; and to identify and prioritize strategic development interventions with both short and long-term impacts”* (Ibid, 2007).

Gueli et al (2007) states that there are three specific principles that govern the approach namely; integrated development planning is a consultative process and as a consultative process it should analyse problems that impede service delivery, problems identified by a municipality must then be prioritized, a vision should be developed and project proposals should be formulated. The second principle is that the development of the IDP is a strategic process and as such, it should combine local knowledge with that of the experts, so that effective and efficient use is made of scarce resources and there is integration with other sectors in terms of budgets for projects (Ibid 2007). Thirdly the IDP is meant to be an *“implementation-oriented process”* and in this regard is a tool for better service delivery, this principle entails sound project proposals designed, budget links are established that are feasible and there is a consensus among stakeholders (Ibid 2007).

These key principles that have been outlined by Gueli et al (2007) have particular relevance to this dissertation because it highlights the relevance of public participation and reiterates that the IDPs intention is to be an inclusive process. Therefore the product that is produced which is the IDP is meant to be a reflection of the needs of the community. This dissertation will look at how this consultative process has taken place in the KwaDukuza Local Municipality and in particular Shakaskraal – a smaller area of the municipality and critically evaluates how successfully the element of participation has been addressed by the Integrated Development Plan prepared by the municipality.

The principles outlined by Gueli et al (2007) share close links with the core contents of the IDP which are specified by chapter 5 the MSA. These include:-

- The Council’s vision for the long – term development of the municipality with emphasis on the most critical development and transformation needs;
- The Council’s assessment of the existing level of development in the municipality, including the identification of those sections of the public in need;
- The Council’s development priorities and objectives for its elected term, which include its LED aims and its transformation needs;
- The Council’s development strategies which must be aligned with national/ provincial sectorial plans and planning requirements binding on the municipality in terms of legislation;
- The Council’s Spatial Development Framework which must include the provision basic guidelines for a land use management system;
- The Council’s operational strategies;
- The Council’s Disaster Management Plan;
- The Council’s financial plan with budget projection based on three years; and,
- The Council’s key performance indicators and targets as stated in section 41 of the Municipal Systems Act (2000) (Theron, 2005; COGTA, 2000, MSA, (2000).

There are various definitions of what IDP is in South Africa both from the academics and the guide packs and it is essential to reflect on some of the definitions to clarify the role of the IDP and to also understand what is meant to be achieved by this planning tool. This clarity assists in assessing the shortcomings of this development tool and suggestions can then be made to improve the tool and reconfigure it if need be.

2.6 DEFINING AN INTEGRATED DEVELOPMENT PLAN

In searching for a definition of integrated development planning IDP in the context of South Africa reference can made to that proposed by the South African Forum for Effective Planning and Development in 1995 where it was referred to and defined as:-

“A participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and the marginalised” (DPLG, 2000: page15) and Binns and Nel (2002, page 924).

Furthermore, as an instrument for planning, Sowman and Brown (2006: page698-699) note that the IDP in South Africa is intended to be the principal strategic planning instrument which guides planning and development, and informs budgeting and management decisions in local authorities over a five-year period.

Todes (2004) identifies the key role of the IDP as contributing to sustainable development however at the same time the integrated development planning process is seen as a systemic approach, which integrates socio-economic and ecological dimensions. Theron (2005) has stated that the Integrated Development Plan “*supersedes all other plans that guide development at local government level*”. This principle is mirrored in the structure of the South African legislative framework that governs the implementation and approval of the plans. Any development that is to occur at a municipal level must be done in accordance with the IDP and the Spatial Development Framework of that municipality.

The IDP is then concluded as being the prime vehicle for sustainable development at municipal level. Todes (2004) insists on multi-sectorial, integrated, bottom-up approaches for planning in post-apartheid South Africa. These approaches are in the direction of local and regional development, and with new forms of governance based on participatory approaches and high levels of decentralisation.

2.7 THE POLICY AND LEGISLATIVE CONTEXT OF THE INTEGRATED DEVELOPMENT PLAN IN SOUTH AFRICA

Section 152 of the Constitution specifically states that the objectives of local government are “*to provide democratic and accountable government for local communities*” and to encourage the involvement of communities and community organizations in the matters of local government. It is these two specific pieces of legislation that mandate the compilation of the IDP and public participation that lay the foundation for this dissertation and it is against this backdrop that the dissertation is premised and will be evaluated against.

As discussed above the Municipal Systems Act (MSA) is the legislation that mandates local, district and metropolitan municipalities to prepare and adopt an IDP. The plan is compiled every five years and is reviewed each year and comprises the Spatial Development Framework (SDF) which is the spatial representation of the IDP and which gives guidance to all spatial planning that is to occur at

the municipal level. While chapter 5 of the Municipal Systems Act gives guidance to the formulation of the IDPs, the legislation also provides guidance to public participation and mandates municipalities to develop a culture of participatory governance.

The Act mandates municipalities to prepare IDPs as set out in the legislation. It highlights the need for an inclusionary process in the preparation of the IDPs. Local government is required by law to ensure that the production of the plan must be done in a participatory manner. This prerequisite is a means of addressing previous forms of exclusionary planning which violates the rights of communities to live in integrated non-racial societies. Hence the participatory approach that is being prescribed by the Act aims to correct the previous regime's inequalities and is therefore a fundamental element to planning in post-apartheid South Africa and in this case integrated development planning.

Chapter 5 of the MSA lays the foundation for IDPS, whilst chapter 4 mandates community participation and details mechanisms, processes and procedures for community participation. This research is concerned with how this community participation is taking place in the local municipality of KwaDukuza in KwaZulu-Natal. It also considers whether or not the objectives of this development tool are being met in implementation. Tying in with the chapter 4 and chapter 5 of the statute, the South African Constitution, regarded as the supreme law of the land also enlists the importance of community participation and ensures that community participation and consultation is at the core of the development practices in post-apartheid South Africa.

The Spatial Planning and Land Use Management Act, (Act No. 16, 2013), provides clear guidance to the development of the Spatial Development Frameworks (*SDF*) *that are part of the Integrated Development Plan. Section 20 (2) of SPLUMA states that "the municipal spatial development framework must be prepared as part a municipality's integrated development plan in accordance with the Municipal Systems Act."*

2.8 INTEGRATED DEVELOPMENT PLANNING IN KWAZULU-NATAL

Integrated Development Planning at Provincial Government level in the province of KwaZulu-Natal (K-ZN) is guided by Section 32 of the MSA which states the following: *"the Municipal Manager of a municipality must submit a copy of the integrated development plan as adopted by the council of the*

municipality and any subsequent amendment to the plan, to the MEC for local government in the province within 10 days of the adoption or amendment of the plan”.

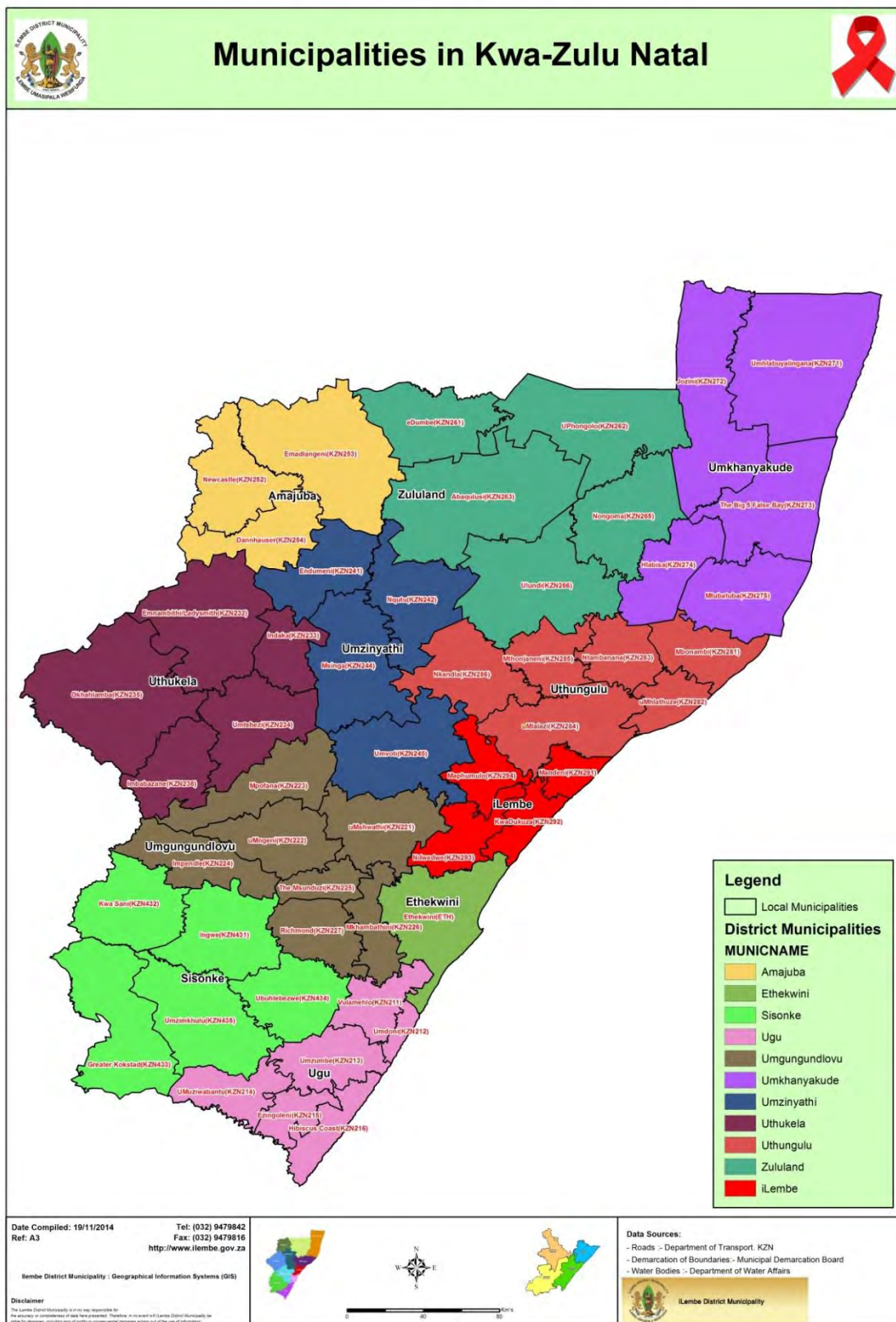
Based on this section of the Act, the sixty one municipalities of the province of KwaZulu-Natal are meant to submit their IDPs to the provincial department of Co-operative Governance and Traditional Affairs (CoGTA)². The Municipal Executive Committee (MEC) after receiving the documents provides the Mayors of the municipality with a formal letter which details the assessment of the IDP. Map 2 on the following page depicts the municipalities of the province which comprises one metropolitan municipality namely eThekweni, ten district municipalities and fifty local municipalities.

Subban and Theron (2013) have documented the IDP drafting and assessment in the province of KZN over a ten year period and have brought to the IDP dialogue pertinent issues about the manner in which IDPs were compiled and how the National and Provincial government responded to these IDPs in an assessment of them over the three generations of the IDP. Theron and Subban (2013) firstly mention that assessment and evaluation of the IDP in the province of KZN is in line with international trends on plan assessment and there are various reasons why it is necessary to continually evaluate and assess development plans some of these referred to by Subban and Theron (2013) citing (Todaro and Smit, 2006; Conyers and Hills, 1994; Mensah, 2005) include: -

- 1) Plans are directly related to data and data that is used in plan formulation must be relevant and the development plan must respond to the data that is used.
- 2) Plans are sometimes based on unrealistic expectations and plans that have unrealistic targets are doomed.
- 3) Plans must be presented clearly and logically and not in a complex manner, if plans are not presented clearly they will not be able to attract the necessary support from development agencies.
- 4) Plans that do not embrace community participation will not succeed and it is therefore essential that community participation must be inherent in plan formulation.
- 5) Development plans must be funded; if projects are not funded there will not be any implementation.

² The department was previously called the Department of Local Government and Traditional Affairs.

Map 2: Municipalities in KwaZulu-Natal



Source: iLembe District Municipality, GIS Unit, 2014

It is clear that the assessment and evaluation of IDPs must occur to ensure that these development plans are relevant, realistic and respond to their communities, particular importance from the above summary which is vital for this dissertation is the focus on community participation and the critical function it has in the plan formulation and implementation. While the reasons why plans are evaluated and assessed are clear, Subban and Theron (2013) further mention that this assessment of the plans can take place while they are being prepared and 'post-ad hoc plan'. In the province of KZN integrated development plans are assessed in both stages.

The draft and adopted IDPs in KZN were centrally performed by the previous national Department of Provincial and Local Government (DPLG) now called Cooperative Governance until 2010 when the role was delegated to the provinces. Thereafter CoGTA in KwaZulu-Natal became responsible for the assessments and scoring of IDPs. Over the three generations of the IDP prepared since 2002, there have been several methodologies that have been used to assess these development plans and credibility assessments frameworks were often used to ensure that IDPs contained relevant information. During the assessment of the first generation of IDPs, IDPs were adjudicated by the IDP Forum which included provincial representatives from DPLG and the sector departments. Their work was not without challenges. Some of the concerns they encountered included the following:-

- Late appointment of IDP managers
- Lack of Participation of Traditional Councils
- Lack of Alignment between the District and the Local Municipality planning
- Vague visions of municipalities did not assist the strategic planning process of the municipality
- Consultants appointed to do IDPs for municipalities were not adequately briefed and as a result information across municipalities was duplicated
- Lack of participation by sector departments
- IDP guide packs were too complex and not user friendly
- Contents of IDPs were not uniform and made comparative evaluation impossible
- Belated publication of MSA regulations
- National assessments guidelines came too late to influence the process.

Source Subban and Theron, 2013

Once draft IDPs were assessed by the Forum, municipalities received comments which they needed to attend to and incorporate into their final documents. A distinct challenge that was noted in the first generation of the IDP assessments was that municipalities sometimes received generic comments on their IDP assessments due to the lack of capacity of the assessment team. Staff from DPLG put in comments in the letters to municipalities indicating the issues that needed to be addressed and included in the IDP (Ibid, 2013).

During this first generation of assessments of the draft and adopted version of the IDP, the provincial government worked very closely with national department to assist municipalities in the province produce credible IDPs. The aim of the continuous feedback was to assist municipalities to better engage in the IDP process and to produce quality IDP documents. The challenges that were noted countrywide also applied to the municipalities in KwaZulu-Natal.

Further to the assessment of the draft and the adopted versions of the IDP during the first generation the national department of DPLG took stock of the IDP process and product in the country and noted the following elements which again are applied to the province of KZN. Some of the positive changes that were noted by DPLG included:-

- Municipal councillors and officials had taken ownership of their IDP process;
- Municipalities internalised IDPs as part of their work system;
- There was a stronger relationship between the budget of the municipality and the IDP;
- Implementation plans were underway and importantly in regards to public participation, and
- Communities and ward committees had participated in the IDP.

Source: Subban and Theron, 2013

The challenges that were noted at the same time of this assessment included, entire IDPs of most municipalities could not be implemented due to a lack of funds to implement projects. There was also a lack of commitment by sector departments to projects. It was noted that there was inadequate participation by key stakeholders in the process and there was limited engagement of the provincial growth and development strategy within the plans. While there was significant improvement during this first generation of the IDP there appears to have been significant

challenges to the IDP and the process which is important to contextualise. This background will be used when the case study is being evaluated. The challenges and successes highlighted in the first round of IDPs will assist to contextualise the realm within which plans were developed. This information is applicable to the wider context in the province of KwaZulu-Natal and will also provide insight to the nature of the integrated development planning process in KDM.

The second generation of IDPs saw a different style of assessment and evaluation being introduced. While the KZN province continued to support municipalities in the province with their IDPs assessments and evaluation, the actual process was still done at a national level. The assessment of IDPs both provincially and nationally were conducted using the 'Credibility IDP Evaluation Framework' and IDPs were assessed according to the four clusters which were reflective of it. The four clusters included economic development and finance; spatial development; infrastructure and service delivery and governance and institutional development (Subban and Theron, 2013). The most distinguishing factor in the second generation of the IDP evaluation is that for the first time the notion of scoring was introduced to the assessment structure. Once the IDP assessment was complete, municipalities were given a score and thereafter ranked. This according to Subban and Theron (2013) was highly controversial and some low ranking municipalities disputed the scores as this impacted on their performance outlook of the respective IDP managers.

The assessment groups also changed during this period from initially assessing four clusters in the assessment, IDPs in the second generation were assessed according to five key performance areas as per the MSA regulations (2001) which included:-

- Municipal Transformation and Institutional Development;
- Local Economic Development (LED);
- Basic Service Delivery and Infrastructure Investment;
- Financial Viability and Financial Management; and.
- Good Governance and Public Participation.

The province of KZN added a sixth KPA called "*Spatial and Environmental Planning*" (Subban and Theron, 2013). Since 2008 onwards, the assessments of IDPs became a provincial function as compared to being assessed nationally. This was done in attempt to improve co-ordination between

sector departments. The results of the assessments were then presented to municipalities in a report format. The Good Governance and Community Participation is the KPA that has a direct impact on this dissertation. In 2008 the holistic assessment in KZN for the Good Governance and Community Participation KPA indicated the following *“All IDPs showed good progress on public participation through ward committees. This form of community participation is designed to increase local commitment to the principles of democratic governance. However the issue of ward committees does pose challenges for municipalities and in this context were not informed on the final IDPs.”* (Subban and Theron, 2013, page 25)

Table 3 below is adapted from Subban and Theron (2013, page 26) and indicates the top 10 municipalities in KZN for the period 2011/2012. KDM was ranked 4th in the province which indicates that the IDP at the time was of good quality and credible. The general comment for the Good Governance and Community Participation key performance area, at the same for the KZN province was *“Municipalities should establish feedback mechanisms for their communities. The role of ward committees is acknowledged. Increasing awareness of the role and involvement of Traditional Councils in IDP processes and municipal affairs is noted.”*(Subban and Theron, 2013, page 27).

Table 3: Ten Highest Ranking Municipalities based on the 2011/2012 Reviewed IDPs

MUNICIPALITY		CREDIBILITY
1	Amajuba	93%
2	eThekwini	91%
3	Ugu	89%
4	KwaDukuza	89%
5	iLembe	86%
6	uMshetzi	83%
7	Emnambithi-Ladysmith	81%
8	uMdoni	80%
9	uMgungundlovu	80%
10	uThungulu	80%

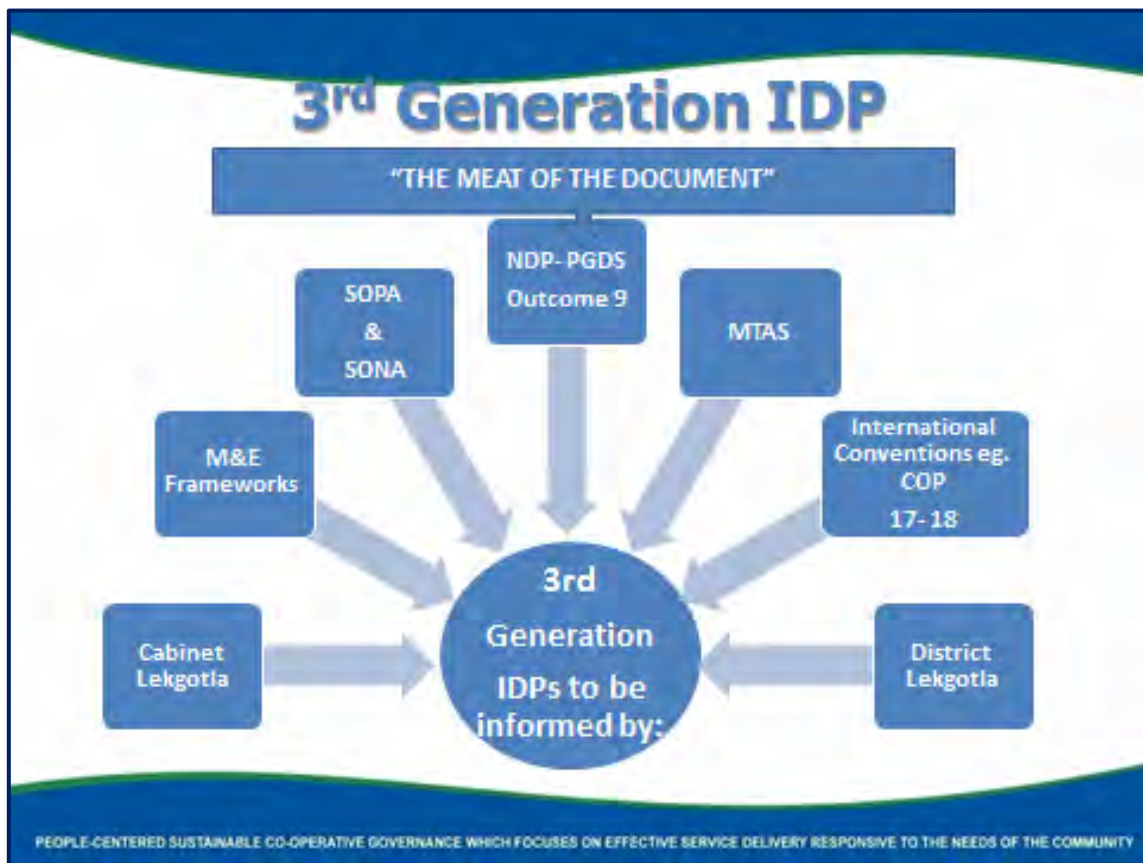
Source: Subban and Theron, 2013 (page 26)

KDM according to the assessments performed by CoGTA during the second generation of the IDP had a credible and a good quality IDP (Subban and Theron, 2013) which meant that the municipality complied with the relevant legislation and assessment criteria. What this assessment did not state is the level of implementation of projects and level and extent of public participation, which then is concluded to be a flaw in the assessment performed by CoGTA.

The third generation of IDPs in KZN was referred to as the Outcome Based Approach and the ideology of *this approach was defined by Brand and Klein (2012, page 20 cited in Theron and Subban, 2013) "to ensure that sustainable development and service delivery, a paradigm shift is needed away from 'business as usual', and a redefinition of the way in which municipalities develop and implement their strategic objectives, outcomes and indicators included in their IDPs, while improvement must be linked to the outcomes based approach."* The third generation of IDPs called for an IDP that responded to the communities that the IDP served and there was a shift in focus from

being completely fixated on legislative compliance to more responsive IDP that was clear and concise was in line with national and provincial priorities. Figure 1 below refers to the Third Generation IDP that has been referred to by CoGTA.

Figure 1: The Third Generation Integrated Development Plans (IDPs)



Source: Subban and Theron, 2013


In this third generation of the development of Integrated Development Plans (IDPs), the KwaDukuza Municipality (KDM) would have had to focus on their public participation programmes to ensure that information from community gatherings were adequately extrapolated and incorporated into the plan. The inclusion of concerns expressed in public meetings would have addressed their mandatory responsibility in terms of the Municipal Systems Act and created projects and programmes which would have contributed toward improving the quality of lives of all people in KwaDukuza. Through

this process, the KwaDukuza Municipality would have actively responded to national, provincial and district policies, plans and priorities related to the process and plan.

2.9 INTEGRATED DEVELOPMENT PLANNING IN THE KWADUKUZA LOCAL MUNICIPALITY

The KwaDukuza Local Municipality was established in 2000. The area of jurisdiction of the municipality encompasses sections of land that was previously controlled by the Apartheid government and also includes areas that did not have any statutory control. Since the introduction of integrated development planning in 2002, the KwaDukuza municipality have undergone 3 generations of integrated development planning as indicated in the table below.

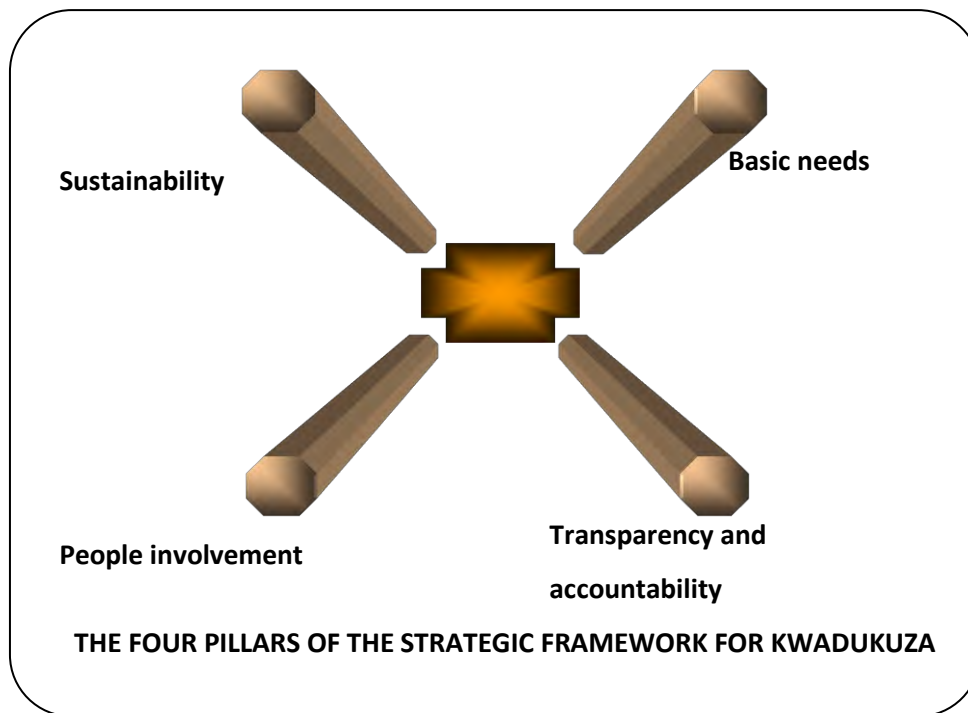
Table 4: Generations of the Integrated Development Planning Process

GENERATIONS OF INTEGRATED DEVELOPMENT PLANS (IDP)	YEAR	TEMPORAL PERIOD OF RESEARCH
1 ST Generation Integrated Development Plan (IDP)	2002-2006	
2 ND Generation Integrated Development Plan (IDP)	2007-2011	
3 RD Generation Integrated Development Plan (IDP)	2012-2017	

Source: CoGTA, 2012

The first IDP of the municipality was prepared in March 2002 and was a five year plan which formed part of the first generation of IDPs that were prepared nationwide. The key challenges that were noted in the first IDP included: provision of basic services, improving service delivery, developing people of the municipality, addressing poverty and unemployment, managing the health epidemic and HIV aids, ensuring strict credit control, and improving relationships.

Figure 2: The Four Pillars of the Strategic Framework for KwaDukuza



Source: The KwaDukuza Integrated Development Plan, 2002

Figure 2 presented above is based on information extracted from the first IDP of the municipality. It indicates the pillars that constitute the strategic framework of the municipality. It appears that involving the community in decision making was earmarked as a tenet of the strategic framework along with principles of transparency and accountability. All of these principles are crucial if the IDP is to address basic needs and development occurs in a sustainable manner.

At the start of integrated development planning process in KwaDukuza, the municipality had developed a Participation Strategy and the IDP states that the public was extensively consulted in the development of the plan. The Participation Strategy was included and referred to in this first IDP of the municipality. The municipality at this stage should be commended firstly for not only producing an IDP for the purpose of legislative compliance which most municipalities in the country at the time were practicing (Subban and Theron, 2013) but the municipality demonstrated an understanding of the tenets of post-apartheid planning in their IDP document and process as claimed in the IDP (2002). Due to the commitment shown by the municipality in the preparation of

their Participation strategy and the claimed public participation implies that KDM was fully aware that the community should be the drivers of development at local level.

The vision for the municipality at the commencement of the IDP in 2002 was that *“by 2010 KwaDukuza will through unity and good governance be an economic powerhouse, delivering services in an affordable and sustainable manner within a safe and healthy environment.”* The municipality produced a review of the plan every subsequent year. Five years later they produced their second generation IDP in 2007 together with a newly elected municipal council. The vision for the municipality as envisaged by the new council in 2007 was that *“by 2015 KwaDukuza will through unity and good governance be an economic powerhouse delivering services in an affordable and sustainable manner within safe and healthy environment.”* There had been no change in the vision statement for the IDP despite the fact that circumstances on the ground were changing as KwaDukuza addressed a fast growth trend particularly in the southern part of the municipality.

While the first generation IDP is said to be a product of intensive community engagement as stated in the plan, the second generation IDP also had a strong focus on community participation and stated that *“it is the task of the newly established council to give a developmental vision and direction for the next five years. This new focus will be achieved through Community IDP Imbizo’s whose objectives will be to identify community needs in all KwaDukuza 20 wards. The product of the Community IDP Imbizo’s shall be KwaDukuza 2007/2012 Integrated Development Plan KwaDukuza Municipality 2007/12 IDP is a five year strategic plan which is aimed at providing the community of KwaDukuza with an access to basic services, health care, education, food, and social security, housing, road infrastructure and safety and security amongst other things.”* (KDM IDP, 2007)

Again in the second generation IDP there is a strong focus on community participation and involvement of the community in the development of KwaDukuza Local Municipality the extent of these Imbizo’s and the incorporation of the community needs cannot be verified in much detail at this point as this information was not made available in the IDP or during interviews held with officials from the municipality. It was stated however in this second generation IDP that the IDP Representative Forum was the vehicle for community participation, through which ward profiling was conducted and a needs list from each ward was compiled. The IDP also stated that the Forum was there to ensure the following:-

- That KwaDukuza Councillors remain accountable and work within their mandate;
- That the social distance between KwaDukuza Councillors and KwaDukuza Community would be narrowed;
- That the values of Good Governance and human rights would be promoted;
- That citizens would be allowed (as individuals or interest groups) to have continuous input into KwaDukuza Politics;
- That service consumers would have input on their service delivery issues ; and,
- That organised civil society would be given the opportunity to enter into partnerships and contracts with KwaDukuza Municipality in order to mobilise additional resources.

The assessment of these two generations of IDPs produced by KDM indicates that the municipality firstly has a good understanding of post-apartheid planning practice as stated earlier. It also has a fairly good understanding of the importance of engaging with communities and ensuring that the community are the decision makers in the development of the municipality. Methods of engaging with the community appear to be well understood from the assessment. The municipality has clear strategies for community participation; however the Integrated Development Plans lacked detail indicating the dates of meetings and which communities or groups of communities were involved in the IDP process. There was no indication if the process had succeeded in being inclusive or whether certain communities had been excluded from the process. Figure 3 below provides an indicative diagram of the interrelationship between communities, representative institutions and local government bodies and it was this strategy and objective that KwaDukuza was striving for in their IDP.

The ward profiling was undertaken in 2007 and identified community needs in each designated area. However, the subsequent chapters in the IDP do not detail how these needs that were identified by the municipality would be addressed. In this regard, the IDP was lacking. Whilst it is important that community consultation takes place. It is equally important to address these community needs ensuring that service delivery is implemented.

Figure 3: Relationship between Community, Ward Committee and Municipality in KwaDukuza Municipality



Source: KwaDukuza Integrated Development Plan, 2007-2008, (page 28)

The third generation IDP was produced in 2012 and coincided with the term of office of the third municipal council who were elected to serve the community. The focus on the third generation IDP from a monitoring and support perspective from Provincial Government was characterised as *“the outcome based approach IDP”* as stated earlier, municipalities were encouraged to move away from compiling IDPs merely for legal compliance and rather to focus on actual community needs. There has been a focus on the implementation of projects in the outcome based approach.

During the assessments of their Integrated Development Plan by the Provincial Department of Cooperative Governance (CoGTA), KwaDukuza Local Municipality was never ranked in the weak category. Municipalities whose IDPs were ranked as lacking were earmarked for remedial action and interventions. Thus the IDP produced by KDM over the three generations was regarded as being credible. What did this status mean? A credible IDP according to CoGTA is one that is legislatively compliant. While the provincial assessments focused on legislative compliance of the IDPs, there is no structure in government (national or provincial) that monitors the implementation of the IDP. This institutional oversight implies that while a municipality might have in its possession a credible IDP, the plan may not be implementable which rather defeats the mandatory requirements of the plan.

The vision that was set out in the third generation IDP for KDM in 2012-2017 stated *“by 2030, KwaDukuza shall be a vibrant city competing in the global village economically, socially, politically and in a sustainable manner”*. The new vision statement provides a departure from previous ones with an emphasis on urban based initiatives and global competitiveness. In part this change in focus can be attributed to the impact of the completion of the Dube Trade and its impact on southern part of the municipality particularly Ballito. In this third generation IDP of KwaDukuza Local Municipality, there is an elaborate explanation on the KwaDukuza Public Participation Framework. It explains the ward committee structure, its importance in the IDP process and indicates that the role of the municipality is to ensure effective public participation in the IDP process.

The following is extracted from the document *“A municipality is required to disseminate information on processes and procedures that will allow the community to express itself on any matter of concern that affects it.”* Transforming this general requirement to the integrated development planning process means that a municipality has to follow at least the following requirements:-

- a) Residents to be informed on the integrated development planning process as a whole including on crucial public events related to that process through:
 - Public announcements; and,
 - Ward committees including stakeholder associations and any other recognised community organizations.
- b) Councillors have to inform the communities within the area of the ward through a public constituency meeting/ Imbizo;
- c) The IDP Representative Forum has to be involved at least once in each stage of the drafting process;
- d) The community and stakeholder representatives have to be given adequate time (2-4 weeks) to conduct meetings or workshops with the groups, communities or organizations they represent before the issue is dealt with by the IDP Representative Forum. This is to give a fair opportunity for legitimate representative participation, but does not necessarily have to involve the municipality in community or stakeholder level workshops;
- e) Draft planning documents have to be accessible to every resident, and everybody has the right to submit written comments. There must a time period of at least four weeks for ward committees, stakeholder associations, interest groups and residents to discuss the

draft document publicly and to comment on it before the IDP Representative Forum deals with the draft;

- f) The IDP committee of the municipality has to inform the ward committees and stakeholder associations on the manner in which comments were considered or on reasons why they were not considered by the IDP Representative Forum before the draft is submitted to the council for approval; and
- g) Council Meetings on the approval of integrated development planning must be public meetings.

After investigating the third generation IDP of the municipality it can be confirmed that the municipality has a good understanding of the intentions of post-apartheid planning and planning tools, the municipality has also demonstrated an understanding of the fundamental importance of public participation in post-apartheid planning. There is clear indication that the municipality understands how public participation should occur in the municipality the question now remains whether or not public participation took place and is taking place as envisaged in the three generations of the IDP.

2.10 DEFINING PUBLIC PARTICIPATION INTERNATIONALLY

This section briefly looks at what is meant by the term public participation and establishes when the thinking of it came to the fore, thereafter goes on to discuss how public participation occurs. It is important to have an understanding of the concept of public participation first before the term is considered in the South African context and spatial landscape. It is not the intention of this dissertation to look at the literature of Public Participation in its entirety, but rather to focus on the key components on what the public participation process entails and how it occurs.

There is great debate internationally and nationally (Fagence 1977, Theron 1995, Arnstein, 1969) in defining public participation the term has also been interchanged with the terms of citizen participation/ community involvement and community consultation. However once these definitions were unpacked the core components of what constitutes the definition was found to be people participating in the decision making processes of governance. Theron (2005, page 34) mentions that public participation *“defies attempts to package it in a single statement.”* He mentions further that public participation *“is an elusive concept which acts as an umbrella term for a*

new style of development planning intervention.” From this statement it can be gathered that framing the definition of what constitutes public participation is an understanding that it is a development planning intervention.

Prior to Theron (2005) providing a context of defining the term public participation, Fagence (1977) wrote about *“citizen participation in Planning”*. In his context and in the period of the seventies, the term citizen participation had gathered momentum in planning internationally. Fagence (1977) states that there was consensus among planners that there was a need to further develop this concept of citizen participation and incorporate it into planning dialogues as this would assist in dealing with problems being experienced in the urban areas.

While this development surrounding citizen participation occurred in development thinking, there was a surge to simultaneously fuse this refined and expert way of thinking in planning with what Fagence refers to as *“democratic expression”*. This democratic expression would be in the form of citizen participation. What is noted here is that the term citizen participation was also linked to the idea of democracy. This linkage is a very important consideration for this dissertation as the research also demonstrates this link of democracy to participation in the localised context of KwaDukuza. This reflection by Fagence (1977) about the complexity of citizen participation ties in with development of the theory of collaborative planning, which has been outlined and elaborated on in the writings of Patsy Healy and is discussed in the following chapter. Fagence, in his reflection, manages to illustrate that the rational, logical method of planning that was based on scientific rationality cannot solely address problems where people are at the core. There is a definite need to incorporate the views and thoughts of communities where any type of development is occurring.

The office of the Auditor General in British Columbia has defined public participation as *“when a government reaching out to private or public organizations or directly to the public to seek their participation in the decision making processes, the government is said to be engaging in public participation”* (2008). This office undertook a study to understand public participation and looked at examples of different models in Canada. It drew up a public participation model for British Columbia on the basis of the findings of the research. The significant results in this work has indicated that there is a direct correlation between public participation and democracy and where there has been good public participation there is an indication then of good governance.

The International Association for Public Participation defines public participation as a process *“to involve those who are affected by a decision in the decision making process. Public Participation aims to promote sustainable decisions by providing participants with the information they need to be involved in a meaningful way, and it communicates to participants how their input affects the decision”* (IAP2, <http://www.iap2.org/>, accessed 09/04/14). While there are these various definitions of what public participation is, in essence it can be concluded that the definition of public participation involves getting people involved in the decision making processes that relate to them. This view is upheld by Cohen and Uphoff (1977) where they argue that *“public participation includes the people’s involvement throughout the decision making process”* (Theron, 1995, page 113). Theron (1995; page 114) cites the definition of public participation which is stated by the International Labour Organisation (citing Rahman 1993; page 150):-

“What gives real meaning to popular participation is the collective effort by the people concerned in an organisational framework to pool their efforts and whatever other resources they decide to pool together to attain objectives they set for themselves. In this regard participation is viewed as an active process in which the participants take initiatives and take action that is stimulated by their own thinking and deliberation and over which they can exert effective control.”

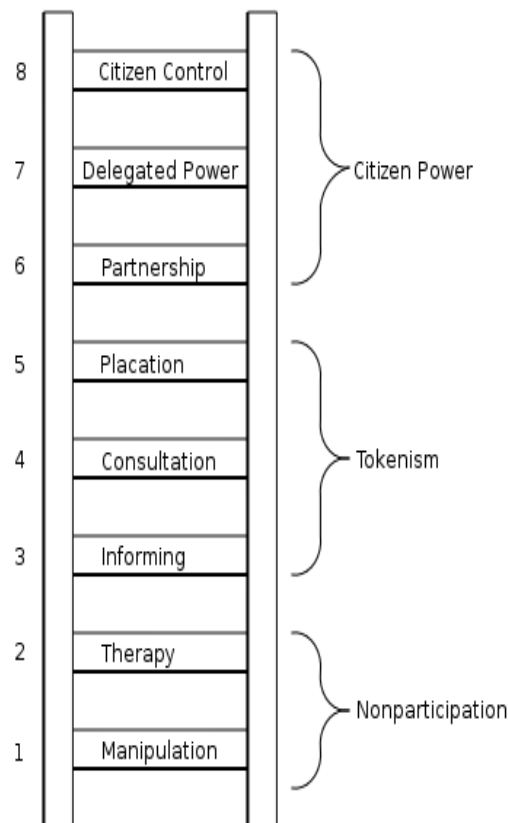
Theron (1995) further provides depth and understanding to public participation and provides key themes of public participation in the development discourse. These themes are listed as follows:-

- Participation is an organised activity of the people concerned. The primary unit of participation is a collective of persons who stand in a relationship with the state;
- The taking of initiative by the collective in gaining access to programs and projects is a central feature;
- The origin of initiatives for programmes and projects is based on the peoples own thinking and deliberations which direct their collective activities;
- The people control the process of action initiated; and,
- The needs of a particular group called a community lie at the heart of the programme or project.

Public participation in the international context indicates that there are varied levels of public participation and that public participation is a complex issue and involves a variety of stakeholders and may take place at different stages in the development process. It is at this point that three public participation frameworks are discussed in brief detail in an attempt to provide a mechanism to understand how public participation might be occurring in the KwaDukuza Municipality and in particular Shakaskraal.

The first public participation framework is proposed by, Arnstein (1969) and is called the 'Ladder of Citizen Participation' whereby eight different levels of participation are identified. These levels have been formatted into a hierarchical ladder and are interpreted according to the circumstance in which it is being applied. The Arnstein ladder that is depicted indicates the varying levels of public participation. A diagrammatic representation of the concept is presented in Figure 4 below.

Figure 4: The Arnstein Model, (Arnstein; 1969)



Source: Arnstein, 1969

It is necessary to understand the different levels of participation proposed by theorists as this will help to distinguish the type of public participation that took place in Shakaskraal during the IDP process. Naidoo (2003) summarises Arnstein's ladder as indicated below (UKZN Unpublished dissertation, 2003)

In levels 1 (Manipulation) and 2 (Therapy) public participation is not permitted. It is a process whereby the needs of the community are not considered. These levels of participation resonate with apartheid policies and plans practiced here in South Africa.

In Level 3 "*informing*" public participation takes the form of informing the community of what the plans and procedures are that will be implemented. The community at this stage is not involved in the process completely.

Level 4 is the "*consultation*" phase of public participation and involves the use of surveys, public enquiries and meetings with the community. Arnstein refers to this level of participation as 'tokenism' while participation takes place it does not allow for comprehensive and substantial participation by the public in planning.

Level 5 of Arnstein's ladder allows for a greater amount of public participation and is called the "*placation*" level. In this level of the ladder, community representatives are present in meetings and are involved in the process. This level permits a greater degree of involvement of the public to plan and advice.

Level 6 of the ladder is called the "*partnership*" level and in this level community members are allowed to share in the planning and decision making that takes place between government and communities.

Level 7 is the level whereby communities are allowed to make decisions. Communities participate in the process and are able to delegate in the procedures of planning. Level 8 is referred to the "*citizen control*" level it is in this level that the community controls the management and coordination of the

planning programmes and procedures. Citizens in this level are the decision makers, they conceive the legislations, control budget and manage the entire programme.

Arnstein's ladder of participation while indicating the varying levels of participation also indicates that power struggles might exist between these levels between government and the various communities. In level 8 an ideal state of public participation is reflected and is the level of participation that is advocated for in the legislation of post-apartheid South Africa as apartheid South Africa advocated for levels one and two. When public participation is analysed using the Citizen Participation Ladder proposed by Arnstein it can be deduced that public participation in South Africa can be described as a "*tall order*" as there has to be a drastic shift from level one to level eight which involves moving past six steps in the ladder. This understanding of the various levels of participation proposed by Arnstein (1969) helps to understand the levels of participation and also illustrates and indicates to communities at which step in the ladder they need to be at to drive development in their area of interest. This analogy will also assist in understanding the level of participation that is currently taking place in the case study of Shakaskraal.

Archon Fung (2006) provides a critique of Arnstein's ladder of participation and proposes the "*Democracy Cube*" as a framework to understand and contextualise public participation in what he refers to as "*contemporary governance*". The Democracy Cube refers to a three-dimensional institutional space and aims to understand three fundamental concepts that influence public participation. To a large extent these three dimensions include; participant selection, communication and decision, and lastly authority and power. A fusion of these three concepts constitutes the Democracy Cube. Fung aims to provide an understanding of who the participants in these public participation fora are; how to these participants in these fora exchange their information and make decisions and lastly how these decisions made by the public during the public participation sessions transcend into public policy or public action. He argues that in this three-dimensional space public decisions that are made can be located and the aim of this framework is to provide an understanding of what may be regarded as the feasible varieties of public participation that can be useful for public action. While Arnstein's ladder (1969) indicates the varying levels of participation Fung (2006) provides a different dimension and starts to question who the actual participants are and whether the decisions taken at the public participation sessions transcend into public policy which will also assist in providing an understanding of the public participation that took place in Shakaskraal.

In the participant selection component of the democracy cube, Fung (2006) provides an understanding of who the participants are in the public participation sessions and attempts to provide answers to some of the following questions which he believes will assist in ascertaining if the right people are participating:-

1. Are the people that participate in the public participation sessions representative of the relevant population or general public?
2. Are important interests and perspectives included or excluded?
3. Do participants possess information and competence to make good judgements and decisions?
4. Are participants accountable to those that did not participate?
5. Who is eligible to participate?
6. How do individuals become eligible to participate?

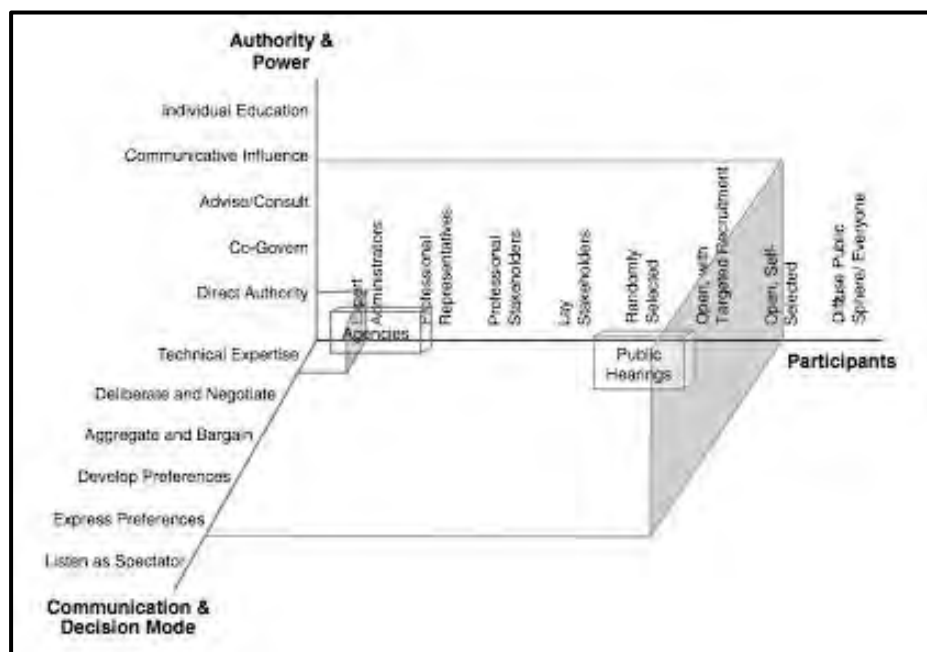
These questions presented by Fung (2006) help to understand if the participants that participate in public participation are actually relevant and people whom other community members can trust to make informed decisions that will assist in growth and development.

The second dimension of Fung's Democracy Cube questions communication and design of public participation and attempts to provide an understanding of how participants interact with another in a venue or public discussion. He mentions that it is a presumption that participants of a public discussion participate as equals however in most instances this is not the case and Fung attempts to reiterate this point and provides a description of communication settings. Three important highlights that are mentioned under this second dimension and which contribute to the knowledge of how public participation occurs are that, participants in public participation often take the role as spectators and do not share their views about the subject matter or contribute to the discussion being initiated. The participants in this case receive information and this form of communication Arnstein (1969) refers to as tokenism and is not an ideal form of participation. While the public is viewed by Fung as spectators in this case the opportunity for these participants to contribute is available however it is not utilised. Another form of communication that is prevalent in public participation fora is when participants are organized in such a way that, they are encouraged to learn about the subject matter and are not able to make informed decisions. While Fung describes the manner in which communication occurs he also provides three ways in which decisions are taken

during public participation fora, these include; aggregation and bargaining- whereby participants know what it is they want and their preferences are aggregated and dealt with according to the aggregation. The second mode of communication in a public meeting is deliberation and negotiation. In this instance Fung argues that participants in a public forum deliberate on issues and try and ascertain what it is that they want both as a group and individually. The third mode of communication that Fung describes refers to technical expertise whereby the technical knowledge of officials is used to make decisions.

The third aspect of the democracy cube refers to authority and power. It is in this section of the cube where the impact of public participation is measured and it is in this part of the cube whereby it can be deduced how public participation has influenced public policy. Fung (2006) by providing the democracy cube provides an alternative way to describing the manner in which public participation occurs in society and it is an attempt to understand the dynamics that are involved in this decision making tool of what Fung mentions is contemporary democracy. It is important for this research to investigate these various public participation discourses ensuring that when public participation in Shakaskraal is unpacked it can be critically analysed with thorough understanding of the complexity of public participation.

Figure 5: The Democracy Cube, Fung (2006)



Source: <http://ncdd.org/rc/wp-content/uploads/2008/12/democube.jpg>,

Silverman (2005) provides an alternative understanding of public participation in the international context. He expands on the definition of public participation that has been proposed by Arnstein (1969) and proposes the "*Citizen Participation Continuum*" (CDC) whereby two forms of citizen participation is identified. The first form of citizen participation is referred to as instrumental participation. Participants in this category support the projects and programs of community development corporations. At the other end of the continuum is the category of grassroots participation where the role that citizens play in the decision making process is expanded (Silverman, 2005). Silverman dissects this citizen participation continuum within the context of community development corporations. He argues that in an ideal citizen participation context there is no one extreme of engagement. By this statement he proposes there is an intermediate position of these two extremes of participation. Fung argues that the Silverman Citizen Participation Continuum provides an understanding of how development dialogues are configured and will assist in compiling strategies for effective citizen participation. One of the key focus areas of the Citizen Participation Continuum is to ascertain where on the continuum organizations are placed and how participation in these organizations can be strengthened and enforced.

Silverman argues that while previous studies on citizen participation provide a categorization of stakeholders in the public participation process similar to the concept suggested by Fung (2006), his CPC model allows for a greater sense of integration. It accepts that some stakeholders are expressive organisations which deal mostly with social and recreational issues while others are instrumental which are generally task orientated. The continuum distinguishes between the stakeholders involved in public participation and the form of participation that might occur with the stakeholder group. (Silverman, 2005, page 36).

Arnstein (1969) Fung (2006) and Silverman (2005) provide an understanding of what public participation is about and the various methods of participation that citizens engage in. They also provide insight into the complexity of public participation and the dynamics that interject this phenomenon. This discussion provides a backdrop to understand the public participation dynamics in KwaDukuza. It assists in distinguishing the level of participation that is currently occurring in the municipality and also provides a platform to craft alternative strategies to encourage a wider audience to participate in decision making of local government and take ownership and drive development.

2.11 PUBLIC PARTICIPATION IN SOUTH AFRICA

This section evaluates public participation in the South African context, illustrates why it is important and considers how public participation is conducted in the integrated development planning process. The South African Constitution and the Municipal Systems Act are the entry points into a discussion about public participation in this dissertation. As stated earlier, this research is concerned with the manner in which the mandatory requirements of the legal and constitutional framework have prescribed the process of public participation in integrated development planning and how successfully this has been implemented at the level of local government by considering KwaDukuza and specifically Shakaskraal.

The National Policy Framework on Public Participation (2005) defines public participation as *“an open accountable process through which individuals and groups within selected communities can exchange views and influence decision making”*. The legislation in South Africa post 1994 has positioned public participation at the forefront of the development dialogue in the country. This perspective is further supported by Ngamlana and Mathoho (2012, page 29) whereby they state that during the apartheid era, the government created race based municipalities and suppressed public participation by African, Indian and Coloured communities. Under apartheid power was highly centralised and local government was the lowest tier of a rigid hierarchical structure. Meaningful public participation in local governance decision making was minimal. The post 1994 South African government committed itself to instituting wide ranging participatory processes within *“different spheres and institutions of government”* (Ibid, 2012). The importance of having public participation as a foundation in development discourses in South Africa relates to the history of the country. Maphunye (2008; page 462) summarises apartheid spatial and development planning process and states that apartheid policies did the following to the South African landscape:-

- Racially divided businesses and towns;
- Planned badly in relation to the location of the poor- the poor faced long travelling distances and had poor access to business and other services;
- Vast differences between the level of services of the rich and poor areas; and,
- Had sprawling informal settlements and spread out residential areas that made cheap service delivery a problem.

Apartheid policies violated the rights of citizens to participate in their governance and the majority of the population was not part of the decision making processes of the country. Therefore legislation in post-apartheid South Africa reflected the principles of inclusivity, democracy and accountability. Section 152 of the South African National Constitution states that the objectives of the third sphere of governance is *“to provide democratic and accountable government for local communities and to encourage the involvement of communities and community organizations in the matters of local government.”* Chapter 4 of the MSA states that ‘a municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance and must for this purpose must:-

- a) *“encourage and create conditions for, the local community to participate in the affairs of the municipality, including in the preparation, implementation and review of its integrated development plan.”*

IDP guidelines were drafted by the Department of Provincial and Local Government (now Cooperative Governance) as early as 1996 when the White Paper on Local Government (1996) was passed by the post-apartheid government. These policy and guideline documents were drafted to assist local government in preparing the IDP because it was recognized that there was a need for institutional support. The guide packs were in essence a tool that unpacked the new policy and legislative framework in a user friendly manner. They provided and assisted municipalities to better understand these new democratic pieces of legislation that had become all-encompassing and placed the needs of the people at the centre of development and which also forced local government to be the drivers of development at the local level. In the context of this research, the IDP guideline documents are used in that fashion to provide greater depth and understanding of the IDP and public participation process thereof.

2.12 GUIDE PACKS AND INTEGRATED DEVELOPMENT PLANS

The Integrated Development Planning Guide Pack 1 released by the Department of Provincial and Local Government (2001) states that the functions of Public Participation in the IDP can be defined as follows:-

- Needs Orientation: During the public participation process of the IDP, people's needs and problems are identified and taken into account;
- Appropriateness of Solutions: The knowledge and experience that people have are used to formulate sustainable solutions to problems;
- Community Ownership: This function deals with mobilising local residents and community initiatives thus encouraging co-operation and partnerships to be built between municipal government and communities for implementation; and,
- Empowerment: where the IDP is seen as a platform for engagement and negotiating conflicting interests, finding solutions and commonality which is meant to heighten transparency and accountability of local government.

The functions of public participation as outlined above served as entry points for public participation in the IDP process and as critical elements to be addressed in this post-apartheid landscape. The research will use the functions of public participation identified above and evaluate how these functions are being carried out in Shakaskraal. The IDP Guide Pack also provides the principles of public participation and indicates how public participation should occur in the IDP process. It is imperative to have a thorough understanding of the principles of public participation in the IDP process to effectively engage with the public participation processes of KDM and in particular the case study area of Shakaskraal. The principles of public participation highlighted in the IDP Guide Pack include the following (IDP Guide Pack 1, page 37):-

- Public Participation has to be institutionalised: this refers to there being minimum requirements for participation procedures and providing a legally recognised organisational framework;
- Structured Participation: this refers to who needs to be consulted on which issue through which mechanism;
- Diversity: public participation processes in integrated development planning should embrace diversity and accommodate for a range of people and circumstances. The theme of diversity also makes reference to the varying capacities of municipalities and public participation processes should be a reflection of that and designed to take into account that all municipalities are different;
- Promotion of Public participation: in these municipalities had to distinguish between two specific elements and make provision for both:-

- Creating conditions for public participation which is mandatory for all municipalities; and,
- Encouraging public participation.

Whilst the guidelines produced assist in understanding how the legislation is to unfold in practice, the guidelines also mention tools that could be used for public participation to take place at local government level. These tools of public participation which in effect are mechanisms for public participation is a large contributor in attempting to answer the research question which is how has the community of Shakaskraal been involved in the IDP process of KwaDukuza Municipality?. The tools that could be used for public participation according the IDP guidelines (2001) include the engagement of various formal and informal institutions e.g. Ward Committees and stakeholder organisations including those that are community based.

Of all the institutional vehicles, the Ward Committee appears to the most commonly used mechanism for public participation in the IDP process across municipalities in South Africa. Ward Committees are an organised structure that represents a geographical area within a municipality. They are chaired by the elected Ward Councillor and are intended to be the main conduit for the dissemination of information from the municipality to residents. However while the Ward Committee structure has become the acceptable method of public participation it is plagued by dysfunctionality as stated by Ngamlana and Mathoho (2012, page 29) *“Although ward committees are perhaps the most accessible forum for community participation, research has shown time and time again that this structure is not adequately managed or resourced to play a meaningful role.”* Ngamlana and Mathoho has researched and studied public participation in the Eastern Cape and Mpumalanga and have found that residents did not know much about the ward committees in their area and about the IDP forums. It was concluded in this study that the Ward Committees were very ineffective (44% in Cacadu and 16% in Ehlanzeni) (Page 32, 2012). A further challenge that has been recorded by Ngamlana and Mathoho (2012) states that community members were unaware of the respective officials responsible for community participation and therefore had no one to consult if they were unhappy with the process of consultation. A suggestion by these academics regarding public participation states that the government must strive to keep the community informed through multiple means of information dissemination and not assume that one approach will be sufficient to reach community members e.g. through meetings only.

Stakeholder organisations represent certain distinct organizations in the community and may reflect on environmental issues, social groups, economic organizations, religious organizations or gender based groups. The IDP Guide pack (2001) states that these groups need to be registered with the municipality as Stakeholder Organizations and it is through this medium that these stakeholders can participate in the IDP process. The guide pack mentions that unorganised groups must be represented by an advocate.

The Ward Committee and all the relevant stakeholder organisations together with the local government officials, traditional leaders, councillors and the council of the municipality constitute the IDP Representative Forum which according to the Guide Pack is the *“formal link between the municipal government and the public (page38).The IDP Representative Forum is meant to be a permanent structure of public participation in the IDP process and is also in charge of performance management of the IDP”* (page 38).

Whilst the IDP guidelines informed what the functions, principles and mechanisms for public participation are they also provided information on how communities can participate in the process. These remained a guide and municipalities were encouraged to conceptualise their own public participation strategy or plan that will guide their IDP public participation processes at local government level. The guidelines stated that:-

- Communities must be informed about integrated development planning processes by means of public announcements and ward committee and stakeholder associations;
- Councillors must inform communities of the IDP process through public meetings;
- The IDP Representative Forum must be involved in each stage of the drafting process of the IDP;
- Community and stakeholder representatives must be given adequate time to consult their groups or communities before issues are raised at the IDP Representative Forum;
- Draft planning documents must be made available for all residents, there must be a time period for communities, and stakeholders to engage with the document;
- The IDP Committee which is at the municipal level must inform Ward Committees and stakeholders on the way comments were included or excluded; and,
- The approval of the IDP should be a public meeting.

Source: IDP Guide, 2001 (page 39)

The detail that is provided above helps to contextualise public participation in South Africa and explains how public participation is to unfold in the country and the legislative prescripts that give meaning to it. Van Donk (2012, page 13) states that *“South Africa arguably has one of the most progressive policies on participatory local governance in the world. This progressive intent is articulated in a sophisticated edifice of public participation, as outlined in the 1998 White Paper on Local Government, the Local Government: Municipal Structures Act (Act No 117 of 1998) and the Municipal Systems Act (Act No 32 of 2000).”* While South Africa is imbued with the finest legislation that supports and encourages public participation in governance the stark reality indicates that there are numerous challenges that local governments have to grapple with. Van Donk cites the report produced by the National Department of COGTA in 2009, which states that local government in South Africa is in distress and some municipalities are not functioning effectively. Some of the reasons for this included weak leadership, intergovernmental relations and institutional design. These assessments of local government done by the National Department of COGTA is further supported by the report put forward by the National Treasury in 2011 where the department stated that the failings of local government can be attributed to failures in political leadership.

This view is further upheld by Ngamlana and Mathoho (2012) who state that, although South Africa has the necessary legislative framework for public participation in place, the reality on the ground is far from the ideal state which is envisaged. They mention that Ward Committees do not have the necessary resources and are not well equipped to contribute positively to meaningful participation. It is suggested by the authors that alternative means of community participation other than those that have been legislated like Ward Committee and IDP representative forums are necessary.

A method of improving community participation in South Africa put forward by Hollands (2012) makes use of social media to communicate the development discourse to communities. It is argued by Holzer and Kim (2007) cited in Hollands (2012) that social media provides a platform for citizens to conveniently communicate with government structures and to assist in decentralising government decision making. Mcloughlin and Scott (2010) cited in Hollands (2012) hold the view that ICT can impact positively on community participation by empowering communities and allowing government to be transparent, responsive and to be held accountable for their actions all of which are principles of post-apartheid legislation on public participation and the IDP process. Hollands (2012) mentions that ICT in government structures are already well established in South Africa and

the City of Cape Town is currently using ICT for customer transactions. Farelo and Morris (2006) cited in Hollands (2012, page 40) state that the use of ICT can be used for the following:-

- Promote efficient and effective government;
- Facilitate more accessible government services;
- Allow for the public to access more information; and,
- Make government more accessible to citizens.

While there is this initiative for social media Hollands mentions that there is a need to firmly distinguish e-government and e-governance, the former is the use of ICT in government to enhance efficiency and e-governance is using ICT to interact between government and citizens. Studies into e-government and e-governance reveal that e-governance is not yet fully enhanced for the purposes of public participation while e-government is operation like the case of Cape Town. Hollands argues that social media is set to play a pivotal role in community participation in South Africa particularly in social and political activism (2012, page 47). The poorer members of the community might not necessarily be part of the social media coverage due to the limited access to the internet. In these instances, mobile internet access becomes an option to use social media via other intermediaries becomes an option. As Hollands states it is possible that *"social movements and aligned civil society organisations are likely to play an important role as advocacy intermediaries for such groups and will carry the voices into social media based debates."* (Ibid, 2012, page 47).

The discussion above on public participation has indicated the emergence of this discourse in South Africa, outlined the legislative prescripts that guide public participation in the IDP process and considered the structure of the Ward Committee system of public participation in the IDP process. The discussion has found that the ward based system of participation is not achieving its desired outcomes at this point in time. There appears to be a move towards exploring other means of participation in municipal governance, and in integrated development planning – both process and plan. The use of social media is explored as an alternative vehicle of participation and engagement.

2.13 PUBLIC PARTICIPATION IN THE PROVINCE OF KWAZULU-NATAL

The former Department of Provincial and Local Government now referred to as the Department of Co-operative Governance and Traditional Affairs (CoGTA) in the province of KwaZulu Natal have produced a Community Participation Framework (CPF) document which is meant to guide municipalities with public participation processes in the province. The document was produced in 2005 and is guided by the various pieces of national legislation that advocate public participation. The aim of this section is to highlight the intentions of the Community Participation Framework of the province, to review public participation structures and to highlight the processes which should be cascading down to the local municipalities of the province. The Community Participation Framework also serves as a useful benchmark against which to measure the success of public participation model/framework/policy of KwaDukuza Local Municipality. In essence, the KwaDukuza Local Municipality participation process should contain the elements of the provincial Community Participation Framework if it is aligned to the normative principles outlined by the provincial and national sphere of governance. This alignment forms part of integrated development planning and is linked to principles of cooperative governance and developmental local government.

Like the IDP Guide Pack 1 (2001) discussed in the previous section, the Community Participation Framework of the province of Kwa-Zulu Natal bases the foundation of public participation on the various pieces of legislation that exist in the country, reference is made to the National Constitution and the Municipal Systems Act and also the Municipal Structures Act (No of 1998). The provincial Community Participation Framework states the following: *“The framework clearly sets out the responsibilities of the community to participate in municipal processes which affect their lives and gives guidelines on how public participation should be managed and co-ordinated by municipalities.”* (DPLG, 2005, page 7)

The CPF also notes clearly that in the province of KZN the Ward Committee type of participation structure is the preferred vehicle for community participation. The Municipal Structures Act (No of 1998) gives a comprehensive outline of the roles and functions Ward Committees. In 2003, the Minister of Provincial and Local Government published guidelines on the establishment and operation of Municipal Ward Committees. It is important to reflect on these delegations of ward committees indicated in the guidelines to have an understanding of what their functions are. The following list provides an understanding of the functions of ward committees:

- To create formal unbiased communication channels and co-operative partnerships between the community and the council;
- To serve as a mobilizing agent for community action; and,
- To provide a platform to communities to engage with municipalities thereby enhancing accountability and good governance.

The Community Participation Framework document also defines the IDP Representative Forum and mentions that the Ward Committees need to be part of the IDP Representative Forum ensuring that communities participate in the IDP process. The ward committee is the direct link between the community and municipal council and this is reaffirmed in this guide. At the municipal level there should be a business unit that works closely with the Ward Committees in some instances this unit is called the public participation unit or communication unit. This unit according to the SALGA resolutions of 2006 should be placed under direct control of the office of the Mayor (page 103). According to the CPF of the province of KZN, municipalities should also have in place a communication/ participation plan that is influenced by the CPF. The CPF further highlights three main reasons why communication between the residents and local government is central to decision making these include:-

- Firstly, the municipality must establish an institutional framework to formalise the relationship between the municipality and the community;
- Secondly, the municipality must establish mechanisms for communication between the municipality and the community; and,
- Thirdly, the municipality must put in place processes and procedures to be followed by the municipality and the community in the orderly implementation of a community participation program (page 111).

The table below depicts the three levels of community participation as identified in the Community Participation Framework of KZN, these include informing the community, consulting the community and lastly involving the community and is aggregated very similar to the manner in which Arnstein (1969) differentiates the levels of participation. This table serves as a guide to municipalities in the province and municipalities are encouraged to add additional participation mechanisms.

Table 5: Community Participation in KwaZulu-Natal

MUNICIPAL ACTIVITY	USEFUL MECHANISMS
Inform	<ul style="list-style-type: none"> ▪ Newspapers ▪ Radio ▪ Loud-Hailer and Car ▪ Responding to submissions ▪ Citizens Participation Charter ▪ Website ▪ Notice Board ▪ Flyers
Consult	<ul style="list-style-type: none"> ▪ Ward Committees ▪ Stakeholder Groups ▪ Imbizo
Involve	<ul style="list-style-type: none"> ▪ Advisory Committees ▪ IDP Representative Forum ▪ Referendum

Source: Department of Provincial and Local Government, (page 157)

The CPF of the province of KZN translates the various pieces of legislation of the country which relate to public participation and broadens the understanding of public participation for the consumption by district and local municipalities in the province. Buccus (2011) has investigated public participation in four district municipalities in the province of KZN. The aim of this investigation by Buccus was to get an understanding of the existing attitudes, systems and structures, programmes, resources and approaches to participation and therefore proves to be useful in understanding how municipalities in the province have understood the legislation and the CPF of the province and used these tools to actively engage communities in the development dialogue and prioritise the needs of the people ensuring that development is driven by the needs of the communities. Buccus (2011) supports the view that was put forward by Van Donk (2012) and Ngamlana and Mathoho (2012) and mentions that ‘in post-apartheid South Africa participation has to have an element of redress for the historical exclusion of the majority at the local level. However, while the involvement and engagement of ordinary people in the design, planning and evaluation of

development programmes and plans at the local level should be an integral part of democratic practice in South Africa there are still huge gaps in terms of how this process is being facilitated. (Buccus, 2011, page 6). This sentiment about the poor functioning of public participation in the province of KZN was supported in the preceding section when public participation was discussed in the South African context. Hence from the discussion in the previous section and the observation from Buccus it appears that public participation in the province of KZN is not being articulated in the manner in which it has been legislated.

Buccus (2011) states further that municipalities in KZN understand the legislation surrounding public participation and also understand that public participation must occur in the development of the municipality however there is no indication from the municipalities that they are committed to undertaking meaningful public participation. Buccus mentions that the 'pervading attitude appearing among officials was that they know what people want and therefore participation is not necessary.' This appears to be a shocking revelation however it is proving to be a reality in municipalities in the province.

Buccus (2011) further looked at public participation in the IDP process and found that there is no standard approach to dealing with this element of the integrated development planning process. Diverse municipalities used varied approaches to engage with communities. Despite their differences they have adhered to some level of participation. In part this could be attributed to public participation being a mandatory requirement of the Municipal Systems Act and has to be addressed for approval of the plan. Buccus mentions that the substance of the engagement is questionable (Buccus, 2011, page 7). Some municipalities in which Buccus undertook his research stated that their draft IDP documents were often not accessible to the public. This oversight is unfortunate because the draft document provides a foundation on which the public would be able to better engage in the IDP process. If the participation process commenced at the same time as the plan, there would be a base to work from and the process of IDP would have been better understood. There would be a better chance of communities feeling that their concerns could be addressed rather than being faced with a "rubber stamping" approval process for a plan they have no identification with.

In the research provided by Buccus (2011) Ward Committees have limited capacity to effectively carry out their functions. It is mentioned that there are no resources to assist the functioning of Ward

Committees, and there is no also no stipend available for Ward Committee members. Many of these members also do not understand municipal processes and do not know how to factor in community needs. In one district municipality where the research was undertaken, there were as no operational Ward Committees. The municipality provided the rationale that there were no guidelines on how the municipality should use Ward Committees and thus they did not have them. This municipality then does not satisfy the legislative prescripts of post-apartheid South Africa. Research into the respondents of public participation in the province of KwaZulu-Natal reveal that overall there is a negative perception by communities to public participation. They feel even though they might participate in the process, their concerns are not factored into the development dialogue of the municipality. Buccus (2011) mentions that while this may be true, there are compelling reasons why public participation should still be pursued with absolute vigour. His research indicated that some respondents had some knowledge of public participation events and secondly respondents reacted positively to well-run events (Buccus, 2011, page 10)

The provincial Community Participation Framework provides an understanding of how municipalities should undertake this activity in the municipal space. It provides an understanding of the functions of Ward Committees which serve as a foundation for local government to build onto and customise their public participation initiatives. The research conducted by Buccus (2011) provides an understanding the reality of public participation at ground level in the province of KZN. It proposes that there is room for further developing mechanisms to constructively engage with communities in the province.

2.14 PUBLIC PARTICIPATION IN KWADUKUZA LOCAL MUNICIPALITY

Public participation in the KwaDukuza Local Municipality is guided by the Community Participation Strategy of iLembe District Municipality which in turn is influenced by the Community Participation Framework of the Province of KZN. The discussion around public participation in KDM is differentiated into two sections and will be discussed under the following sections namely:-

- Public Participation in iLembe District and,
- Public Participation in KwaDukuza Municipality.

2.14.1 Public Participation in iLembe District

Public Participation in iLembe District is guided by the Community Participation Strategy (CPS) which the district municipality has developed drawing from the Community Participation Framework (CPF) of the Province of KwaZulu Natal. iLembe is the only district municipality in the province of KZN to have compiled a Community Participation Strategy despite there being guidance from CoGTA.

The municipality has stated that the purpose of the CPS is firstly a response to the strategic objectives of the IDP of the district. The strategy is meant to guide the effective planning and monitoring of the public participation processes of the district using various activities. Significantly, the Ward Committee system of public participation has been identified as being the main vehicle for public participation in the district family. The district strategy aims to support the effective functioning of Ward Committees. In addition the district strategy plays a generic role at local level (Ndwedwe, Maphumulo, Mandeni and KwaDukuza) where it provides guidance to municipal strategic objectives within the Good Governance and Public Participation Key Performance Area (KPA).

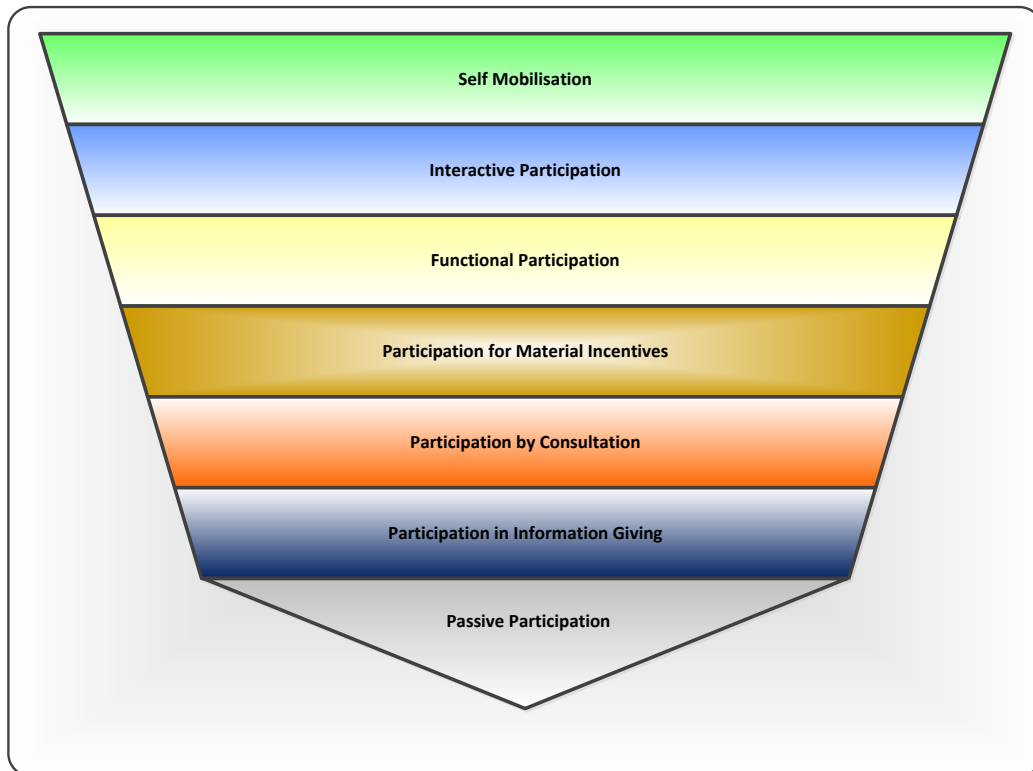
The community participation of the district municipality differentiates between seven types of community participation (Ibid, page 16). It states that community participation begins when people vote in the elections and engagements with party politics, holding public demonstrations, petitioning municipal leaders, lobbying decision makers, making written or verbal submissions to committees and the use of Ward Committees is also considered as community participation. The seven typologies that are discussed in the CPS and accompanying model presented by the district resonate with Arnstein's ladder of participation (1969). These typologies discussed in the document have been extracted and are listed below, (page 16):-

- i.) Passive participation- Community participates by being told what is going to happen or what has already happened, in this context, participation relates to unilateral top down announcement by the authority or project manager;
- ii.) Participation in information giving- Community participates by answering questions posed in questionnaires or interviews or similar community participation strategies;

- iii.) Participation by consultation- Community participates by being consulted whilst professionals, consultants and planners listen to their views. The professionals define both problems and solutions and may modify these in light of the community's responses;
- iv.) Participation for Material incentives- Community participates by providing resources such as labour in return for cash;
- v.) Functional participation- Groups are formed to meet predetermined objectives. Usually done after major project decisions are made, therefore initially dependent on outsiders but may become self-dependant and enabling;
- vi.) Interactive participation-Community participates in a joint situational analysis, the development of action plans and capacity building. In this context, participation is seen as a right, not just as means to achieve project goals; and,
- vii.) Self-mobilisation- Community participates by taking initiatives independent of external institutions to change systems.

These seven typologies described above have been put into diagrammatic form as shown in figure 6 below.

Figure 6: Seven Typologies of Public Participation in iLembe District

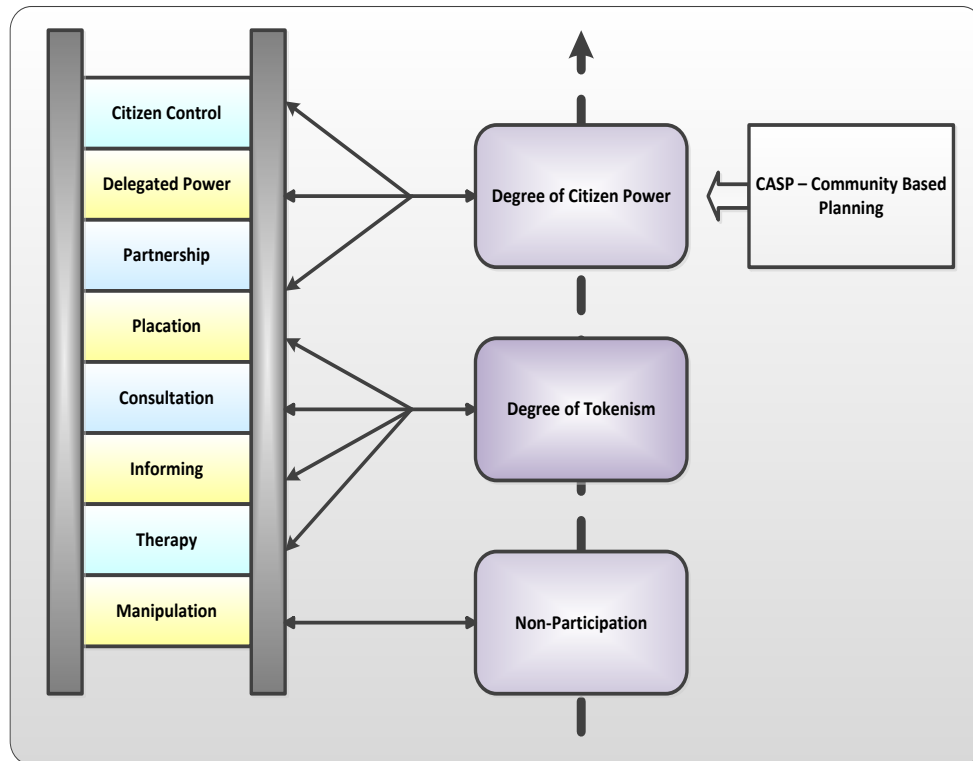


Source: iLembe Community Participation Strategy, 2013-2108 (Redrawn)

While the Ward Committee public participation mechanism has been the preferred method of public engagement it has been declared by the municipality to be problematic. Research into the functionality of these committees, which has been conducted by the municipality, indicates that community members are not entirely satisfied with this approach. In evaluating this method of communication and engagement and 65% of the respondents surveyed were aware of the Ward Committees, 18% did not believe that the committees were in place to represent them and the results of the remaining 17% are unknown. The CPS of iLembe District acknowledges this challenge to community participation and aims to overcome this challenge by noting it in the strategy and providing a response to it. The district reconfigured the public participation typology in the CPS based on the results of the research and have produced a public participation methodology that has striking resemblance to that of Arnstein (1969). While the previous model asserted the thinking of Arnstein in describing the manner in which participation takes place the new methodology illustrates the varied levels of participation in a ladder format and indicates the degree of participation each

level of the ladder will yield. In figure 7 below is the new proposed public participation typology presented by iLembe District.

Figure 7: New Proposed Public Participation Typology of iLembe District



Source: iLembe Community Participation Strategy, 2013-2108 (Redrawn)

The CPS mentions that the Ward Committees in iLembe District do have sufficient capacity to undertake their functions at full scale. The research findings presented in the CPS also states that in some instances there is a lack of institutional capacity e.g. committee members do not understand their scope of work. This poses a challenge to the functionality of the committee itself. More specifically it is problematic in regard to implementing the roles and responsibilities of committee members in terms of implementing successful public participation.

Due to the challenges faced with the Ward Committee structure in iLembe District, the municipality has decided to also incorporate the Community Based Planning Approach (CBPA) and the Citizens Action Support Programme (CASP). The CASP has five sub programmes dealing with different

aspects of community participation; however the focus in this dissertation is on the Community Based Planning as it relates directly to the IDP.

The iLembe CPS describes in detail the contents of a Community Based Plan and explains why it should be used in the integrated development planning process. The focus of the CBP process as outlined in the community participation strategy is to address broader socio economic issues and challenges affecting the community are identified and solutions are sought from communities themselves whereby they utilise their existing assets that are available. The CBP's approach to planning aims to ensure that poor people are part process and contribute to their own development. Of particular importance in the CBP approach is that it is linked to a legitimate institutional structure and in this case it is the Ward Committees.

The aim of the discussion above is provide a clear and concise framework of how community participation is envisaged in the iLembe District and to verify if the district municipality has adhered to the provincial community participation framework of the province of KZN. It is further identified that the Ward Committee mechanism for public participation is the preferred method of participation. The district municipality has embarked on adopting the Community Based Planning Approach to participation in the district. Interestingly Arnstein's theory of the Citizen Participation Ladder (1969) has been a key structuring element in the community participation process of the district thereby indicating the influence of international practices on their approach to this aspect of the IDP.

2.14.2 Public Participation in KwaDukuza Local Municipality

The KwaDukuza Local Municipality has developed a Ward Committee Support Plan (WCSP, 2013), which is influenced to a large extent by the Community Participation Strategy of the district municipality of iLembe. Although the local municipality does not have community participation strategy of its own, public participation in KDM is conducted using the Ward Committee Support Plans as a guiding document. This method of participation is also the common methodology that has been adopted by other municipalities in the country. Similarly it is deduced that similar challenges associated with Ward Committees discussed earlier are also prevalent in the KwaDukuza Municipality.

The Ward Committee Support Plan of KDM adheres to section 152 of the Constitution and the Municipal Systems Act among legislative prescripts that inform community participation like that of iLembe District Community Participation Strategy and the Community Participation Framework of the Province of KwaZulu Natal. The following is a list of expectations that KDM has enlisted for the ward committees in the municipality (2013, page 6).

- Create formal unbiased communication channels and co-operative partnerships between the municipality and the community within a ward;
- Ensure contact between the Municipality and community through the use of and payment services;
- Create harmonious relationships between residents of a ward, the ward Councillor and geographic community and the Municipality;
- Facilitate public participation in the process of development, review and implementation management of the IDP of the Municipality;
- Act as advisory body on Council policies and matters affecting communities in the ward;
- Serve in officially recognised and specialised participatory structures in the Municipality;
- To assist Council through the ward Councillor to facilitate Council programmes and to make recommendations on matters affecting the ward to the ward Councillor and to Council;
- Serves as mobilising agent for community action and assist the ward Councillor to facilitate Council programmes; and,
- Monitor development on the implementation process forward-based projects and discretionary funds.

While these are the expectations of the Ward Committees in KDM it is unclear at this stage if ward committees are fully aware of what is expected from them. The WCSP notes two challenges currently in the municipality. The first is that Ward Committees do not meet regularly which makes it difficult to have a consistent input into development and planning process or to be an effective conduit for community concerns. Secondly, not all committees in KDM have a full complement of members and hence have to work with limited capacity which impacts on the effectiveness productivity of public participation.

Public participation in KDM is institutionalised by the Ward Committee model of participation and is largely influenced by legislative prescripts of the country, the framework of the CoGTA and the

community participation strategy of the iLembe District. The expectations of the ward committees listed above aim to highlight the functions of the ward committees thereby providing a comprehensive understanding of the nature of their work, this will assist in analysing if the ward committees are operating according to their desired expectations in Shakaskraal.

2.15 CONCLUSION

This chapter provided an understanding of the two key facets of this research, integrated development planning and public participation and looked at these components each in the international, national and local context.

CHAPTER THREE: PRECEDENT STUDIES

3.0 INTRODUCTION

The precedent study examines two case studies on public participation in development and the aim is to gather an understanding on how public participation has taken place in these developments, what level of success was attained and also what were some of the challenges experienced. The first case study looks at Public Participation in the City of Cape Town which is largely influenced by Port Alegre in Brazil where Port Alegre successfully managed to undertake participatory budgeting. The second case study looks at Public Participation in Mexico City and in this study public participation has not attained positive results some of the reasons for this are highlighted in the dissertation.

3.1 PUBLIC PARTICIPATION IN THE CITY OF CAPE

The City of Cape Town is located on the west coast of South Africa and is a metropolitan municipality unlike KwaDukuza Municipality which is a local municipality. Plate 1 below illustrates a picture of Cape Town and Map 3 indicates the map for the area.

Plate 1: An Aerial View of the City of Cape Town



Source: <http://www.capeintern.com/>

Map 3: Locality Plan for Cape Town South Africa



Source: http://www.studentsoftheworld.info/sites/country/img/11325_map-south-africa2.jpg

Public participation processes at the City of Cape Town have drawn inspiration from the international participatory practices of Port Alegre in Brazil whereby Port Alegre was successful in participatory budgeting practices. Kambala et al (2012) states that “*successful participatory processes have the potential to create innovative and commonly held solutions to complex social problems*” (2012, page 70). The reason for this given by Van Donk et al (2012) states that when local people are given an opportunity to work with the government structures in an attempt to attain common goals projects are most likely to be a success. The City of Cape Town has adopted some elements of participatory budgeting into their public participation in the IDP process. Plate 2 provides is a picture of Port Alegre and Map 4 provides a contextual location for Port Alegre.

Plate 2: Port Alegre – Brazil



Source: http://s17.photobucket.com/user/latinohunk/media/15th/IMG_2139.jhtml

In Port Alegre communities are included in the budgeting process of the government structure. It has been stated that participatory budgeting in Brazil is a result of an innovative reform program that aimed at overcoming severe inequality in the city and was an attempt to increase living standards. (Paradza et al, 2010) The initiative commenced in the poorer and disadvantaged areas where neighbourhood movements emerged that demanded better quality services and autonomy over their initiatives. (Paradza et al, 2010)

Map 4: The Location of Port Alegre in Brazil



Source: http://paigola.blogspot.com/2010_08_01_archive.html

The city of Port Alegre divided the budget and planning activities into five thematic areas these included: urban planning and development, which encompasses sanitation, city planning, housing and the environment; the second theme is traffic management and public transport; the third theme is health and social welfare; followed by education, culture and recreation; and economic development and taxation. According to Prada et al (2010) participatory budgeting was based on district thematic assemblies/ districts that met throughout the year to participate in the budget writing process and was divided into phases/ levels:-

- During the first phase of this participatory budgeting; Meetings are held at assembly level with communities whereby the government officials present the size of the budget to the citizen representatives;
- In the second phase neighbourhood meetings are held, residents at this point draw up a list of priorities particularly for infrastructure investment. Two district representatives are

elected at this stage and two alternative people who will serve on the budget council are elected;

- During the third phase assembly meetings are held with elected officials and a district wide priority list is drawn up which comprises several investment categories deals with assembly meetings where each district elects two representatives and two alternatives to serve on the city-wide municipal budget council; and,
- In the fourth phase the municipal budget council determines how funds will be disseminated according to the priority list drawn up earlier in the process.

The participatory budgeting structure of Port Alegre indicates that there is a good working relationship between the technical expertise of government officials and the priority list that is drafted by the community (Heller; 2001) which resonates with the principles outlined by Silverman. The second noticeable element in the participatory budgeting is the transparency of the budget for citizen consideration. Citizens are fully aware from the onset what the budget of the district/ assembly is and are able to direct this budget and funding to projects that are of fundamental importance to them, bringing development that is much needed and relevant; this principle is borrowed from Silverman when he describes the aggregation of priorities. It is important to note that while communities produce a priority list as per the community's needs, the final decision on the expenditure of the budget is approved by the Municipal Budget Council in Port Alegre. There is also a high level of accountability that is bestowed to government officials during this budgeting process. Paradza et al (2010) concurs with this view.

The Port Alegre participatory budgeting approach highlights the following key issues:-

- 1) The differentiation in thematic areas of concern indicates the various core functions of local government which must be understood by the public.
- 2) The assemblies/ districts that are formed are established provide a platform for participation and engagement between government and communities.
- 3) The display of the budget to the public and allowing the public to direct the expenditure of the budget increases confidence of the public in the ability of government to lead and provide services and infrastructure.
- 4) The manner in which the assemblies/districts and government officials engage with the public increases the level of accountability and of government officials.

- 5) The development process that is undertaken in Port Alegre is transparent due to the manner in which public participation and decision making occurs.

The Integrated Development Plan (IDP) public participation process in the City of Cape Town draws upon the best practices of the Port Alegre study and incorporated elements into their public participation processes. As an entry point, the City has developed several thematic areas similar to that of Port Alegre, these include:-

- Services;
- Economic Development and Job Creation;
- Transport;
- Housing;
- HIV/ TB and Health;
- Disaster Management;
- Environment;
- Sports and Recreation; and,
- Social Development

The manner in which Port Alegre developed assemblies/ districts to facilitate input from the community, the City of Cape Town developed sub councils as a means of connecting with the community and providing a platform for residents to participate in the decision making processes of local government. The municipality states that there are 24 sub councils of the city of Cape Town. The functions of these sub councils are listed below:-

- Encouraging residents to get involved in decisions on the City's policies and legislation, such as draft by-laws, proposed policies, its annual budget and its 5 year plan;
- Monitoring City service delivery, resolving residents' complaints and enquiries;
- Supervising the spending of ward allocations (money that the City gives to sub councils) on service delivery issues;
- Dealing with referrals from the City's portfolio committees about policies, by-laws and regulations;
- Making recommendations to Council on matters affecting their areas;
- Authorising business licences; and,
- Adopting rules of order (English, Afrikaans, and Xhosa).

While having constituted the sub councils in a similar fashion as the Port Alegre's districts which serve as a platform for communities to engage with government structures the City of Cape Town make use of Ward Forums similar to the Ward Committee structures of KwaDukuza Local Municipality. The City of Cape Town does not limit public participation processes to the IDP only but uses the sub-councils to engage communities on a range of other issues that impact on the spaces that people live and work in.

Issues pertaining to the expenditure of the budget of the City of Cape Town are also put forward to the community and communities are able to direct expenditure of the budget in their ward. Sub-councils are tasked with keeping an up to date database of all those that live in the area where the sub council presides. The City of Cape Town has fused the sub- council structure that it has imported from Port Alegre with the Ward Committee structure of the municipality. In this way sub councils are chaired and managed by Ward Councillors and administrative support to the sub councils are provided by municipal staff. Overall it appears that the sub-council structure of the City of Cape Town has increased the level of transparency and accountability of government officials and Ward Councillors and service delivery has been expedited in some areas. The elements of participatory budgeting incorporated from Port Alegre have assisted the City of Cape Town to actively engage with communities and encourage communities to join the development dialogue of the city.

3.2 THE CASE STUDY OF MEXICO CITY

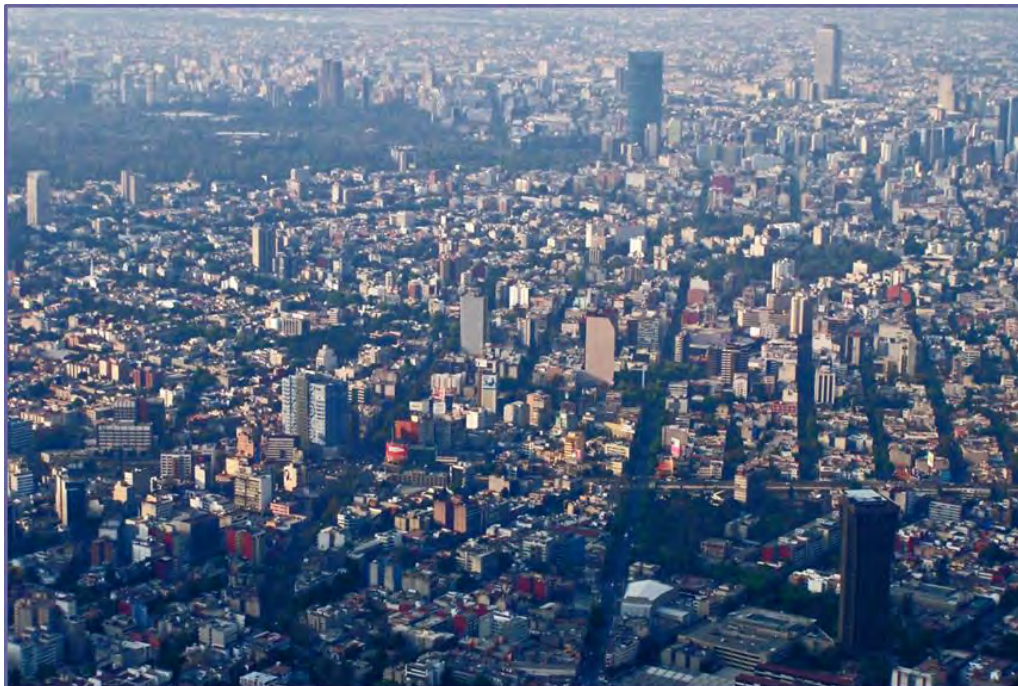
The Mexico City case study looks at the citizen participation in Mexico City and indicates how citizen participation in this case was not successful and the reasons for that. The aim is to highlight the ineffectiveness of the citizen participation in this case and to provide insight on what should not be done in citizen participation that would cause it to be ineffective. Citizen participation in Mexico City is influenced by the political leadership of the city and participatory governance structures and investigates the role these agencies have on locally elected public representatives. Map 5 and Plate 3 provide the geo-spatial context and aerial view of Mexico City. Due to the proximity of Mexico City to the United States, Mexico City is placed outside of the general acceptance of what is considered the Development South, it has many of the developmental and socio economic problems found in developing countries. For these reasons this case study provides a useful perspective for potential lessons from practice.

Map 5: A Locality Map of Mexico



Source: http://www.mexico-map.com/mexico_country_map.htm

Plate 3: A View of Mexico City



Source: http://commons.wikimedia.org/wiki/File:Mexico_City-12.jpg

The current political party Partido de la Revolucion Democratica also known as the PRD which is in power aimed at reshaping the relationship that exists between government and the citizens in regards to decisions and policy making (Paradza et al,2010). In 1998 Mexico City passed the Citizen Participation Law which enabled Neighbourhood Committees to be set up as being the main platforms for dialogue and formalised participation between government and citizens. (Paradza et al, 2010) Neighbourhood Committees served as the main pillars of formalised participation at the local level. The purpose of the committees was to serve as a link between residents and authorities, communicating resident needs to district authorities and also to disseminate information about government activities and programmes that concern local residents.

The Neighbourhood Committees engage communities in regards to issues of the budget. Howard and Flores (2013) also point out that since 2000 a budgetary element has been introduced in Mexico City's participatory agenda. They argue however that the financial element was implemented in a disorganised manner, leaving many aspects open to the interpretation of local authorities and communities. Due to this unorganised manner in which citizen participation was carried out in regards to the budget left room for mismanagement of the budget and the process involved in the expenditure. The idea of participatory budgeting in Mexico City was meant to promote citizen empowerment to bring greater transparency and to consolidate a left wing administration (Howard and Flores, 2013). However in practice in Mexico City local authorities were using this loophole in the management of citizen participation to define and control the priorities that have been identified by the communities.

In the implementation of the citizen participation it is noted that the participation is managed in different phases. In phase one, the governor of Mexico City sends budget participatory proposals to the Neighbourhood Committees (NC). Thereafter the second phase involves the local congress approving the budget. In the third phase the neighbourhood committees discuss their priorities and the project list is sent to local councils for approval in what becomes the fourth phase. In the fifth and final phase, local authorities publish a list of projects and set a deadline for completion.

While Neighbourhood Committees were established with the notion of promoting public participation these institutions were not well developed in terms of their legal framework in which they meant to operate and the political party in charge (Partido de la Revolucion Democratica) did not provide adequate resources or authority to the Committees for them to genuinely facilitate

participatory governance. As a result local committees were not successful and local government officials were not meant to intervene in decision making processes or to consult with Neighbourhood Committees.

The discussion above provides two reasons that substantiate ineffectiveness of Neighbourhood Committees (NC). The first reason is that the city authorities got involved in committees decision making which was contrary to the legislation and this discouraged the elected representatives of the community as the community leaders were left powerless. While Neighbourhood Committees were struggling to get across their priorities to government structures, government structures were conducting consultations with the public via the telephone and neighbourhood assemblies. The second reason turns to the informal approach created by the authorities to push citizen participation on telephone consultations and neighbourhood assemblies. In this line, the major problem with the establishment of assemblies is the legitimating parallel institutions which hinder the participatory process. This precedent study indicates failure in the institutional structures of governance and public participation and the interference of government officials in the community decision making. The study also indicates that there needs to be strong leadership at government level that will intervene and correct institutional structures that fail to function effectively.

This case study is particularly relevant to the South African landscape as both Mexico City and South Africa have institutionalised public participation. The case study of Mexico indicates the poor functioning of these institutional structures of participation and the reason for this is poor leadership and a lack of accountability. It begins to question the relevance of the participation structures of Mexico and whether or not there is a need to look at other interventions of participation that assist in engaging the community. This case study is used to prove the hypothesis that public participation in KDM is less than optimal and requires additional strategic interventions to fulfil its mandate.

3.3 CONCLUSION

The precedent studies indicated how public participation is being practiced with the City of Cape Town showing positive progress to engaging the public in local governance and the case of Mexico illustrates that while the country had good intention with public participation and drafted the correct legislation to give effect to public participation this was not carried out effectively due to communication challenges between governance structures and the people at ground level. Overall this chapter provides a clear trajectory on the elements that give effect to integrated development

planning and public participation. The chapter links lessons from practice with the assertions and observations made by authors in the literature review indicating that there are alternative methods to enable community participation in the integrated development planning process and the production of plans linked to it.

4.0 INTRODUCTION

This chapter examines the conceptual and theoretical framework which is critical in the compilation and formulation of a dissertation. The concepts and theories that are discussed lay the foundation for the dissertation. This chapter focuses on defining the concepts that have been introduced in the previous chapter and also provides an understanding of these. Theoretical frameworks that inform the dissertation are also discussed in this chapter.

4.1 A DEFINITION OF INTEGRATED DEVELOPMENT PLANNING

Integrated development planning is a planning process that spans a five year period. The product of the integrated development planning process is an Integrated Development Plan or IDP. All municipalities produce an IDP for a period of five years and this coincides with the term of office of the municipal council. The IDP is a strategic planning tool that aims to direct the budget and planning of a municipality. It is a strategic planning process that outlines the vision, objectives and strategies of the municipal council.

The plan and the process are both commonly referred to using the acronym IDP. This interchange of the acronym term IDP for both process and plan can be problematic in presenting information for each discrete component. In this dissertation, the acronym IDP will be used to refer to the product or document that is the outcome of the process. The process of compiling an IDP is one that is participatory and provides a platform for local communities to be part of the decision making process of their local authority.

Participation in the IDP process is encouraged through the IDP Representative Forums and Steering Committees. The IDP concept advocates for accountability of local government to plan and provide a better quality of life for its citizens and is an attempt at eradicating poverty and encouraging economic and sustainable development.

4.2 INTEGRATED DEVELOPMENT PLANNING AS A PROCESS

Prior to the commencement of the IDP process, local municipalities prepare an IDP Process Plan. The process plan clearly outlines the institutional structures that will be responsible for the development of the IDP, roles and responsibilities of the various stakeholders involved are included, public participation mechanisms that will be employed by the municipality during the IDP process is reflected in the process plan. The process plan also outlines a time schedule that guides the compilation of the IDP. Budgets to be used in the process are also included. The process plan gives a clear and rational logic as to how the IDP process will unfold.

While the local and metropolitan municipalities prepare an IDP process plan, district municipalities prepare a framework plan which outlines the procedures that will be followed in the consultation process with local municipalities. It also highlights how alignment between the district and local IDP processes will be aligned. Overall the district IDP framework provides guidance to local municipalities in the preparation of their IDP process plans.

The methodology of preparing an IDP comprises of five distinct phases, i.e.:-

Phase 1: Analysis

During this phase the status quo of the municipality is determined. Challenges faced by communities are identified; causes of these challenges are also noted. The existing level of development is also considered. This phase assists the municipality in understanding their municipal context holistically and by carrying out this status quo exercise the municipality is able to construct a priority list of challenges and will be in a position to rank these challenges in order of high and low priority. Resources available to overcome these challenges are also recorded.

Phase 2: Strategies

The strategies phase of the IDP is where the municipality begins to think about the direction in which development is to occur after assessing the previous phase. During this phase problems that have been identified in phase 1 are dealt with. This phase is the problem solver phase of the IDP; all the challenges recorded are dealt with in this phase. The municipality in this phase determines a development vision for the municipality which is for a period of five years. The vision of the

municipality refers to where the municipality would like to see itself in the next five years; it refers to an ideal state. It includes the following components:-

- i) Development Objectives are conceived during this phase and address the challenges that have been identified in the analysis phase. The objectives refer to what the municipality needs to do to overcome the challenges identified and attain the vision that has been conceived.
- ii) Development Strategies are thereafter developed after the objectives are identified and details how the municipality will attain the objectives that have been outlined and what would be the best way to do this.
- iii) Project Identification is the logical sequential step that follows from the development of strategies. Projects are identified that will assist the municipality overcome the challenges and ensure the vision is attainable.

Phase 3: Projects

Projects are designed in this phase to meet the challenges identified. The beneficiaries of projects are identified and these are verified to ensure that that high priority projects commence first. Budgets are allocated and performance measures become part and parcel of the project design. In the project specification of this phase, comprehensive details are noted which include whom will benefit from the project, the life span of the project, the project budget will be stipulated along with the various phases and also where the budget will come from i.e. who will be funding the project whether the municipality will be funding it or if funding is coming from various other government departments.

Phase 4: Integration

After the projects have been identified and prioritized, they are verified as to whether they meet the strategies and objectives of the municipality. The integration phase also consists of the inclusion at this stage in the IDP process of the following key annexures that inform the IDP and will guide the project implementation:-

- Spatial Development Framework(SDF);
- Disaster Management Plan;
- Capital Investment Framework; and,
- Performance Management System.

Phase 5: Approval

During this final phase of the integrated development planning process, the document or IDP is produced and is presented to the municipal council. The municipal council checks to see if the challenges identified have been adequately addressed and if the strategies and objectives that have been developed address the challenges. They ensure that correct public participation has taken place in the IDP process and that communities were actively involved in the process as it is a critical element to the development of the IDP. The IDP is meant to represent the community viewpoint and is largely developed in response to the needs of the community.

4.3 A DEFINITION OF THE INTEGRATED DEVELOPMENT PLAN (IDP)

The IDP is the product of the integrated development planning process and is the principle plan at local government level and supersedes all other plans that guide development and planning (Theron; 2005.) All development that occurs in a municipal space must be in accordance with the IDP. The IDP is adopted by the Municipal Council and is therefore a legally binding document. Any development that occurs which does not conform to the IDP can be deemed to be illegal.

4.4 THE SPATIAL DEVELOPMENT FRAMEWORK

A Spatial Development Framework is the spatial representation of the integrated development plan of a municipality including the local, district and metropolitan. It is a tool that is used to describe the desired vision of a municipal area and also direct where future development in a municipal space should occur. The SDF is used to develop smaller more localised plans like precinct plans. An SDF is also a legal requirement as per chapter 5 requirements of the Municipal Systems Act. The new act, The Spatial Planning and Land Use Management Act (Act No 16 of 2013) provides the legislative framework for the development of the Spatial Development Framework and other spatial plans.

4.5 PUBLIC PARTICIPATION

Public participation as a concept refers to individuals and communities participating in the decision-making process of local government and in this dissertation in the integrated development planning process and plan including the preparation of the SDF. Through public participation in the decision making process, several objectives of post-apartheid planning are meant to be achieved. These include the empowerment of local communities in the decision making processes of their governance which is an attempt to bring about transparency, accountability and allow communities to drive development in their areas.

4.6 PUBLIC PARTICIPATION METHODS

The public participation methods practised in South Africa during the IDP process occurs through the structures of Ward Committees. In these Ward Committee structures, community meetings are held to ascertain what the needs of the community are. The municipality holds an IDP Representative Forum meeting where concerns of the community are raised at municipal level and are factored into the IDP.

4.7 INCLUSIVENESS

The concept of inclusiveness is derived from the concept of *“inclusion”* and according to Clark et al (2012: page 64) inclusion refers to the *“active, intentional, and on-going engagement with diversity in people, in the curriculum, in the co-curriculum, and in communities (intellectual, social, cultural, geographical) with which individuals might connect in ways that increase one’s awareness, content knowledge, cognitive sophistication, and empathic understanding of the complex ways individuals interact within systems and institutions”*. Post-apartheid planning in South Africa is premised on the principle of inclusion and is a direct response to the *“exclusive and exclusionary”* planning that took place during the apartheid regime whereby the majority of the population of the country were not part of the development discourse.

The Denver Foundation (2014) defines inclusiveness as *“the extent to which an organization has people from diverse backgrounds or communities involved as board members, staff, and/or volunteers”*. Sakamoto (2013), Bennett (2012), Rauniyar and Kanbur (2010), Rajendra (2006) all refer to the concept of inclusiveness meaning the distribution of wellbeing in society. Inclusiveness is a central theme in post-apartheid planning and attempts to include all groups in society in the decision making processes of local government. The legislative prescripts that guide this dissertation

namely the National Constitution and the Municipal Systems Act advocate for inclusiveness in the development discourse.

4.8 POVERTY

Poverty is an important concept for this dissertation as one of the aims of integrated development planning is reduce and eradicate poverty. This is reaffirmed by Todes (2004) as she mentions that the IDP is the prime vehicle in South Africa or redressing the issue of poverty and inequality and at the same time restructuring rural and urban areas away from the apartheid legacy. Robert Chambers (1983) describes poverty as being multidimensional and therefore it is difficult to provide a single definition for the term. Chambers (1983) however describes poverty in five categories, these are:-

- Physical weakness;
- Powerlessness;
- Vulnerability;
- Poverty proper; and,
- Isolation.

The five categories of poverty as proposed by Chambers helps to give a better understanding of poverty and one is then able to understand the concept of poverty in the South African context.

Physical weakness: refers to an individual who does not have good health or possibly has a disability or impairment. The ill health or disability reduces the chances of that individual participating in economic activity that could help the individual live a better quality of life.

Powerlessness: refers to an individual or groups of people that do not have any input into any aspect of their lives and leaves decision making completely to politicians, or any other social or economic structures that may exist.

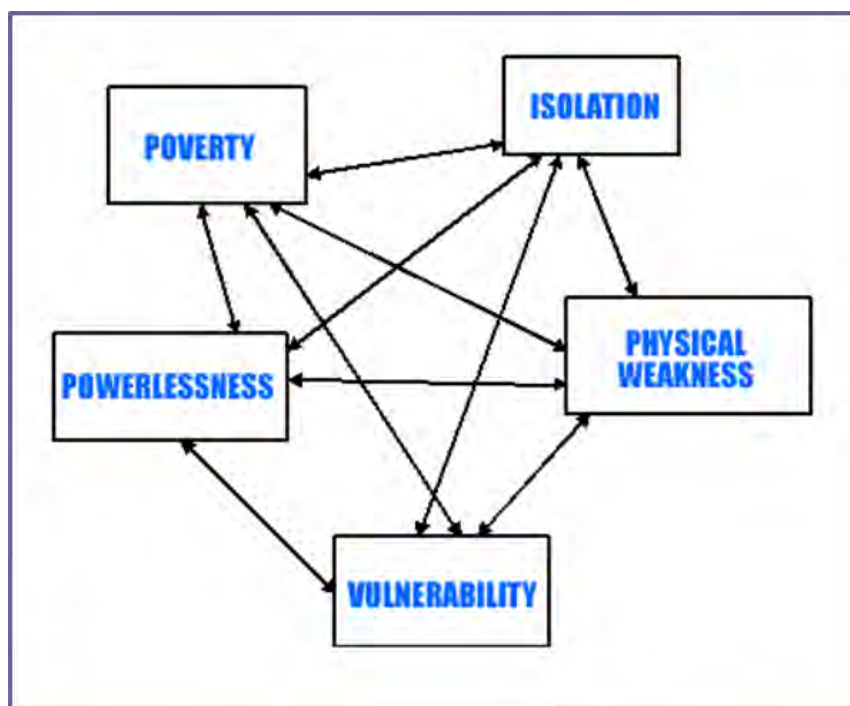
Vulnerability: refers to how vulnerable people are able to deal with shocks and events that are not anticipated in the community which could include floods, droughts, death, famine and other unexpected events.

Poverty Proper: This aspect of Chambers (1983) definition of poverty relates to the definition of poverty as defined by the World Bank and refers to individuals who cannot maintain a minimum standard of living because they do not have the minimum required to support consumption.

Isolation: refers to social and physical isolation that could result in poverty. In some instances especially in developing countries physical isolation is pertinent whereby individuals and groups of people cannot access goods and services as they may be located in areas that are not well connected to developed centres. These could refer to communities living in rural villages that find it a challenge to access services from the developed areas. Social isolation/ exclusion refer to those individuals living in a community that are prevented from accessing services like education.

The following diagram extracted from Chambers refers to the “*Deprivation Trap*” and illustrates the interrelationships that exist between the five aspects of poverty.

Figure 8: A Diagram of the Deprivation Trap



Source: <http://issele-uku.org/2013/05/yes-together-we-can-make-a-difference/>

Poverty has been identified as one of the major challenges in post-apartheid South Africa and all development plans including the IDP must respond to alleviating poverty in municipalities and ultimately the country. The definition of poverty as stated above aims to provide an understanding of the concept ensuring that the response provided to poverty reduction in development plans particularly the IDP is meaningful and effective in addressing and reducing poverty.

4.9 SUSTAINABLE LIVELIHOODS APPROACH

According to Chambers and Conway (1992: page 7).

“A livelihood comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living: a livelihood is sustainable when it can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets and provide sustainable livelihood opportunities for the next generation; and which contributes net benefits to other livelihoods at the local and global levels and in the short and long-terms”.

The United Kingdom Department of International Development (DFID) (1999) refined the original definition provided by Chambers and Conway (1992) to include:-

“A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from shocks and stresses and maintain and enhance its capabilities and assets both now and in the future, whilst not undermining the natural resource base.”

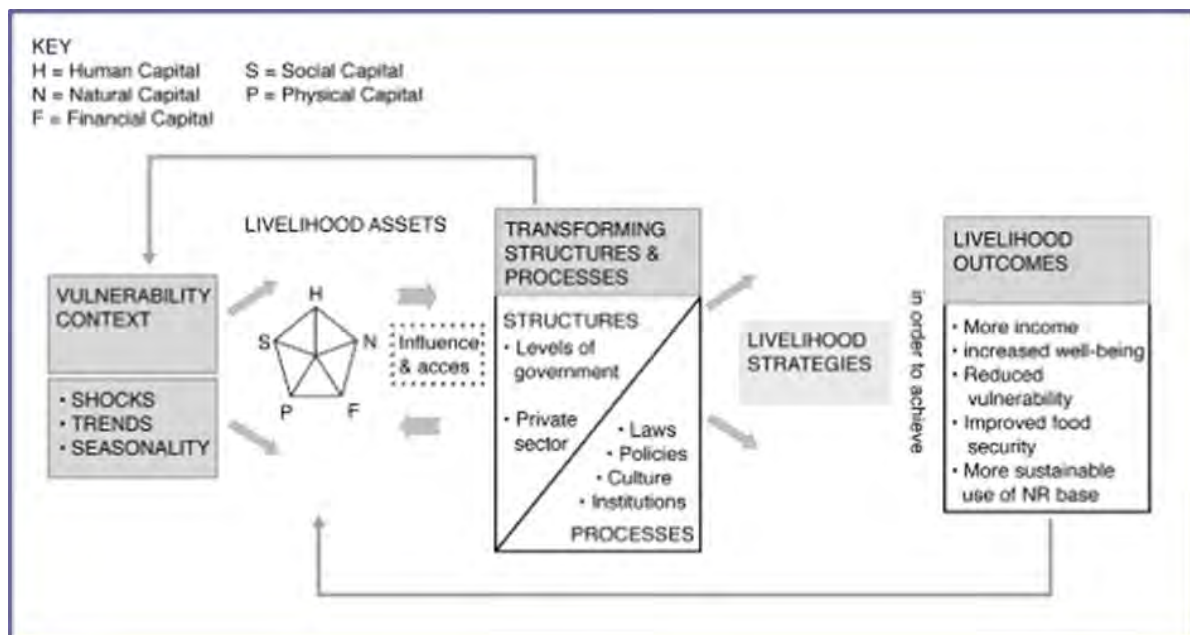
The approach of sustainable livelihoods has been central to rural development thinking and practice in the past decade according to Scoones, (2009). This approach was used mainly for rural development in particular agriculture. The idea of sustainable livelihoods was that it was an attempt to reduce poverty and also assisted to create a sense of urgency in reducing poverty by government, donors, and non-governmental organisations. (Agbaje and Agbaje; 2013: page 87)

The tenets of poverty reduction with regard to sustainable livelihoods are included but not limited to UK DFID, Oxfam’s framework, and UNDP. The Sustainable Livelihoods Framework was adapted from a model developed by the UK’s Department for International Development, and adjusted for use in

Canada (ODI 2013). Figure 9 provides a diagrammatic interpretation of the DFID Livelihood Framework.

From the framework, sustainable livelihoods comprises: human, physical, social, financial, and natural capital assets. The approach maintains that while people may live in poverty stricken conditions they do at any point in time have assets as listed above which to some extent they might not be aware of and by building on these assets once identified sustainable livelihoods can be established.

Figure 9: The Department of International Development (DFID) Sustainable Livelihood Framework



Source: Carney 1998(DFID)

The approach is a people centred approach and dwells on enriching the lives of people. *“The approach is founded on a belief that people require a range of assets to achieve positive livelihood outcomes; no single category of assets on its own is sufficient to yield all the many and varied livelihood outcomes that people seek. This is particularly true for poor people whose access to any category of assets tend to be very limited. As a result they have to seek ways of nurturing and combining what assets they do have in innovative ways to ensure survival”* (DFID).

DFID’s approach is to assist people in building their resilience and capitalising and expanding on their assets and using them so that they currently have to live sustainable lives. The assets/ capital that an individual might possess include the following:-

Human Capital/ Assets: These human assets refer to the knowledge, level of education, skill, expertise, experience and good health that an individual might possess that would assist the individual to gain employment or engage in economic activity that can be used to live a sustainable life.

Social Capital/ Assets: Social assets refer to the relationships and networks that individuals share with their family members, friends, religious organizations, membership to organized groups in a community like a women’s league, sports clubs, etc. These relationships that are created through these interactions which involve a certain level of trust is regarded as social assets as these social assets could enable individuals to cope with stresses and shocks that may be inflicted on them.

Natural Capital/ Assets: Natural assets include some of the following land, forests, water, air quality and biodiversity. *“Natural Capital is very important to those who derive all or part of their livelihoods from resource based activities (farming, fishing, gathering in the forest, mineral extraction, etc.)”* (DFID Guidance Sheets)

Physical Capital/ Assets: The physical assets that an individual might have access to refers to basic infrastructure which include roads, rail transport, telecommunications, physical structures like buildings, sanitation and shelter. Physical infrastructure is of particular importance to those living in outlying rural

areas and who use road and rails networks to connect to the developed urban areas. These physical assets assist individuals to access opportunities that they might not be able to access if the physical asset was not in place.

Financial Capital/ Assets: This asset refers to the finances that an individual may have access to these include savings, pension funds and grants and may also be used to refer to jewellery and livestock. Individuals may use their financial assets directly to archive livelihood outcomes which include the purchase of food or the payment of transport.

The sustainable livelihood approach is a vital concept introduced in the dissertation as the IDP is meant to promote development in all aspects of human nature and development is not only focussed on spatial planning but also focuses on communities and assisting communities improve living conditions using the assets that they might have access to. The Sustainable Livelihoods Approach (SLA) also brings a sense of hope to development; communities are now introduced to the concept of assets which they might have not considered as an asset previously.

4.10 SOCIAL JUSTICE

The concept of social justice is concerned with the equal distribution of resources. This view of the definition is upheld by various theorists including (Harvey 1973, Smith 1994, Barry 2005, Fainstein 2009, Klugman 2010, Arneson 2007 and Campbell 2013). Social Justice forms an integral element of post-apartheid planning in South Africa due to the exclusionary policies that were implemented during the apartheid regime. Apartheid policies deprived communities from having equal access to living conditions. Planners in post-apartheid South Africa have to create innovative mechanisms in the development discourse to promote social justice ensuring that all citizens have equal opportunity to access a better quality of life. Harvey (1973) also views planners as being crucial to facilitating social justice.

Smith (1994) argues that planning is a key mechanism through which distributive justice is related to urban space. Klugman (2010) states that a planner who advocates for social justice ensures that structural and enduring changes that increase the power of those who are most disadvantaged politically, economically, and socially are incorporated. Underpinning the notion of social justice is

that *“Resources should be distributed so that everyone can live a decent life”* and the notion that *“Human beings all have equal human rights, and should be recognized in all of their diversity”* together with *“All people should be represented and be able to advocate on their own behalf”* Klugman (2010: page 3). The last value encompasses participation as a driving force for development which in return needs inclusiveness. This has a direct bearing on this research. Similarly, Campbell (2013: page 76) defines social justice as the explicit recognition of structural inequalities in the world (along class, race, gender, institutional and other lines). Campbell (2013) recognises the need for proactive, structural programs to counteract these inequalities this is similar to the notion of post-apartheid planning and correcting the spatial form which was created during this period and the impact that it had on communities.

Barry, (2005) suggests that social justice requires equal distribution of resources unless inequality arises by voluntary choice from an initial situation in which everyone has equal opportunities. According to Barry, *“the rights, opportunities, and resources with which social justice is concerned are disparate, and it is a mistake to suppose that these disparate types of goods can somehow be reduced to a common measure”* (Anson 2007, page 4).

4.11 THEORETICAL FRAMEWORK

The theoretical component of this research focuses on three main planning theories which impact on the research these include collaborative planning, communicative planning and advocacy planning. The reason for this is that integrated development planning as discussed involves in-depth consultation and participation from communities to enable transparency, accountability and to make communities decision makers and to enforce bottom up planning as compared to the previous top down approach of the apartheid government. Collaborative and communicative planning both focus on dialogue between government and the people and therefore are useful theories that give meaning to integrated planning. The theory of advocacy planning is closely related to concepts of social justice and inclusiveness which are concepts that are advocated for in post-apartheid legislation.

4.12 COLLABORATIVE PLANNING

Contemporary planning literature reiterates theories of collaborative planning with emphasis on institutional settings for deliberation and collaboration among actors (Fainstein, (2000); Rogerson (2011); Baker & Wong, (2013) Healey (2003); and Agger and Lofgren (2008)).

The tenet of collaborative planning, Patsy Healey (2003, page 104) stipulates that collaborative planning first was inspired by the perception of planning as an interactive process. Planning as an activity of government occurs in complex and dynamic institutional environments. It is shaped by wider economic, social and environmental forces that structure, but does not determine specific interactions. Focusing on planning and policy initiatives, collaborative planning is concerned with maintaining and enhancing the qualities of places and territories. The definition that Healy provides for collaborative planning describes precisely what development planning and public participation is about. Both are meant to be interactive processes they are framed by institutions and encompass and cut across the sectors of social issues, environmental concerns and economic considerations.

From the above statement by Healy many scholars have elaborated on the use of collaborative planning at different planning levels. European academics and practitioners have been advocating the importance of collaborative and inclusive governance in the spatial strategy making process so that all actors are able to fully communicate and articulate their values, visions and ideas within the plan-making arena (Baker and Wong, 2013: page 85). As elicited from the above, collaborative planning is often mentioned as one of the most appropriate planning theories in relation to the network society owing to its focus on creating fair and inclusive institutional settings for deliberations among public and private stakeholders (Agger and Lofgren, 2008: page 145). These statements have particular reference to integrated development planning in post-apartheid South Africa and reaffirm the principles advocating for inclusiveness.

Healy (2003, page 116) mentions that collaborative planning is also meant to interrogate government practices which exist currently and seem to be failing and assist to reconfigure them in regards to relationships between stakeholders and this she mentions must happen both in discourse and in practice *“to what already exists, what is emerging and what might possibly emerge in a specific context.”* Collaborative theory again provides a platform for communities in South Africa to interrogate the planning systems in the country and hold government accountable to the people. In the support of Healy statement, Fainstein (2000, page 52) notes that the collaborative model, emphasizes the planner’s role in mediating among *“stakeholders”* within the planning situation.

In the practice of collaborative planning, according to Baker in 2010, in the case of UK under the Coalition government's ethos of "localism", spatial planning uses the principle of collaboration and participation throughout the plan making process. In essence, Baker & Wong, (2013) point out the role of spatial planning which are to be a coordinator, integrator and mediator of the spatial dimensions of wider policy streams. Also Rogerson (2011, page 11762) notes that national departments in the United Kingdom enacted a number of measures aimed at supporting collaboration between sub-national authorities regarding economic development. Whilst, in the USA, it is argued that a vital role for national government is to support the development of 'best practice' in sub-national economic development programmes by encouraging more and a better quality monitoring or evaluations of existing programmes (Rogerson, 2011, page 11764).

Another case study with an effective community participation in urban regeneration, Maginn (2007), notes that the collaborative planning theory and applied ethnography offers policymakers a way forward in realizing more effective community participation. He argues the above points provide a framework to govern and has the potential to promote inclusion of all stakeholders. Collaborative spatial planning ideals from the New Labour era which includes inclusion, participation, stakeholder and community involvement and transparency are said to be key to planning (Baker and Wong, 2013).

The importance of collaborative planning is reiterated by Menzel and Buchecker (2013) whereby they indicate that participatory planning processes can somewhat contribute to maintaining and spreading knowledge and social capital among individuals in a planning group. This may help them collectively deal with new and complex challenges. In South Africa the practice of collaborative planning is no different from the international arena. The first point of departure in terms of incorporating collaborating planning theory into the planning discourse comes from the Municipal Systems Act which states clearly that municipalities must "*encourage and create conditions for, the local community to participate in the affairs of the municipality*" (MSA, chapter 4, 16 (1) (a)).

The major critique of this theoretical reference is that collaborative planning is viewed as being a time consuming process and in the context of South African planning it poses a dilemma as on one hand, planners are mandated by the South African Constitution and the Municipal Systems Act to

encourage and conduct public participation and at the same time deliver basic services which are in high demand.

4.13 COMMUNICATIVE PLANNING

Much of recent work in planning theory, has been devoted to examining the meanings of conversations that planners have with developers and city officials, and deconstructing planning documents. (Fainstein, 2000, page 456). Habermas contributes to the theory of communicative planning by stating that *“the planners warn others of problems, present information, suggest new ideas, and agree to perform certain tasks or to meet at certain times, argue for or against particular efforts, report relevant events, offer opinions and advice, and comment on ideas and proposals for action”*. Gunder (2010, page 302) mentions that communicative planning is viewed as an ideal of all planning processes. It intends to achieve undistorted, open, community-based consultation which culminates in unforced consensual agreement of all participating actors, prior to the commencement of any agreed social or spatial action.

Fainstein, (2000) perceives communicative planning as a reaction to the top down approach in planning. By focusing on the community as a place and as the appropriate unit of intervention for achieving a more sustainable future, the participating agencies discovered the profession of planning (Chifos, 2007, page 446). Chifos argues that planning expertise was sought out to advise the agencies in program development. Based on the Habermasian view of communicative action, Institutional communicative approach (ICA) suggests an alternative, bottom-up planning procedure in which discourse functions as the main regulator (Portugali and Alfasi, 2008, page 253). They argue that the common view highlights the fact that planning discourse both reflects and facilitates power (2008, page 269). However, Portugali and Alfasi findings, contradicts the general expectation of the planners themselves of a gradual learning process, with a linear accumulation of planning policy, and hints at the existence of powerful schemata. With regard to the functions of planners in communicative discourse, Fainstein, (2000, page 454) argues the planner’s primary function is to listen to people’s stories and assist in forging a consensus among differing viewpoints. She notes that the planner is an experiential learner, at most providing information to participants but primarily being sensitive to points of convergence.

Communicative planning as an approach may significantly contribute to the establishment of communication as a continuous practice so that planners and environmental experts can more easily reach a common understanding about sustainable urban development (Simeonova and van der Valk

(2009). Previous to these ideas presented, Fainstein, (2000) noted that the communicative model has roots in philosophical approaches and on the theory of communicative rationality. Fainstein argues that pragmatism and communicative rationality emerge from different philosophical traditions. Whist, philosophical realism and empiricism, Habermas's original approach traces back to Hegelian idealism and Marxist critical analysis (Fainstein, 2000, page 454). Fainstein (2000) emphasises that all of these philosophical traditions converge to provide a guide for action by planners. In this regard, planners play an important role as to communicate.

It is argued that the communicative paradigm becomes nowadays an indispensable part of the societal integration process by promoting a better understanding of the communication constraints which impedes contemporary governance (Simeonova and van der Valk, 2009, page 250). They stress the need for such collaboration to arise because of the growing interdependence between private and public interests for both socio economic development and environmental protection. However, in line with collaborative planning and communicative planning, Healy (2003) is included as being one of the critics and mentions that collaborative and communicative planning theory more generally neglected "*contexts*" and there is too much focus on process, divorced from "substantive content". In addition, it is claimed that both collaborative planning and communicative planning theory lack an adequate base in social theory.

Further critics come from the research of Matthews (2012) who states that communicative action has been employed in planning theory because of its emancipatory underpinnings. (2012: page 142). Critiques of communicative planning present this belief in the emancipatory potential of communicative action as somewhat naïve. Planners are always doing and acting in a powerful way within governing planning systems (Matthews, 2012: page 240). Furthermore, Fainstein (2000: page 454) notes communicative planning has some challenges which include but is not limited to a potential conflict between the aims of communicative planning and the outcomes of participatory planning processes.

4.14 ADVOCACY PLANNING

Advocacy is the process of conveying a message more broadly to a mass audience on behalf of others (UN Women, 2014). It is argued that advocacy planning seeks to draw attention to important issues or problems and build support for acting on both the problem and the solution. Advocacy

planning requires careful planning to be effective in implementation. In advocacy planning, the role of the planner is to represent and defend the interests of a diverse group of people. Davidoff (1965) and Mazziott (1982) state that the advocacy planning model assumes that inequalities exist in a political system which are based on different interests from different groups. Therefore, they suggest advocacy planning as an intervention to ensure that all people are equally represented in the planning process by advocating for their interests including the needs of the underprivileged and seeking social change. The key actor in advocacy planning is Davidoff (1965) who claims that *"determinations of what serves the public interest, in a society containing many diverse interest groups, are almost always of a highly contentious nature"* (Mantysalo,2005).

According to Davidoff (2007, page 332), *"planners should be able to engage in the political process as advocates of the interests both of government and other groups."* He argues that the advocacy planner would be more than a provider of information, an analyst of current trends, a simulator of future conditions, and a detailer of means. In addition to this, advocacy planning ensures that the advocacy planner does not only plead on his and his client's behalf but does so in a manner that will contribute to the wellbeing of society. Regarding the form within which advocacy planning takes, Peattie (2007) points out that many forms depend on its sponsorship. This dependence of the forms is regardless problems countered. As result, there is crucial need for advocacy planners in the cities and for humanizing public action.

In contemporary planning, Davidoff (2007, page 333) points out that advocacy planning is also useful when evaluating development plans, as advocacy planning assists in pronouncing social costs and benefits while working in a team whose interests in the development might be varied. Advocacy planning is not only used in the planning fraternity but also in other disciplines including social work, public health, urban policy and social sciences. It is not without its share of challenges; one of these is the bureaucracy and technical decisions making which are noted in some urban areas (Peattie, 2007) during these instances the advocacy planner needs to represent the various groups affected in the decision making (Mantysalo, 2005).

Advocacy planning is particularly important for the context of South Africa considering the disparity in the landscape which was constructed by the apartheid led government pre 1994. Due to the country's post 1994 legislation being focussed on building community and redressing the impact of the Apartheid legacy meant that the development discourse has to be all encompassing ensuring

that all race groups and cultures are adequately represented and their interests are rightfully catered for. In this context, advocacy planning is of pivotal importance. It is argued that South African planners should be comprehensively trained in advocacy planning to ensure that they will have the necessary skills outlined by (Davidoff) for successful advocacy planning.

4.15 CONCLUSION

The conceptual and theoretical framework that is explained above is met to provide an understanding of the integrated development planning as a process and a plan and indicates the constituencies of this process all of which are trademarks of post-apartheid planning in South Africa. The theories provide an understanding of the tools of the process of this participatory planning approach.

CHAPTER FIVE: THE CASE STUDY: SHAKASKRAAL

5.0 INTRODUCTION

This chapter focuses on the case study of the dissertation. It presents a description of the location of the case study in relation to the KwaDukuza Local Municipality, iLembe District and the Province of KwaZulu-Natal. The dissertation focuses on the specific period of time in terms of development in the municipality from the introduction of the first IDP to the third generation IDP. This temporal period of analysis begins in 2002 and ends in 2012. The ten year period would have seen the preparation, development, and submission of three comprehensive IDPs which would have been reviewed annually. Therefore the researcher aims to track and evaluate how the community of Shakaskraal have participated in the integrated development planning process during this period and whether or not their concerns were factored into the plan

The Department of Cooperative Governance and Traditional Affairs in the province of KwaZulu Natal (2012) have categorised IDPs into the following and which terminology will also be used in this dissertation.

Table 6: Successive Generations of Integrated Development Planning

FIRST GENERATION IDP	SECOND GENERATION	THIRD GENERATION
2002-2006	2007-2011	2012-2016

Source: Department of Cooperative Governance and Traditional Affairs (CoGTA), KZN

5.1 KWADUKUZA LOCAL MUNICIPALITY IN THE CONTEXT OF KWAZULU NATAL

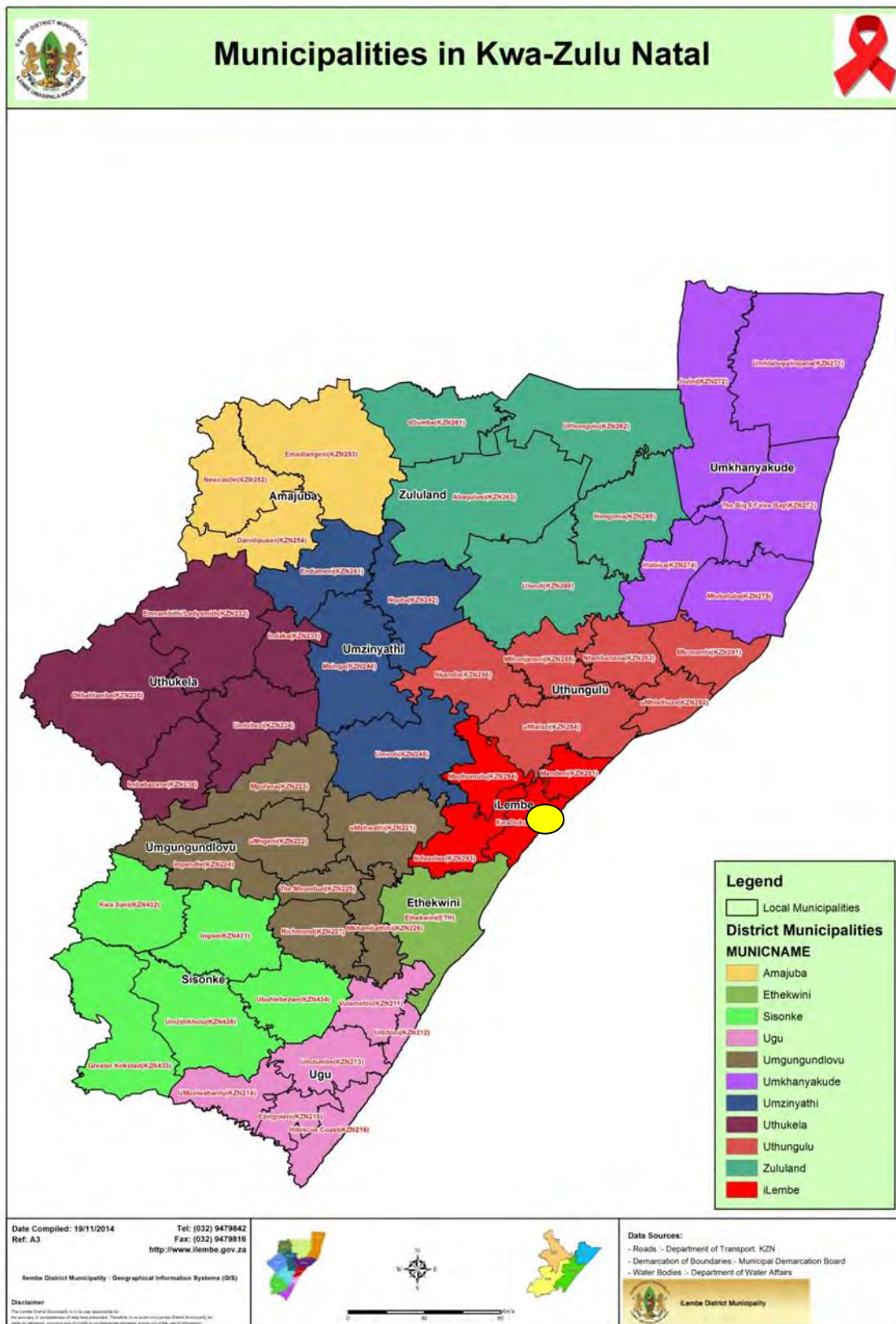
KwaDukuza local municipality is one of sixty one municipalities in the province of KwaZulu Natal. It forms part of the iLembe District Municipality and is one of the four local municipalities contained in the jurisdictional area of the district. It is a Category B Local Municipality (in terms of the Local Government: Municipal Structures Act) and is located on the east coast of the province of KwaZulu Natal. KwaDukuza Local Municipality borders eThekweni Metropolitan Municipality in the south and Mandeni Local Municipality in the north. Map 6 refers to KwaDukuza Local Municipality in the

province of KwaZulu Natal and Map 7 indicates the location of the municipality within the iLembe District.

The municipality is regarded as one of the fastest developing municipalities (KDM SDF, 2011) in the province due to the growth in the residential housing market. New housing is predominately high income in nature and has contributed to the growth in the retail sector. Many businesses have chosen to set up commercial activities in the municipality for a range of reasons however the location of the municipality to the Dube Trade Port and the King Shaka International Airport serve as the major influences to the growth and development of the KwaDukuza Municipality.

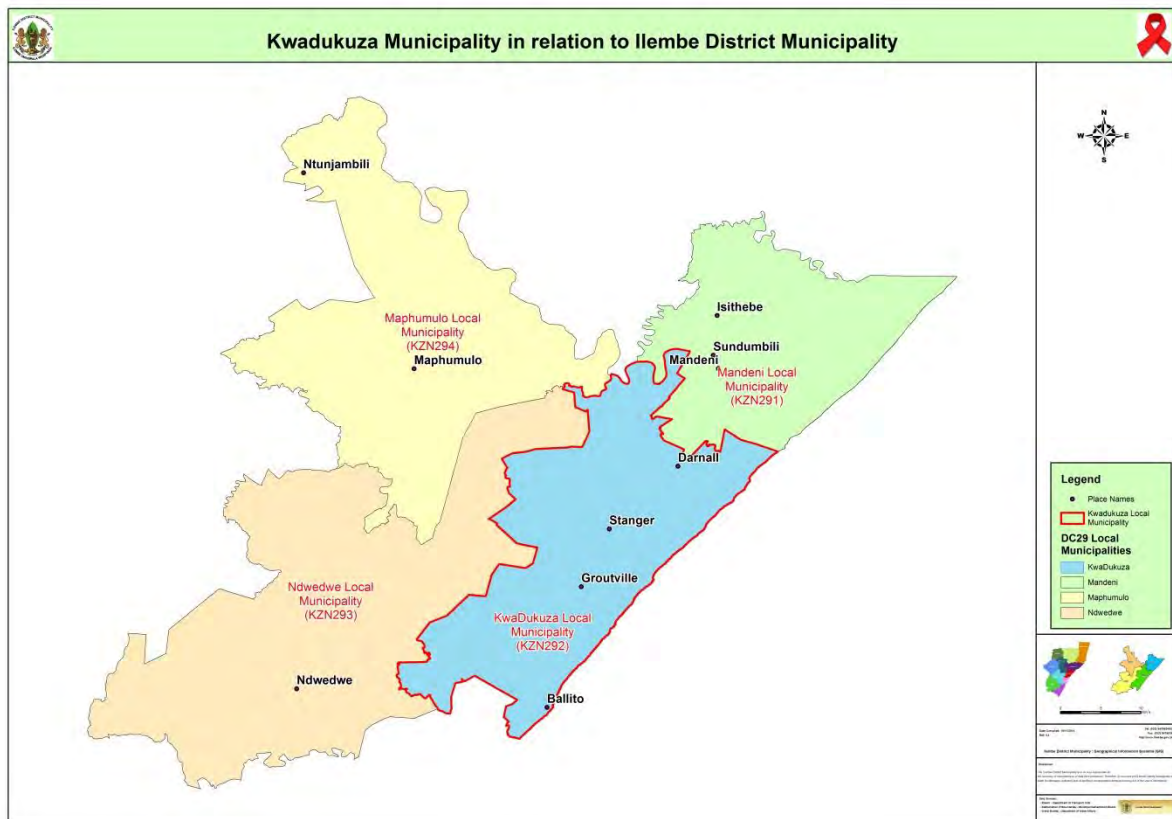
The municipality is strategically well located to the two major ports of the province, Richards Bay Harbour to the north and the Durban Harbour is located on the south both of which are strategically located on the N2 development corridor (KDM SDF, 2011). In addition, the municipality offers competitive rates for residential, industrial and commercial development which are below those of the adjacent metro area of eThekweni. The relocation of the provincial airport to the King Shaka International site and the development of Dube Trade Port in the north of eThekweni and close to the southern border of KwaDukuza, has contributed to development pressures and opportunities in the southern sector of the municipality.

Map 6: Location of KwaDukuza Local Municipality in iLembe District and the Province of KwaZulu-Natal



Source: iLembe District Municipality, GIS Department, 2014

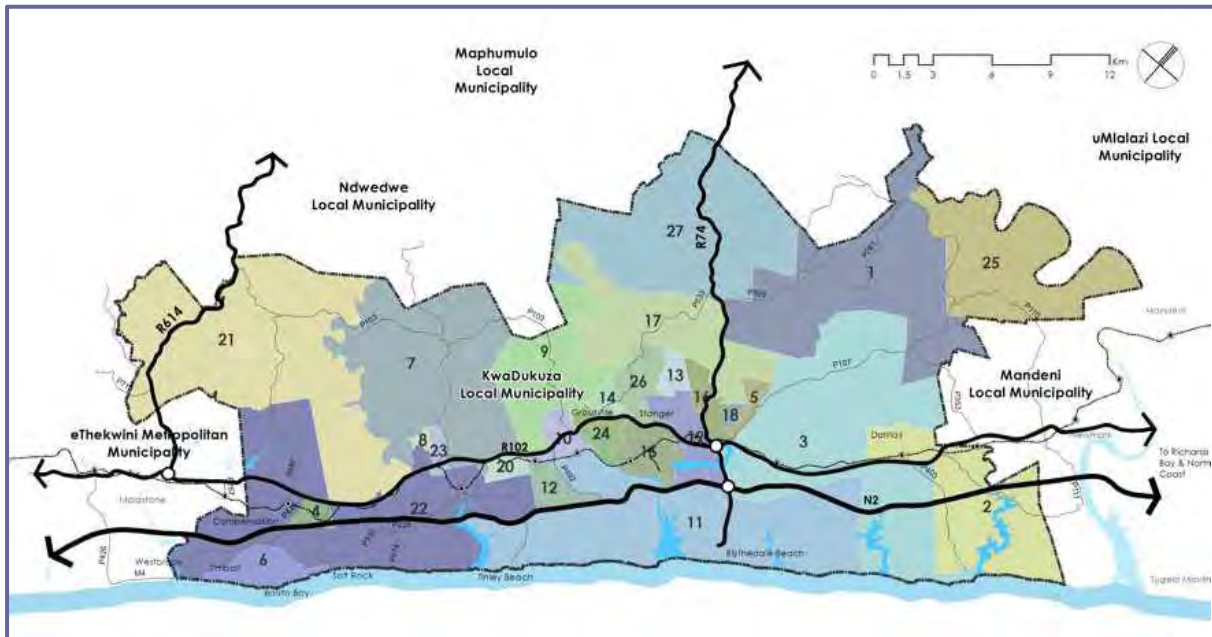
Map 7: The Location of the KwaDukuza Municipality within the iLembe District Municipality



Source: iLembe District Municipality, GIS Department, 2014

The municipality includes 50km of coastline most of which are adequately developed. Movement into the municipality is provided by the N2 and the R102 in the north south direction. The R74 to Kranskop and the R614 serve as the east west linkages. Map 8 below indicates the north-south and east-west linkages.

Map 8: The Road Network Linkages in KwaDukuza Municipality



Source: KwaDukuza Municipality Spatial Development Framework, Review 2011

5.2 KWADUKUZA LOCAL MUNICIPALITY IN THE CONTEXT OF ILEMBE DISTRICT MUNICIPALITY

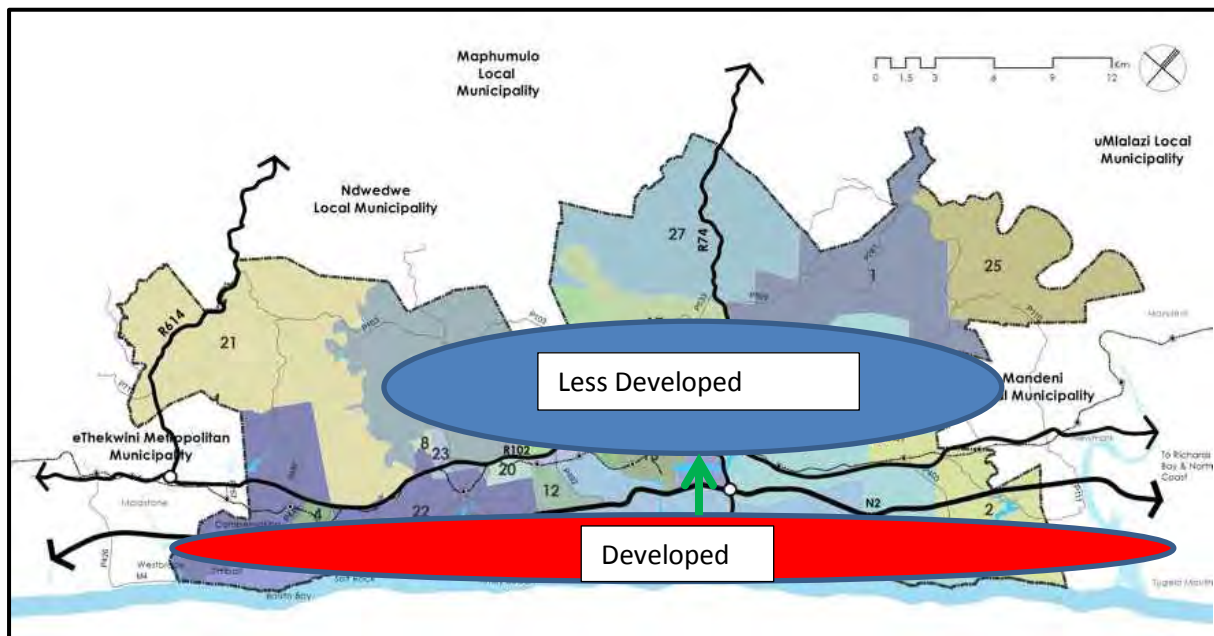
The KwaZulu Natal Provincial Spatial Economic Development Strategy (PSEDS) identifies the south western portions of KwaDukuza as being an area high in agricultural potential and the coastal areas have been identified as contributing to the industry development, commercial activities and tourism.

KwaDukuza Local Municipality is the biggest contributor to the economy of the iLembe District (KDM SDF, 2011). Its economy is focussed on agriculture, manufacturing and tourism. The permanent population of the municipality is approximately 250 000 (KDM IDP, 2012), however there is a substantial temporary population which utilises the recreational and tourism facilities. During the peak periods, the municipality experiences a hike in visitors as people from all over the country visit the area. Urban centres such as Ballito, Princes Grant and Blythedale Beach are regarded as popular tourist destinations for seasonal and casual visitors. The population of the area comprises all racial groups however people of Indian and African descent comprise the largest sector in the population. In terms of demographic profile, the majority of the population of KwaDukuza Municipality falls within the 20-35 age group which is the sector that is economically active.

While the municipality has many attributes poverty, unemployment and HIV/ Aids remain as some of the development challenges. The disparate urban form resulting from the apartheid legacy and infrastructural backlogs have resulted in challenges related to service delivery. This challenge is not unlike that experienced in other local municipalities in the District, the province of KwaZulu-Natal, or other parts of the country. (KDM IDP, 2012)

The most distinguishing element in terms of the spatial layout of KwaDukuza is the disparity between the location of the rich and poor areas of the municipality. The well developed areas of KwaDukuza Municipality lie along the coastal belt of the municipality which is mainly the areas of Ballito, Salt Rock and Sheffield Beach. As one moves away from the developed coastal belt towards the hinterland less developed areas are visible with limited access to services. This spatial pattern is reminiscent of apartheid spatial planning. The map 9 below attempts to give an illustrative picture of this spatial formation.

Map 9: The KwaDukuza Local Municipality indicating the Developed and Less Developed Areas of the Municipality

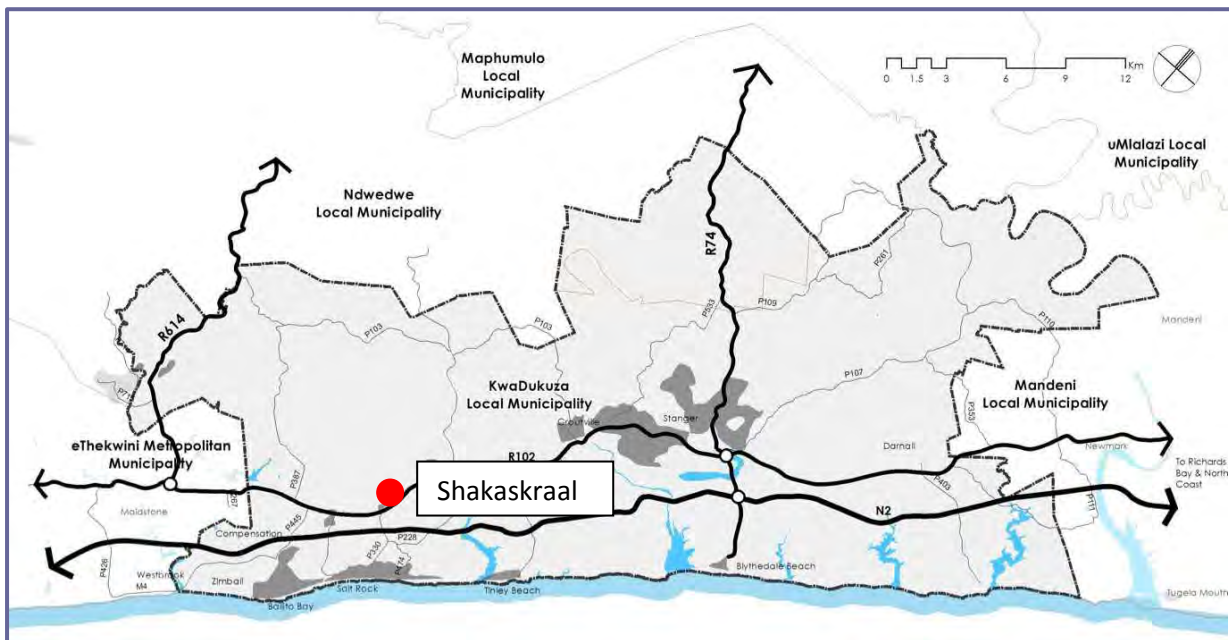


Source: KwaDukuza Municipality Spatial Development Framework, 2011 adapted by Prashina Mohangi, 2014

5.3 SHAKASKRAAL IN THE CONTEXT OF KWADUKUZA LOCAL MUNICIPALITY

Shakaskraal has been identified as a secondary service node in the KwaDukuza Municipality (KDM SDF, 2011). The village is located along the northern coastal road the R102 which is a primary development corridor of the municipality (see maps 10 and 11). Its demographic profile (Statistics SA, 2011) shows that all the racial groups reside within the town it and that there are a range of income groups earning from as little as R100 per month to -R 2, 500 .000 monthly. Due to the makeup of the area in terms of its economic and demographic profile, it can be used as a microcosm of KwaDukuza Local Municipality.

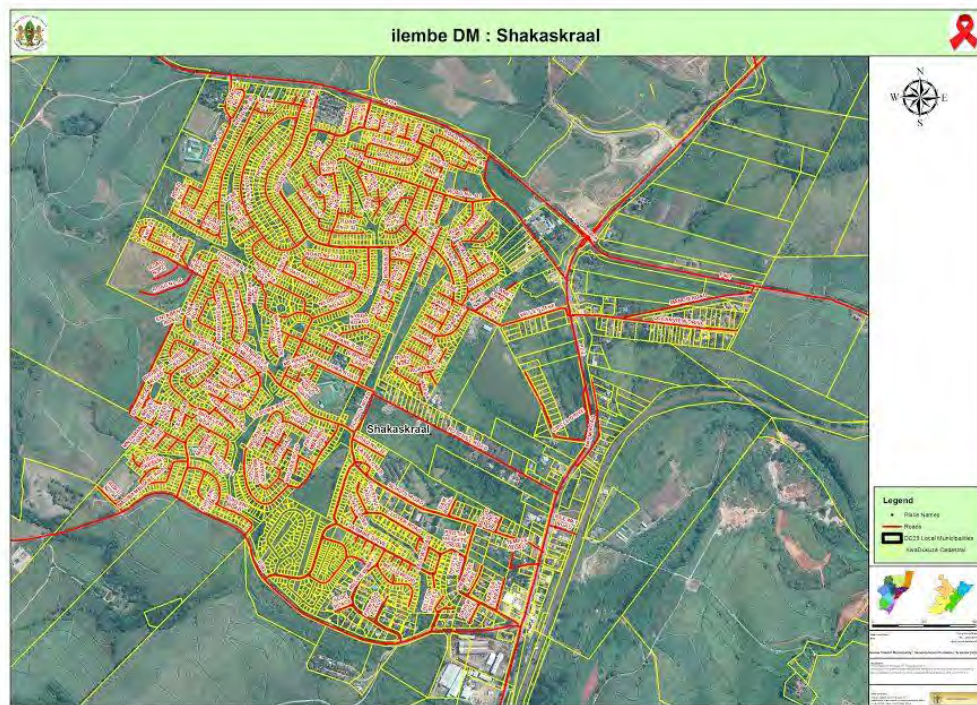
Map 10: The Location of Shakaskraal within the KwaDukuza Local Municipality



Source: KwaDukuza Spatial Development Framework, 2011 adapted by Prashina Mohangi 2014

Shakaskraal has been identified as ‘investment area two’ according to the Spatial Development Framework of KwaDukuza (2011/12) whereby there will be investment in “*people rather in places*” (Page 33). Together with this intervention Shakaskraal has been grouped with Woodmead which is an adjacent to Shakaskraal and which has been identified as an area for development, the combined node is referred to as the Shakaskraal/ Woodmead Node.

Map 11: The Area of Shakaskraal



Source: iLembe District Municipality, GIS Unit, 2014

The Woodmead area has been earmarked for light industrial development. According to the Spatial Development Framework of the municipality (KDM SDF, 2011) the Shakaskraal/ Woodmead Cluster will provide space for a district library, new district community hall, a new police station and a new district health facility. Currently SASKO which is a bakery has developed their operation in the Woodmead/Shakaskraal node and this has had positive spinoffs for the businesses in Shakaskraal and the residential housing market. Map 12 below indicates the location of the Woodmead cluster along the R102 of KwaDukuza.

Map 12: The Location of the Woodmead Cluster along the R102



Source: <https://www.shakaskraalproperty.co.za/>

The location of the SAKSO bakery is shown in plates 4 and 5 below.

Plate 4 and Plate 5: Photographs of the new SASKO Bakery located in the Woodmead Cluster



Source: http://www.hotelandrestaurant.co.za/press_office/sasko-opens-bakery-in-shakaskraal/

The Woodmead/ Shakaskraal node is also set to house middle income housing and makes provision for a tertiary education facility. Added to this impressive list of proposed developments in this node is a central public open space system which is much needed in the area.

5.3.1 Demography Overview of Shakaskraal

The population size of Shakaskraal is approximately 3296 people with a total number of 920 households. The table 7 below provides a demographic profile of Shakaskraal. This information has been extracted from Statistics South Africa (2011).

Table 7: Demographic Overview of the Population of Shakaskraal

	BLACK AFRICAN		COLOURED		INDIAN OR ASIAN		WHITE		OTHER	
	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
00 -										
04 -	28	34	1	5	63	79	-	-	-	1
05 -										
09 -	32	28	2	4	84	69	-	-	-	-
10 -										
14 -	20	40	6	4	69	75	1	1	1	-
15 -										
19 -	30	26	9	8		87	-	1	-	-
20 -										
24 -	30	33	4	4	110	82	-	-	4	-
25 -										
29 -	50	58	1	1	102	118	-	-	9	-
30 -										
34 -	41	29	-	1	98	93	-	2	9	-
35 -										
39 -	39	29	1	2	92	91	1	-	2	1
40 -										
44 -	15	24	-	2	74	96	-	-	-	-
45 -										
49 -	28	16	1	5	75	74	2	-	4	-
50 -										
54 -	17	15	4	2	71	100	-	-	-	-
55 -										
59 -	13	13	4	1	73	71	-	-	-	-
60 -										
64 -	10	5	2	1	56	75	-	-	-	1
65 -										
69 -	7	7	-	-	60	64	-	-	-	-
70 -										
74 -	4	2	-	-	27	40	-	-	-	-
75 -										
79 -	1	1	-	-	10	17	-	-	-	1
80 -										
84 -	4	-	-	1	9	15	-	-	-	-
85+	2	1	1	-	10	16	-	-	1	-

Source: Statistics South Africa, Census 2011

5.3.2 Household Sizes of Shakaskraal

The following table provides an overview of household sizes in Shakaskraal. On average most households have 3-4 persons. However there are significant numbers of single households which indicate that the demographics of the area have changed from being households comprising 4 or

people to single headed households. Shakaskraal has a substantial number of elderly people living in the area. Younger members of the community have left and gone elsewhere in search of higher education or training opportunities or to work in other urban centres. In terms of the participation process for the IDP this demographic profile suggests a more comprehensive approach to notification and interaction since the population straddles the divide between those who want formal notification and younger residents who are more “*technologically savvy*”.

Table 8: The Household Sizes of Shakaskraal

SIZE/PERSONS	NUMBERS
1	175
2	160
3	178
4	174
5	109
6	58
7	28
8	18
9	9
10+	10

Source: Statistics South Africa, Census 2011

5.3.3 Household Income

Table 9: Household Incomes for Shakaskraal

INCOME	HOUSEHOLDS
No income	74
R 1 - R 4800	48
R 4801 - R 9600	51
R 9601 - R 19 600	117
R 19 601 - R 38 200	128
R 38 201 - R 76 400	158
R 76 401 - R 153 800	157
R 153 801 - R 307 600	111
R 307 601 - R 614 400	52
R 614 001 - R 1 228 800	18
R 1 228 801 - R 2 457 600	2
R 2 457 601 or more	3
Unspecified	-

Source: Source: Statistics South Africa, Census 2011

The above data indicates the number of households and the level of income that is earned, this indicates that majority of the households in Shakaskraal have an income and thus actively participate in the economy of the municipality.

5.3.4 Education Levels

The above information provides insight into the number of people that have varying levels of education approximately 1/3 of the population has a grade 12 level of education which is a positive sign in terms of development. It means that there is the possibility of further technical or academic education at a tertiary institution. However one of the facilities that is lacking in the municipality is a technikon or DET college. Any school leavers from Shakaskraal or other towns in KwaDukuza wanting to further their education face long commute times to adjacent areas in eThekweni or relocation altogether.

Table 10: Education Levels of the Community of Shakaskraal

EDUCATION	NUMBER OF PEOPLE
Grade 0	70
Grade 1 / Sub A	61
Grade 2 / Sub B	81
Grade 3 / Standard 1/ABET 1Kha Ri Gude;SANLI	84
Grade 4 / Standard 2	80
Grade 5 / Standard 3/ABET 2	92
Grade 6 / Standard 4	81
Grade 7 / Standard 5/ ABET 3	110
Grade 8 / Standard 6 / Form 1	257
Grade 9 / Standard 7 / Form 2/ ABET 4	111
Grade 10 / Standard 8 / Form 3	296
Grade 11 / Standard 9 / Form 4	173
Grade 12 / Standard 10 / Form 5	1004
NTC I / N1/ NIC/ V Level 2	29
NTC II / N2/ NIC/ V Level 3	6
NTC III /N3/ NIC/ V Level 4	14
N4 / NTC 4	6
N5 /NTC 5	7
N6 / NTC 6	8
Certificate with less than Grade 12 / Standard 10	10
Diploma with less than Grade 12 / Standard 10	14
Certificate with Grade 12 / Standard 10	34
Diploma with Grade 12 / Standard 10	23
Higher Diploma	33
Post Higher Diploma Masters; Doctoral Diploma	2
Bachelor's Degree	50
Bachelor's Degree and Post graduate Diploma	8
Honours degree	20
Higher Degree Masters / PhD	16
Other	3
No schooling	300
Unspecified	-
Not applicable	212

Source: Source: Statistics South Africa, Census 2011

5.4 CONCLUSION

The above chapter provides the context of the case study, Shakaskraal as part of the greater KwaDukuza Municipality and the aim is to provide a snapshot of the area, the number of people that

live in the area, household size, education levels and income. This introduction to the case study assists in getting an understanding of the dynamics of the area and serves as an illustrative picture when the hypothesis is proved.

CHAPTER SIX: RESEARCH METHODOLOGY

6.0 INTRODUCTION

This chapter focuses on the research methodology that has been utilised during the preparation of the dissertation. The research takes the form of a strategic analysis of integrated development planning and public participation in Shakaskraal. An analysis of the strategic approach to planning is provided in this chapter. Qualitative and quantitative research methods were used in this strategic analysis, each of them for their respective reasons. While employing these methods of research the research study was structured into six phases, each of these phases will be discussed and their appropriateness for this research will be highlighted. The shortcomings and the challenges that will be experienced in each phase will also form part of the discussion. A strategic planning approach to planning is of utmost importance to integrated development planning and therefore was chosen as a methodology for this research.

6.1 THE STRATEGIC PLANNING APPROACH

The strategic planning approach to planning and development has become synonymous to integrated development processes in South Africa post 1994. This is due to the reengineering of the local government sphere by the national sphere as discussed in chapter 2 of this research. The idea was to ensure that municipalities functioned like a business and effectively used scarce resources to bring about much needed development across the country. This sentiment is reiterated by Subban and Theron (2013, page 22) where it is stated *“Integrated Development Planning and strategic planning are extricable linked and viewed as management tools which enable municipalities to take strategic views of development requirements, and to address all key issues in a holistic, integrated development plan.”* Within the municipal context, the integrated Development Plan is therefore regarded as a single inclusive and strategic plan integrating and coordinating a municipality’s sector-specific plans, and aligning resources and capacity of the municipality to its overall development objectives.

Peter Robinson (2009) has researched and written extensively on strategically planning specifically for the South African context. A key feature of this strategic planning methodology put forward by Robinson as stated as *“(T) he future will be a series of discontinuities, protracted uncertainty and inherently unpredictable conditions, rather than a continuation of the past. Under these*

circumstances, the best chance of success lies in accepting the discontinuities and doing something about them, having contingencies and keeping one step ahead.” (Robinson, page 2, 2009)

It is on this basis and interpretation that the research methodology of this particular research will unfold in a strategic manner and this is amplified by the Robinson citing (Illbury and Sunter, 2005, page 23) *“in positioning ourselves to respond to the question of what if? We need to become adept at engaging with the uncertainties, become imaginative, paint relevant scenarios and juggle with options.”* Phase 1 to Phase 4 of the research borrows from this idea and will investigate how public participation has unfolded in Shakaskraal and provides a window to the current situation regarding public participation and integrated development planning, which also forms a key characteristic of the strategic planning approach. Phase 5 looks at the research findings and is concluded in the following chapter and Phase 6 takes the form of research recommendations and informs chapter 8 which is the concluding chapter of this research.

Robinson (2009) states that as we become a globalised world and more people live in urban environments, the strategic planning approach provides planners with the necessary tools that are required to plan and engage with the society ensuring that responses that are created to address challenges are creative and adaptable.

Of particular importance in strategic planning and which also forms part of the characteristics of this research are the following:-

1. Strategic planning offers a structured interpretation of the current situation;
2. Strategic planning reduces uncertainty;
3. By undertaking a strategic approach to planning strategic choices are formulated; and,
4. Long term possible futures are identified.

These four characteristics form the base of strategic planning as captured by Robinson (2009).

6.2 THE STRATEGIC PLANNING PROCESS

A strategic planning process is systematic and sequential, and involves seven critical questions which reflect the present and future state of a community. The questions and their related aspects in integrated development planning are presented below in tabular format.

Table 11: Questions Covered in the Strategic Planning Process

QUESTIONS	RELATED ASPECT OF THE INTEGRATED DEVELOPMENT PLANNING PROCESS
Where are we now?	Community Profile
Where are we going?	Trend Statement
Where do we want to be?	Vision statement
How do we get there?	Strategies
What will we do?	Action Plan and projects
How will we measure success?	Monitoring and Review

Source: Professor Peter Robinson, 2009

The strategic planning process as outlined above is clear as to what the approach is about and what is meant to be achieved in the process. The following table is extracted from Robinson 2009 with the original cited from the eThekweni Metropolitan Municipality, 2002. This table lays out clearly the strategic planning process as outlined above but also details what is entailed in each of these seven questions.

Table 12: The Strategic Planning Process

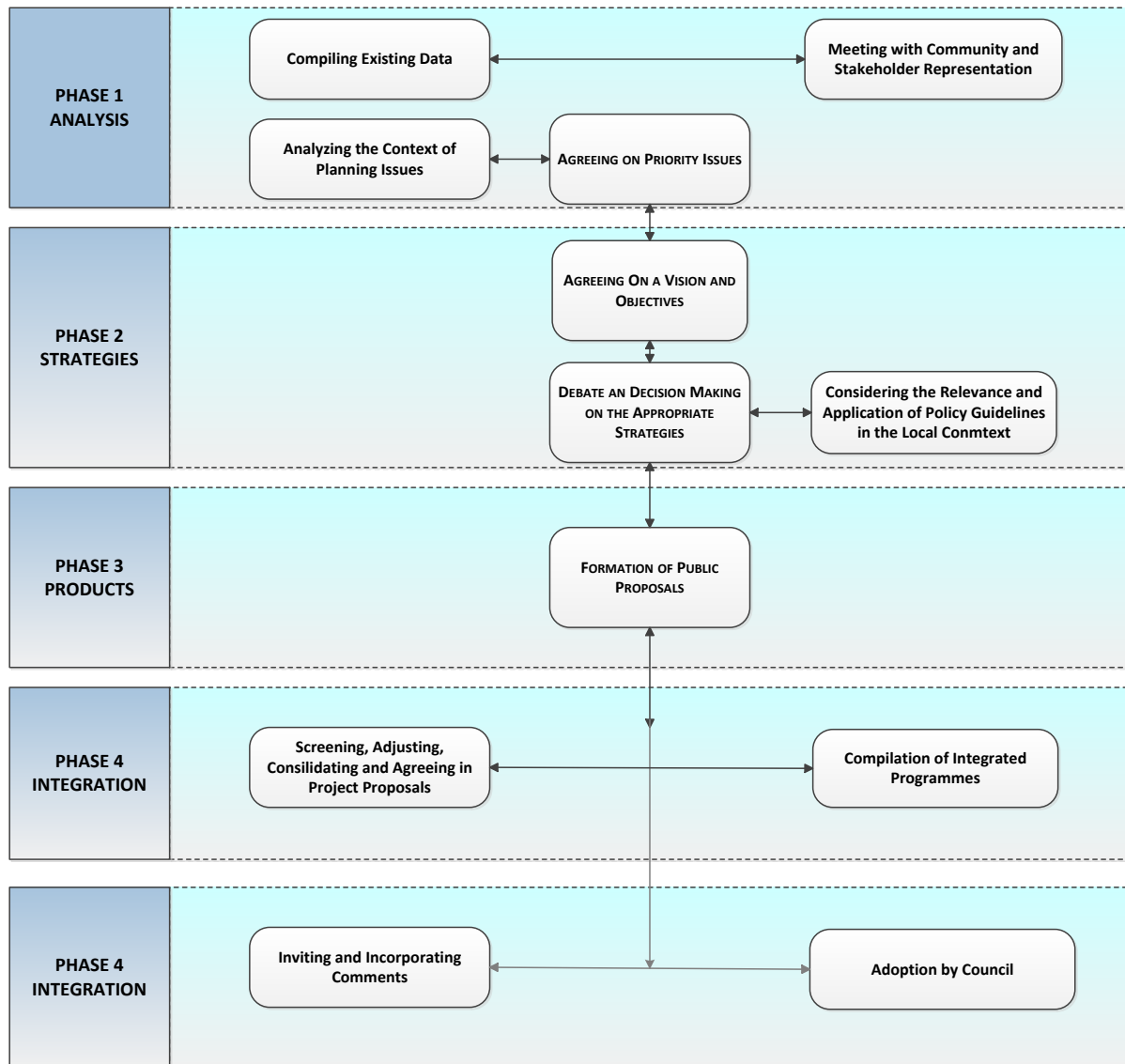
Where is We Now?	Where are We going?	Where do We want to be?	How do We get there?	What will We do?	How will We do it?	How will We Measure Success?
<i>Community Profile</i>	<i>Trend Statement</i>	<i>Vision Statement</i>	<i>Strategy</i>	<i>Action Plan and Projects</i>	<i>Implementation Programs</i>	<i>Monitoring and Review</i>
Descriptive Information	Probable or Possible Scenarios	Preferred Scenario	Goals, Objectives and Actions	Action Agendas	Medium Term Budgets	Performance Indicators
Community Values		Community Vision		Priorities	5 Year Rolling Budgets	Critical Success Factors
					Annual Work Programme	
PHASE 1-4	PHASE 1-4	PHASE 1-4	PHASE 5-6	PHASE 5-6	PHASE 5-6	PHASE 5-6

Source: Professor Peter Robinson, 2009

Sections of the table highlighted in blue will be attempted to be answered during the research work (Phase 1 to Phase 4) which includes engagement with the community of Shakaskraal and other relevant stakeholders. Sections highlighted in shades of red will be attempted to be answered in Phase 5 and 6.

While the above table depicts a standard strategic planning process the Integrated Development Planning process is similar as discussed in chapter 3 and is differentiated according to the various phases of the IDP cycle and Robinson mentions that the IDP process is extremely strategic in nature. The following table extracted from Robinson (2009) depicts the IDP strategic planning process.

Figure 10: The South African Integrated Planning Process



Source: Adapted from Future Change and Choices, Professor Peter Robinson, 2014

6.3 THE RESEARCH PROCESS

As indicated the research process has been undertaken in a number of phases where different research methods were employed. The explanation below provides more detail about each of the phases and the use of diverse approaches in them.

6.3.1 Phase 1

During the first phase of this research, a one on one strategic planning session was held between the researcher and supervisor. During this workshop the scope of the research was articulated, applicable research methods were identified and clarity was sought on how these research methods would be implemented. The literature review and the conceptual and theoretical framework were also established.

The one on one strategic planning session assisted the researcher to contextualise the research and focus the study on a relevant subject matter and the researcher was better able to focus on subject matter and research comprehensively on the topic. Relevant stakeholders impacting on the research were also identified at this stage. A status quo analysis was conducted on the relevant research topic to identify the resources that were available to conduct the research. A project plan was also established in this phase with possible time frames and this assisted the researcher to better manage the scarce resource of time. It was decided during this phase that if 50 % would be the acceptable benchmark against which to measure effectiveness of public participation in the IDP process in KDM. If 50% and more of the residents of Shakaskraal participated in the IDP processes of the municipality it would be acceptable to say that the public participation processes of the municipality were efficient and effective, if the study revealed amounts lower than the benchmark of 50%, public participation methods employed at the municipality would be deemed to be ineffective. The 50 % benchmark was derived after having looked at various other participation based developed projects like the case of the City of Cape Town and Port Alegre in Brazil. The research questions that would be posed to residents of Shakaskraal were also discussed during this phase.

6.3.2 Phase 2

During Phase 2 preliminary interviews were held with key stakeholders that were identified in phase 1 these followed an informal interview style. The reason for this was to acquire first-hand knowledge of the study area of Shakaskraal and to unpack what constituted the challenges and assets (as referred to in chapter 3-sustainable livelihoods approach) of this area with particular reference to IDP and public participation as there is limited documented information on public participation in Shakaskraal. This qualitative research method also provided an opportunity for respondents to actively and freely engage with the research topic and a relationship was established between these stakeholders and the researcher. These relationships were necessary to acquire

further information related to the topic which was crucial in proving the hypothesis. The informal interviews that were held provided an opportunity for the researcher to view the IDP process through the eyes of the key stakeholders in the IDP process in Shakaskraal. This research method is upheld by Cohen and Crabtree (2006), these unstructured information sharing sessions assisted in compiling a SWOT analysis of Shakaskraal which assisted in having a better understanding of the study area. The following stakeholders were selected to be interviewed informally. Some names have been excluded due to consent use.

- **Mr Faizal Dawood: Community Leader³**

Mr Dawood has lived in Shakaskraal for many years and has been actively involved in the development of the area. He has a thorough understanding of the area and the dynamics that are at play in this community.

- **Mrs Ann McDonnell – the Ward 22 Councillor**

Mrs Ann McDonnell has been the ward 22 councillor for the KwaDukuza Local Municipality for many years. She belongs to the Democratic Alliance and has been actively involved in the study area as the area constitutes her area of jurisdiction as ward councillor for ward 22.

- **IDP and Public Participation Official at KwaDukuza Local Municipality**

An official who works closely with the IDP and public participation of the municipality was interviewed which provided insight to the IDP and public participation processes within the municipality.

- **Spatial Planner at KwaDukuza Local Municipality**

A Spatial Planner working with the spatial development framework and land use schemes at KwaDukuza municipality was interviewed to provide insight to the SDF process and link between the SDF and scheme process to that of the IDP. The official also provided insight into the public participation process of the municipality.

³ Mr. Dawood gave permission for his name to be used and allowed the researcher to quote him directly in the dissertation. His insights and observations stem from a long career in the area as municipal official and activities. Their inclusion in the research demonstrates the importance of accessing 'on the ground' information for both the research and for the integrated development planning process. It is important to recognize that in other instance the anonymity of the respondent and other persons interviewed has been protected.

- **Development Planner at iLembe District Municipality**

A development planner working for the district municipality of iLembe was interviewed; who provided an exceptional account into public participation processes of the district and the local municipalities in the iLembe family of municipalities, the respondent also provided information on the Community Participation Strategy of the district.

- **Town Planning Consultant in Private Practice working in the KwaDukuza Local Municipality**

The consultant provided a fresh perspective to the development dynamics of the municipality and commented on the public participation processes of the municipality.

- **Community Organizations of Shakaskraal**

Various chairpersons of community organizations were interviewed to provide a perspective on the IDP and public participation processes of the municipality.

Findings from these informal interviews have been classified into thematical subject areas and are discussed in the following chapter. During this phase of the informal interviews with the identified stakeholders, the stakeholders were able to direct the researcher to specific persons who have lived in the area for the duration of the generations of the IDP. To get a true reflection of the effectiveness of the public participation in the IDP process it is essential that those interviewed had lived in Shakaskraal for the temporal period of the research.

6.3.3 Phase 3

During this phase, a quantitative approach to the research was undertaken in an attempt to understand the relationship that existed between the community of Shakaskraal and the integrated development planning process of the municipality and find out if the community of Shakaskraal participated in the IDP process of the municipality. Random sampling was used to conduct this part of the research to have a better understanding of the subject area and to get an unbiased opinion; thirty questionnaires were undertaken in the study area. The random sampling method is used to give a general outlook of the population.

6.3.4 Phase 4

During phase 4, unstructured qualitative interviews were held with the three public participation structures, i.e.

- COGTA Public Participation Business Unit;
- iLembe District Public Participation Unit; and.
- KwaDukuza Public Participation Unit.

The aim of this phase was to gather information about the current and past public participation methods that were used by the municipality and to gauge its effectiveness. In addition the research addressed the identification the short comings of the current approach and from these findings proposes alternative approaches that could be employed in the public participation processes of the municipality.

6.3.5 Phase 5

Phase 5 of the research takes the form of the research findings and is detailed in the following chapter.

6.3.6 Phase 6

Phase 6 of the research forms the recommendations to the research findings. It will be referred to chapter 8 and is the concluding chapter of the research and the dissertation and will provide proposals based on the findings of the research.

6.4 CONCLUSION

The research methodology presented indicates how the research was conducted, the methods that were used and the manner in which the data was analysed this information would be used to prove the hypothesis, Public participation in the IDP process is less than optimal within KDM and requires additional strategies interventions to fulfil its mandate.

CHAPTER SEVEN: RESEARCH FINDINGS

7.0 INTRODUCTION

This chapter outlines the research findings. Its aim is to provide a summary of the research findings and analyses for phases two, three and four of the research as detailed in the preceding chapter. Whilst the research findings are documented and discussed, the researcher also highlights pertinent points and observations that emanate from phases two, three and four. This interlinked approach illustrates the iterative nature of the research undertaken. This process has assisted the researcher in formulating recommendations from the findings that are realistic, relevant, will make a positive contribution to the community of Shakaskraal, and allow the community to actively participate in the integrated development planning process of the KwaDukuza Local Municipality.

The findings from phase two of the research have been arranged thematically. These themes were derived from the informal interviews of key stakeholders in the Shakaskraal community. The themes that are discussed include:-

- The history of Shakaskraal prior to the Introduction of integrated development planning and the Integrated Development Plan;
- Cultural reflections of Shakaskraal
- Environmental awareness and sustainability;
- The Spatial Layout;
- Education; and
- Transport

The grouping of findings in a thematic framework is then followed by a SWOT⁴ analysis of the dissertations case study area, Shakaskraal.

The research findings from Phase three examines the results that were obtained during the quantitative research process. This involved the use of thirty questionnaires with the community of Shakaskraal and which used the random sampling method. The aim of the questionnaires was to

⁴ Strengths, Weaknesses, Opportunities and Threats Analysis – a strategic planning tool used in integrated development planning.

ascertain the experience of various members the community who had participated in the integrated planning process undertaken by the KwaDukuza Local Municipality. The questionnaire was structured so that it would elicit responses in regard to both their negative and positive perceptions about the process and its impact on local planning and development.

Phase Four of the research findings examines the information that was obtained from three major public participation stakeholders in the KwaDukuza Local Municipality. An analysis is drawn on the general state of public participation in the municipality has been undertaken. This allows a comparison to be made on how the experience of those residents living in Shakaskraal might be similar or different from other urban settlements in the municipality. As with the other findings, where there were divergent viewpoints these were highlighted and analysed.

7.1 PHASE TWO OF THE RESEARCH: INFORMAL INTERVIEWS WITH TARGETED STAKEHOLDERS

7.1.1 Introduction

This section of the research findings focuses on the data that was collected through unstructured interviews with various community structures and persons who live, have lived and work and also who continue to work in the area. From this research six themes came to the fore and each of them are listed below followed by a detailed discussion.

7.1.2 The History of Shakaskraal Prior to the Introduction of the IDP

Informal discussions with the senior citizens of Shakaskraal whom have lived in the area for more than fifty years together with Mr Faizal Dawood have assisted in sketching a picture of what life in Shakaskraal was like prior to the introduction of the Integrated Development Plan and its process. It is important to look at the history of the area to have an understanding of the development dynamics in the area and how development unfolded and how it might be different to the manner in which development is taking place currently.

Prior to 1993, Shakaskraal was controlled and regulated by the Development Services Board (DSB), which was an Apartheid administrative structure introduced by the nationalist government to manage and regulate development in the country. In the main, the Development and Services Board was responsible for areas designated and set aside for the Coloured and Asian communities as

determined in terms of the Group Areas Act (No. 41 of 1950) and spatially located in the boundaries of administrative Natal. African areas were administered by the homeland government of KwaZulu and the national Department of Development Aid. Shakaskraal was one of 87 areas that were controlled by this administrative board in the province of Natal. The DSB was located at provincial level of government and formed part of the Natal Provincial Administration (NPA) located in Pietermaritzburg. The NPA was responsible for land use management, town planning, rates collection and the regulation of settlement through its own provincial ordinance.

While the DSB controlled and regulated the land in Shakaskraal, there was growing local resistance to this governance structure in Shakaskraal. The Board was viewed by residents of Shakaskraal as extorting rates from them and not providing adequate service delivery in this area in return for this payment. There was a feeling among residents that rates collected in Shakaskraal were not being spent on improvements in their area but were redistributed to the white areas located along the coastal belt. This included town and urban settlements such as Ballito, Salt Rock, and Sheffield Beach. Added to this, approximately 74% of revenue collected was being used by the DSB for the payment of salaries.

During the 1980's, resistance to the administration of the area by the Development and Services Board grew. Activists in the area and community members who were residents of Shakaskraal wanted to be amalgamated with other rate paying neighbouring areas. They viewed this amalgamation as a chance to consolidate service delivery and thereby reduce the cost of providing services. Residents were extremely unhappy about paying municipal rates that were according to the community members, high. There was a perception that residents were not receiving requisite services for the amount of rates that they paid. Shakaskraal wanted their own autonomy and did want their area to remain within the ambit of the DSB.

In 1992, the community of Shakaskraal embarked on a rates boycott. Instead of submitting their rates payments to the Development and Services Board, money was paid into an Attorneys Trust Account. The local activist championing this process was Mr Faizal Dawood. The rationale behind the rates boycott was that by withholding the local revenue, the DSB would become crippled because Shakaskraal, unlike other areas under the jurisdiction of the DSB had a steady rates base.

While this was the case, the Natal Provincial Administration was sceptical about the ability of Shakaskraal to operate as an autonomous area. Where similar autonomy had been granted to other areas in the province like Isipingo, Verulam and Umzinto, the system did not work well nor did the areas function properly due to political infighting. It was feared that a similar fate would befall Shakaskraal should it be granted autonomous administrative powers.

In July 1993, Shakaskraal was granted the status of an autonomous town and a Health Committee (HC) was established as a governance structure that would firstly collect rates from the community. This revenue was to be used for the provision of services and develop the area. Mr Dick Naicker and Mr Archie Parkhouse were recruited by Mr Dawood who was the chairperson of the Shakaskraal Health Committee to help manage the new administration. Both these gentlemen had sufficient experience in governance. Mr Dick Naicker was the former Town Clerk of Verulam, an area located not far from Shakaskraal which has formerly been administered by the Board. Similarly Mr Parkhouse served as the Town Clerk of Tongaat. When these gentlemen were approached to join the Shakaskraal Health Committee, they were both retired, but brought with them the necessary experience and knowledge on governance to make a difference to the new local government body.

The Shakaskraal Health Committee had approximately six members. With some funding and furniture which was donated from the DSB, the Shakaskraal Health Committee (SHC) set up an office in the village centre to serve the community. The SHC was not a big entity and did not have the financial and human resource capacity to carry out service delivery to local residents. It therefore made the decision to outsource the services that were needed by the community from the Town Board of Ballito. The latter local government body had the services of an engineer, a building inspector, facilities and vehicles for waste removal and capacity to repair and maintenance public facilities. Mr Dawood had negotiated a rate for the delivery of local government services from Ballito and used the Shakaskraal local rate base to pay for these services.. According to Mr Dawood, this arrangement worked well, service delivery was adequate and efficient and the community of Shakaskraal were happy with the level of service delivery they received. The informal interviews with other stakeholders in the area of Shakaskraal confirmed that this arrangement worked well.

Two important notes were gathered at this stage; the first was that Mr Dawood was a resident and businessman from Shakaskraal. From the informal interviews with the community organizations and Mr Dawood himself it can be deduced that the residents of Shakaskraal were happy with his

administration because he had an open door policy. He made himself available either at the offices of the SHC, at his home which was in the area, or at his business which was located in the centre of the village. The fact that he was always seen and people interacted with him on a daily basis provided comfort for the residents. They felt that his help was always available to them.

Secondly while interviewing Mr Dawood, it was discovered that there was a member of the SHC, referred to as 'Linga' whose role was almost like the Town Sheriff. He would walk around the village and look at the matters that needed attention especially in regards to maintenance and upkeep of Shakaskraal. The manner in which Linga undertook his work ensured that there was constant surveillance on issues on maintenance and upkeep in Shakaskraal. Linga also took over the responsibility of doing the banking and collecting the post. It was interesting to note that in the post autonomous period, the DSB became one of the service providers in Shakaskraal. They were contracted by the SHC to undertake additional work not supplied by Ballito. In this way service delivery remained in the control of the SHC who could decide what the DSB needed to be do in the area. They also controlled the payment for these services that were rendered.

This case of Shakaskraal became one where the community together with the SHC had power and authority over the DSB. What must be highlighted at this stage is the power that existed in the cordial relationship between the SHC and the community of Shakaskraal which enabled them collectively influence service delivery and development. The manner in which development and services occurred in Shakaskraal was in response to community needs. Due to the availability of Mr Dawood and the SHC members, the community felt part of the development dialogue of the area and it was easy to see the needs of the community materialise. This is not the current situation in Shakaskraal under the new local government of KwaDukuza.

The SHC operated for a period of eighteen months under the chairmanship of Mr Dawood. During this time, the governance structure archived many things. It is important to note at this stage why the SHC had many successes. In part this can be attributed to the open door style of administration adopted by Mr Dawood. He had roots in the community being both a resident and business man and therefore had a political stake in the successful administration of the SHC. Under Mr Dawood's chairmanship the Health Committee maintained its good financial standing and service delivery was achievable and realistic. Overall according to Mr Dawood members of the community were happy with the level of service they received for the amount of rates that they paid. Conversations with

community members reiterated the financial planning and execution of projects that were undertaken in Shakaskraal, community members felt that they could see how the property rates that they paid were used for the development of their village.

During the time of the SHC the following developments and improvements were achieved:-

- A community hall was constructed and opened to the public which currently serves as a landmark building for the residents of Shakaskraal

Plate 6: Shakaskraal Community Hall



Source: Prashina Mohangi, 2014

Other improvements included:-

- The main road which is currently part of the alternative route to the N2 motorway was constructed and opened;

- A sewerage plant was built; and
- Two hundred homes were constructed for the lower income group of the village.

It is important to that members of the community participated in the governance of their area. They were always aware of the proposed developments and were informed about when these would take place. From the residents side there was a high level of transparency during the phase where the town was administered by the SHC.

After the first democratic elections in 1994, the SHC dissolved and a new transitional governance structure was established called the Dolphin Coast Municipality. This new local government entity encompassed the previously 'white areas' along the coastal belt and also included some of the rural areas that existed which were previously set aside for the 'Black and Indian' communities. Shakaskraal was absorbed into this new municipality which was established in terms of the Local Government Transition Act (No. 52 of 1997) Mr Dawood remained a local activist for the community of Shakaskraal during the six year period between 1994 and 2000, when in terms of the new suite of local government statutes KwaDukuza Local Municipality was established. He has recently retired from the political realm.

In summary, the key important aspects that can be extracted from Mr Dawood's interview can be summarised using the notes provided by Fung (2006) in the attempt to understand participation in accordance with the democracy cube, the reason for choosing the democracy cube to provide an analysis of the kind of participation that took place in Shakaskraal as compared to Arnstein's citizen participation ladder is due to the level of engagements that were had, while Arnstein describes levels of participation, Fung (2006) provides a more comprehensive framework of analysis and not only looks at the type and level of participation but looks further into who the participants were and link between the participants, type of participation and technical expertise of the governance authority. Using Fung's analysis of participation then the following is a summary of the public participation pre IDP in Shakaskraal according to the questions posed by Fung (2006):-

1. *Are the people that participate in the public participation sessions representative of the relevant population or general public? (Fung, 2006)*

Yes, the people that participated in the decision making of Shakaskraal pre IDP were representative of the population of the Shakaskraal. Mr Dawood's open door policy also meant that community members were always able to contact him and discuss issues of concern; participation in governance was not limited to specific time periods.

2. *Are important interests and perspectives included or excluded?*

According to the information gathered during the informal interviews, it was gathered that the concerns of the community were factored into the development of the area.

3. *Do participants possess information and competence to make good judgements and decisions?*

Due to the open door policy of Mr Dawood community members were able to actively engage on issues of development and could make sound development decisions.

4. *Are participants accountable to those that did not participate?*

Community members would often share information with neighbours and friends and it appears that the community was fairly knowledgeable of the developments of the area.

5. *Who is eligible to participate?*

Everyone living in Shakaskraal and who had an interest in the village could participate and engage.

6. *How do individuals become eligible to participate?*

There were no criteria for eligibility and everyone had the opportunity to participate.

These key observations have been confirmed by members of the community and the various community organizations of Shakaskraal during informal discussions with them in an attempt to understand the development dynamics of the area.

7.3 CULTURAL REFLECTIONS ON SHAKASKRAAL

The community of Shakaskraal is mostly composed of people of the Hindu, Muslim and Christian faith. There are two distinct temples in the area which serve the Hindu community, a mosque for Islamic religious purposes which also serves as a landmark of the area and there are prayer stone circles which serve the Shembe faith. The numerous faiths represent the diverse mix of the community now living in Shakaskraal. Religious organizations in the case study area serve as mechanisms and institutions for social cohesion and fellowship as has been the testament of the community members (see plates 7, 8 and 9).

Important to the cultural theme, is the manner in which these organizations of culture and tradition provide a support network to the community members. Members of the community organize themselves in these cultural groupings and perform not only social activities together. They also share close knit ties with each other which is demonstrated in their support to families when a loved one passes on or if a family is celebrating a wedding or any other particular gathering. It can be deduced that there is a great sense of pride and community in this area and this commitment reveals itself in acts of kindness to fellow community members. Culture and tradition stand out as anchors in the Shakaskraal community and residents organize themselves and support their distinct religious organizations. On the surface it appears that these cultural groupings have respect and tolerance for each other. This is a noteworthy attribute and contributes to the sense of community that exists in Shakaskraal. It is indicative of the fact that the area has transformed since the introduction of democracy in 1994.

Plate 7: One of the Hindu Temples in Shakaskraal



Source: Prashina Mohangi, 2014

Plate 8: The Shembe Place of Worship in Shakaskraal



Source: Prashina Mohangi, 2014

Plate 9: New Church Developed in Shakaskraal



Source: Prashina Mohangi, 2014

7.4 ENVIRONMENTAL AWARENESS AND SUSTAINABILITY

From conversing with the community and learning about the historical record of the area, it was possible to establish what common issues concerned past and present residents. One of the key issues and therefore a theme that emerged from the research process is of environmental awareness and sustainability. What is noticeable in the case study area is the extent of pollution that was taking place in some parts of Shakaskraal. Being a community which is part of the KwaDukuza Local Municipality and having an above average level of service delivery, it was assumed that the community was aware of a certain level of environmental sustainability. However this was not the case as the researcher discovered during an informal information gathering session.

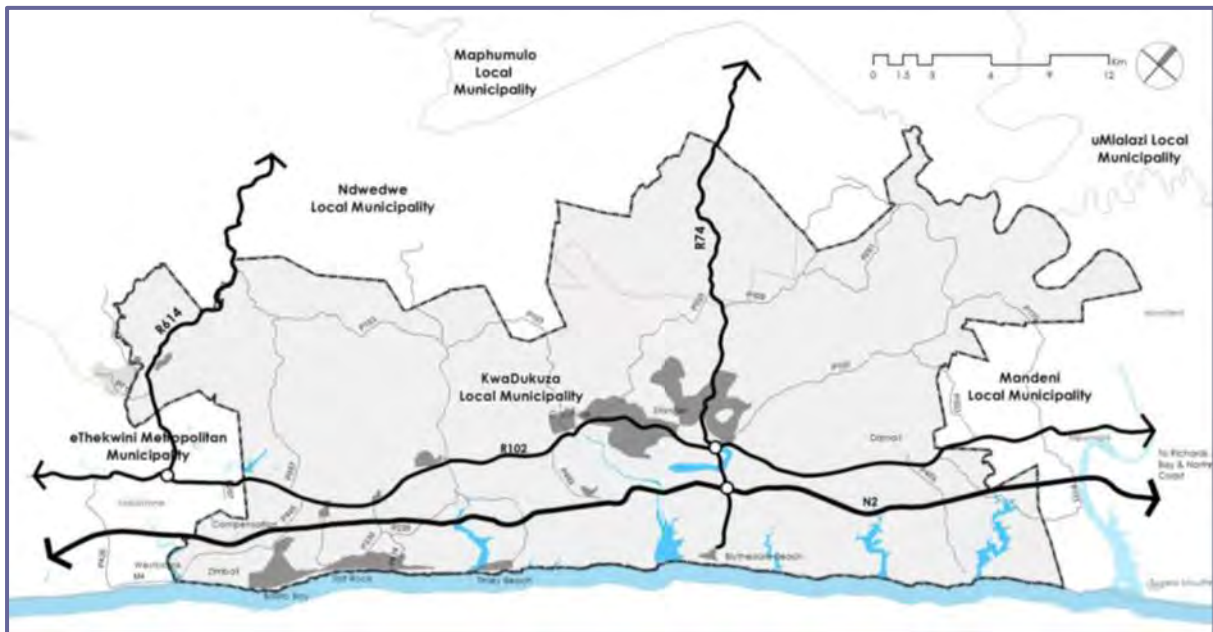
Some community members often used vacant land as dumping grounds for unwanted household goods, refuse from the businesses in the village node also at times dumped their waste on vacant land parcels while the bins that are provided were overfull and utilised the residential bins to offload their waste. The residents also did not show any signs or knowledge of recycling. They do not know what they should recycle and how they should do this. Significantly there are no recycling points available in the area. Those residents that indicated their willingness to recycle their waste also mentioned that in the absence of a waste recycling point they did not know where to take the goods. This serves as a concern, while it is the duty of the resident to educate themselves on the subject matter of environmental sustainability; the KwaDukuza Local Municipality has sustainability as one of its integrated development planning objectives and therefore has a duty to provide knowledge and information on waste recycling to the community.

The local river that runs through the area was also highly polluted and was also suffering from the effects of sand wining/mining that was occurring upstream. Illegal sand mining is a common problem in KwaDukuza Municipality due to the high demand for river sand in the area. The municipality is one of the fastest growing areas in KwaZulu-Natal outside of eThekweni with a high level of development taking place in areas surrounding Ballito. Sand mining in the area is a major challenge and has negatively impacted the river that flows through Shakaskraal. The residents of the town seem to be largely unaware of the environmental concerns emanating from sand mining and the potential impact it could have on them in the longer term.

7.5 THE SPATIAL LAYOUT

The spatial layout of Shakaskraal is important to note, Shakaskraal is a node that is found on the opposite end of the coastal area of KwaDukuza Municipality. Historically areas situated along the coast were reserved for white occupation areas moving closing to the hinterland were reserved for non-white habitation.

Map 13: Land along the Coast Reserved mostly for White Occupation



Source: Adapted from the KDM Spatial Development Framework, 2011

Shakaskraal is no different and shares in these dynamics. The settlement is mostly comprised of people of Indian origin however as one moves from Shakaskraal the area becomes more rural and the majority of the inhabitants are black with a few farms being white owned. What is important to note about the spatial layout of Shakaskraal now is that there appears to be a certain level of integration taking place among the various race groups in the newly established residential sections of Shakaskraal, in particular Mellowood Park.

While residential and business land uses dominate the spatial fabric of the area, green and recreational space is limited which according to the residents is much needed. Besides the Shakaskraal Park there is no public space that could be used for public gatherings. There has been an urgent outcry from the public which was gathered during the research that community members want more public spaces that are safe for the kids to play in and which can be used for recreational purposes. This is significant in light of the fact that green spaces form part of the environmental system and about which residents seem to have little knowledge. The sports fields of the primary and high school have for long time been used by the community for sporting activities.

7.6 EDUCATION

Education appears to be a priority for the community of Shakaskraal. The area has a primary and secondary school. There is also a privately operated Montessori school for children as young as three years of age. Besides using the primary and secondary schools in the area, some parents who can afford higher school fees send their children to other schools which are located out of the Shakaskraal area. Gathering from the community members' education is regarded as a priority as a number of children from the area have been afforded the opportunity by their parents to attend higher learning institutions in the country and further their tertiary education.

What this brings to light is the level of education and knowledge in the area is relatively good. From the statistical data provided in chapter four and using this information, it can be deduced that most community members have a level of basic literacy e.g. they are able to read and write. Residents in the community indicated that they represent a cross section of educational commitment. Some have children who are school goers, others have children who have attended a tertiary institution or are currently attending a tertiary institution. Improved educational levels should have an impact on the ability of residents to critically engage with the processes linked to integrated development planning.

7.7 TRANSPORT

The main mode of transport in the study area is the private motor vehicle. From the data collected in the informal interviews, the majority of residents have access to a private motor vehicle. Some residents do however make use of mini bus taxis, which is the dominate mode of public transport in the area. Notably Shakaskraal has a designated taxi rank. This mode of transport works efficiently in the area. It transports residents mainly to Ballito, KwaDukuza, Umhlali, Salt Rock, Groutville and

Etete. Some of these departure points also offer further travel connections on other mini bus taxis to destinations located further away. There is also a train station in Shakaskraal, however it is mostly used by those living in Nkobongo. Whilst rail is the cheaper mode of transport it is not the preferred mode. According to the community, the reason for the lack of use of rail is that travel by train is deemed to be unsafe. They noted that if effective measures were in place to ensure the safety of the travellers, more people would be enticed to use this service.

Important to note in this theme is that the dominant mode of transport is the private motor vehicle and mini bus taxis while the rail service remains underutilised. In a sustainable society the opposite would be the preferred situation. The KwaDukuza Integrated Development Plan makes no mention of the underutilised rail network and does not have any strategies in place to get people out of their private motor vehicle and mini bus taxis and into the rail network. This is a significant omission in light of the fact that the municipality is located on the N2 movement corridor between the ports of eThekweni and Richards Bay. National and provincial strategic plans have earmarked this corridor for future development including an intermodal system of transport. The observation made by the community highlights the differentiation and lack of alignment between local development issues which should be encapsulated in the IDP and the objectives of other plans.

7.8 PHASE THREE OF THE RESEARCH: QUESTIONNAIRES WITH THE COMMUNITY OF SHAKASKRAAL

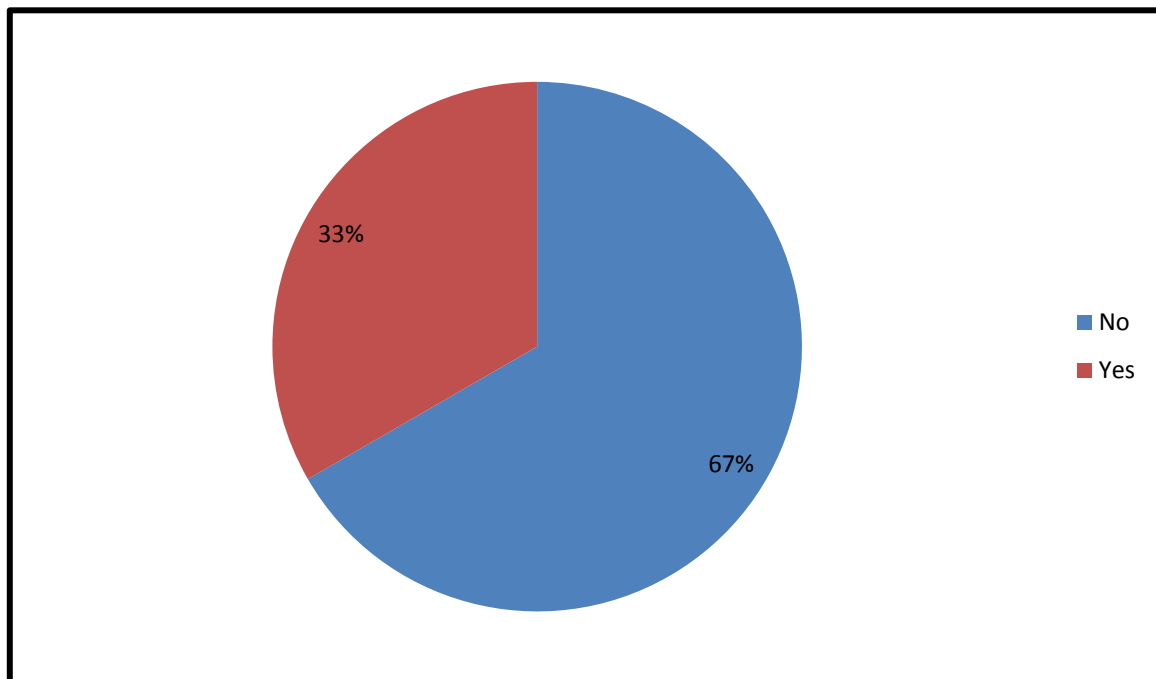
7.8.1 Introduction

This section of the research findings focuses on the thirty questionnaires that were conducted using the random sampling method with the community of Shakaskraal. The aim of the questionnaires was to establish the extent of knowledge about the KwaDukuza IDP in the community of Shakaskraal. It addressed the query of how community members had participated in the three generations of IDP and in what ways this participation had taken place. The questionnaires attempted to ascertain if the community wanted to get involved in local government and assessed their knowledge on their understanding of local governance. Communication methods that were preferred by the community for information dissemination are also highlighted.

7.8.2 Awareness by the Community of the KwaDukuza Local Municipality Integrated Development Plan

The first question that was posed to the community of Shakaskraal and which served as an entry point to the level of knowledge and understanding of the community of the IDP and the process thereof was “Are you aware of the Integrated Development Plan of municipality ?”. The following graph depicts the answer.

Figure 11: The Level of Awareness about the Integrated Development Plan



Source: Prashina Mohangi, 2104

Two thirds of the survey group in Shakaskraal responded saying that they are unaware of the IDP of KwaDukuza Local Municipality. This is an alarming statistic and could mean two possible things. Firstly that the community does not want to participate in the IDP process and therefore chose to be ignorant of the plan and their role in it. In light of their historical involvement in local government during the tenure of the Health Committee, this explanation does not make sense. A more likely explanation is that the public participation mechanisms that are currently in place are not fully effective and alternative means of communicating the IDP process should be employed by the municipality.

The 33% of the community that claimed to know about the Integrated Development Plan of the municipality cited the following sources as being their knowledge base for the IDP:-

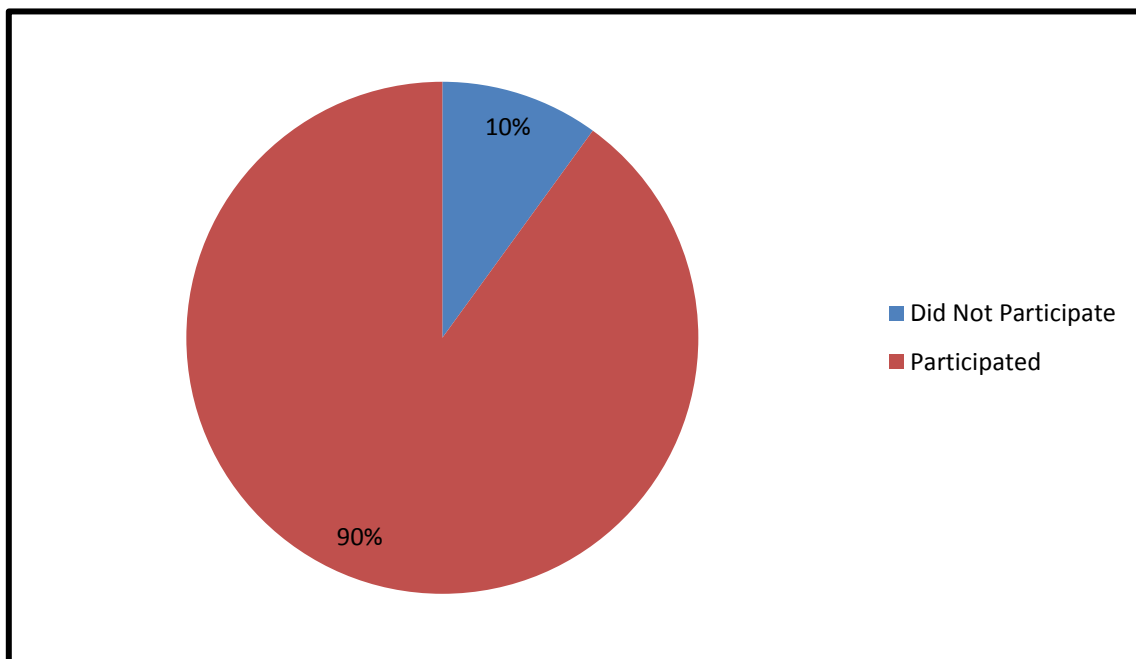
- Through newspaper advertisements;
- Through work colleagues;
- A matter of personal interest; and,
- Through a friend talking to them about the plan.

From the outset it can be deduced that knowledge of the IDP and its processes involved in the compilation of the plan are limited.

7.8.3 Community Participation in the IDP Process over the three Generations of the IDP

90% of those who participated in the questionnaire survey did not participate in the IDP process at any time during the three generations of the IDP. The main reason for this was stated as 'we were unaware of the IDP process and what it entails.' From this explanation it can be deduced that public participation is not occurring in the manner that it should be in this part of the municipality and that members of the Shakaskraal community are not participating in local government as they should be according to the legislative prescripts that prescribes public participation.

Figure 12: Participation of the Community

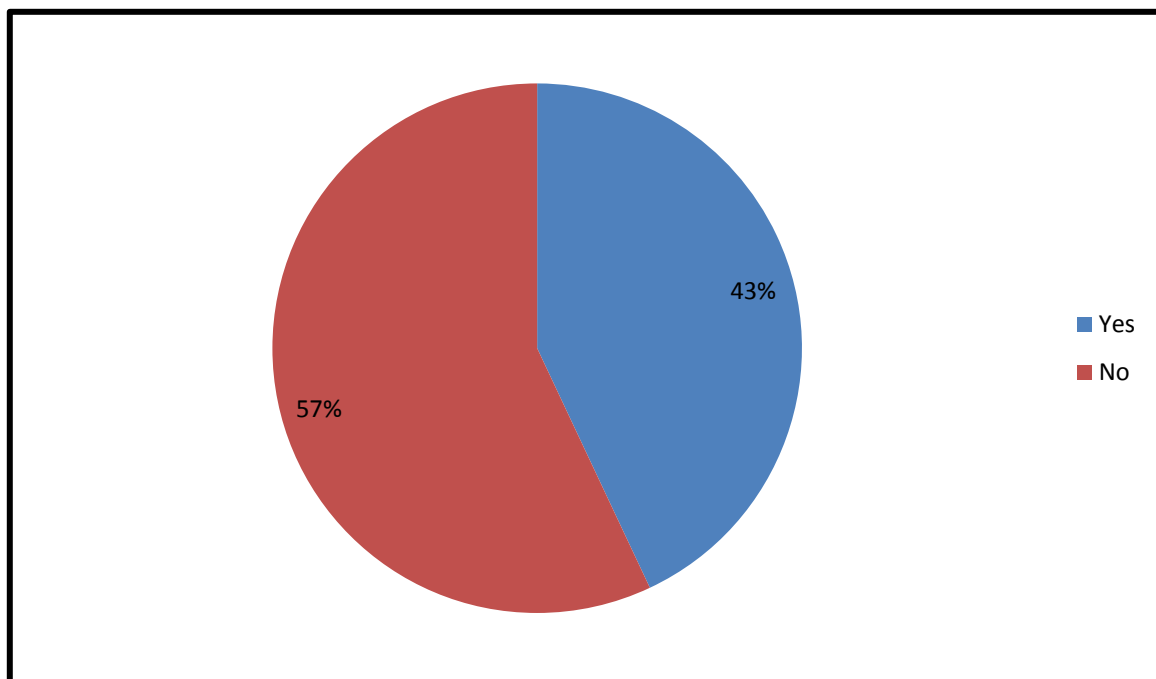


Source: Prashina Mohangi, 2014

7.8.4 Knowing the Representatives of Local Government

43.3 % of the community of Shakaskraal knew who the Ward Councillor was. 57 % of the respondents indicated that they had no knowledge of the person. This indicates that the Ward Councillor does not have a clear profile in the community and has not engaged with community members to the level which is required to build a rapport. His lack of interaction would contribute to difficulties in terms of facilitating community engagement and participation in the IDP process.

Figure 13: Knowledge about the Ward Councillor

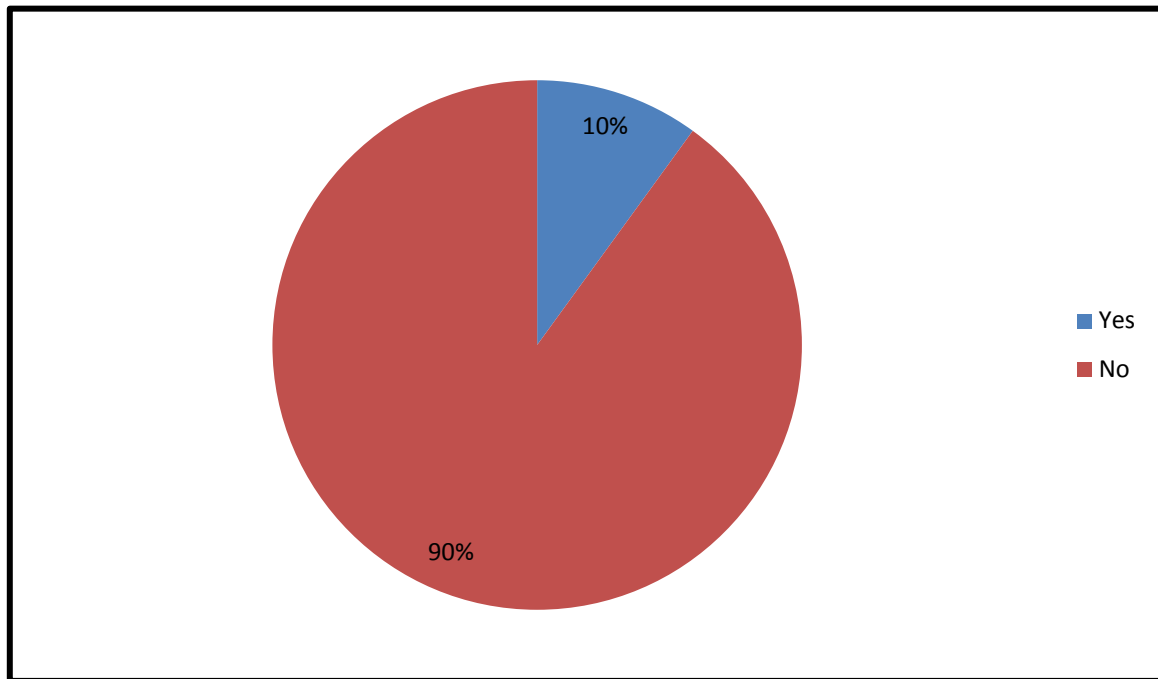


Source: Prashina Mohangi, 2014

7.8.5 Public Meetings and Raising Concerns

The following section unpacked concerns relating to the community having attended IDP public meetings over the three generations of the IDP. 90% of the survey group have not participated in an IDP meeting over the three generations of compiling the IDP in KwaDukuza Local Municipality.

Figure 14: Attendance at IDP Meetings over the Three Generation of IDPs

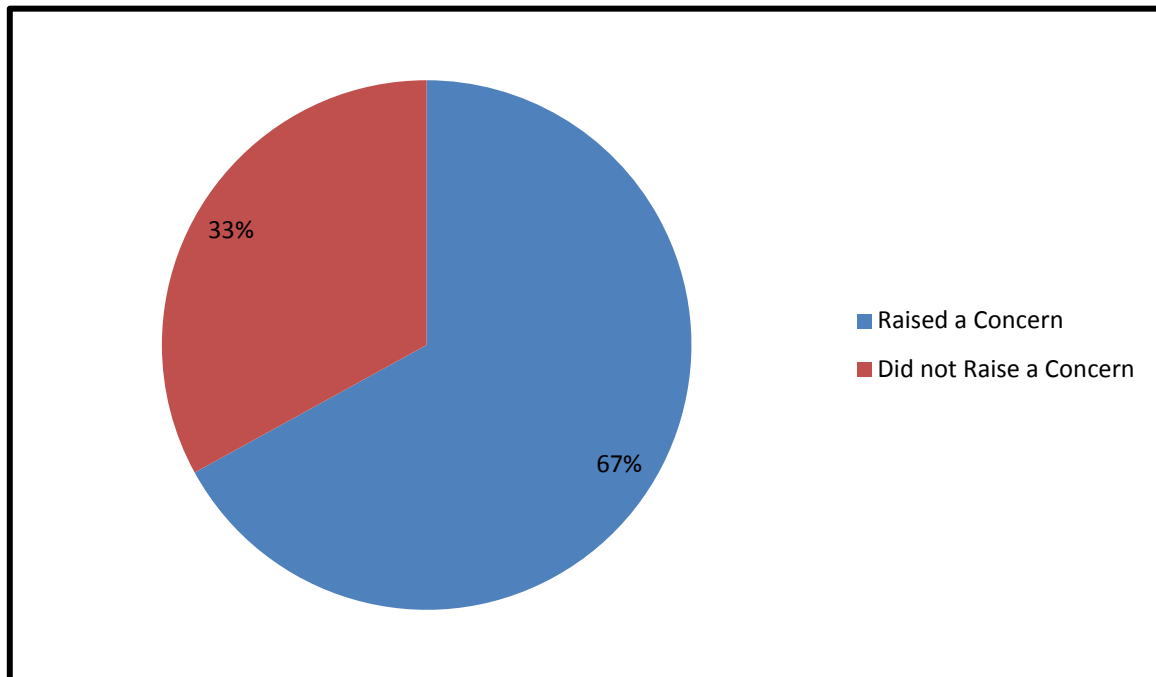


Source: Prashina Mohangi, 2104

Of the 10% of the interviewees from the community who indicated that they had participated in the IDP meetings, a follow up question was put to them to ascertain if they raised any concerns at the meeting attended. If not did they contact the Ward Councillor to have their issues resolved on an individual basis or groups?

Of the 10% of the population that attended an IDP public meeting, 67% participated raised a concern at the public meetings. The remaining 33% did not raise an issue at the public meeting however these communities spoke to the Ward Councillor instead and had their issue resolved.

Figure 15: Number of Participants who Raised Concerns



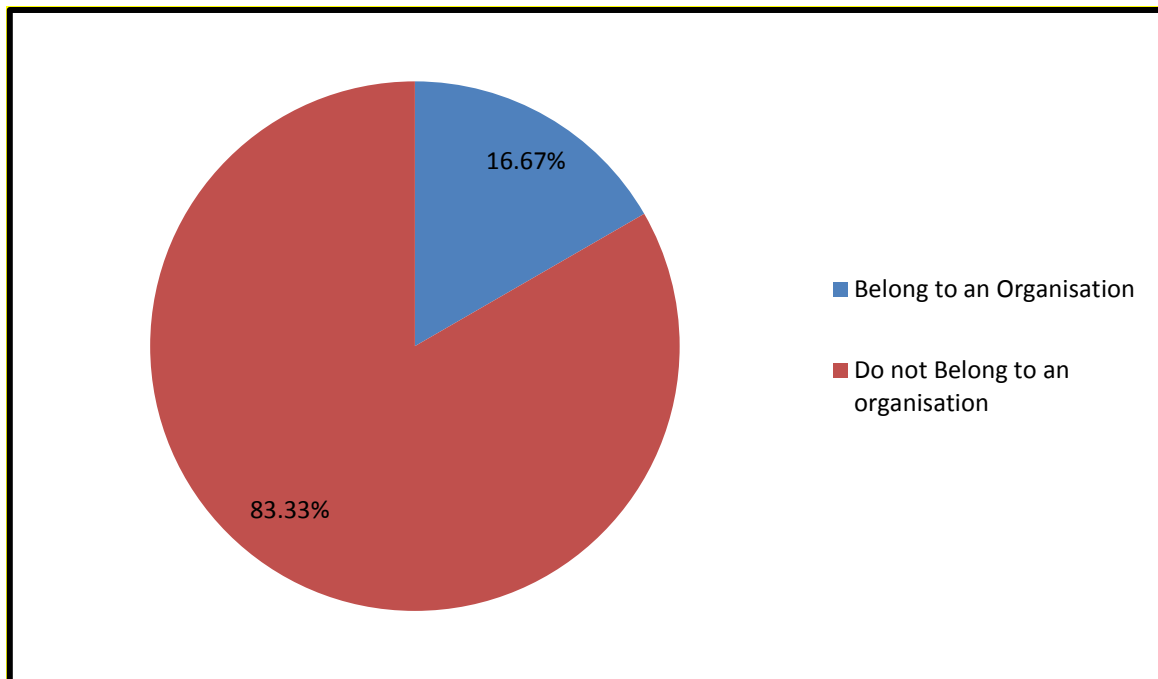
Source: Prashina Mohangi, 2014

It is worrying to note that over the three generations of the IDP in KDM only 10 percent of the community of Shakaskraal participated in the IDP process of the municipality. This could mean that the community did not know of the process or that they did not want to participate in the process. The 33% of the population that raised a concern with the Ward Councillor and had the matter resolved suggests that the local interaction between the councillor and the community is effective where specific issues are raised but not strong in regard to the more generalised role to be played by the community in the integrated development planning process.

7.8.6 Community Organizations Participation in the IDP Process in Shakaskraal

Participants of the questionnaire were asked if they belonged to any organization that raised concerns with the municipality regarding the IDP. The following pie chart depicts the response.

Figure 16: Community Organizations Participation



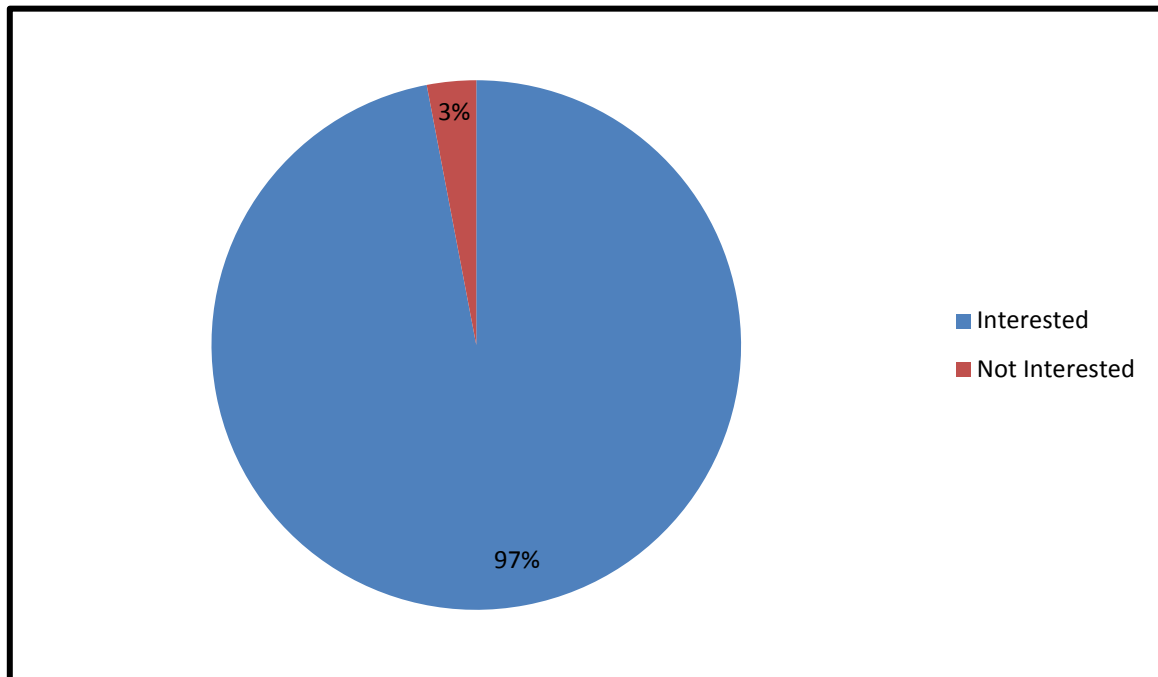
Source: Prashina Mohangi, 2104

83 % of the population do not belong to any organization that raises concerns with the municipality through the IDP participation process. This scenario as it stands does not portray a good picture about current public participation processes in KwaDukuza municipality.

7.8.7 Participation Interest in Shakaskraal

97 % of the community that was interviewed stated that they would like to be part of the IDP process. This indicates a very positive response to the IDP participation processes and indicates that while the community has not been part of the IDP process to date and during the three generations of IDP they do however want to get involved and want to become part of the process which further indicates that the municipality has not been effective in communicating to the public the intentions of IDP and has not encouraged community members to actively participate in the decision making of the municipality.

Figure 17: Number of Residents with Participation Interest



Source: Prashina Mohangi, 2104

7.8.8 Preferred Methods of Communication

When questioned about the preferred method of communication that the residents of Shakaskraal would opt for, the following table was generated in which depicts modes of communication in descending order:-

Table 13: Preferred Modes of Communication in Shakaskraal

MODE OF COMMUNICATION	NUMBER OF PEOPLE
SMS	30
Social Media	21
Public Meetings	14
Other	1

Source: Prashina Mohangi, 2014

Residents were given four choices and were asked to indicate which modes of communication they would most prefer. Of the choices that were provided, the SMS method of communication was the most preferred option followed by social media, such as Twitter, Facebook, WeChat, and WhatsApp. They mentioned that SMS and social media would make local government accessible. If accessibility to local government was improved through social networks and cell phone, then their voices would be heard. If the municipality had a Facebook or Twitter account, it would make the municipality more transparent. Both individual residents and community groups would be able to see what initiatives were proposed by local government. They could then make comments on whatever activity or status of the municipality they were concerned about. Currently the KwaDukuza Municipality is not using SMS's and social media as tools for communication for public meetings and have relied on more traditional/conventional modes of trying to engage communities in public participation exercises however the municipality does have a website which allows for residents to participate in polls posted on the website and to send queries.

This information from the questionnaires indicates that the KwaDukuza Municipality has to look at alternative communication methods to allow residents to become part and parcel of the governance of the municipality.

7.8.9 General Outlook

When asked about what the current issues/ challenges were in Shakaskraal, 80% of those interviewed provided input and from their data, the following list has been compiled:-

- Recreational Items;
- Crime –business area is unkept;
- No sense of community anymore;
- In need of venues to hold meetings;
- No civic pride, people don't know about government;
- In need of a business hub (fax, email);
- No social facilities;
- Security, cleanliness in the area;
- Pollution, lack of employment opportunities;
- In need of crèches and day care;
- Need a women's league, health and fitness club ,
- Housing;

- Sporting facilities;
- Need activities for women empowerment;
- Jobs;
- Need to know about this IDP in detail;
- Safety;
- Cleanliness; and,
- Public social amenities.

One of the participants encapsulated their concerns as follows *“we need to know more about what government is doing and what is available (services) to the ordinary man, we have worked hard for this democracy yet we are not benefitting from it. We cannot always attend meetings therefore government must contact us through cell phones as we have access to them. We cannot be a democracy of 20 years and still say we don’t know what an IDP is.”*

Another individual stated *“we don’t know anything about how the municipality operates, we only see councillors election time walking our streets, we don’t know anything about the IDP and what it means, I am only hearing from you about the IDP and what it means, after the elections these people are no way to be found”*. What this data indicates is that whilst Shakaskraal is generally a well organised community, they also face challenges - like most communities. The municipality is urged to take heed of the challenges and to address them adequately.

When the community was asked if there were items that they wanted to raise about the public participation in the IDP process, 37% of those interviewed indicated that they wanted to raise a matter of concern. Some of the matters raised include the following:-

- Want to know about the IDP and what it means for our people;
- We need to know who are the relevant people in charge of local government should we need to raise concerns;
- We want to know and be informed about what government is doing;
- We should be told about what this IDP thing is;
- We want to know about what government is doing for us;
- We need more affordable housing;

- People should be engaged in ongoing dialogue to bring about change;
- We want to know about this IDP and what it means for our people and we want to get involved to make things better;
- I can't believe the IDP has been around since 1996 and I don't know about it; and,
- People don't know about this IDP and that people should be involved in it, there needs to be more awareness.

From this list of concerns it can be deduced that the community of Shakaskraal want three key issues to be addressed namely:-

- 1) They want to know what the IDP is and what it entails;
- 2) They want to know who is in charge and who the relevant people are; and,
- 3) The community want to be involved in governance.

7.9 PHASE 4 OF THE RESEARCH: UNSTRUCTURED INTERVIEWS WITH PUBLIC PARTICIPATION STAKEHOLDERS IN THE IDP PROCESS

7.9.1 Introduction

Unstructured interviews were held with the three public participation stakeholders in the public participation processes of the IDP within the KwaDukuza Local Municipality. The aim of these informal interviews were to get a better understanding of how the public participation processes of the municipality were institutionalised and to identify if there were any gaps in the institutional processes. Input was received from the Department of Cooperative Governance and Traditional Affairs (CoGTA) who is responsible for monitoring and supporting district and local municipalities with public participation processes. If the public participation processes are not conducted effectively at local level, the Public Participation Business Unit (PPBU) located in CoGTA has the responsibility of assisting the municipality with this process. The iLembe District has a Public Participation Unit (PPU) who manages community engagement whereas at the local level of governance public participation is managed by the office of the IDP Manager of the KwaDukuza municipality.

7.9.2 Public Participation in KwaDukuza Local Municipality- a Provincial Perspective

When interviewed, the provincial department of COGTA who is tasked with the monitoring and support of local municipalities in the IDP process, painted a very bright picture of the public

participation processes within the KwaDukuza Local Municipality. This perspective is in sharp contrast to the finding of this research and specifically the interviews that were done with the Shakaskraal community. According to the Provincial Public Participation Unit almost all Ward Committees in KwaDukuza Local Municipality are functional. The functionality of the Ward Committees is monitored by this business unit on a quarterly basis. In this regard they use the following indicators for an assessment:-

- The number of Ward Committee meetings held;
- The number of meetings chaired by the Ward Councillor;
- The percentage attendance;
- The number of community meetings held;
- The number of sectoral reports submitted; and,
- The number of ward reports submitted to the municipality.

Each of these indicators carries a specific weighting and the total of these weightings is scored out of a total of 200. Once scores are completed, they are analysed and those districts that have scores lower than 113% qualify for intervention by the business unit. This should not be regarded as a good public participation monitoring as the information can easily be distorted by the local municipality. KDM have also not provided a record of public meetings held over the three generations of the IDP in the IDP documents.

Previously it was stated that not all wards within the municipality had functional Ward Committees. This lack of functional representation at the local level of government has hampered service delivery and knowledge transfer as community members were unable to receive critical information relating to development in their areas. In regards to the IDP, the lack of communication between elected officials and their constituents has meant that residents may have been totally unaware of their ability to engage with the municipality's strategic planning process.

7.9.3 Public Participation in KwaDukuza Local Municipality- a District Perspective

As indicated the iLembe District Municipality has their own Public Participation Business Unit that oversees and assists local municipalities in the district with public participation processes. The work

of this unit is located within the framework document entitled the *“iLembe District Community Participation Strategy (2013-2018)”* and was outlined in the theoretical framework chapter of this research. The district’s Public Participation Unit monitors the functionality of the Ward Committees through the office of the Public Participation Units at the local municipality.

Each local municipality is meant to have their own Public Participation Unit. This is a critical component of the local government structure given that participation is a mandatory requirement of the integrated development planning process. The role of the Unit is to co-ordinate public participation within that specific local municipality. The community participation strategy of the district guides the work of the local municipality and it is the responsibility of the public participation business unit at the local municipality to further elaborate and detail specific approaches in their local municipality that is context specific. Local municipalities use the monitoring template designed by CoGTA to report on a monthly basis to the district municipality about the functionality of the ward committees.⁵

These templates are then assessed by the district municipality to ensure that public participation is taking place at the local level. This practice poses a challenge. If the information is reported incorrectly from the local level, the district municipality would not be aware of any short comings. In some instances, reports might not project the truth about the number, scope or success of public meetings. Due to the lack of capacity of the Public Participation Unit at the district municipality level, the information supplied by the local municipality cannot always be verified by the district. Reported information about the level of public participation taking place could be misleading.

From this analysis it appears that there is a gap between the theoretical purpose of the district to monitor and support the local municipalities in this function. It is also disappointing to note that while the local government legislation of South Africa expressively requires the need for the public to be part and parcel of the decision making of local government the support provided to local municipalities by the district municipality is limited due to capacity constraints. Provincial support can be equally dismissed as being not fully effective in building the necessary capacity of local municipalities and ensuring that the individual Public Participation Units understand the legal mandate they should fulfil.

⁵ Refer to Chapters Three and Five of the Local Municipal Systems Act (No. 32 of 2000)

7.9.4 Public Participation in KwaDukuza Local Municipality- a Local Perspective

The focus of public participation now changes to the local municipality. This section provides an overview of how public participation takes place in the KwaDukuza Local Municipality. The public participation function of KDM rests with the manager of IDP at the municipal level. This individual is responsible for managing the IDP process and ensuring that public participation occurs effectively. It could be stated that the location of the public participation function within the office of the IDP manager is one that makes sense. However this office is currently managed by two individuals whom are responsible for the IDP process and product and now also the public participation of the municipality, while it makes sense to have the public participation of the municipality to be co-ordinated by the office of the IDP Manager it is a mammoth task and poses a challenge for the two individuals that work in the office of the IDP. There is a severe planning capacity shortage within the municipal structures tasked with public participation in KwaDukuza.

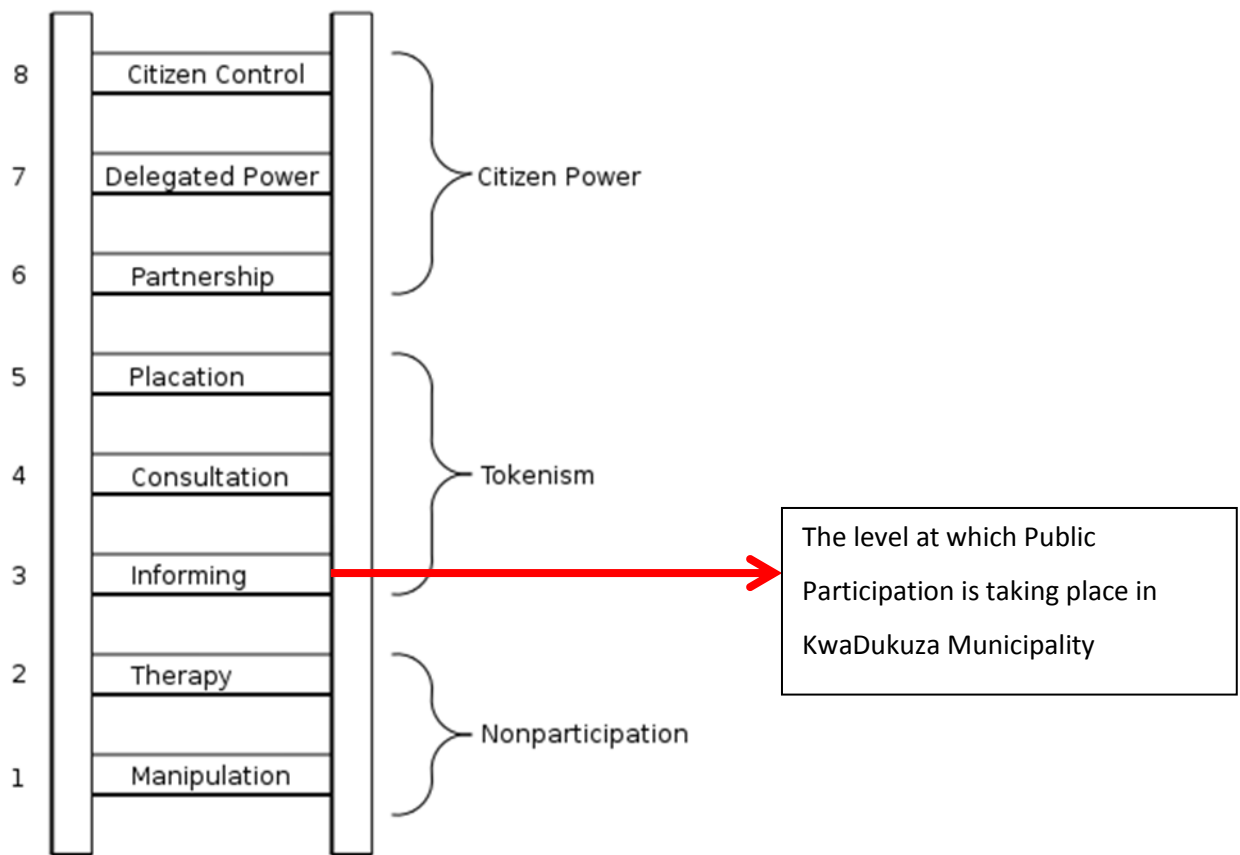
When questioned about the effectiveness of public participation, the municipal officials stated that public participation has to some extent been effective in the municipality. Council matters are communicated to stakeholders through public participation mechanisms which include adverts in the local newspaper, and public meetings. It was further stated that the political office makes an effort to visit all the twenty seven wards of the municipality on a quarterly basis in regards to service delivery issues.

The IDP manager mentioned that the Ward Councillors are required by legislation to conduct a certain amount of public meetings. These like the service delivery meetings are held on a quarterly basis and are intended to inform the community about pertinent issues that have been resolved by the council. What emanates from this revelation is that compliance with the legislation might be occurring not with the sole intent of engaging the community or because it is the right thing to do; but because there is a need to demonstrate legislative compliance. This is an important finding which needs to be noted and used in assessing the quality of public participation that is occurring in the municipality.

According to Arnstein's model of participation it can be deduced that public participation in KDM is not following the correct method. The method of participation that is currently being practised in

the municipality is regarded as Tokenism according to Arnstein (see figure 16 below). The office of the IDP manager who is responsible for public participation, mentioned that a more 'rigorous approach' would help make the process effective. If a comprehensive and inclusive approach to community participation could be designed to engage communities during planning and policy design and the development of sector plans, then it was anticipated that there would be effective information dissemination. Currently policy documents and other important sector plans of the municipality are only presented to the relevant portfolio structures and thereafter adopted by Council and yet they affect the lives of the people directly.

Figure 18: The Current Level of Participation in KwaDukuza Municipality



Source: Adapted from Arnstein, 1969

It was stated that the opinions of all stakeholders are considered in the IDP process of the municipality. In an attempt to promote intergovernmental relations between the district and the local municipalities KDM partners with iLembe District to undertake public participation exercises.

There is a joint effort by the two spheres of local government to engage the community about the IDP and other issues relating to the local spatial issues. According to the KwaDukuza Municipality the community is consulted and input from them is noted. However the prioritisation of concerns and issues raised by members of the public present a key challenge to the municipal officials – one which they are still addressing.

The following points have been identified as being challenges of KwaDukuza Municipality in regards to public participation in the IDP process:-

- Lack of understanding of the process by all (stakeholders and officials);
- The municipality's departments are growing and only two officials are responsible for co-ordinating all the IDP related processes until it gets adopted. (Lack of human capacity);
- Not making use of the other support structures effectively of government i.e. ward committees, community development workers for collecting information;
- Non availability of summarised version of the IDP for the stakeholders;
- Budget for IDP is limited;
- Clash of public meetings called in at the same time by either KwaDukuza Local Municipality or the iLembe District Municipality; and,
- Loud hailing for Councillors meetings taking place at ward level. Ward Committees are not always engaged to help with this activity, see to it that meetings become a success and that stretches the available municipal equipment.

7.10 THE SWOT ANALYSIS FOR SHAKASKRAAL

The KwaDukuza Integrated Development Plan uses a SWOT analysis as a strategic tool for analysis. It was felt that this would be a useful planning tool to utilise to synthesise the thematical concerns and issues identified through informal interviews undertaken with the community of Shakaskraal, other identified stakeholders and role players. The aim of the SWOT analysis is to ascertain what the opportunities, threats, strengths and weaknesses are in the case study area. From this analysis, a set of recommendations would be proposed that would address the findings, to overcome the challenges that community members face in regards to participating in the integrated development planning process and in local government as a whole. It would allow a comparative analysis of local

urban issues in Shakaskraal and whether they were encapsulated in the IDP of the local municipality. The SWOT analysis for Shakaskraal is presented in the table on the following page.

Table 14: Shakaskraal SWOT Analysis

STRENGTHS	WEAKNESS
<ul style="list-style-type: none"> ▪ Good sense of community identity ▪ Good educational facilities ▪ Close proximity to taxi rank ▪ Close proximity to train station ▪ High level of education among community members ▪ Social cohesion ▪ Good healthcare , and religious facilities ▪ Integration of race and income groups 	<ul style="list-style-type: none"> ▪ Low level of available government interventions ▪ Few recreational and gathering spaces ▪ High levels of pollution ▪ Weak attempt at community leadership ▪ Lack of knowledge on waste recycling ▪ Non-involvement in the IDP process ▪ Non alignment of national, provincial and local transportation planning objectives
OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> ▪ People are willing to get involved in local government ▪ People feel the need to take ownership of their spaces ▪ Close proximity to developing areas ▪ Good transport networks ▪ Opportunity to develop local rail transportation ▪ Potential to benefit from heritage tourism ▪ Recognition of a need for additional information on the IDP process 	<ul style="list-style-type: none"> ▪ Crime in the area creates insecurity ▪ Lack of safety on trains ▪ Environmental degradation ▪ Illegal Sand winning compromising water resources ▪ Migration of younger people to urban areas and older people left in the area ▪ Chinese business boom competing with local businesses ▪ Political infighting within the Ward 22 ward committee ▪ Non consensus on development direction in Shakaskraal among political champions

Source: Prashina Mohangi, 2014

7.11 CONCLUSION

This chapter unveiled and collated the data that was collected during this research project. What has emerged is that there is a clear discrepancy in the manner in which public participation in the IDP process is envisaged and what is actually occurring on the ground. Ward meetings are sometimes held for mere sake of compliance and reporting purposes in order to mark off a Key Performance Indicator for the plans process. Where communities do engage, officials have great difficulty in arranging the priorities of their concerns. The current mechanisms being used to provide public participation are limited to conventional vehicles such as newspapers and advertisements. The municipality is not taking advantage of technology which is questionable given that there is an untapped resource in this method of communication. The reality is that public participation in the IDP process is not being conducted in the manner that it should be done. As a result there is a lack of knowledge amongst local communities, Shakaskraal is amongst these local communities who question what is local government is offering in terms of planning and development?

CHAPTER EIGHT: CONCLUSION AND RECOMMENDATIONS

8.0 INTRODUCTION

The hypothesis stated that public participation in the integrated development planning process is less than optimal within the KwaDukuza Local Municipality and requires additional strategic interventions to fulfill its mandate. The assessment of this hypothesis was directed by the research methodology that was outlined in chapter 1, chapter 2 provided the literature review and chapter 3 the precedent study, contextualised integrated development planning and public participation and looked at the manner in which inclusive planning was taking place in other parts of the country and internationally.

The conceptual and theoretical framework managed to demystify the notion of integrated development planning and the related concepts and theories that supports this method of planning. After gathering an understanding of integrated development planning and the role played by public participation in it; the focus on the study shifted to the village of Shakaskraal (Chapter Five) where public participation in the IDP process was being tested.

Chapter 6 provided the outlay of how the research was undertaken and what means were employed to do the investigation. A number of relevant stakeholders contributing to this process were also identified and their roles in the process analysed. The results of the research which was gathered using the methods stated in chapter 6 was documented in chapter 7 according to the research phases that was conceptualised in chapter 6. This final chapter then provides recommendations and a draws a set of conclusions from the research to assist public participation during the IDP process in KwaDukuza Local Municipality. The recommendations presented are not limited for use by KwaDukuza Local Municipality only but can also be applied to other local municipalities. This generic application of recommendations is based on the fact that other municipalities are facing similar problems with effective participation strategies and thus would benefit from the specific issues addressed in KwaDukuza.

8.1 ACCEPTING THE DIGITAL WORLD

The research findings have indicated that most people use their cell phones to communicate and would like to use this medium to access information about government and to make input into government processes using this medium. Local government agencies need to capitalise on the use

of cell phones as a preferred method of communication. The KwaDukuza Local Municipality needs to build a database that allows residents to register their cell phone numbers and could use this means to contact residents directly. This database of cell phone numbers should be categorised according to the twenty seven different wards in the municipality.

Social media has also been identified as a suitable means of communication in KwaDukuza Local Municipality. Residents feel that the municipality should be accessible through the use of social media platforms. Considering that the district of iLembe has generally a youthful population encouraging the youth to participate in the IDP process and in local governance can be easily managed using social media. The municipality is urged to create social media platforms that are easily accessible. A consistent flow of information between local government and the community will foster information dissemination and encourage engagement in local government and the IDP. There should not be a situation where a community member uses a social media platform to communicate with the local authority and does not receive a response or a referral to the necessary person to assist with the query. The use of social media networks is explicitly interactive and the municipality would need to embrace this as a first principle if it chooses this mode of communication for the IDP. The municipality has a web site where events, documentation announcement and adverts are posted. It would be possible to further develop the capacity of this mode of communication to link its data to cell phones. Most smart phones can access the internet and thus the use of the web site for communication in regard to the IDP is a feasible vehicle for social communication.

The recommendation of using social media in governance is supported by Hollands (2012) as reflected in chapter 2, where he mentions that social media and ICT's in general are set to play a key role in South African political and social activism. Hollands states further that advocacy planners will have a more prominent role to play in communities who are unable to access social media platforms due to a range of reasons in most cases in South Africa it would be the level of affordability.

8.2 ACCEPTING THE FLUID PARTICIPATION PROCESS

A key highlight that was discovered during this research process was that the community felt that the IDP public participation process should not be limited to certain time frames as is currently the case in the municipality. Public meetings dealing with the IDP should not be restricted to a certain

number of meetings per ward and within a limited time frame. Rather there should be a flexible and fluid process – one of continuous engagement, process and dialogue between community member and the local government structure. Relevant points emerging from this ongoing dialogue can be filtered and incorporated into the IDP. The process of engagement should not commence and stop at a certain period after which no future inputs are considered until the next round of IDP reviews.

In working with a more flexible communication strategy, government officials might not feel pressurised to view the process as simply as compliance with legislation e.g. a task to be ticked off a list as having been done within constrained time limits. An ongoing open communication strategy would allow a shift from compliance with the legislation which appears to be a driving force of the current IDP process to one where there would be an opportunity for the views of the community to be considered. This practice, if followed through, would assist the community to become part and parcel of the decision making processes of the municipality rather than an afterthought of a larger process.

While the dialogue between the municipality and community is encouraged, innovative means of promoting an ongoing communication process are also necessary. This includes the ability of any community member being able to raise a concern with the municipality at any time instead of being limited to the IDP forum or other public planning meetings. This implies that community halls, clinics, the post office, public parks, local corner stores etc. should become part of the communicative network of the municipality. These facilities if provided with the necessary small scale computer facilities should provide a conduit for dialogue. Alternative methods include a suggestion box that is placed in the corner store/shopping centres or public facilities which is collected by the municipal officials within a specific time period e.g. every two/ three days or weekly. Other options are a voice recorder that is placed in a clinic or post office which collects information that is then passed onto municipal officials.

There is a conventional strategy which has been adopted by local government officials in regard to the way participation in the integrated development planning process is carried out. From the findings of this research it is apparent that the current strategies are not effective. In defending the limited process of engagement officials or consultants engaged by them will cite limited budgets and time constraints linked to legislation, project deadlines and budget limitations. In part this is

attributable to the need to be able to demonstrate statutory compliance to the Municipal Manager or CoGTA and to do so within limited financial resources. However the conceptualisation of what constitutes a comprehensive participation for the IDP may be where the fault lies. The Municipal Systems Act requires a mandatory inclusive participation plan but does not dictate the methods/modes in terms of which this process can be undertaken. In fact it requires that the municipal officials think innovatively about the process and to devise strategies that include peripheral groups e.g. *“illiterate, the disabled, women and the youth”*. Like integrated development planning which has evolved in scope and detail, so too the participation plan, its framework and strategies needs to evolve to address the requirements of civil society?

While communication and dialogue are encouraged, the accountability of the civil servant needs to be re-enforced to ensure that the civic inputs into the dialogue of governance is not ignored or dismissed. Inputs from the community need to be viewed as a part of valuable tools linked to the substantive value of the IDP.

The Participatory Budgeting of Port Alegre and the elements of the Post Alegre case study incorporated into the IDP process in Cape Town indicates that there needs to be innovative methods devised by governance structures that moves past merely informing the community of development. Arnstein (1969) describes methods of engagement for communities which and includes them in the overall development of the municipal area. Communities need to be constantly aware of the development of the surroundings and to believe in the development dialogue drive development. The case of Mexico City indicates very clearly that when structures of participation are instituted by government and caught utilised in the desired manner they give rise to unfavourable situations that contradict the nobility of the intentions.

8.3 EDUCATING THE WORKFORCE

The role of ongoing education and the development of knowledge cannot be over emphasised in the findings of this dissertation. Employees of the municipality including the political office bearers need to be adequately trained and undergo an analysis that identifies their suitability for work as a civil servant or political office bearers. The iLembe Community Participation Strategy highlighted that Ward Committee members did not understand their scope of work – a flaw in their preferred method of community participation which should not be taken lightly. The issue of Ward Committee

members and Ward Councillors not understanding their scope of work was also highlighted by other writers including (Van Donk, 2012; Ngamlana and Mathoho 2012). CoGTA has produced a Councillor Handbook which provides an introduction to the legislation of local government, handbooks like these are useful to acquaint and educate ward councillors on the business of local government. When interviewed for other professions, some companies compel suitable candidates to undergo psychometric analysis thereby verifying their suitability for both the institution and the positions they have applied for. A great deal of emphasis is placed on the E Quotient of the personality and their fit with the culture of the company or agency they intend to join. In the same way, government and not specifically local government but rather all government departments should include a similar assessment as part of their recruitment process. In this way, deserving candidates who are passionate in making a difference to people's lives can be sourced for positions where engagement with civic society is required. There would have to be strict criteria in the selection process of civil servants, which concentrate on qualities such as integrity, accountability, leadership, honesty, transparency, tolerance and empathy.

Once the correct candidates are chosen to become civil servants they can then undergo a rigorous training programme which has various independent and interlinked modules. Some of these modules are listed below in order of recommended preference:-

Module 1: My role as a Civil Servant

In this module, civil servants will be taught on what is their role as a civil servant, what duties they need to perform, how their duties impact on the organisation, how the organisation impacts on people's lives, how their organisation in the case of local government fits into the different spheres of government and lastly what is expected from each civil servant which should include the following:-

- Honesty;
- Accountability;
- Integrity;
- Tolerance;
- Empathy; and
- Leadership.

Module 2: Legislation

In this module, civil servants are introduced to the various pieces of legislation that applies to local government; a thorough understanding of the South African Constitution should be the entry point in this module thereafter the various pieces of legislation should follow.

Module 3: Leadership

This module should focus on the characteristics that encompasses a good leader and should explain why leadership is fundamental in governance. Examples of bad leadership should also be examined allowing participants to have an understanding of the concept of leadership in totality.

Module 4: Municipal Finance

The concept of municipal finance should allow participants to understand the concept of fiscus, understanding how revenue is generated in the municipality, government grants that is released to municipalities and should focus on budgeting money and trying to find cost effective methods to development that does not compromise quality. At the same time it allows participants to understand priority and catalytic projects that should be undertaken. Ideally this module should focus of the transfer of skills which allow participants to engage with the process of sound financial decision making in the municipality. These decisions should be made in manner that maximises the opportunities for community upliftment through cost effective projects. Obviously the principles of fiscal accountability and transparent processes for tender appointments and payments would need to be dealt with in this part of the programme. A clear link between legal frameworks for the expenditure and accounting of public money would be addressed in the module.

Module 5: Sustainable Livelihoods

In this module civil servants are exposed to the concept of sustainability not restricted to environmental sustainability but sustainability as a holistic concept. The training programme should focus on understanding the interrelationships that exist between the population, the environment, development and governance.

It is of paramount importance that the concept of the Sustainable Livelihoods Approach that was discussed in Chapter 3 is understood and practiced. At any point in time communities have with

them certain assets which must be identified in the public participation process and should be used positively to build and develop the communities.

8.4 EDUCATING THE PUBLIC/CIVIL SOCIETY

The research findings indicate that a large percentage of the community of Shakaskraal did not know about the IDP or that they should participate in the process. This implies that the community need to have information workshops or training on new approaches to planning, development and governance and what their roles in these initiatives are. How the community should be involved and what influence they have in the decision making processes of government should be emphasised in this training programme. Members of civil society need to be aware of what the concept of developmental local government encompasses. Through this process of education, the robustness of community participation in the IDP and other plans could be improved. Municipalities need to explore various methods of establishing a dialogue between civil society and themselves and this public information training programme may be one way of achieving it.

8.5 ACTIVATING THE YOUTH

‘The youth are the future’ is a statement that is often heard and for some time now, yet the youth have been overlooked and not targeted as being vehicles of transformation. If the public is to be educated on integrated development planning and public participation as highlighted above then one of the means to accomplish this recommendation is through educating the youth and have them actively participate in governance structures. Besides educating the youth on issues of governance they need to be given lessons on leadership, integrity, accountability, honesty, transparency and empathy. Future leaders of government will arise from the youth therefore they have a vital role to play in community structures, governance and in educating the public.

Local Municipalities including KwaDukuza Municipality should develop an educational programme linked to the Life Orientation subject which is taught at schools currently, in which government officials make an effort to go to schools and talk about the IDP and public participation. This strategy is similar to the way road safety is taught at the schools by the Road Traffic Department.

School children should also be taken on site visits to the offices of the municipality both the local and the district and be shown what governance is about. If the youth are targeted and made aware of

the IDP and public participation, they will then take the message back home to their parents, grandparents and guardians and in this way achieve the target of educating the broader public will become a possibility.

8.6 ADVOCACY PLANNING ⁶

This research has promoted the principle of innovation and the need for a new approach to public participation in the integrated development planning process. Within the theoretical schools of advocacy planning the role of the planner is both one of facilitator, information dissemination and a planning conduit or agency through which civil society engages with planning and development issues. Generally the advocacy planner performs the role of the champion of disadvantaged community groups who engage with the state or government around issues where there is contestation. In the context of the IDP, there exists a clear gap between what the process is supposed to deliver in terms of public participation and what actually occurs in practice. In the case of Shakaskraal the participatory role of the community in the IDP process is not one where there is sufficient information dissemination, engagement or agency.

A strategy to address this gap may be to pair specifically trained advocacy planners with Ward Councillors. In this instance, the role of the Advocacy Planner would be to support and assist the Councillor with information dissemination, training and engagement with communities in respect of planning and development issues. Clearly a key issue to be addressed would be that of the IDP. The 'twining' of elected government representation with this variant form of advocacy planning runs counter to the main stream notion of the planner standing in opposition to the state but in this instance the idea of advocacy would be in building the capacity of the community, championing their right to engage with governance through information workshops, collection of the suggestions from the boxes located in shopping centres, government offices and social facilities. Newer approaches to modes of communication could include cell phone, web sites, Press Conferences computer presentations, simulations, information Centres, Kiosk/Lobby Displays and kick off-public information meetings. The planner could also address planning and development matters that the

⁶ This idea for advocacy planning in the IDP process emanated from a class discussion on improving participation held in the IDP class at the University of KwaZulu-Natal (UKZ-N) in September 2104 and the kudos for its conception belongs to them and the lecturer Ms. von Riesen Cited in a discussion with the lecturer during the course of this research.

Ward Councillor would normally have to take back to the municipality for an answer and thus lessen the time period cited as being one reason for civic discontent with local government in KwaDukuza.

This advocacy planning process could run parallel to that of the prescribed IDP consultation programme but would enhance the level of information and engagement with it because its arena is situated at the ward level. It would also be an ongoing programme and not limited to the prescribed time period as that of the mandatory programme. Currently the KwaDukuza IDP office is understaffed. The implementation of the Planning Advocacy Programme could form an adjunct to the role of the current planners since the role of the planners would be to support and extend the current participatory role of this office.

This proposal is one that requires additional information but certainly addresses some of the potential limitations of the conventional approach used in IDPs, which are not working.

8.7 CONCLUSION

Integrated development planning has been seen as a fundamental tool for reconstruction and spatial development in the post-apartheid landscape in South Africa. The intention behind its conceptualisation is noteworthy and the fact that it makes provision for public participation is commendable. The sad reality is that this strategic planning tool is not being used in the manner in which it has been intended due to various issues as outlined in this dissertation. The major of these issues for the now appears to be an over reliance on compliance with meeting the minimum requirements of the legislation. There is no self-evaluation regarding the effectiveness of public participation strategies or their outcomes. This short coming is significant because it points to a gap in strategic planning mechanisms within KwaDukuza. Despite using strategic planning tools such as SWOT analysis, synthesis and scenario planning, the local government spends little time on analysing the effectiveness of the public participation process. They still rely on the dissemination of information and processes of engagement through the Ward Committee structures even though contemporary research indicates this to be a less than effective method. As this research has illustrated, KwaDukuza is not only municipality to persist with this approach. Other municipalities at district and local levels are similarly preserving with the same approach. This can be attributed to the lack of institutional capacity, pressure on scarce resources and perhaps an inability to think in an

innovative manner about public engagement and its role in integrated development planning generally and the ID specifically.

Thus effective public participation in the integrated development planning process is lacking. As a result, planning and development that is occurring through this process does not reflect the wishes of the community and is often ineffective. There does seem to be some willingness from the public to get involved in the decision making of local government but it is not sustained. Blockages in the transfer of information between local government and the community need to be addressed as a matter of absolute urgency. A relationship between the KwaDukuza Local Municipality and the communities they serve needs to be established through the auspices of the planning advocacy office or another strategy. Thereafter this discourse will need to be supported and encouraged with appropriate institutional structures and engagement. Such a dialogue will make the transfer of information and the invitation to participation in the IDP potentially attainable. It requires that the current process of decision making becomes more flexible and ongoing. This approach is different from the current one off IDP review public meetings and requires that the local authority of KwaDukuza undergo a paradigm shift in their conceptualisation of what effective community participation is. In order for this to be achieved officials, Ward Council members and planners alike will need to undergo skills development training and rethink the interrelationship between public participation and integrated development planning. .

Should the recommendations provided in this chapter be undertaken as specified, public participation in the IDP process will be a reality and development that is initiated and supported by the local communities will occur. It is anticipated that this research and its findings will contribute to this critical debate.

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