



**Assessing public participation during the compilation of the Housing Sector  
Plan of the IDP of eThekweni Municipality. A case study of KwaDabeka.**

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A dissertation submitted in partial fulfilment of the requirements for admittance to the degree of Master of Housing in the School of Built Environment and Development Studies; University of KwaZulu Natal.

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## **Declaration**

I, Makhosazane Xhakaza declare that

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**Miss M Xhakaza**

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**Date**

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## **Acronyms**

BP:	Batho Pele
BNG:	Breaking New Ground
BEPP:	Built Environment Performance Plan
CBD:	Central Business District
CP:	Citizen Participation
CBP:	Community Based Planning
DoH:	Department of Housing
DoHS:	Department of Human Settlements
DP:	Development Plan
HP:	Housing Project
HSP:	Housing Sector Plan
HS:	Human Settlements
HSP:	Human Settlements Plan
Itrump:	Inner City eThekweni Regeneration and Urban Management Programme
IDP:	Integrated Development Plan
ILO:	International Labour Organisation
KPA:	Key Performance Area
KZNDHS:	KwaZulu Natal Department of Human Settlements
LUFS:	Land Use Framework and Scheme
LED:	Local Economic Development
MSA:	Municipal Systems Act
OSS:	Operation Sukuma Sakhe

PD:	Participatory Democracy
PMS:	Performance Management Systems
PP:	Public Participation
RSA:	Republic of South Africa
SDBIP:	Service Delivery and Budget Implementation Plan
SDF:	Spatial Development Plan
SWOT:	Strengths, Weaknesses, Opportunities and Threats
SCM:	Supply Chain Management
UN:	United Nations
UNCHS:	United Nations Centre for Human Settlements
UNDP:	United Nations Development Programme
USA:	United States of America
WSDP:	Water Services Development Plan
WBP:	Ward Based Planning

## **Abstract**

This study aims to assess public's participation during the compilation of the Housing Sector Plan (HSP) of the Integrated Development Plan (IDP) of the eThekweni Municipality. The study further aims at assessing the role of the municipality in ensuring that public participation in the HSP does take place. The study focuses on assessing if public participating does take place during the compilation of the HSP, by exploring the level of understanding of public participation through the lens of the community. The KwaDabeka A Infill Housing Project was used as the case study.

The problem statement emanated from questioning the housing delivery process. One of the major problems which the study addressed was that beneficiaries were not part of the participatory process. However, the study will look at the public's participation in the policy making process for housing delivery, namely their input into the HSP of the IDP.

The study utilised qualitative and quantitative research techniques to collect primary data. The theories used to inform this included Participatory Democracy, Constitutionalism as well as the Theory of Public Participation by Pretty Arnstein (1969). The Theory of Public Participation by Arnstein (1969) informed this study, as a tool to evaluate if the public of KwaDabeka did participate in the compilation of the HSP for the IDP of the eThekweni Municipality. It further evaluated if the public of KwaDabeka was aware of the process of public participation that was needed for the compilation of the HSP.

The findings of the study indicated that a lack of knowledge about the processes during compilation of the HSP led to minimal public participation because of uncertainty from the public. The study made a number of recommendations which highlighted the importance of public participation in the compilation of the HSP. One of the recommendations stated that municipal officials should perform good public governance by explaining the processes of participation for the compilation of the HSP, and by using the bottom-up approach during public engagements to understand the point of view of the public. The study concluded that there was a need to create awareness about public participation in the creation of public policies, especially the HSP. This required the public to be well informed about the processes regarding the compilation of the HSP.

# Chapter One: Introduction to the Study

## 1.1. Introduction

The *Constitution of the Republic of South Africa*, which was adopted in 1996, establishes the country's democratic principles and institutions that promote and sustain democracy (Sikota, 2015). This emphasises the importance of the participatory role played by the citizens, where they can elect their political representatives in order to act on their behalf and can make them answerable for their actions. This creates democracy amongst the citizens and the sense of ownership, as well as belonging.

According to Theron (2005: 130) public participation as a building block of development is a necessity if the goal of sustainable development is to be accomplished. The lack of appropriate public participation strategies in housing will result in a failure to establish authentic and empowering people-centred development. Marzuki (2015) asserts that the implementation of the public participation process is essential for the democratisation of social values and better planning and fulfilment of general needs. Furthermore, by the public participating in the decision-making process, the public will realise the importance of 'their' participation in deciding their future (Chadwick, 1971). According to Slocum (1995), public participation is a means to convey individual and society's interests and concerns about development plans.

The *Municipal Systems Act* (No. 32 of 2000) stipulates that the participation of local people in municipal affairs must take place through political structures such as ward committees. The Act emphasises public engagement, consultation and involvement in the activities and functions of municipalities, and must include integrated development plans (Scott, 2009). Public participation entails the opportunity for participants to air their views, troubles, concerns and needs (Ingram, 1977). Furthermore, public participation requires the public to actively participate in housing development as this promotes their sense of belonging and ownership.

The Housing Sector Plan is a plan that is reviewed every five years. The Housing Sector Plan is part of the Integrated Development Plan (IDP) and is a section that focuses on housing. This plan shows what the municipality plans to do about solving the housing backlog in each municipality. Furthermore, most of the housing programmes are included in the Housing Sector Plan as the municipality wishes to

implement the programmes throughout the municipality. Public participation forms part of the Housing Sector Plan because the municipality needs to understand the needs of the public before implementing any housing delivery. Furthermore, public participation is crucial in the Housing Sector Plan as it assists the municipality with their prioritisation model of which housing project is most needed (eThekweni Municipality, 2017).

## **1.2. Problem Statement**

Housing in South Africa, as in most developing countries, is a leading problem, especially for the low-income group (R0-R3500) (Mnguni, 2010). Thus, the government took the initiative after 1994 to readdress the housing inequalities created by the apartheid government. It is worth noting that there have been several successful housing programmes aimed at readdressing the apartheid injustice. However, the delivery of housing is still a critical problem due to a number of factors, namely; inadequate understanding of the development process, a lack of public participation, the vital role to be played by communities, and the lack of capacity by the local government to implement the housing programmes (Cele, 2015).

Housing is a basic human right that must be provided in the right quantities and qualities. As Turner (1972) had advocated that housing should be seen as a verb rather than a noun that is meant to better one's life. Hence, the importance of public participation since their homes have social and economic influences in their lives as advocated by John F.C. Turner. However, public participation has been identified as one of the major problems in South Africa as beneficiaries are not part of the participatory procedures, in terms of housing delivery. Thus, it becomes a challenge because developers and planners do not engage communities effectively in development initiatives (Mnguni, 2010). It is therefore essential that there is meaningful community participation that is conducted amongst community groups. It is the responsibility of the government to ensure that the voice of the people forms part of the participatory process through an enabling environment that will promote consumer education to the public about government legislation and policies. According to Goodlad (1996) community groups in townships and informal settlements, including church groups, credit unions, women's groups, tenants' associations and civic associations are seen as crucial in providing the community participation element in the HSP process.

Pottie (2004) and Makhatini (1995, cited by Mnguni 2010) note that the *Municipal Systems Act* (No. 32 of 2000) seeks to regulate the relationship between citizens and local government, with particular emphasis on government services. It further articulates values of accountability, transparency, efficiency and consultation through the generation of reliable structures for community participation (Mnguni, 2010).

As aforementioned, the IDP process is required by legislation, namely the *Municipal Systems Act* (No. 32 of 2000), to be produced and reviewed every five years and annually, respectively. It is also essential for the Integrated Development Plan to incorporate the public in discussions, and to have their views, opinions and suggestions noted to formulate adequate sector plans for them. This attribute is often compromised, and the ideas of the public are not heard, even though they are consulted, defeating the purpose of public participation and providing the community members with tools or entities that they do not need.

### **1.3. Aim**

This study aims to evaluate the public's participation in the compilation of the Housing Sector Plan as a process of the Integrated Development Plan.

### **1.4. Objectives**

The study aims to respond to the following objectives:

- 1.4.1. Assessing public participation in the compilation of the Housing Sector Plan.
- 1.4.2. Indicate opportunities for beneficiaries that participate in the Housing Sector Plan.
- 1.4.3. Evaluate the KwaDabeka Housing beneficiaries' understanding of public participation.
- 1.4.4. Evaluating the challenges which are experienced during the participation of the community in the Housing Sector Plan.
- 1.4.5. The role of the municipality in ensuring that public participation in the Housing Sector Plan does take place.

### **1.5. Main Research Question**

To what degree has the community of KwaDabeka been able to participate in the compilation of the Housing Sector Plan of the eThekweni Municipality?

## **1.6. Subsidiary Research Questions**

- 1.6.1. To what extent does the public of KwaDabeka participate in the compilation of the Housing Sector Plan?
- 1.6.2. What are the opportunities that public participation creates during the compilation of the Housing Sector Plan?
- 1.6.3. Do the beneficiaries of KwaDabeka understand what is meant by public participation?
- 1.6.4. What are the challenges which are encountered with public participation in the Housing Sector Plan?
- 1.6.5. What are the roles of the municipality in ensuring public participation in the Housing Sector Plan?

## **1.7. Hypothesis**

The involvement of the local people of KwaDabeka in the compilation of the Housing Sector Plan can create a sense of belonging and ownership of the place where they live.

## **1.8. Dissertation Outline**

This dissertation consists of seven chapters:

**Chapter One** introduces the study objectives, research problem, and the direction which the study will take.

**Chapter Two** discusses the research methodology which was used to address the research problem.

**Chapter Three** comprises of the conceptual and theoretical framework of the study, examining concepts and theories in connection to the study.

**Chapter Four** constitutes the literature review, which explores the literature on the topic, on a local and international scale.

**Chapter Five** covers the historical background of the study area, describing the dynamics and an in-depth analysis of KwaDabeka Township.



**Chapter Six** presents the research findings, data analysis and the interpretation thereof, focusing on the data collected through interviews and questionnaires, while examining the existing literature on the topic.

**Chapter Seven** provides a summary of the findings, the conclusion, and recommendations. This will cover the outcomes achieved from the study and what conclusions can be drawn from the information gathered.

## **Chapter Two: Research Methodology used in the Study**

### **2.1. Introduction**

This chapter intends to outline the research method and paradigm which was used to collect the information for the study. It unpacks the chosen research paradigm, the primary and secondary sources of data, the sampling method which was used to identify the informants, the research tools which were used to collect the data and how the data was analysed. Lastly, the chapter outlines the limitations of the study.

### **2.2. Research Design used in the Study**

The type of research method that was used in this study was the mixed-method approach. The mixed-method of data collection was the most suitable method to utilise to elaborate on public participation. This method enabled the researcher to analyse the primary data qualitatively and quantitatively (Creswell, 2014). The qualitative approach incorporated interviews and questionnaires. The quantitative method quantified the data obtained from interviews and questionnaires through thematic coding.

#### **2.2.1. Quantitative Method**

According to Sukamolson (2007), the quantitative method referred to a numerical representation to describe and explain the phenomena that those observations reflected. Creswell (1994) further elaborated on the quantitative approach as a method that explained the phenomena through numerical data using mathematically based methods (Sukamolson, 2007). Quantitative data in this study was used to determine the level of public participation during the compilation of the Housing Sector Plan of the eThekweni Municipality. This method emphasised objective measurements and the numerical analysis of the data collected from the respondents. The quantitative data gathering was a structured approach that generated numeric data in a traditional way, using questionnaires and structured interviews to generalise from the sample of the population (Patel, 2009; Creswell, 2014). This method enabled the researcher to create tables and make graphs based on the responses from the respondents.

#### **2.2.2. Qualitative Method**

Hancock, Ockleford & Windridge (2001) defined qualitative methods as those that developed explanations of social phenomena. Furthermore, qualitative research was

said to be more associated with the opinions, experiences and feelings of individuals, producing subjective data (Hancock, Ockleford & Windridge, 2001). In addition, McCusker (2015) elaborated on qualitative research as that characterised by its aims, that related to understanding some aspect of social life. The qualitative method was used to collect the primary data in order to obtain information for the purpose of this study. Primary data refers to original data that is accumulated with the end goal of tackling the research problem (Goeldner & Richer, 2006). The qualitative method was used in the form of questionnaires that included detailed interviews with the respondents. The meetings were formal and inclusive of open-ended and closed questions, hence allowing the respondents to express their subjective emotions and thoughts. Goeldner & Richer (2006) stated that the qualitative method was dependent on participatory knowledge that had not been generated before and was derived from the respondents through questionnaires and interviews. The interviews and questionnaires were intended to gather information about the public participation in the compilation of the Housing Sector Plan and assisted in validating the accuracy of the findings of the study.

### **2.3. Sampling Methods used**

The sampling method that was utilised in this study was random sampling. Sampling was a manner of determining who the participants of the study were going to be, relatively a smaller number of the total population (Alvi, 2016). It was inexpensive to collect data from a sample rather than from the entire community, besides which sampling the entire community would have more possibilities for error (Creswell, 2014). There were various sampling techniques to select from; however, random sampling was the most suitable for this study. The advantage of utilising random sampling in this study included its practicality since it was all based on the sampled populations' experiences and opinions.

Random sampling gave each individual an equal chance of selection from the population to participate in the study, thus ensuring that the sample was a representative of the entire population (Levy & Lemeshow, 2008; Creswell, 2014). This study was based on an issue that linked with public participation and required the views of people from different income groups, various religious groups, and different beliefs in general. For the purpose of this study, however, random sampling enabled the gathering of information around the same income group (low-income earners) and

the same racial group, looking at people aged between 18-60 years which were those that were still economically active. Furthermore, the study was not gender biased as certain households were female-headed households. The researcher utilised a list of housing beneficiaries obtained from the Department of Human Settlements to be able to identify the participants to be part of the data collection process. The sample size for the data collection was 60 households, out of a population of 600 households, making the sampled size 10 per cent of the entire community.

#### **2.4. Secondary Sources of Data**

Secondary data is understood as data already collected or published by others (Ajayi, 2017). Secondary data is information that has been previously collected and is usually available in published or electronic formats (Johnston, 2017). Secondary data is sourced from published articles and journals adopted to outline the broader views of integrated planning at a local government level in South Africa. The literature content for the literature review which is relevant to this study is obtained from textbooks, the University of KwaZulu-Natal's library, the eThekweni Municipality IDP, journals, government publications on the IDP and Performance Management Systems (PMS), municipalities, the *Constitution of the Republic of South Africa* (Act No. 108 of 1996) and online material.

#### **2.5. Primary Sources of Data**

Primary data was the original information collected for the first time by the researcher, therefore making this primary data factually original (Ajayi, 2017). Primary data was collected specifically to address the problem at hand and it was collected by the researcher (Curtis, 2008). Primary information was the raw data that the researcher could only collect from informants; in this case the primary data was obtained from the case study of KwaDabeka.

##### **2.5.1. Interviews**

Interviewing was the technique that was used to gain an understanding of the underlying reasons and motivations for people's attitudes, preferences or behaviour. Interviews were the primary way to collect data in this qualitative research, as they directed the participants to respond to specific research questions. The purpose of the research interviews were to explore the views, experiences, beliefs and motivations of individuals on specific matters, for this instance the public's participation in the housing

development plan (Gill *et al.*, 2008). Interviews were done to explore whether the public of KwaDabeka participated during the compilation of the Housing Sector Plan.

For the purpose of this study, key informants were interviewed. The interviews comprised of open-ended questions which allowed room for engagement with key informants. Thereafter, the information required from key informants related to the manner in which municipal representatives and the community of KwaDabeka participated during the compilation of the HSP of the case study area.

The sampling method used for key informants was different from the one used for the community of KwaDabeka. The purposive sampling method was used to analyse the officials and stakeholders. The purposive sampling method was understood as a deliberate choice of participants due to the qualities that the participants possessed (Etikan, Musa & Alkassim, 2016). Furthermore, the purposive sampling method was the identification and selection of individuals or groups of individuals that were proficient and well-informed with the phenomenon of interest (Creswell & Plano Clark, 2011), namely public participation in the compilation of the HSP of KwaDabeka. With regards to this study, the researcher deliberately chose the key informants because of the knowledge and experience in public participation that the officials and stakeholders held (Bernard, 2002).

### **2.5.2. Questionnaires**

A questionnaire is one of several primary methods of data collection that is an observational technique which comprises of a series of items presented to a respondent in a written form. The individual is expected to respond in writing (Ajayi, 2017). The researcher handed the questionnaires to the participants for them to answer. The questions were predominantly in a closed-ended format, making it useful for the researcher to use this quantitative method. Representatives of the community of KwaDabeka were given questionnaires to answer. With the questionnaires, the researcher intended to establish if the community understood what was required of them in terms of participation during the compilation of the Housing Sector Plan.

### **2.6. Data Analysis**

Data analysis was understood as a process of bringing order, structure, and significance to the data collected (Kapur, 2018). Data analysis was considered a vital aspect when conducting this research. Data obtained through this research was

analysed qualitatively and quantitatively. The thematic interpretation was defined by Lapadat *et al.* (2010) as a systematic approach of analysis of the qualitative data. It involved identifying themes or patterns of cultural meaning, coding, and classifying the data. The thematic analysis focused on the themes related to this particular study that came about from the qualitative data that was obtained from the questionnaires and interviews (Creswell, 2014). The responses received from the questionnaires and interviews enabled the researcher to create tables, figures, and graphs, and to discuss the responses from the interviews conducted according to the related themes.

During data collection, the researcher used a voice recorder to record the responses which were also jotted down in a notebook, to ensure that the responses given by the respondents were adequately understood. Themes were identified based on the collected data and ideas or choices that were related to each other and viewed together. The data was coded to ensure that every response that was received from the community of KwaDabeka was part of the study. Through coding the themes that were used in the research were then identified. These themes are discussed in Chapter Six, which is the chapter on the analysis of the data obtained. This chapter discusses the responses that were aligned with the objectives and an analysis of these is provided.

## **2.7. Limitations of the Study**

The study was limited to the KwaDabeka housing projects and not the rest of the eThekweni Municipality. Therefore, the findings of this study could not be generalised to the municipality as a whole. Another limitation of the study was sampled participants of KwaDabeka not participating in the study. Once identified for inclusion in the study participation was optional, and there was no personal benefit to the participants for participating in the study.

The demographics that were initially provided by Stats SA (2011) were for the eThekweni Municipality as a whole and not specific to KwaDabeka. This was challenging since KwaDabeka is a relatively small community in comparison to most wards in the eThekweni Municipality. It was therefore difficult to highlight the actual demographics of KwaDabeka. This challenge or limitation was subsequently resolved by the researcher obtaining the relevant documents that had the demographics specific for KwaDabeka.

The Housing Sector Plan (eThekweni Municipality, 2017a) was another limitation since the document had limited information and was challenging to analyse in-depth. The IDP (eThekweni Municipality, 2010) document was more useful and the research thus relied more on this, although the content of both documents was analysed as the focus of the study was on assessing public participation during the compilation of the HSP of the IDP.

## **2.8. Conclusion**

This chapter demonstrated the techniques utilised in directing this study. The qualitative and quantitative methods embraced by the researcher were the ones that gave the beneficiaries' exact points of view on public participation in the HSP. All research techniques that were presented in this chapter helped in directing this study and providing the results. What was captured here was the essential principle of the whole study.

## **Chapter Three: Conceptual and Theoretical Framework**

### **3.1. Introduction**

This chapter gives a framework of the theories and concepts that informed the study. Concepts included the Integrated Development Plan (IDP), the Housing Sector Plan (HSP) and participation. The theories included constitutionalism, participatory democracy and citizen participation. Furthermore, the chapter elaborates on the international and local experiences of community participation for improving the lives of the community, and the influence that this participation has had on integrated development planning.

### **3.2. Conceptual Framework**

This section presents different perspectives on the key concepts that were related to the study. The significance of having a conceptual framework was because the key concepts were used repeatedly for this study, and they will be defined and discussed according to their context for this specific study. The concepts, as mentioned, included the Integrated Development Plan, the Housing Sector Plan and participation.

#### **3.2.1. Integrated Development Plan**

An integrated development plan was the primary statutory document that informed all aspects of development within local governments and it was a useful management tool that served to integrate activities and budgets (eThekweni Municipality, 2010; Mzimela, 2013). It was also a critical tool that was utilised by local government in undertaking its developmental role. This tool was not exclusive to South Africa; in different countries that adopted it, it was referred to as a Development Plan (DP) that had the aim of addressing development needs and challenges.

From an international perspective, the Development Plan was a document that indicated or highlighted regions that required change, how they had to be changed, and what they could potentially transform to in the future. According to the Scottish Government (2009: 3), it was "the conduit through which types of development should take place, and the locations of the proposed development projects [were] highlighted." Development planning also set out the best locations suitable for housing



projects and commercial activities, and protected places of value to people such as historical sites or areas that required conservation.

In the context of South Africa, the IDP was a mandatory tool for all municipalities, which entailed the short, medium and long-term objectives and strategies that were prepared for use over a period of five years (Department of Co-operative Governance and Traditional Affairs, 2012). It was reviewed annually in consultation with communities and stakeholders (Scott, 2009; eThekweni Municipality, 2010). Integrated development plans were created to assist municipalities in achieving developmental mandates and in guiding the activities of any institution or development agency operating in the local area (eThekweni Municipality, 2010). An integrated development plan was intended to be a holistic multi-sectoral approach, which guided the future development of the locality by promoting integration through the pillars of sustainability, namely social, economic and ecological factors, without having to compromise the institutional capacity required in the implementation (Chikulo, 2009) process. It also gave direction to the growth of the municipality. For the development plan to succeed in getting rid of poverty at each local level it was necessary to put infrastructure service delivery projects in place (eThekweni Municipality, 2010). For the purpose of this study, the IDP referred to the IDP document of the eThekweni Municipality (eThekweni Municipality, 2010), under which the KwaDabeka community fell.

The IDP also informed the decision-making process and budgeting for proposed projects. Section 26(a-i) of the *Municipal Systems Act* (No. 32 of 2000) presented the IDP as a comprehensive and strategic plan. The IDP document had to reflect the following:

- "The municipal council's vision for the long-term development of the municipality, with emphasis on the municipality's most crucial development and internal transformation needs;
- An assessment of the existing level of development in the municipality, which [had to] include an identification of communities which [did] not have access to municipal services;

- The council's development strategies which [had to] be aligned with any national or provincial sectoral plans and planning requirements binding on the municipality;
- The council's development priorities and objectives for its elected term, including its local economic aims and its internal transformation needs;
- The Spatial Development Framework (SDF) which [had to] include the provision of basic guidelines for a land-use management system for the municipality;
- The Housing Sector Plan (HSP) which [had to] include the provision plans [for] housing across the municipality;
- Applicable Disaster Management Plans;
- The council's operational strategy
- A financial plan, which [had to] include a budget projection for at least the next three years; and
- Performance indicators and performance targets" (RSA, 2000:26).

The above core components of the IDP were mandatory for all municipalities. They were obliged by national legislation to follow the outlined requirements in drafting their plans. These components guided the municipalities in terms of what was expected in the compilation of the Integrated Development Plan and other relevant documents that supported the IDP.

Additionally, resources were a very significant part of the IDP since additional and detailed plans such as the Land Use Framework and Scheme (LUFS) and the Housing Sector Plan could not be implemented without them. The IDP operated as a document of instructions, hence it reflected development priorities for all of the municipal areas and how development initiatives were to be undertaken (eThekweni Municipality, 2010). If there were some changes or an area of need was identified, the plan was subject to review.

The IDP was a cornerstone of local government development in South Africa. It was a tool for aligning budgeting and project implementation with strategic priorities and coordinated the growing number of sectoral plans and projects that impacted on the activities of municipal governments (Harrison, 2008). One of the sectoral plans

included the Housing Sector Plan (HSP) as it was a plan that planned the habitation of the people within the municipality.

#### **3.2.1.1. Benefits of the Integrated Development Plan**

The IDP allowed a municipality or the community to focus on itself and to develop a future-oriented vision and mission, proactively positioning itself and adapting and learning from the changing environment by conducting a strengths, weaknesses, opportunities and threats (SWOT) analysis. Resources were matched according to the needs by means of a financial plan, and the municipality could then establish and prioritise its needs, ascertain the availability of and allocate its resources and engage in public participation processes that would prioritise services and the need for a partnership between the municipality and the community.

A further benefit of the IDP was that it gave direction to and improved performance and measurement. The IDP had to set targets and procedures or criteria for performance management, as indicated in part of Chapter Six of the *Municipal Systems Act* (No. 32 of 2000). Through public participation strategies the IDP was able to develop a realistic, achievable plan for future development and stakeholder participation. Stakeholders in the planning process were empowered with knowledge gained from the municipality's SWOT analysis.

#### **3.2.1.2. Challenges of the Integrated Development Plan**

The Development Bank of Southern Africa warned that the IDP was often seen to be the sole responsibility of a specific department or a few allocated municipal officials; however, it was the responsibility of all municipal departments within the municipality. The positive outcome of the IDP rested upon political willingness and the ability of different municipal departments to seamlessly bring together diverse inputs in order to achieve shared goals (Smith & Morris, 2008). The IDP was not just an analytical document but also a practical one, and it had to be implemented.

Chapter Five of the *Municipal Systems Act* (No. 32 of 2000) explained the principles, components, framework, and process of implementation to be followed. The IDP had to recognise specific conditions and circumstances. Furthermore, the IDP was not only concerned with the current reality – through the IDP the municipality managed future events and activities, which also required a proactive approach and planning strategy. If the municipality did not embrace change, the IDP would fail. The municipality had to

have the political will to translate its development objectives into an operational strategy. The principal reason for the failure of an IDP was a lack of commitment and project management skills (Davids *et al.*, 2009).

Lastly, it was asserted by van Donk *et al.* (2008) that municipalities needed to consider the detrimental effect of hierarchical, top-down, authoritative systems that maintained blueprint-type thinking and planning. Teamwork, project management skills and participatory planning strategies were essential for an IDP to be successful. An IDP would fail if the developmental plans did not link with the macro-plan formulated by the IDP. In holistic planning, the parts were not more significant than the whole (DBSA, 2000).

### **3.2.2. Housing Sector Plan**

The Housing Sector Plan (HSP) was a strategic document intended to inform and guide the Municipality in the allocation of its resources (financial and human capital) for the provision of housing, access to services, administration, socio-economic realities and monition (Cele, 2014). According to the eThekweni Housing Sector Plan 2016/2021 (eThekweni Municipality, 2017a), the HSP was in accordance with the *National Housing Act* (No. 107 of 1997). It stipulated that every municipality had to, as part of its process of integrated development planning, take all reasonable and fundamental measures to ensure that the community members within its area of jurisdiction had access to adequate housing regularly by:

- “Setting housing delivery goals;
- Identifying suitable land for housing development;
- Planning, facilitating, initiating and coordinating housing development in its area of jurisdiction;
- Draft a Housing Sector Plan, which was referred to as the Housing Chapter of the IDP” (eThekweni Municipality, 2017a: 4).

The KwaZulu-Natal Department of Human Settlements (KZNDHS) required that the Housing Sector Plans be formulated to ensure that a coordinated strategy was put in place to guide human settlement development and respond to housing development imperatives (eThekweni Municipality, 2017a). The Housing Sector Plan was pitched at the strategy level, and relevant documents were in the course of preparation to

develop the programme descriptions and projection selections of priority programmes. The development and compilation of the document followed critical processes that were denoted by aligned policies and strategy documents.

The objectives of the eThekwini Housing Sector Plan were to:

- “Set residential infrastructure as a city-building tool;
- Describe strategies and programmes for residential infrastructure;
- Prioritise programmes and investment locations;
- Inform and align with the IDP, Spatial Development Framework (SDF) and Built Environment Performance Plan’s (BEPP) spatial targets;
- Limited at this stage to fully and partially subsidised residential infrastructure” (eThekwini Municipality, 2017a: 4).

As mentioned, the HSP was part of the IDP, hence it also covered a five-year period. However, it framed the five-year period within a Medium-Term Expenditure Framework time frame, because the housing programme and project cycle, in eThekwini's experience, were typically long-term (eThekwini Municipality, 2017a). The reason for setting a long-term horizon was to create increased certainty around revenue budgeting as well as procurements by the municipality and for other spheres that had a human settlement function, such as social amenities that were educational or health-related.

### **3.2.3. Public participation**

According to Paul (1987, cited in Alexiu, Lazar & Baciu, 2011), public participation was an effective process by which beneficiary or client groups influenced the direction and execution of a development project to enhance their well-being in terms of income, personal growth, self-reliance or other values they cherished. Cani (Met-Hasani), Hysi & Merkuri (2013) suggested that public participation was a process, which intended to ensure that people were accorded a role in the activities and decision-making processes that directly impacted on their lives and well-being. Rowe & Frewer (2004) referred to public participation as a practice that involved the public in agenda setting, decision-making, and policy formulation in an organisation. Public participation was viewed as a concept synonymous with democracy, involvement, engagement,

transparency and good governance by Sebola (2017). The International Association of Public Participation (IAP2) advocated the following regarding public participation:

1. Public participation was a process in which every citizen had a right to be involved in the decision-making process, especially those affected by the decision;
2. Public participation promoted sustainable choices by recognising and communicating the needs and interests of all participants, including decision-makers;
3. Public participation sought out and encouraged the contribution of those potentially affected by or interested in a decision (IAP2, 2017).

The South African government partnered public participation in the IDP process with democracy (RSA, 1998a) and governance (Department of Provincial and Local Government, 2000: 14). The IDP Guide Pack 1 described participation as one of the tools of enabling "interaction between local government and citizens" (Department of Provincial and Local Government, 2001a: 38). The Guide Pack 1 (ibid) highlighted the following reasons for public participation in the IDP process:

- To ensure that development responded to people's needs and issues;
- To assist municipalities in coming up with appropriate and sustainable solutions to the problems of the communities in the municipality. The use of local experience and emancipatory knowledge in this manner would be helpful;
- To entrench a sense of ownership to local citizens by utilising local resources and initiatives; and
- To promote transparency and accountability of the local government by opening a forum for all concerned communities to negotiate their different interests (ibid).

### **3.2.3.1. Benefits for participation**

According to Smith (2003), participation emerged as an alternative approach to building community development as it was established that participation of the public would assist in resolving the problems that the community was faced with. Furthermore, participation empowered community members as it opened doors for the

exchange of emancipatory knowledge; this improved the effectiveness of the policy since relevant information was shared in the decision-making process, which led to higher quality decisions (ibid: 35).

Participation encouraged active engagement with the involvement of the community in the planning and decision-making, as it sought to remove the barriers that limited the participation of marginalised citizens. Additionally, participation supported decentralised, non-hierarchical decision-making processes that strengthened the independence of the individuals in the community. The involvement of all relevant stakeholders was seen as a critical factor favouring empowerment (Fischer, 1993: 168, cited in Sejane, 2002). Empowered citizens could provide local knowledge and offer different strategies to resolve the problems at hand (ibid).

Local strengths, creativity and resources laid the foundation for community participation to build on and actively sought to decrease dependency on and vulnerability to economic interests outside the community. As a result, the sustainability of initiatives was ensured. Further, the community participation process built on the capacity of the community by encouraging its participation and by obtaining relevant skills in the identification of local resources, implementation, monitoring, and evaluation for the sustainability of projects. Further, public participation in the policy process could increase "support, legitimacy, transparency, and responsiveness of a particular policy", according to Brinkerhoff & Crosby (2002: 56). It could also promote accountability since "officials [were] held to account for the use of resources and the achievement of outcomes" (ibid: 7). In essence, it promoted democratic governance.

Public participation yielded benefits for both government and the relevant stakeholders in drafting the policy process. According to Glover (2003), public participation created an opportunity for the beneficiaries to be part of policymaking that responded to their needs and for ownership of the decisions, policies and plans made by the local government. Public participation in the policy process empowered and increased the capacity of beneficiaries in the policy process (Brinkerhoff & Crosby, 2002). Public participation also countered public mistrust of the governance system (Smith, 2002).

According to the Centre for Public Participation (2007), public participation had the potential to bring community members and the government closer to one another. Furthermore, participation in the policy process contributed towards conflict resolution

in the process (Smith, 2003), and Smith (2003: 35) suggested that this would happen as a result of the opportunities opened by this process as the participants would be able to "negotiate trade-offs" and "reach consensus."

### **3.2.3.2. Challenges with participation**

There were noted challenges with public participation in the compilation of a policy process. One of these challenges was stated by Brinkerhoff & Crosby (2002: 78), when they made reference to communities' lack of capacity, which had an impact on the quality of the participation of this group. A related challenge put forward by Ngwenya (2002: 2) was the "uneven distribution of capacity". This involved the "uneven availability of information and means for participation" (ibid). The Centre for Public Participation (CPP) (2007: 6) warned that under-resourced public participants could potentially be undermined by influential groups that had access to the financial resources required for the policy process.

Related to this was a lack of understanding on the side of the public of their roles in governance processes (Ngwenya, 2002:2; CPP, 2007: 6). This was exacerbated by the complex nature of policy processes (ibid). The CPP (2007: 6) argued that the disadvantaged groups lacked the understanding of governance processes, which made it hard for them to communicate their views. This reduced their chances of being heard (ibid). A related factor that impeded the ability of the public to participate was language, especially technical language, which became a barrier for engagement and active public participation.

Another concern raised by Rubenstein (1995: 72, cited in Davids, 2005: 28) about public participation was that structures established for public involvement in the policy process could lead to unnecessary competition and conflict between existing local structures and those set for public participation. Additional thoughts on public participation in policy processes were highlighted by Khosa (2000: 229, cited in Davids, 2005: 28), as:

- "Participation [could] be time-consuming and costly;
- Participation [could] bring latent conflicts to the surface; and
- Participatory initiatives [could] not be broad enough, and this [could] fuel existing perceptions that participatory initiatives were for a certain segment and that only a small segment of the community [was] participating".



According to Trotter (2005: 6), "political power games" ensured that certain people were not heard in policy processes, and this posed a challenge to adequate public participation. Furthermore, the CPP (2007: 6) argued that corruption was another factor that hindered public participation in governance processes.

Public participation required that the eThekweni Municipality was effectively capacitated to have the ability to promote community participation through the HSP. The eThekweni Municipality was required to ensure that all the legislative frameworks were adequately implemented, and mechanisms had to be created to monitor all participatory processes. The World Bank studied participation in practice, and it identified key barriers in active public participation in the planning phase. Some of the barriers included: supporting the goals of the public, low public participation levels, a threat to the professional image of the public administration, a potential for conflict between the society and the public administration, lack of government response time, costs and benefits, the attitudes of general managers, a lack of information, and participation mechanisms (Clapper; cited in Bekker, 1996:70-75). One could argue that the barriers that were cited by Clapper in Bekker (1996) were still applicable to this day as challenges faced during public participation. Furthermore, the following participation challenges were used to contextualise this study.

A lack of incentives and skills among project staff to encourage the public to adopt a participatory approach. Public participation therefore required a set of skills among officials in order for them to be able to interact with diverse communities and understand the dynamics of the society. Without incentives officials did not go the extra mile to involve the public, and the lack of community engagement skills thus compromised effective public participation. Furthermore, with the lack of government commitment to adopting a participatory approach, public participation was often seen as a time-consuming process. Consequently, it was the eThekweni Municipality's responsibility to promote active participation and allocate sufficient time for engagement.

The limited capacity of local-level government participation and insufficient investment in community capacity building was another of the barriers to participation. Community members needed information about the platforms available for engagement. The public needed to be informed on how to get involved in matters that affected their lives

so that they could appreciate the importance thereof and make a meaningful contribution. In addition, mistrust between the government and communities resulted in a lack of transparency and openness, which often disrupted public participation. Due to past experiences, communities had lost trust in government departments. The unwillingness of the project officials to give up control over project activities and directions disregarded the purpose of participation and did not acknowledge the importance of citizen's views.

### **3.2.3.3. Mechanisms for public participation in the policy process**

Legislation that governed the policy process did not have clear rules on the exact structure that had to be used by municipalities for public participation in the IDP process or for the compilation of the HSP. The IDP Guide Packs (Department of Provincial and Local Government, 2001a), provided principles and guidelines to be followed by municipalities in establishing techniques to be utilised to facilitate public participation in the policy process. These were derived from legislation such as the *White Paper on Local Government* (RSA, 1998a) and the *Municipal Systems Act* (No. 32 of 2000). The principles were, therefore, the standards and values that municipalities complied with to ensure public participation in the policy process. Measures referred to the procedures that had to be followed by municipalities in the drafting of policy processes, whereas mechanisms dealt with the exact methods of participation.

According to the Department of Provincial and Local Government (RSA, 2001a: 37), one of the principles of public participation in the policy process was that public involvement had to be 'institutionalised'. The IDP Guide Pack, Guide 1, elaborated that the process stipulated that public participation had to be institutionalised, meaning that government had to establish regulations that provided "clear minimum requirements for participation procedures" in the policy process (ibid). Therefore, all municipalities were to be guided by these requirements and allow everyone the right to participate in the policy process (Department of Provincial and Local Government, 2001a: 37).

"Structured participation" was another principle for public participation in the policy process. It relied on the existence of organisations with certain rights in the planning Process, according to the Department of Provincial and Local Government (2001a: 38). To enable this type of participation, the Local Government: Municipal Planning

and Performance Management Regulations of the Department of Provincial and Local Government (2001d: section 15 (1) (a)) called for “consultations” with locally recognised community organisations, and where appropriate with traditional authorities. Where there was no appropriate municipal-wide structure for public participation, municipalities were required to "establish a forum" to promote the participation of communities in the IDP process.

Another principle for public participation for the IDP and HSP process was that when promoting public participation, municipalities had to create “conditions for public participation” and also encourage the less privileged members of society to participate in the process of drafting the Integrated Development Plan, as well as the Housing Sector Plan (Department of Provincial and Local Government, 2001a: 37). Some of the mentioned conditions included informing community members of the entire IDP and HSP process and of essential "public events" within the policy process, making use of councillors to make community members aware of the essential policy processes (Department of Provincial and Local Government, 2001a: 39). Other conditions included making use of proper language, venues and times for set meetings, availing the IDP and HSP documentation to all relevant stakeholders involved in the process, and giving stakeholders a chance to make comments on the draft documents (Department of Provincial and Local Government, 2001b: 29-30). The municipalities were expected to make invitations to "all relevant community and stakeholder organisations" to register for participation in the IDP process (ibid: 29). Representatives of the different stakeholders were also expected to give feedback to their constituencies on the policy processes (ibid).

Virtually all of these principles that were outlined assisted in terms of overcoming the challenges of participation. In the case of structured participation, it was essential to draft policy documents for community members to comment on, as this was a way of gaining insight and emancipatory knowledge on the success and downfall of initiatives such as housing projects.

### **3.3. Theoretical framework guiding the study**

The following theories were used to guide this study and were the primary influence for this research; the Constitutionalism and Participatory Democracy Theories. These theories were selected as they had similar underpinnings and ideology. The Public

Participation Theory was the subsidiary theory that was aligned to the mentioned main theories, especially the Participatory Democracy Theory, since it was more of a supplementary approach.

### **3.3.1. Constitutionalism**

Constitutionalism was used to convey the idea of a government that was limited by a written constitution (De Vos, Freedman & Brand, 2014). Constitutionalism demonstrated that law was independent, and authority of the current state had to be grounded in positive law that protected its citizens from arbitrary rule. However, the government had to be able to operate efficiently within its constitutional limitations (Fombad, 2014; Wanki, 2015). Fombad (2014) elaborated that the fundamental idea behind constitutionalism was the need to ensure that a constitution did not become an attractive document or a sham that politicians could ignore with impunity. According to De Vos, Freedman & Brand (2014), constitutionalism was related to the notions of democracy and the theories of governance, hence for the purpose of this study, approaches such as Participatory Democracy and Public Participation theories were used to further elaborate on the discussion of public participation for the compilation of the Housing Sector Plan in the IDP.

In this broad sense, modern constitutionalism had six core elements that would assist in understanding the nature of constitutionalism (De Vos, Freedman & Brand, 2014; Fombad, 2014):

- i. The recognition and protection of fundamental rights and freedoms;
- ii. The separation of powers;
- iii. An independent judiciary;
- iv. The review of the constitutionality of laws;
- v. The control of the amendment of the constitution; and
- vi. Institutions that supported democracy.

It is important to note, for the purpose of this study, that constitutionalism was used as the foundation that assisted in understanding participatory democracy.

### **3.3.1.1. National context of constitutionalism**

The foundation for encouraging the system of democratic constitutionalism in South Africa was to promote the rule of law through the Constitution, thus achieving a government that would guarantee equality and respect for all. The democratic government of South Africa envisioned that the post-apartheid era would be guided by democratic principles, the same principles that were enforced by the *Constitution of the Republic of South Africa* (Endoh, 2015). Therefore, the post-apartheid era of South Africa was the birth of the new democratic Interim Constitution that's values were founded on the humane principles of democracy and the respect of human rights, as well as fundamental freedoms (De Vos, Freedman & Brand, 2014). The new Constitution's agenda was to build a country that advocated for social justice and functional justice in social, economic and political realities (Rapatsa, 2014). The democratic Constitution ensured that the government's powers were evenly distributed in the sense that they were limited beyond theory and practice, leaving room for public participation to take place (Endoh, 2015).

Transformative Constitutionalism was known as the legal, philosophical framework for the South African democratic development state. (Rosa, 2017) It supported the notion of South Africa moving from a welfare state approach to a developmental state approach in the discourses, long-term plans and policies. These drew attention to the need for the state to be dominant in the eradication of poverty and inequality, as well the need to give individuals more autonomy over their development. As outlined in the *Constitution of the Republic of South Africa* (Act No. 108 of 1996), participatory democracy needed to facilitate the transformation of the South African society into one "based on democratic values, social justice, and fundamental human rights", thus holistically enriching the lives of the poor and marginalised members of our society (Rosa, 2011).

Although transformative constitutionalism advocated for a developmental state, there were noted problems. One of the issues identified in the problem statement about housing delivery was that the beneficiaries were not part of the participatory process and developers and planners were not engaging effectively with the community to advance development. Such problems were not evidence of the developmental state that the transformative constitution advocated. Constitutionalism was therefore applicable to this study as it would assist in mending the issues identified in the

problem statement. Furthermore, it would help in unpacking the second and third objectives, as well as the study research questions that spoke about opportunities/benefits of public participation in housing delivery for the HSP and the challenges that emanated from public participation in the compilation of the HSP. Furthermore, as constitutionalism advocated for a state that was grounded in positive law that protected its citizens, the study would assess if municipal officials had not violated the public of KwaDabeka's rights in the name of protecting the public during public participation. This will be discussed in great detail in Chapter Six, which is the chapter on data analysis.

### **3.3.2. Participatory Democratic Theory**

Participatory Democratic Theory dates back to the 1960s and 1970s in the United States, and was theorised by Arnold S. Kaufman (Hilmer, 2010). The approach of participatory democracy emanated from a critique of liberal and representative democracy (Bherer, Dufour & Montambeault, 2016). Kaufman argued that participatory democracy could contribute to the development of human powers of thought, feelings, and action. Scholars such as J.J Rousseau, J.S. Mill, and G.D.H. Cole spoke of participatory democracy from the political lens that active participation enabled citizens to self-develop, inspire positive psychological benefits, including feelings of governmental efficiency (Macpherson, 1977). The primary focus of the Participatory Democratic Theory was the mode of participation, namely deliberation among the citizens (Hilmer, 2010), meaning that citizen's views and input should have some influence on political and bureaucratic decision-making processes.

The Participatory Democratic Theory was applicable to this study because it addressed the democracy of participation of the citizens of South Africa. It was also noteworthy that Section 152 of the *Constitution of the Republic of South Africa* (Act No. 108 of 1996) confirmed several citizen rights, but more specifically the rights of communities to be involved in local governance, especially subsection (e): "... encourage the involvement of communities and community organisations in the matters of local government".

Referring to the *Municipal Systems Act* (No. 32 of 2000), this Act sought to regulate the relationship between citizens and local government. Through this Act and public participation, the state could provide the services needed by the public, as well as

create policies and plans for the people, and in this case through public participation to compile the Housing Sector Plan. Participatory democracy gave this study another perspective on the topic of public participation as it looked at the topic from a legal angle, and since the IDP and the HSP were legal documents that advocated for public participation.

Participatory Democracy Theory in the South African context meant that democracy emanated through the participation of the public. Furthermore, this theory hoped to readdress the imbalances of the past in South Africa, which every political party, as well as the public of South Africa desired. Participatory Democracy Theory will be used as a tool in this study to assess if participatory democracy was being practiced on the ground in South Africa, as well as how the policies of South Africa stipulated the practicing of participatory democracy in the country; policies such as the IDP, the HSP, as well as the Constitution of the Republic of South Africa, just to name a few.

#### **3.3.2.1. National context of Participatory Democratic Theory**

The democratic South African government introduced a system of participatory democracy “within a base framework of constitutional and electoral democracy” post-1994 (Fifteen Year Review, 2007: 18). The *Constitution of South Africa* (Act No. 108 of 1996) recognised participatory democracy as a vital element of South Africa's democracy as it readdressed the imbalances that were an outcome of apartheid. One of the major rallying calls informing the struggle for liberation in South Africa was the demand for “democracy for all.” The *Constitution of the Republic of South Africa's* (Act No. 108 of 1996) idea of democracy was a prominent one that permeated virtually all aspects of the Constitution. The primary concern with ensuring that citizens were allowed to participate or be actively involved in decision-making was because there were things that directly or indirectly affected their lives or livelihoods. Roux's concept of participatory democracy was one that encapsulated the foundational social idea of democracy as the contemporary political understanding of democracy in practice (Roux, 2007:15): *“The core idea – that the members themselves should take decisions affecting the members of a political community, or at least by elected representatives whose power it is to make those decisions ultimately derives from the members or less settled”*

The aim was to deepen South African democracy at all levels of government. However, as the local government was "the closest to the people," it was regarded by the government as the most appropriate sphere to implement participatory democracy mechanisms. Furthermore, participatory democracy sought to deepen public participation in a manner that departed from the traditional principles of democracy based on simple consultation, where decisions were made from the top or were simply rhetorical manoeuvres. It additionally sought to rekindle the capabilities of local people as forceful and self-reliant entities by building on existing capacities of the people in determining their direction through planning, implementation, monitoring, and evaluating their community development programmes and activities.

Participatory democracy was a complex initiative and a transformative process that required careful application and commitment because it involved behavioural changes. These changes could not be affected overnight, and neither could the public's benefits be realised instantly. Therefore, political empowerment of local communities could require a re-birth of traditional African values and practices which were underpinned by a consultative process, the spirit of self-help and collaborative work.

### **3.3.2.2. *Benefits of Participatory Democratic Theory***

Democracy was a system of a government based on the following key ideas: citizens were free to choose, check and replace their leaders; the active participation of the citizens in politics and civic life; protection of the human rights of citizens; and the rule of law, in which the law was procedure to all citizens. The fundamental ideas of the rights and the power of the citizens or ordinary people have remained untouchable over the years (Dahl, 1998: 3). In the essence of participatory democracy, the public had to be the key stakeholders as everything that the government did was for the public. In relation to this study, the public was the key stakeholder as the HSP would not exist without the public as the housing plan was planned for the public.

Garcia & Rajkumar (2008: 8) discoursed that democratic decentralisation sought "to empower communities to engage in development interventions, improve local democratic governance, and enhance the scope and quality of delivery of basic services at the local level". Thus, the strategic objective of democratic decentralisation was to broaden legitimacy, transparency and accountability within the political



systems, in such a way as to promote the direct participation of citizens in the decision-making process. However, it should be noted that democratic decentralisation was far more than just the administration of local government institutions and mere service delivery. It should, in no small measure, constitute the presence of mechanisms and structures that helped citizens to meaningfully engage their governments and make informed inputs in decisions taken.

Participatory governance presumed the formulation of an interactive relationship between government and the citizenry, in which both were capable of influencing each other in a manner geared towards the development of policies that were responsive to the people's needs. The democratic system of participatory governance in South Africa has brought about the new emphasis on transparency in government activities, greater public accountability, and the notion of respect for human rights. Participatory governance was therefore seen as part enhancer of the constitutional democracy in South Africa as it encouraged active participation from the public through voting.

Participatory democracy broadened and deepened democracy by explaining the range of citizens engaged in making or influencing government decisions. A stated or an implied rationale was that democracy was an expression of popular authority in which all members of the political community were entitled to an equal say in public affairs. Voting was not a sufficient guarantor of participation because a vote for a particular party could not automatically be interpreted as support for any of its policy positions, and further democracies were required to maximise opportunities for participation between elections. Here, participation was a means of giving voice, of hearing citizens who would otherwise be ignored. The intent was not primarily the instrumental desire to ensure that the government engaged those whose collaboration it needed, but rather the normative goal of broadening the range of citizens who participated in governance.

### **3.3.2.3. Challenges of Participatory Democratic Theory**

The concept of participatory democracy was not without its drawbacks. The idea was that with this type of democracy, members of society had the ability to impact the society directly. However, this was only true to a community with a limited number of people. The idea of participatory democracy in modern day society advanced representative democracy, this meaning that members of the community were

represented by other people whom they had voted for to champion their causes. In effect, this meant that the decisions taken would be those of the majority while the minority would be subjected to the choices that they had not made. The discussion below highlighted the shortfalls of the theory of participatory democracy, considering the present-day dispensation.

South Africa was not as democratic as it was supposed to be, due to the lack of adequate knowledge of citizens about political operation locally and internationally. The service delivery protests and marches were a clear indication that participatory democracy was a challenge in South Africa as they were an indication that participatory democracy was not practiced adequately. Naidu (2008) argued that it would be a tragedy for South African democracy if the principles of public participation were to remain nothing more than words to paper and were not translated into a tangible and concrete public engagement that affected policy at all levels. Therefore, explaining the definition of participatory governance as only an illusory and conceptual idea was deemed far-fetched in practical terms (Schults & Braun, 2012).

With the establishment of a democratic government in South Africa, the challenges of public administration became more complex, independent, and embracing. Societal problems such as the increasing demand for service delivery at the community level, rising unemployment, and the pressures of economic growth and development became more evident for development within communities. Naidu (2008) stated that there were barriers to participatory governance which included the limited capacity of local level participation and insufficient investment in community capacity building. Furthermore, failure to honour the general public as the principal stakeholders to participate in the democratic state was considered to be one of the barriers. Despite the legal requirements put in place, not all engagements between the government and the people were meant to be meaningful. What was referred to as engagement was just a way for the state to pretend to be democratic, when in reality all decisions had already been taken (Bishop, 2009; Zikode, 2015).

### **3.3.3. Citizen participation**

Citizen participation could be traced back to the 1960s, which was considered as a period of considerable social and political change in the world (Shipley, 2012). Citizen participation was formed to redistribute power and enable the "have-nots" citizens who

were excluded from political and economic processes to be deliberately included in the future (Arnstein, 1969). Furthermore, planners and other public administrators regarded the encouragement of citizens to participate in decision-making in the 1960s as the strategy of choice (Burke, 1968). According to Burke (1968), specific strategies such as co-optation or community power strategy could be applied to solve this problem, however planners and decision-makers were not entirely thrilled about this and Burke observed that there was a sense of manipulation since the planners would ask the opinion of the citizens but not use the information obtained from the citizens.

In the ever-growing trend toward local and global democracy, public participation stood as a cornerstone of any society that wished to provide more significant equity. The planning field of government in the United States of America (USA) became increasingly more familiar with the fact that people's voices mattered and that they could be accessed through public participation. Most American municipalities had laws mandating some form of public meeting to allow different views to weigh in on decision-making processes, hence the promotion of public participation in American municipalities. By the 1980s public participation became a cornerstone of the planning process, and it became embedded in the U.S. legal framework from local to federal levels. The United Nations argued that participation was a crucial component to governance, which they defined as "the process of decision-making and the process by which decisions [were] implemented (or not implemented)" (Sheng, 2003: 1). Participation became the key to democratising the planning process (Jones, 1990: 3), by integrating models of better governance into decision-making processes.

The Theory of Public Participation was applicable in this study because the researcher's focus was the participation of the public during the compilation of the Housing Sector Plan of eThekweni. This theory assisted the researcher to draw from where the theory of participation emanated from and the researcher was able to utilise the approach in this study. The Theory of Public Participation assisted in laying the foundation in terms of understanding the study better because participation was the key concept in the study. There was a possibility that the standard of living of the beneficiaries of KwaDabeka could improve by allowing public participation for any development in their community. This would provide the community with a sense of ownership, entitlement and knowledge, which was what the Theory of Public Participation advocated for. Furthermore, participation would assist in assessing if the

Theory of Public Participation was utilised during public participation consultations as the Participatory Democracy Theory and the Constitutionalism Theory advocated for participation to be practiced in the post-apartheid era of South Africa. However, this will be unpacked in greater detail in Chapter Six as it will also provide answers to the research questions and the study's objectives that were revealed in Chapter One.

### **3.3.3.1. National context of citizen participation**

Public participation was a relatively new phenomenon in the South African government. The former apartheid government created race-based municipalities to facilitate and regulate the suppression of participation by Black, Indian, and Coloured communities. History reflected the minimal opportunity for these communities' participation, as no constitutional or legislative framework safeguarded it. Masango (2002: 52) argued that before the introduction of a democratic dispensation, apartheid policies caused South Africa to be deprived of public participation in the making and implementation of all policy.

However, the democratic South African government regarded public participation as the cornerstone of democracy and service delivery. In post-apartheid South Africa, public participation was not a privilege, but a constitutional right. Public participation was subsequently implemented in the Constitution and legal and policy frameworks in order to enable spaces for ordinary people to participate in the processes of governance (Ochieng, 2014) and development policymaking. A constitutional provision placed an obligation on the government to establish public participation structures and systems. However public participation had to be pursued, not only to comply with legislation, but also to promote good governance.

For effective public participation to take place, communities had to understand how the government operated, not only local government but all spheres of government. All spheres of government had to therefore empower communities to ensure their active and meaningful participation in matters of government, and local government was seen as the sphere of government closest to the community. A democratic government promoted dialogues between the government and its citizens. This was essential in establishing accountable governance that addressed the needs of citizens, and citizens had to play their part and advise the government on what they needed. The apartheid government denied people the opportunity to participate, give input and

assist in decision-making. Most citizens were denied the right to vote, which was the initial and first step in public participation.

The Theory of Public Participation, like any other theory, has experienced challenges in relation to good local governance and sustainable local development, from the perspectives of politicians, practitioners and academics (Blair, 2000; Houston, 2001; D'Sa, 2005). Cooke & Kothari (2002) expanded to say that in practice the benefits of participation in South Africa were often discounted in large measure because the participatory processes were often poorly implemented, and there was poor educational in terms of what was required amongst advocates, local government officials and beneficiaries alike.

### **3.3.3.2. *Benefits of citizen participation***

Marzuki (2015) highlighted the primary purpose of citizen participation, which was to offer the public an opportunity to participate in the decision-making process of detailed development planning. Beierle (1998, cited in Marzuki, 2015) explained the benefits of citizen participation as that which educated people and enhanced the awareness of participation within communities for the greatness of the people. The redistribution of power enabled the "have-nots" citizens excluded from the political and economic processes prior to 1994 to be deliberately included from that time onwards (Arnstein, 1969). Furthermore, citizen participation was vital in preparing an efficient and better planning framework as this would result in a better understanding of stakeholder's demands and needs, and of the communities' housing needs. This would then lead to effective resource planning and management. It was worth noting that the benefits of participation under the conceptual framework heading were different from the benefits of citizen participation. The difference being that the conceptual framework talked about participation from a generic point of view, whereas the theoretical framework discussed the application of the Theory of Citizen Participation in relation to the housing paradigm.

In addition, public engagement could also lead to better policymaking and implementation decisions and could thus be associated with a greater accomplishment of public housing programme goals (Marzuki, 2015). Marzuki further advocated including citizen participation in the formulation of housing policies and programmes such as the HSP, as it could result in them being more realistically grounded in terms

of citizens' preferences. A policy that was well grounded in citizens' preferences could be implemented in a smoother, less costly fashion because the public would be more cooperative during the planning phase of the policy or when the policy was being implemented (Vroom & Jago, 1988; Thomas, 1995). Nelson & Wright (1995) emphasised the participation process as a transformative tool for social change. In addition, citizen participation tended to produce better decisions, and better policies and programmes were created more efficiently, which benefited the rest of the community.

Although most of the literature that advocated the Public Participation Theory was outdated (post-1994), such materials about the benefits of the Public Participation Theory were still visible in most parts of South Africa, thus making it applicable for this study. An example of such took place when the eThekweni Municipality's iTrump Project in the Warwick Triangle area of the Inner City used public participation in order to educate the informal traders about the damage that was being caused to the city's storm-water drains. The problems started when fat (from the bovine heads being cooked) was being poured into the storm-water pipes (Lesia, 2011).

Public participation seemed vital for decision-making as it brought about benefits to form democracy in general. It used the knowledge, skills and enthusiasm of the people to help make decisions, and thus it recognised that the people had a significant role to play. Public participation also appeared as a moral duty on the part of governments since public authorities worked for the public. For them to do that they needed to do things the way that the public needed them done, and as such they had to involve the public in decision-making.

### **3.3.3.3. *Challenges of citizen participation***

Not all of the theory's principles were beneficiary in all contexts, and some of the theory's principles could pose challenges to the context that the theory was being applied to. This section looks at the challenges that were presented by the Theory of Citizen/Public Participation in decision making and the planning of development, especially in the housing sector. It was worth noting that the challenges regarding participation under the conceptual framework were different from the challenges regarding citizen participation. The difference being that the conceptual framework talked about participation from a generic point of view and as a concept, whereas the

theoretical framework discussed the participation of the citizens in relation to the housing paradigm.

Woodley (1999) documented a negative impact of the Theory of Citizen Participation being inappropriate and unequal public participation involvement, due to the prioritisation of power to stakeholders with a particular interest other than the interests of the community. In relation to Woodley, Timothy (1999) reported a cynical act of public participation in Yogyakarta, Indonesia, where the local community claimed that their rights of citizen participation were violated because public involvement was neither practiced nor implemented since the community was unaware of their rights to public participation in local development. This denied the purpose and goal of Public Participation Theory, and this could potentially create resentment among the non-consulted and therefore disregarded stakeholders (Hashim, 1986; Lukic, 2011).

According to Timothy (1999), some of the main reasons for not including the community in public participation were because of: (i) Lack of knowledge and understanding of public participation and decision-making; (ii) Insufficient processes in terms of managing staff; and (iii) Limited budget allocations. Irvin (2004) asserts that budget was one of the larger barriers to inclusion. Although relative costs have not been subject to close examination, the low end of the pre-decision cost of citizen participation groups was arguably more expensive than the decision making of a single agency administrator, even if the citizen participants' time costs were ignored (Irvin, 2004). Motale (2012) reported on the limited budget allocations for public participation to take place, using a case study in the Tlokwe Local Municipality, North-West Province. Motale (2012) stated that public participation was known to be costly because it was expensive for development officials to place an advert in the newspaper for the community to become aware of community meetings. Furthermore, development such as housing could take longer than anticipated because stakeholders needed to ensure that all information that was gathered before decision making was implemented, hence stakeholders and development officials sometimes had few consultations with the community in order to stay within the limited budget that was allocated for their participation (RSA: DPLG 2008).

According to Parnell & Pieterse (1999), the previous local government was unfair by upholding the standard of living of whites at the expense of the development of blacks,

thus constructing the unequal development of the urban environment of white and black people. Civil society participation in black local government was absent because the local government for blacks was based on elaborating a set of urban controls that aimed at administrating people instead of promoting their development. Integrated development planning post 1994 thus involved new and complex governance and planning processes for South African local authorities. Recent studies have shown that the government has found it challenging to meet the demands of participatory processes in the compilation of HSPs:

*...Attributes of lack of experience with participation in municipal governance, the often-complex technical issues involved in planning and municipal budgeting, a lack of resources at local level, a lack of capacity amongst elected officials and senior local council staff and sometimes problematic relations between elected councillors and participatory structures in the former African townships (Houston et al., 2001).*

It was submitted that the key to effective participation could be determined by the willingness on the part of the government to be accessible to citizens in general and to the poor in particular (Atkinson, 2002; Naidoo, 2003). The poor could not gain a voice through structured participation forums because they were usually disorganised, and the public lacked the capacity to participate (Friedman 2006: 8–11). Many of the poor did not participate in grassroots survivalist organisations because the government did not provide participatory spaces in which they could feel to express themselves (Friedman 2006: 8–11). Moreover, little was known about how municipalities capacitated their people staying in rural areas to participate effectively in the IDP process. It was submitted that community development should be a long-term endeavour, be well planned, inclusive and equitable, holistic and integrated into the bigger picture, initiated and supported by the community members and be of benefit to the community and be grounded in experience that led to best practice. The other possibility for realising public participation was through community engagement.

On-going citizen participation was considered the key to better governance and a remedy to the democratic deficit. It was also viewed as an instrument to bring about better-targeted and more efficient service delivery. Participation could thus be



considered as both an end in itself, as well as a means to realise other developmental goals.

### **3.4. Conclusion**

From the description of the context of public participation in South Africa, the country's history of exclusion of the majority has influenced the democratic constitution-making process and subsequently the adoption of a challenging approach to conducting public participation in the legislative environment specifically. Several models for eliciting public participation existed, yet South Africa had opted for a comprehensive approach where all individuals, groups, and sectors of society were engaged at all levels to ensure maximum participation and influence on legislative and policy decision-making in the legislative sector. International case studies assisted in terms of setting a lesson for local experiences on the use of a house for income generation, especially in housing projects that were still to be developed. Therefore, this chapter has assisted the study mostly by shaping the recommendations for and identifying the theoretical gaps in public participation in South Africa for the Integrated Development Planning and the Housing Sector Plan as a way of bettering the lives of South Africans.

Furthermore, the concepts that underpinned this study were detailed in this chapter, and their benefits and challenges were outlined. These concepts included the Integrated Development Plan, the Housing Sector Plan and participation. The theories used shed insight on the topic of this study from a theoretical perspective, by using the Constitutionalism Theory, the Participatory Democratic Theory and Citizen Participation.

## **Chapter Four: Literature Review**

### **4.1. Introduction**

The chapter discusses the relevant literature review of public participation in the Integrated Development Plan and the Housing Sector Plan. The other section of this chapter discusses the legislative framework that guides this study.

The literature review looks at the integrated development planning process and public participation in the international, national, and local context. This chapter will examine the thinking around these planning and development concepts to help provide a better understanding, which will assist in providing a foundation for this research dissertation.

Further, this review of the relevant literature contextualises the HSP within the integrated development planning process and public participation, to demonstrate the significance of this plan; even though it has limited information.

### **4.2. International Context on Public Participation**

To understand the literature behind public participation for the HSP it was crucial first to grasp the literature behind public participation. Public participation was a process whereby stakeholders and members of the public provided input into decision-making to influence others of their decisions (Nabatchi & Amsler, 2014). According to Creighton (2005), public participation was defined as a process in which the public's concerns, needs and values were essential and they were incorporated into governmental decision-making. Furthermore, Scott (2009) asserted that public participation was a two-way communication and interaction with the overall goal of better decisions that were supported by the public.

Globally, public participation was a concern in line with the beliefs of modern democracy. Thus, many democratic governments have devised mechanisms for citizens to participate directly in decision-making and the implementation of those decisions in actual programmes and projects (Buckwalter, 2012). Furthermore, public participation sought the public's input in the decision-making process, since it would purposely benefit the public at large (Chado & Johar, 2016).

The origins of public participation dated back to the Greek city-states, where it was vital for every 'citizen' to participate in decision-making as it was beneficial for the people as a whole. According to Abbotti (2016), in 1955 the United Nations (UN)

identified public participation as synonymous with community development. After two decades, the understanding of public participation changed when the International Labour Organisation (ILO) emphasised that community participation should play a vital role in the provision of basic needs and as a means for increasing efficiency and self-reliance.

Arnstein (1969) advocated that public participation was a process involving disadvantaged communities in the implementation of policies, rather than formulating those policies without the public. The United Nations Development Programme (UNDP) followed the thread of the United Nations Centre for Human Settlements (UNCHS) – Habitat's Global Report on Human Settlements of 1986 in the 1990s, by broadly defining participation as people's engagement in specific projects or programmes that were aimed at improving their lives (UNDP, 1996). Hence the emphasis on public participation in the formulation of the HSP, as the public could be part and parcel of the decision-making and in shaping their lives in a manner that would sustain them in the long run.

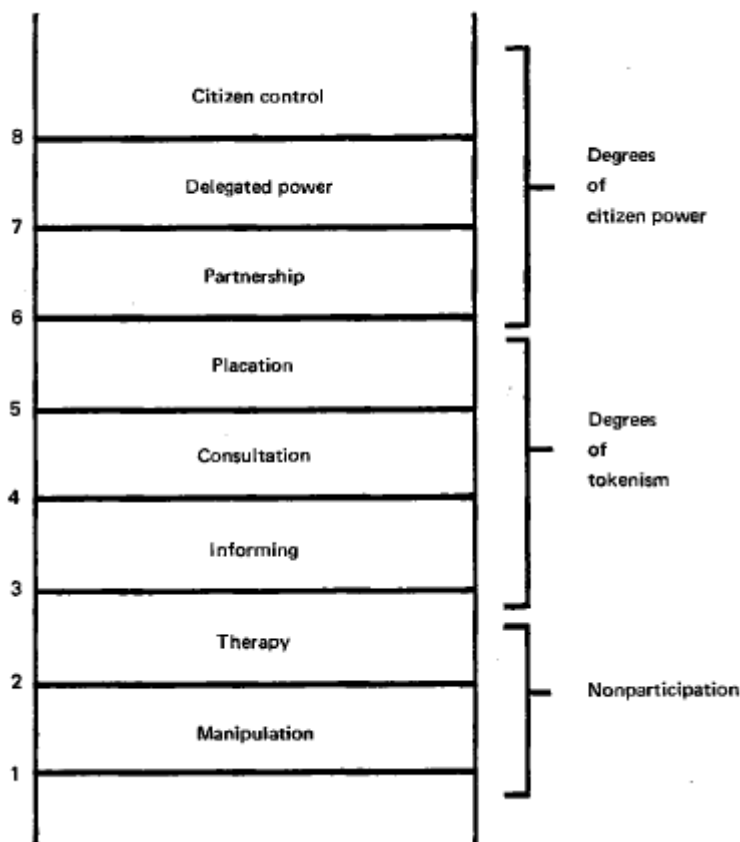
The origins of public participation that were laid by the UN, ILO, Arnstein and the UNDP as well as the UNCHS laid the foundation for public participation being used today as a development strategy in public service. Moreover, through public participation the public was in the driving seat of its own development and thus had a sense of ownership of its development.

#### **4.2.1. Arnstein's Ladder of Citizen Participation**

Although Arnstein's Ladder of Citizen Participation was created fifty years ago, it was still applicable to many areas today. The Ladder of Participation showed the different levels of participation that the public could participate in. The Ladder of Participation's fundamental point was that participation without redistribution of power was an empty and frustrating process for the powerless (Arnstein, 1969). The concern around the distribution of power was that it allowed people to be involved consciously in economic and political processes. Public participation was also a strategy in which people participated in determining the provision of information, goals and policies and the implementation of programmes, and benefited in terms of contracts and protections (Ilcan & Basok, 2004).

Arnstein's Ladder of Participation model could be better explained in three sections, namely those of "non-participation," the "degree of tokenism" and "citizen power." Each section of this model explained the level of participation that the public contributed towards. Non-participation, which was inclusive of "manipulation" and "therapy" was understood as preventing the people from participating in the planning of or conducting of programmes, while giving power to the stakeholders to "educate" the public. The degree of tokenism was understood as ignoring the voice of the public. The public could well have heard and been heard; however, they lacked the power to ensure that their views would be regarded. The degree of tokenism included placation, consultations and informing the public. The final section was the degree of citizen power, where the public had full control of the development. According to Arnstein (1969), the degree of citizen power involved the public advising on decisions while the stakeholders retained the power to make the final decisions. Partnership, delegated power and citizen control formed part of the degree of citizen power (Refer to Figure 4.1).

**Figure 4.1: Arnstein's Ladder of Participation.**



Source: Arnstein (1969)

### **4.3. National Context on Public Participation**

In the national or South African context, public participation was highly recognised by all the developmental policies, legislation, and the *Constitution of the Republic of South Africa* (Act No. 108 of 1996). However, in some developmental sectors the implementation of these policies and legislation was still questionable. According to Bénit-Gbaffou (2008), informal trading was one of the developmental sectors where public participation was lacking. This resulted in the formulation of the Batho Pele (BP) Principles that were aligned to the *Constitution of the Republic of South Africa* (Act No. 108 of 1996) and advocated for participatory democracy. The BP Principles advocated for putting the people of South Africa first in all public services (KwaZulu-Natal Department of Public Works, 2010). The BP Principles have been utilised in this study to assist in understanding public participation in the South African context.

#### **4.3.1. Batho Pele (BP) Principles**

Ababio (2004) complimented these principles as a new and holistic framework to make aims more realizable, practical and beneficial to the internal and external customers of the public service. These principles were also aligned to section 16 of the *Municipal Systems Act* (No. 117 of 1998), which proclaimed that a municipality had to develop a culture of municipal governance that complemented formal representative government with a system of participatory governance. The BP principles created a platform for the public to participate in the local government participatory forum called the integrated development programme, the HSP and in other strategic decisions relating to the provision of municipal services (Nzinakwe & Mpehle, 2012). Batho Pele had eight principles which were based on the ideals of the Constitution that sought to ensure, promote and maintain high standards of professional ethics within municipal governance and ensure that citizens were encouraged to participate in policy making and public service delivery (ibid).

The BP principles included regular consultation with customers, set service standards, ensuring high levels of courtesy, providing more and better information about services, and giving the best possible value for money. However, the BP principles relevant to this study were the regular consultation with customers, set service standards, and providing more and better information about services. The principles as encapsulated by the *White Paper on Transforming Public Service Delivery of 1997* (Masango, 2002; Nzinakwe & Mpehle, 2012) were as follows:

- 1. Regular Consultation with Customers (Public):** It was crucial for the government to regularly consult with the public regarding service delivery before the implementation of the service. Wherever possible, the public had to be given a choice about the services offered as this fostered a participative and collaborative relationship between the government and the public.
- 2. Set service standards:** The service standards or the level and quality of the services rendered had to be communicated so that the public was aware of what to expect.
- 3. Provide more and better information about services:** It was vital that accurate and easy to understand information about any development was provided to the public in various forms and languages. Disabled and blind citizens also had to be catered for.

The principles for public participation were particularly relevant for the HSP as numerous engagements with communities had to be scheduled to propose and plan for housing projects. The HSP made reference to available resources related to housing in an effort to render services and provide adequate houses for the community members in need. Lastly, public participation encouraged active communication as information about the available resources could be discussed, and suggestions could be noted.

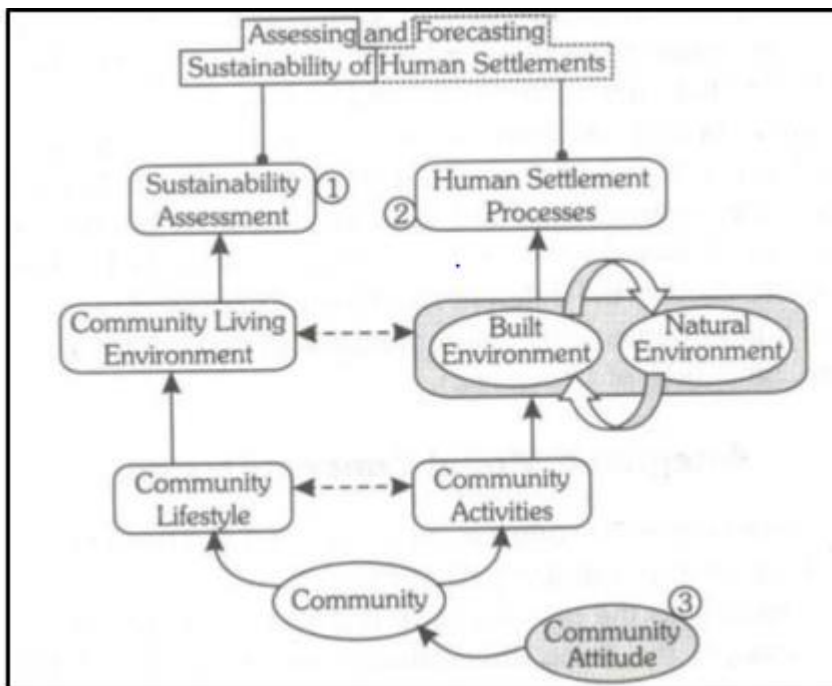
#### **4.4. Human Settlements in South Africa**

Byl (2014) asserted that one had to understand that the meaning of housing had evolved and realise what housing could do for the people in South Africa. The policy dealing with human settlements shifted from being concerned with notions of redress and redistribution to understanding that housing was a crucial element with regards to building up assets for the poor (Byl, 2014: 6). Due to the legacy of apartheid, South Africa has experienced many consequences such as spatial concerns, social fragmentation, and challenges of participation and development. The sustainable development pattern could be used to understand the idea behind housing and human settlements in South Africa, which was somewhat of a dynamic process (*White Paper*, 1994).

The delivery of housing could not be seen in isolation. It had to be viewed as a vehicle that would enable the overall improvement of residents' quality of life by promoting and incorporating social and economic development, including recreational development (Li, 2006), as physical solutions alone would not solve socio-economic problems when looking to create sustainable settlements (Godschalk, 2004). The process of creating sustainable settlements required a strategic framework that encompassed present and future developments within municipalities. The use of the IDP as a municipal compass to provide strategic direction in present and future development highlighted the advancements made in planning for contemporary times and the future. The HSP as a strategic compass for the housing sector ensured that housing was not seen from one lens. It was a powerful entity that comprised of social, economic and environmental development and therefore created sustainable human settlements. Moreover, by empowering people to participate, as well as allowing local governments to initiate change, development would be context specific and would also give people a sense of ownership and responsibility (NDHS, 2004). This was a means of creating communities that were integrated and gave residents an incentive to create further opportunities in their immediate surrounds.

However, the lack of access to housing was a fundamental reason for service delivery protests in South Africa, along with demands for economic access, inclusion, and plans to address the growing inequality. Communities had certain expectations of what integrated human settlement delivery was to be, which contributed systematically towards community attitudes, lifestyles, and human community settlements. These aspects needed to be taken into consideration in the planning and development of integrated human settlements through the HSP, and all role players were essential in the delivery of a successful integrated human settlement approach (Monto *et al.*, 2004:108). Figure 4.4 provides an illustration of communication channels that support community sustainability. Such channels of communication needed to be put in place in order to create a successful integrated human settlement. The creation of integrated human settlements through community engagement provided a platform/channel of communication for the community to communicate their ideal integrated human settlement (Refer to Figure 4.2).

**Figure 4.2: Sustainable Community Communication Channels**



Source: (Marzuki, 2015)

Public engagements were often challenging for the HSP, especially since they did not always yield the expected results. When municipal officials engaged with community members to address issues that were experienced and proposed solutions that would be suitable for the community, they often experienced pressure from institutes (councillors) and demands for services from the community members. Institutes and community members often put pressure on municipal officials because of the lack of understanding provided by the municipal officials about the HSP and what could be offered to the community during the community engagements. This then resulted in non-productive engagements which failed to yield better strategy formulation and ideas on the way forward. Furthermore, municipal documents did not report the results of public engagement meetings, therefore it was not known whether public engagement for the IDP and HSP was productive or not.

#### **4.4.1. Human Settlements Plan**

Human Settlements Plans (HSP) or the Housing Sector Plan (HSP) were plans that meant to ensure that housing departments within municipalities functioned in concert in the execution of their tasks and the delivery of houses to communities. Housing or Human Settlement Management was one of the essential services of the municipality. The Human Settlements Plan as a component of the IDP aimed at clarifying and



providing strategy concerning how housing development and comprehensive human settlement could be achieved at the local level (Mohakare Local Municipality HSP, 2014).

The purpose of the HSP, according to the Human Settlements Plan Mohakare Local Municipality (2014/2015), was to ensure effective allocation of limited resources in relation to housing development; and to further ensure that there was an exclusive housing focus for the IDP. The HSP provided a formal and practical method of prioritising housing projects and obtaining political consensus for sequencing of their implementation. Moreover, the purpose of the HSP was to provide a critical link between integrated development planning and the practical reality of delivering housing projects on the ground and further to ensure effective housing subsidy budgeting and cash flow, both at the local municipal and provincial levels.

The main reasons for producing an HSP for every municipality were to ensure the effective allocation of limited resources, specifically financial and human resources, to the municipalities competing for potential development interventions; to provide formal and practical methods of prioritising housing projects and obtaining political consensus for the sequencing of their implementation; and to facilitate more significant spatial linkages between the Spatial Development Framework (SDF) and the physical implementation of projects on the ground (eThekweni Municipality, 2017a). Further reasons included deliberately placing the housing sector imperatives in the IDP and ensuring effective subsidy budgeting and cash-flows, both at Municipal and Provincial levels (ibid).

The Housing Sector Plan was in accordance with Section 9(1) of the *National Housing Act* (No. 107 of 1997) which required all municipalities, as part of their Integrated Development Planning process, to take the necessary steps in order to ensure on a regular basis that the inhabitants within its area of jurisdiction had access to adequate housing. This could be achieved by setting housing delivery goals, identifying suitable land for housing development and planning, and by facilitating, initiating and coordinating housing development in its area of jurisdiction (eThekweni Municipality, 2017a).

The *Municipal Systems Act* (No. 32 of 2000) stipulated that all municipalities were required to compile an IDP that would guide all their planning, budgeting, and

development management decisions. As part of the IDP planning process, municipalities were expected to compile sector plans for various development sectors. In addition, as part of the IDPs, the *Housing Act* (No. 107 of 1997) stipulated that municipalities should compile housing strategies and targets. Furthermore, the plan was to serve as a guiding framework for the strategic engagement of the municipality in housing development. Hence, the need for the HSP arose from the concern that in most municipalities the integrated development planning (IDP) process inadequately addressed issues related to the provision of housing (Mohakare Local Municipality HSP, 2014; eThekweni Municipality HSP, 2017a)

While the government believed that the fundamentals of the policy remained relevant and sound, a new plan was required to divert and upgrade existing mechanisms to move towards more responsive and effective delivery. The new human settlements plan was to support the vision of the Department of Housing, now the Department of Human Settlements, to advocate the achievement of non-racial, integrated communities through the development of sustainable human settlements and adequate housing. With this broader vision, the Department was committed to meeting the following specific objectives:

- "Speeding up the delivery of housing as one of the key strategies for poverty alleviation;
- Utilising [the] provision of housing as a tool for major job creation strategy;
- Empowering the communities through wealth creation using housing as a tool;
- Increasing the growth of the economy;
- Ensuring a better life for the poor by combating crime, and promoting social cohesion;
- Supporting the functioning of the entire single residential property market to reduce duality within the sector by breaking the barriers between the first economy residential property boom and the second economy slump; and
- Utilising housing as an instrument for the development of sustainable human settlements, in support of spatial restructuring" (Mohakare Local Municipality HSP, 2014: 7; eThekweni Municipality HSP, 2016:5).

The mechanisms, which the Department intends to introduce to achieve these objectives, are discussed in detail in the remainder of this document.

#### **4.4.2. The compilation of the HSP**

This section details the steps that had to be followed for any municipality to achieve a credible, realistic and implementable HSP (Mohakare Local Municipality HSP, 2014). It further elaborates on the activities which needed to take place in every compilation phase and the phase where public participation and stakeholder support were discussed. In all municipal planning, it was crucial to engage the stakeholders and the community from the beginning of the processes (Mohakare Local Municipality HSP, 2014: 7; eThekweni Municipality HSP, 2016: 5).

##### **Step 1: Analysis**

It was important to first gather all the relevant information in a local area prior to meeting with the relevant stakeholders to present the housing situation within the municipal area. The municipal housing waiting list was crucial in guiding the whole process, as it would show the areas within the municipality where the greatest need for housing existed. Therefore, data collected could include the status of the existing infrastructure, waiting lists, housing backlogs, and the economic status of the different households in the municipality. The process of information gathering had to be done using both primary data collection (site visits) and secondary data collection.

##### **Step 2: Strategies**

The second step was where stakeholders would have to develop a vision, and this would be based mainly on the housing situation that was revealed in the first stage. In order to give effect to a vision, objectives had to be developed along with strategies. Maximum caution had to be exercised in order to ensure that the strategies were in line with the legislative framework. Furthermore, they had to be practically implementable.

##### **Step 3: Project Formulation**

This stage included possible housing projects which were developed based on the resources identified in step 1. This step entailed aspects such as capacity at the municipal level to handle housing issues, project management, funding sources, monitoring, and evaluation. Each project had to be designed and implemented in a way that was geared towards accomplishing the housing vision of the municipality.

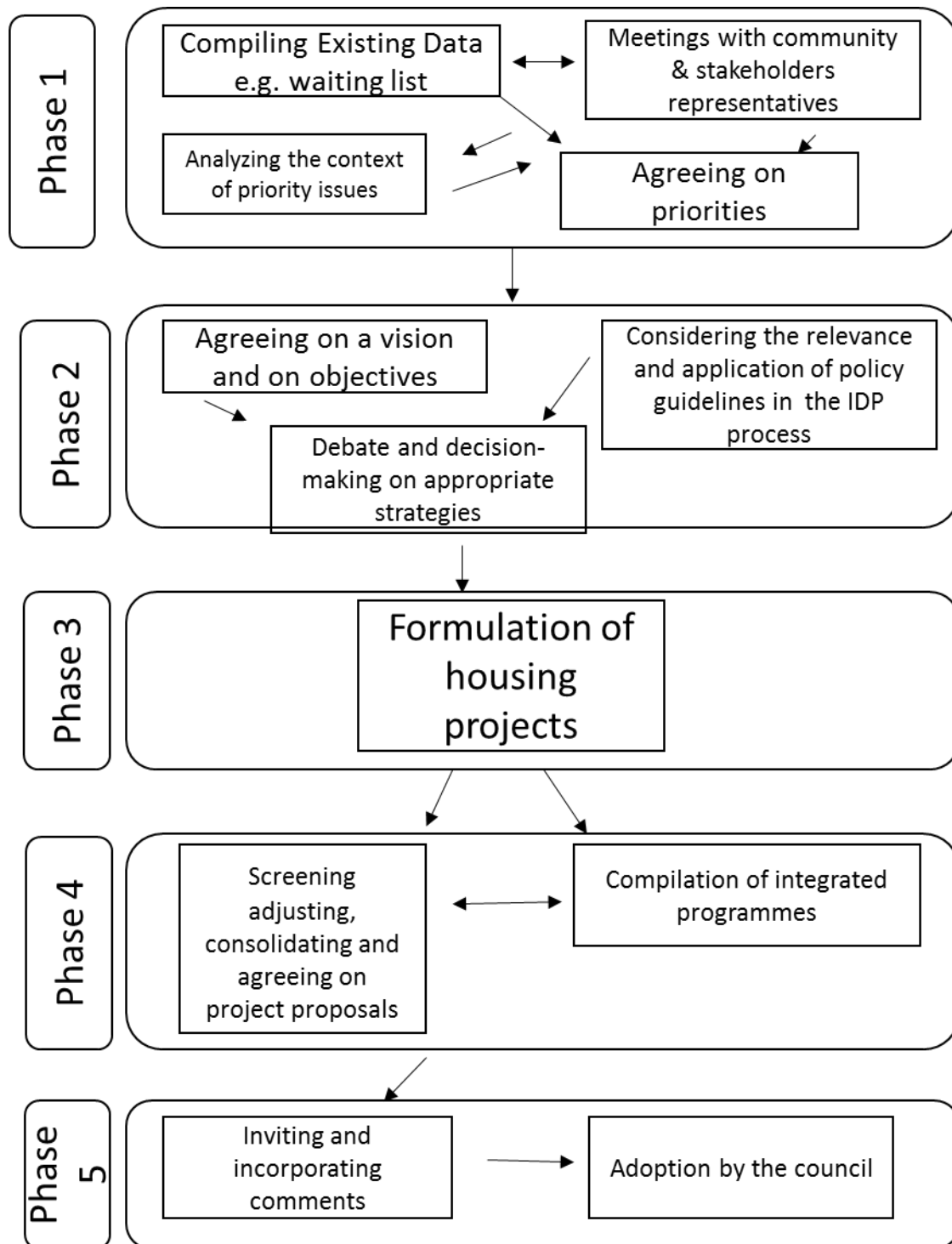
#### **Step 4: Integration**

The provision of houses did not occur in isolation. An HSP had to be affected by other plans such as a Water Services Development Plan (WSDP) and an SDF. Human Settlements Plans had to be spatially conscious. It was vital for a municipality to develop an SDF which identified where housing projects would take place. There were programmes other than housing that took place at the municipal level. These programmes had to reinforce each other in order to achieve the desired impact within a municipal area. It was during this stage that these programmes were integrated.

#### **Step 5: Approval**

Once the programmes (housing projects) had been integrated and aligned with other sector plans, they were ready to be presented to the council for adoption. In all the stages, housing stakeholders played an important role.

Figure 4.3: Flow chart illustrating how the HSP was complied



Source: Mohakare Local Municipality (2014)

#### 4.5. Case Studies in the Public Participation Process

Three case studies of public participation from three different countries were used to analyse how public participation in the decision-making process was practiced and what the constraints were that emerged from the process. In order to have a more

comprehensive view of the decision-making process, the selection of the case studies was based on the disciplines of Housing and Planning, namely: The Metro Philippines Housing Project, the Regional and Municipal Planning in Denmark and the case study of Diepkloof.

#### **4.5.1. Metro Philippines Housing Project**

The Metro Philippines Housing Project was a housing project that the city of Quezon and the National Housing Authority jointly controlled, intended to devise and improve on an integrated and comprehensive approach to developing marginal settlements. During the proposed project's planning phase, the public showed notable consideration and real enthusiasm. Public participation was allowed during the decision-making process through consultations with the government officials. During the evaluation and implementation phases the government officials worked closely with the public's representatives (Mazurki, 2015).

Marzuki (2015) further stated that the government officials worked closely with the public in formulating the housing project and the standards of service and thus provided the community with developmental skills and knowledge. It was noteworthy that the government officials used a mostly bottom-up approach when making decisions and achieved this approach by direct consultation with the residents. The public participation process was, however, hindered somewhat because of the public's lack of knowledge and education. As a result, the public participation process developed into a time-consuming learning and adapting process (O'Fairchealligh, 2010 cited in Marzuki, 2015).

#### **4.5.2. Regional and Municipal Planning in Denmark**

Public participation in Denmark was different from that of the Philippines. The public participation encouraged by the Danish government was in accordance with its regional and municipal planning framework, the *Denmark Planning Act*. Participation in the planning phase allowed the public to get involved in planning for the local areas by contributing their ideas and proposals (Kornov, 1997). Here, public participation differed because the public had the chance to influence planning decisions by participating on two levels. Firstly, prior to the planning phase, the public could submit ideas and proposals for the planning work. Secondly, after the proposed plan had been

published the public was given the chance to submit their objections and amendments, if they had any.

**Figure 4.4: Public participation in the Regional and Municipal Planning in Denmark**

The planning process for regional and municipal planning	Public Participation
<p>1. Prior to public participation Solicitation of ideas and proposals, Report on previous planning, Deadline of at least 8 weeks, Informational campaign</p> <p>2. Proposed regional and municipal plan Preparation, Contact with others authorities, County or municipality approves proposal</p> <p>3. Proposal published Deadline for objections of at least 8 weeks, Proposal sent to the Ministry of Environment and other state, county and municipal authorities, Proposal assessed by state authorities; regional plan may be vetoed and municipal plan called in.</p> <p>4. Adoption of plan Processing of comment and objections submitted by the public and authorities, Change (if any), Plan adopted if not vetoed or called in, Negotiations if plan vetoed or called in, If agreement not reached the Minister for Environment will decide.</p> <p>5. Publication of the final plan Publication, Plan sent to relevant authorities</p> <p>6. Administration of plan County council ensures that proposed municipal and local plans are in accordance with regional plan, County or municipal council must act to implement regional plan</p> <p>7. Revision every 4 years</p>	<p>The public have the opportunity to submit ideas and proposals for the planning work.</p> <p>The public can submit objections and proposed amendments.</p>

Source: Kornov (1997)

### 4.5.3. Diepkloof

The Diepkloof case study focused on residential flats for the people of Diepkloof. Community participation was used as a tool in an attempt to involve the local people in discussing the idea of constructing residential flats in a few open spaces within the township. Local authorities met with the community in the specified open spaces. During the public engagement meetings, the community expressed that they were against housing development in these open spaces. Most of the open spaces that the local authorities had proposed were of historical significance to the community and they wanted to treasure and preserve those open spaces. An example of this was the ground where Lucas Radebe had played soccer as a youngster.

The community participation raised the community members' hopes and expectations of obtaining houses, but as time progressed and the housing development did not materialise the community members became upset. The community was subsequently notified by the municipality that the participatory process had merely been an opinion-sharing exercise.

The drivers of the participatory process appeared to have overlooked the fact that communities were characterised and affected by the "spatiality of power relations". This meant that the positions of some individuals and groups were weaker or stronger than others and this placed them in a potential state of conflict and produced competition (Fontein, 2007: 3). These power relations within the social space not only affected the way that individuals and groups engaged with each other but also defined who should oppose whose opinion in public without upsetting friendly co-existence.

#### **4.5.4. Summary of the case studies**

The above-mentioned case studies were evaluated using the Ladder of Participation proposed by Arnstein (1969) as the case studies were interlinked.

The case study of the Metro Philippines Housing Project was an example of the "degree of citizen power" as the authorities ensured that the community was aware of everything that was taking place. Furthermore, the public participation in this case study was used by the authorities as a tool to educate the community about what the Metro Philippines Housing Project aimed to achieve and did achieve. In this case the public was educated about the housing project and the community did receive the promised houses. The Danish case study was also an example of the "degree of citizen power" from Arnstein's Ladder of Participation (1969) but a different approach was used by the Danish authorities. Here the community was asked to submit their proposals of what the layout plan was to look like. Although the final decision was made by the officials they did use the views of the people.

The same could not be claimed about the Diepkloof housing project. In this case the local authorities failed to communicate with the community adequately and did actually communicate what was expected from the community. The local authorities of the Diepkloof Housing Project misled the community into thinking that the community was getting housing when they were, in fact, only sourcing information from the community. Unlike the Philippines Housing Project where the community was actively involved,



the Diepkloof local authorities used manipulation and consultation in order to source information about Diepkloof for future reference.

The lessons that the Diepkloof local authorities could adopt from Denmark's Regional and Municipal Planning project and the Philippines Housing Project included the fact that there were many different ways to collect information from the people for future development, such as adopting the approach that Denmark had used. Using that approach, the community did not have as much expectation as when they were actually visited by the authorities.

#### **4.6. Integrated Development Plans**

According to Todes (2004), Integrated Development Plans were the outcome of the legal framework that underpinned them. They had a process and set of tools inherent in them. Being strategic, managerial and project-orientated in nature, the plan took the form of a document like a strategic business plan. Their spatial component lay not in the document itself but in the linked Spatial Development Framework, which was the translation of the plan's vision and objectives. The IDP assisted the municipality with its budgeting over five years. Todes (2004:34) argued that IDPs were "prime vehicles for redressing poverty and inequality and for restructuring urban and rural areas away from the apartheid legacy".

Gueli, Liebenberg & van Huyssteen (2007: 101) argued that: "South Africa's integrated planning approach was launched after 1994 as a platform for previously marginalised municipalities to directly partake in service delivery planning; reform old and build new institutions; to identify and prioritise strategic development interventions with both short and long-term impacts".

These authors stated that there were three specific principles that governed the approach namely; Integrated Development Planning which was a consultative process, and as a consultative process it had to be able to analyse problems that impeded service delivery. Problems identified by a municipality had to be prioritised, a vision had to be developed, and project proposals had to be formulated to achieve the vision (Gueli, Liebenberg & van Huyssteen, 2007).

The second principle was that the development of the IDP was a strategic process and as such, it had to combine local knowledge with that of the experts so that effective

and efficient use could be made of scarce resources and there was integration with other sectors in terms of budgets for projects (ibid). Thirdly, the IDP was meant to be an "implementation-oriented process" and in this regard it was a tool for better service delivery. This principle entailed the design of sound project proposals, budget links that were feasible had to be established, and there had to be consensus among all stakeholders (ibid).

The South African Forum for Effective Planning and Development in 1995 defined integrated development planning as the "Participatory approach to integrating economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas" (DPLG, 2000:15).

Moreover, Sowman & Brown (2006:698-699) noted that the IDP in South Africa was intended to be the principal strategic planning instrument which guided planning and development and informed budgeting and management decisions in local authorities over five years. Todes (2004) identified the crucial role of the IDP as contributing to sustainable development however at the same time the integrated development planning process was seen as a systemic approach which integrated socio-economic and ecological dimensions. Theron (2005) stated that the Integrated Development Plan succeeded all other plans that guided development at local government level. This principle was mirrored in the structure of the South African legislative framework that governed the implementation and approval of the plans. Any development that occurred at a municipal level had to be done in accordance with the IDP and the Spatial Development Framework of that municipality (Theron, 2005).

Although the IDP was the overarching plan produced by municipalities, and the SDF was a spatial demonstration of the proposed development opportunities and situational analysis, the HSP was a component of the IDP that aimed to demonstrate how the Department of Human Settlements aimed to achieve goals of providing adequate housing. It provided a general understanding of the process for Human Settlements within the different municipalities, which was significant in terms of understanding the objectives and aims of the municipality.

#### **4.7. International Context of Integrated Development Planning**

To understand the concept of integrated development planning, it was vital to grasp the idea of integration first. Many scholars have researched the idea of “integration” from a mainly economic perspective. Douglas (2011), Robson (2012) and Balassa (2013) set the scene in relation to understanding the concept of integration. According to Balassa (2013), integration referred to the convergence of "parts into a whole." Douglas (2011:2) mentioned that integration in regional development literature was associated with a “multidisciplinary” or “interdisciplinary” doctrine.

The use of the term “integrated” related to the expressed need to address development issues in the context of multiple levels of government (Douglas, 2011:3). Based on the views of the comprehensive perspective, the logic behind formal planning procedures required that the survey, analysis, plan design and the planning itself secured comprehensive understanding of the development context and the issues at hand (Douglas, 2011). It was in this regard that integrated planning came into existence and it referred mainly to a multi-sectoral approach that brought various elements together.

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 to produce strategic plans has strengthened in practice. Binns & Nel (2002) argued that initiatives were witnessed in the inclusion of participatory practices. As highlighted by Harrison (2006), integrated development planning was an approach that came to the fore internationally and was thereafter incorporated into the development dialogue and mainstream planning of South Africa. The approach was both process and production orientated. The process of integrated development planning produced two outcomes; a process plan in the form of the Integrated Development Plan and its spatial translation into the Spatial Development Framework. While the IDP remained 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, 2006:186). At the time of transition, the African National Congress-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 as a progressive movement that looked for policies that they could adapt, that were not conservative, and which could be viewed as moving towards “progressive governance” (Ibid, 2006).

#### **4.8. National Context of Integrated Development Planning**

It could be argued that the concept of integrated development planning illustrated the extent to which both processing and planning were used in the country for promoting development to redress the harm caused by apartheid planning (Todes, 2004). It was argued that both integrated development planning as an approach and the IDP as the product of processing and planning were 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 continued to exist due to the legacy of racially based apartheid laws that separated people along the lines of colour. The fundamental principle of post-apartheid governance which was protected in the Constitution was that inclusiveness, public participation, transparency and accountability were fundamental in the development agenda.

According to Todes (2004: 844), integrated development planning in South Africa could be viewed as a new form of regional planning as the concept defined specific spatial entities and advocated for holistic territorial development. He further defined the IDP by stating that IDPs were “intended to be holistic, integrated and participatory strategic plans guiding the work of the municipality” (Todes, 2004: 849). A critical concept that Todes referred to in his definition of integrated development planning was that the IDP was meant to give effect to the term: “developmental local government”. This was a term that had been used interchangeably with “post-apartheid local government”.

Several scholars have noted the importance of integrated development planning in the development context in the post-apartheid period, to nurse and heal the wounds that were created by the previous government. Primarily, it was 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 to allow the public to participate in the decision-making processes of the government.

While the concept of integrated development planning was conceptualized mainly from the international discourse, the formal concept of an Integrated Development Plan was introduced by the *Local Government Transition Act, Second Amendment Act* (Act No 7 of 1996) in 1996. During this stage, 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 shortfall was addressed by the introduction of many IDP guide packs drafted by the National Government's Department of Provincial and Local Government to assist municipalities in compiling their IDPs. However, the guide packs that were provided focused mainly on what the contents of the IDP were to be and there was little emphasis on the process that needed to be followed to generate this five-year strategic plan for the municipalities (Harrison, 2006).

Integrated development planning incorporated a variety of activities from its commencement. The *Local Government Transition Act, Second Amendment Act* (No. 97 of 1996) stated that local authorities in the country needed to promote rational and development orientated planning within their areas of jurisdiction. Moreover, 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 linked to the New Public Management approach, which introduced corporate models of governance for public institutions.

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 prompted a municipality to attract investment into the area. All development that occurred in the municipal space had to be tied to measurable performance indicators, which would hold the municipality accountable to the public in terms of financial expenditure and outcomes achieved.

In essence, the term "integrated" meant that different disciplines would come together to address the spatial configuration that was an outcome of apartheid planning. This required forward plans and policies such as the Housing Sector Plan to drive towards adequate plans and mechanisms to ensure that adequate housing, which was one of its provisions, was provided in certain areas within municipalities.

#### **4.9. Public participation and the Integrated Development Plan**

Public participation has been widely used in the discourse of development for the past twenty years. The concept has been referenced to participation in the social arena, in the community or in development projects for as many as twenty years. It had been argued that public participation has a collection or diversity of meanings. For example, public participation was often viewed as the ownership of the development process, bottom-up planning, grassroots planning, public involvement, participatory planning, democratic planning, and as collaborative planning. The *Municipal Systems Act* (No. 32 of 2000) provided for the municipality to encourage the involvement of the local community through the mechanisms established, for example ward meetings, Integrated Development Planning meetings and *Imbizo* programmes. It was vital that municipal councils regularly consulted the community about the level of quality, range and impact of the municipal services provided by the municipality, as this enabled them to determine the level of services required by the community.

The South African post-apartheid Constitution supported community participation in the construction, implementation and the evaluation of integrated development planning at the local level (Williams, 2006). Community participation was the direct engagement of ordinary people in the affairs of planning, governance and overall development programmes at the local level, and had become an integral part of democratic practice in recent years (Jayal, 2001 cited in Williams, 2006). However, Williams argued that the *Municipal Systems Act* (No. 32 of 2000), Chapter 4, subsections g and h stated that “executive mayors annually report[ed] on the involvement of community organisations in the affairs of the municipality and ensure[d] that due regard [was] given to public views and report[ed] on the effect of consultation on the decisions of [the] council” (*White Paper on Local Government*, RSA, 1998; RSA, 2000). However, from William's observations community participation in post-apartheid South Africa had turned into somewhat of a political spectacle instead of the original meaning of “ensuring a better life for all”. Furthermore, the process, visions and missions of a more equitable society operated merely as promissory notes issued every four years during election campaigns.

As highlighted by Houston *et al.* (2001: 206) the legislation governing local government in South Africa had to make a provision for municipalities to establish a system of participatory democracy, through which the community could freely express their

views regarding issues of development within their wards. According to Brynard (1996: 40), public participation was a two-way communication process between the public and the government through their elected local authorities. The district had to ensure the promotion of public participation which was aimed at including communities in the planning and implementation processes of the programmes being run by the municipality. There was also a need for public participation as it promoted and improved service delivery.

#### **4.10. Legislative Framework**

This section outlines the legislative framework that is applicable in the post-apartheid era (since 1994 to present). However, most importantly, the legislative framework that has been outlined in this section is that which sets the scene for this study. To begin with, foundations of the policy have been outlined, followed by fundamental principles and policy underpinnings. The legislative framework that has been covered under this chapter includes the *Constitution of the Republic of South Africa* (Act No. 108 of 1996), the *Housing Act* (No. 107 of 1997), the *Municipal Systems Act* (No. 32 of 2000), *Breaking New Ground* (a comprehensive plan for the development of sustainable human settlements) (DoHS, 2004), and the *Integrated Development Plan* (eThekweni Municipality, 2010).

##### **4.10.1. Constitution of the Republic of South Africa (No. 108 of 1996)**

The *Constitution of the Republic of South Africa* (Act No. 108 of 1996) was the supreme law of the Republic and all other laws and acts that were inconsistent with it were regarded as invalid (Act No. 108 of 1996: 2). The Constitution was a law that represented the people's interests and was upheld and carried out by the government who was responsible for the well-being of the people in the country. The government was therefore guided by accountability and transparency as well as the willingness to meet the interests of its citizens.

Section 26 (1) of the Constitution advocated that "everyone ha[d] a right to have access to adequate housing"; however, section 26 (2) stated that "the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of this right."

With the limited resources of the government, public participation was then a vital tool for the local government to work with the community to effectively make use of the

resources available, thus preventing the wastage of resources. Moreover, Chapter 10 of the *Constitution* (Act No. 108 of 1996: 99) stated that: “people’s needs must be responded to, and the public must be encouraged to participate in policy-making”. The *Constitution* (Act No. 108 of 1996) was the supreme law upon which all the laws of the country were based. It recognised local government and considered it a distinctive sphere of government that could promote public participation. The *Constitution* (Act No. 108 of 1996: 74), together with the *Municipal Systems Act* (No. 32 of 2000) stated that local government was mandated to “give priority to the basic needs of the community, to promote the social and economic development of the community and participate in national and provincial development programmes”. The *Constitution* further encouraged “the involvement of communities and community organisations in the matters of local government”.

#### **4.10.2. Housing Act (No. 107 of 1997)**

The *Housing Act* (No. 107 of 1997) was the primary housing legislation and along with the revised Housing Code of 2009 was officially part of the law to give effect to Article 26 (1) of the *Constitution*. The Act provided for a sustainable housing development process, laying down general principles for housing development in all spheres of government. The functions of national, provincial and local governments in respect of housing development were clearly defined in the Act (Tissington, 2011; Zungu, 2016). This Act argued for housing development processes that were sustainable, through its diverse housing programmes for housing beneficiaries to gain access to adequate housing and ensure the realisation of their Constitutional right (Msomi, 2016). However, according to Masango (2001) sustainable development in South Africa depended on active public participation. Most development processes disregarded the importance of public participation and this concluded in the failure of projects and programmes.

Section 9(1) (a) (i) of the Act stated that: “Every municipality must, as part of the municipality’s process of integrated development planning, take all reasonable and necessary steps within the framework of national and provincial housing legislation and policy to ensure that the inhabitants of its area of jurisdiction have access to adequate housing on a progressive basis” (Tissington, 2011: 15).



Fundamentally, the Act further stated that everyone in the state should enjoy full access to all the processes of decision-making structures. That being the case, the government was fully obliged to consult as broadly as possible on future housing policies and strategies. However, this was not what prevailed on the ground (Mphahlele, 2013).

The *Housing Act* (No. 107 of 1997) set the scene for this study as it stated that all government spheres had to give priority to the needs of the poor in respect of housing development and call for community participation for affected communities. Furthermore, the Act provided a wide choice of housing programmes and tenure systems for all South Africans based on the IDP. The HSP provided a plan of all the housing programmes within the municipality in the form of a five-year plan.

#### **4.10.3. Municipal Systems Act (No. 32 of 2000)**

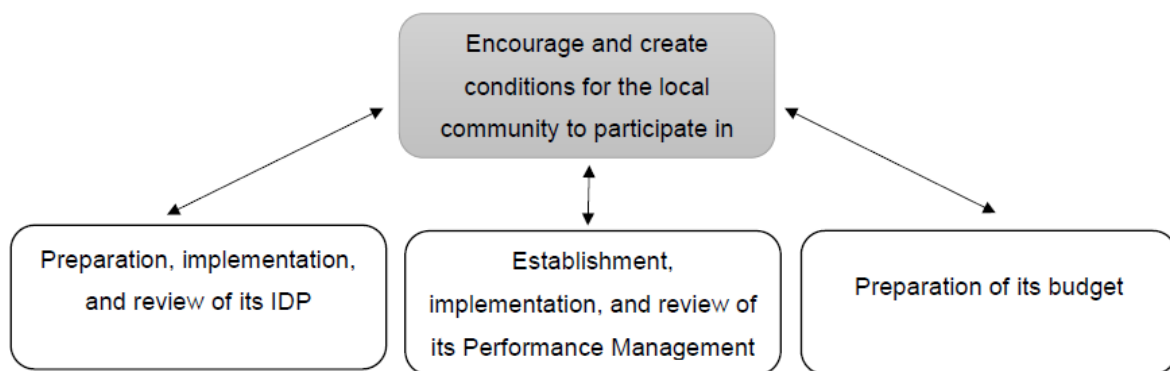
According to Putu (2006: 11) the Municipal Systems Act, Chapter 4 Section 17 (2) stated that: "*A municipality must establish appropriate mechanisms processes and procedures to enable the local municipality to participate in the affairs of the municipality*" (RSA Ward Committee Resource Book, 2005). Further, to enable communities to participate effectively, Section 33 of the *Municipal Systems Act* (Act No. 32 of 2000) stated, as pointed out by Putu (2006), that "*municipalities must determine methods to consult communities and residents on their needs priorities.*"

The *Municipal Structures Act* (Act No. 117 of 1998), together with the *Municipal Systems Act* (Act No. 32 of 2000) required the municipality to strive, with all the capacity at its command, towards achieving the goals set out in Section 152 of the *Constitution*. Under Section 152 of the *Constitution*, close attention had to be paid to Section 152 (1) c: "*to promote social and economic development,*" and e "*to encourage the involvement of communities and community organisations in the matters of local government*" (Act No. 108 of 1996), as it instructed the local government to include the communities in betterment initiatives for their communities. The local government could better the lives of the communities through public engagement, as the community would be able to communicate its needs more effectively. Public engagement was also enforced in local government documents such as the IDP and in terms of housing, documents such as the Housing Sector Plan were used.

These public participation strategies such as consultation and involvement were not unique, and they were supposed to be empowering, according to the IDP outputs in South Africa. The most enabling and empowering public participation strategy was actual empowerment and ownership, which entailed the concept of public control, however, this strategy seemed not to be in South Africa’s political vocabulary since the beneficiaries controlled none of the projects. Not enabling the beneficiaries to have control over projects that influenced their lives, such as housing, was one of the reasons for this study. Furthermore, *the Municipal Systems Act* (Act No. 32 of 2000) guided this study as it provided guidelines of how a municipality had to conduct development for the betterment of the municipality, more especially the people in the municipality. It was noted that the municipality had more resources than the actual communities, which could be utilised for the betterment of the communities.

A municipality had to develop a culture of municipal governance that complemented formal representative government with a system of participatory governance. Figure 4.5 provides an illustration of how this could be achieved.

**Figure 4.0.1: Representation of the government system of participatory governance and its purpose**



**Source:** Author (2018)

#### **4.10.4 Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlement (2004)**

The debates shifted from the quantity to the quality of housing since 1996 and the Breaking New Ground (BNG) policy was put in place in 2004. The BNG pinpointed some unintended outcomes of the housing policy which included the growing housing backlog; the slowdown in delivery; poor quality products; lack of community

participation; corruption and maladministration; and the continued growth of informal settlements (Tissington 2011). This policy made community participation and consultation mandatory and vital for the creation of sustainable human settlements. The BNG viewed "housing delivery as a catalyst for achieving a set of broad socio-economic goals" (Tissington, 2011: 66).

The housing vision of the BNG was for the policy to remain relevant and sound. It was a new plan to redirect and enhance the existing mechanisms to move towards more responsive and effective delivery of housing. This new human settlement plan aimed at strengthening the vision of the Department of Housing (now the Department of Human Settlements), in promoting the achievement of a non-racial, integrated society through the development of sustainable human settlements and quality housing. In addition, the BNG offered some specific objectives committing the Department of Housing to move towards more responsive and effective delivery as part of the broader new housing vision which sought to accelerate housing delivery and utilise the provision of housing as a major job creation strategy. The new housing vision was incorporated into the IDP as it included all housing development plans for five years.

The new housing vision had seven objectives to help it achieve its vision. Out of the seven objectives, this study used the last objective, namely "*utilizing housing as a development of sustainable development.*"

As with the *Constitution of South Africa* (Act No. 108 of 1996), the BNG policy (2004) stipulated that community participation was the key component for the municipal Integrated Development Plans, specifically the housing chapter. Through collaborative engagements with communities, this policy strove to reach a consensus that would empower people and prioritise development. Hence, the BNG policy pointed out that the housing chapter (HSP) identified and prioritised development, and to achieve its vision and objectives it had to be integrated through collaborative engagements.

#### **4.10.5 Integrated Development Plan**

Integrated Development Planning was comprised of an important principle of integration, which was required by law and envisioned by the *Intergovernmental Relations Framework Act* (No. 13 of 2005). This Act provided for the government spheres to collaborate to address issues such as poverty and underdevelopment, and the participation of communities was crucial for this process (Mzimela, 2013).

Integration promoted communication and interaction between the work of local government and external departments to facilitate development and service delivery in a sustainable manner, however, that was just one part of the integration. The second part that involved integration was the local government working with the communities (through community participation) to better their livelihoods and promote diversity amongst the communities (Visser, 2001). Integration also served to foster a partnership between communities and government in and during IDP processes. Additionally, integration also served as a spatial approach to integrate the previously excluded townships into the mainstream development of major cities (Todes, 1993).

The concept of development entailed a stage of people's engagement throughout the decision-making process in the preparation of the IDP plans (Siphuma, 2009). Similarly, as with integration, development aimed to achieve rural-urban integration by minimising the imbalances between urban and rural areas. It also aimed at enhancing the conditions in impoverished communities through infrastructure service delivery processes. The IDP encouraged it to become a people-driven plan, which was what Rosa (in South African Constitutionalism) advocated for in South Africa: that any development had to be that of a developmental state (beneficial to the people) (Siphuma, 2009).

Planning referred to the activity which occurred throughout the IDP process (Todes, 2003). The planning phase ensured that the decisions that were taken in the IDP targeted the essential needs and problems of the people. This would assist the municipality to facilitate infrastructure service delivery using its resources, although these resources were limited (Delivery Outcome, 2010: 9). According to Todes (2003), through participatory mechanisms things like the Housing Sector Plan were included in the IDP because of the importance that they had. The IDP, as a policy document, also needed to conform to the Constitution of South Africa, paying close attention to Section 26 about the right to housing. Projects were planned based on the inputs of the beneficiaries and planners who served to ensure that they planned for and with the people.

#### **4.11. Conclusion**

In conclusion, the above legislation framework enabled public participation, namely the *Constitution of the Republic of South Africa* (Act No. 108 of 1996), the Integrated

Development Plan (DoPLG, 2000), the *Municipal Systems Act* (Act No. 32 of 2000), *the Housing Act* (No. 107 of 1997), and the Breaking New Ground policy (2004). The question remained, however, that with all the policies and Acts that "enabled and promoted public participation", did public participation actually take place on the ground or was it merely a paper exercise? This question was particularly relevant to policies that involved the well-being of the public and that specifically advocated for and required public participation, such as the IDP and HSP.

South Africa adopted implementation strategies such as Arnstein's Ladder of Participation (1969) and further created their own strategy or set of principles that spoke more to the people of South Africa, namely the BP Principles (KwaZulu-Natal Department of Public Works, 2010). These public participation implementation strategies provided guidelines on how data was to be collected for the HSP and the IDP. The local experiences that were reviewed in this literature review reflected that municipal officials still failed to communicate properly with the public. Further, the municipal officials did not ensure that the public was aware of what was expected from them, or what the purpose of their participation was. This meant that municipal officials were still making use of the top-down approach when dealing with the public and the public did not have control over anything that affected them. Public participation therefore did not appear to be effective.

The literature that was reviewed in this chapter assisted in laying the foundation for this study. However, the question remained: Was the public of KwaDabeka able to participate fully in the compilation of the HSP of the IDP? The answer will be unpacked in the data analysis chapter.

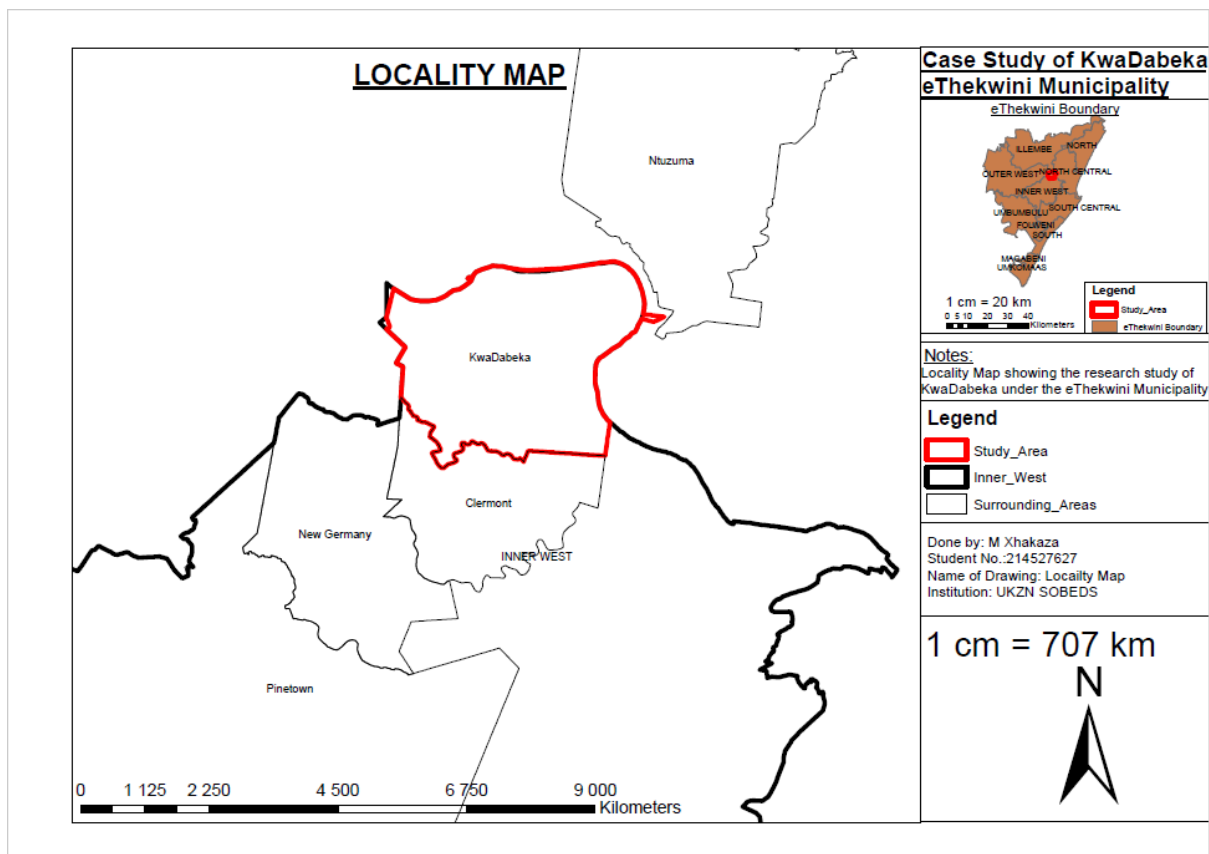
## Chapter Five: Historical Background of the Case Study

### 5.1. Introduction

The research study area was KwaDabeka. This chapter provides the background of the study area, its geographical location in the eThekweni Municipality, and will further provide the socio-economic profile of the area and the state of development of Clermont as a whole, with specific reference to the KwaDabeka settlement. The case study is used to contextualise the research.

### 5.2. The Geographical Location of KwaDabeka

Map 5.1: Locality map of the study area, KwaDabeka



**Source: Author (2018)**

The Clermont KwaDabeka study area is located on the border of Pinetown/New Germany, within the central municipal planning region of the eThekweni Municipality. The area is located at the intersection of two major metropolitan routes, the M19, and the M5 and has easy access via these routes to the N3, N2, and the M13. This unique positioning has made Clermont KwaDabeka one of the most well located previously disadvantaged areas in eThekweni, second only to Cato Manor (eThekweni

Municipality, 2010). Clermont KwaDabeka was disadvantaged in the sense that it was located on the outskirts of the central business district (CBD) of the eThekweni Municipality.

### 5.3. Background of KwaDabeka

Clermont KwaDabeka under the apartheid regime was a black middle-income township. It is surrounded by the suburbs of Westville, Kloof, New Germany and Inanda and is a bit distant from the CBD, located on the outskirts of the city. Its main road is called Clermont Road, and the reason for the road name was because of Sir Clermont, a farmer who sold his land in the area for the location of the township. KwaDabeka is also one of the areas which were solely occupied by black people in eThekweni, after Cato Manor. It was the only place in Durban where black people were able to buy property and build houses. Since the demise of apartheid, Clermont began sprawling with informality, especially from people who engaged in rural-urban migration in pursuit of better employment opportunities in the surrounding suburbs such as Westville, Kloof, New Germany, Pinetown and the remainder of Durban (SA History, 2017).

### 5.4. Socio-Economic Overview of KwaDabeka

The socio-economic overview of KwaDabeka revealed a combination of the two pillars of sustainability, namely social and economic factors. The reason being that the two pillars of sustainability overlaid each other, and one could not discuss the social aspects without discussing the overview of the economic aspects.

#### 5.4.1. Demographics

**Table 5.1: Ethnicity demographics**

Group	Percentage
Black African	99,6
Coloured	0,1
Indian/Asian	0,1
White	0,1
Other	0,1
<b>TOTAL</b>	<b>100 %</b>

Source: Stats SA (2011)

**Table 5.2: Age group demographics**

Group	Percentage
Young (0-14)	26,9
Working Age (15-64)	70,2
Elderly (65+)	2,9
<b>TOTAL</b>	<b>100 %</b>

Source: Stats SA (2011)

Clermont KwaDabeka had a population of about 54 953 people, with black Africans being the dominant ethnic group (Refer to Table 5.1). According to Stats SA (2011), the demographics of Clermont KwaDabeka showed that the working age between 15 to 64 years was the dominant age group (Refer to Table 5.2). Given that the unemployment rate in the community was sitting at 20.1 per cent, this meant that approximately 50 per cent of the working age residents had an income (Stats SA, 2011).

#### 5.4.2. Infrastructure and services

**Table 5.3: An illustration of infrastructure and services that the people of KwaDabeka had access to**

Formal dwellings	95,3%
Housing owned/paid off	44,7%
Flush toilet connected to sewerage	86,6%
Weekly refuse removal	92,7%
Piped water inside the dwelling	68,1%
Electricity for lighting	93%

Source: Stats SA (2011)

KwaDabeka was a residential township with old four-room state housing, informal settlements and hostel establishments. In KwaDabeka central, the housing typology was mixed – with the highest density being in the form of hostel units. Other housing units were in the form of single detached dwelling units, both formal and informal (eThekweni Municipality, 2010). The KK Hostel in KwaDabeka – the largest hostel



complex in the southern hemisphere, was developed first and was followed by bonded houses later in the 1980s.

As noted in the background of KwaDabeka, it was one of the communities that were also disadvantaged during the apartheid times, however KwaDabeka was still developing as a community. Such was evident from the statistics provided by the Stats SA Census (2011) about the living conditions that the people of KwaDabeka were residing in. The following table is an illustration of the percentage of people who had access to such infrastructure in KwaDabeka. It is evident that the people of KwaDabeka had access to basic needs; however, just under half of the population had ownership of their houses.

### 5.4.3. Education

**Table 5.4: Level of education**

<b>Group</b>	<b>Percentage</b>
No Schooling	3,8
Some Primary Schooling	10,2
Completed Primary Schooling	4,2
Some Secondary Schooling	37
Matric	41,1
Higher Education	3,7
<b>TOTAL</b>	<b>100 %</b>

Source: Stats SA (2011)

**Figure 5.1: Illustration of the Elangeni College**



**Source: Google Earth (2018)**

Clermont KwaDabeka has several schools located within the community that included the Buhlebemfundo Secondary School, the Kranskloof Primary School and the Elanga Secondary School, to mention a few. Furthermore, Clermont KwaDabeka had a higher percentage of people who had completed a National Senior Certificate (Refer to Table 5.4) (Stats SA, 2011). The community had a college (Elangeni College) that offered Higher Certificates, Advanced National Certificates or Diplomas (eThekweni Municipality, 2010).

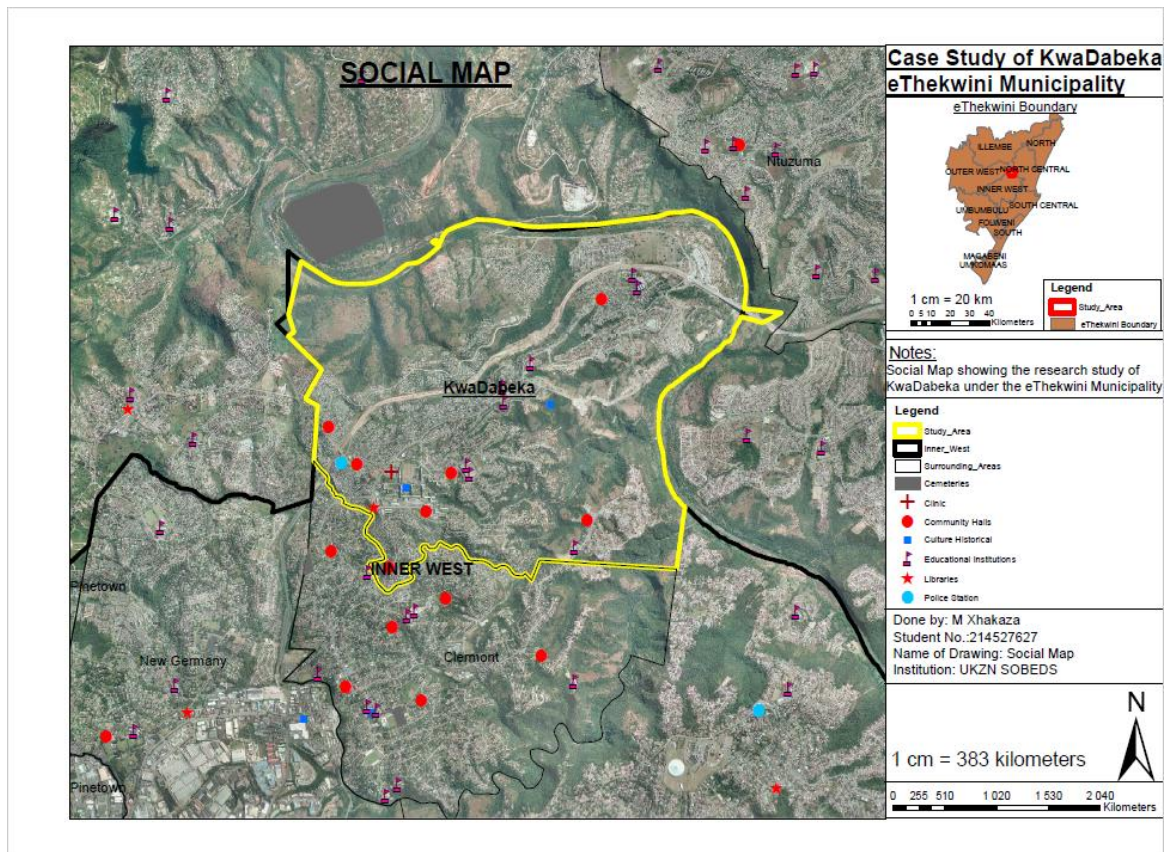
#### **5.4.4. Social Amenities**

**Table 5.5: Social amenities available in KwaDabeka**

Social Amenities
• 7 Community Halls
• 1 Police station
• 8 Schools (Primary and Secondary Schools)
• 2 Culture Heritage
• 1 Clinic

Source: Stats SA (2011)

**Map 5.2: Map highlighting the social amenities available in KwaDabeka**



Source: Author (2018)

According to the eThekweni Municipality (2010) and Stats SA (2011), Clermont KwaDabeka had access to basic social amenities within the community. However, there was a lack of social amenities such as space which community members with small businesses could utilise to promote their businesses, as well as commercial zones for job creation to create sustainable integrated settlement development, as advocated by the eThekweni Municipality IDP (eThekweni Municipality, 2010) (Refer to Map 5.2 and Table 5.5).

## 5.5. Environmental Issues

Figure 5.2: An illustration of the informal settlements along a river stream



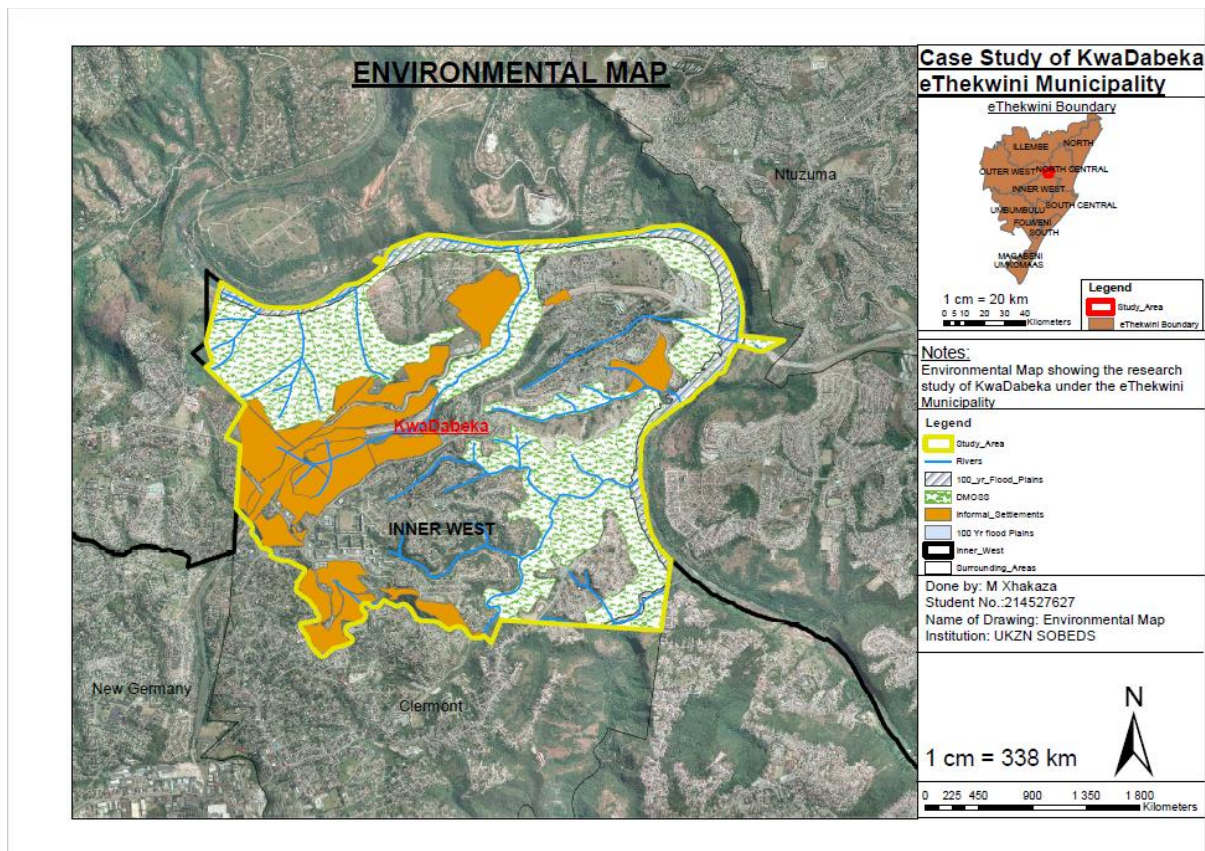
Source: Google Maps (2018)

KwaDabeka was a residential township faced with environmental issues in different parts of the township. Some parts of KwaDabeka were developed, with an adequate sewer system, adequate road infrastructure and adequate basic services. However, some parts of the township were faced with environmental issues such as bad sewer systems, brown development, inadequate housing development, as well as dirt roads.

KwaDabeka was also affected by informal settlements in and around the area, and the economic status for some parts of KwaDabeka was of the low-income group, hence the informal settlements. Some of the informal settlements were located close to wetlands or environmentally protected land (marked in the blue shade) that was not good for human habitation, exposing the people of KwaDabeka to health issues (Refer to Figure 5.2).

The Umgeni River bounded the study area to the north, which feeds north into the main Umgeni River, which ran from north-west to south-east around the north-eastern edge of the site. The Aller River formed the southern boundary of the site and linked into the Umgeni River east of the study area. There were three smaller tributaries of the Umgeni River which drained in a generally south-easterly direction and linked together to flow into the Umgeni River north-east of the study area.

**Map 5.3: An environmental map illustrating the environmental constraints of KwaDabeka**



Source: Author (2019)

The above environmental map provided an illustration of the environmental constraints within KwaDabeka. According to the above map, the brown shaded parts were a representation of the informal settlements of KwaDabeka and the blue lines were a representation of the streams within the settlements. This was an illustration of the housing need in KwaDabeka. Furthermore, it was an illustration of the habitation of the less fortunate people of KwaDabeka and such could pose health issues to the people living in these informal settlements.

## **5.6. Conclusion**

The historical background of KwaDabeka was detailed in this chapter, and a demographic summary was provided. The infrastructure and services available in KwaDabeka were highlighted; the educational levels of the community members were noted, and the social amenities or resources available in the community were detailed.

## **Chapter Six: Data Presentation, Analysis and Interpretation**

### **6.1. Introduction**

Data is analysed in this chapter, based on the findings from the residents of KwaDabeka, the Ward Councillor and the IDP Manager obtained using questionnaires and interviews prepared for this study. The results evaluate the role of public participation in the compilation of the HSP for the IDP. The significance of this chapter is to provide content that has not been generated previously and to provide recommendations based on the findings on public participation, which is required for the compilation of the HSP. The findings will be used to try to answer the main research question i.e., "to what degree has the community of KwaDabeka been able to participate in the compilation of the Housing Sector Plan of the eThekweni Municipality?" The responses from the questionnaires will be used to do so.

### **6.2. Good Governance and the Meaning of Public Participation in the HSP**

The primary aim of the eThekweni Municipality's IDP and HSP (2017a) was informing, generating knowledge with the public and facilitating service delivery for infrastructure, essential services, and housing development. The IDP of the eThekweni Municipality promoted good governance throughout the municipality and public participation and was monitored by assessing the Key Performance Areas (KPA's). The promotion of good governance and public involvement meant that the community was the driving force and the municipality worked around the housing needs of the public and was an illustration of the bottom-up approach. Furthermore, good governance entailed the processes for making and implementing decisions. According to the eThekweni Municipality IDP (2017b), good governance in relation to participation meant:

*Anyone affected by or [who] has an interest in a decision should have the opportunity to participate in the process for making that decision. This can happen either by providing community members with information, asking for their opinion, [and giving them] the opportunity to make suggestions or in some cases, be part of the decision-making process.*

However, based on the findings, the municipal officials contradicted the concept of good governance by using a top-down approach towards the public. This was revealed when the beneficiaries from KwaDabeka expressed that municipal officials used the

top-down approach during the public engagement, such as not considering the opinions of the public but rather telling the public the type of housing typology documented on the HSP, without a firm confirmation from the residents of KwaDabeka. The public of KwaDabeka expressed that municipal officials only communicated with the public when they needed something from them, such as at engagements with the public pertaining to social issues in the ward. Unfortunately, however, the cries of the people were hardly responded to. This was illustrated by Respondent 1, who expressed that:

*During the public engagement, we as the public engage with the municipal officials on the social issues and housing issues that we are faced with. However, promises are always made about coming up with solutions or strategies to assist us, but it is always silent once the information that the municipality needs from the public is gathered.*

Respondent 2 asserted that he was an active citizen when it came to public participation, as he attended public meetings to discuss development within the community. However, what was gathered from this respondent was that municipal officials did not practice good governance as the eThekweni Municipality IDP document proclaimed. This was evident as municipal officials did not share knowledge with the community about public participation for the compilation of the HSP, therefore they did not allow the community to be part of the decision-making process.

#### **6.2.1. Importance of public participation in the HSP by the public and municipal officials**

The public of ward 20 reported that municipal officials used the top-down approach when dealing with the community for the compilation of the HSP. Seventy-three per cent of the public in the study area were unfamiliar with their role, significance, purpose and responsibility with regards to the IDP and the HSP. Respondent 2 asserted that:

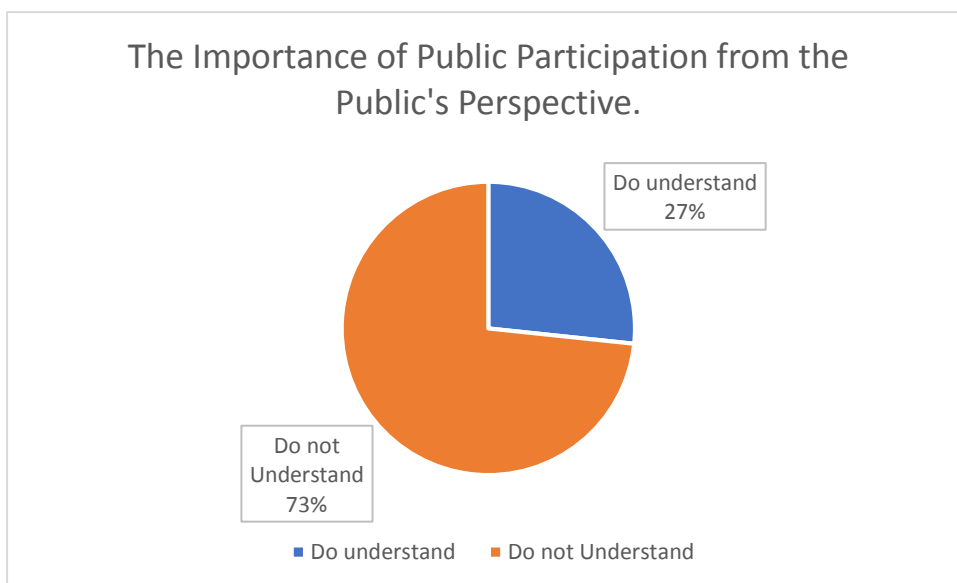
*I attend most meetings that are being called by the ward committee or the ward councillor because that is where one gets to know about future developments within the ward and that is where one gets to participate. However, not once have municipal officials explained about the IDP nor the HSP, therefore, I think the municipality has hidden agendas when explaining housing development to the community such as not wanting the community to question the municipality.*



The *Constitution of South Africa* (Act No. 108 of 1996) promoted participatory democracy, where the citizens of South Africa were allowed to participate and be involved in decision making on matters that affected their lives. Participation from the public was significant but empowering them with knowledge of projects and their role in the process was even more significant. The majority of the respondents asserted that they were not aware of the issues related to housing development, such as the local government having limited resources, especially limited access to land. Therefore, the respondent 4 stated

*Communication should be effective, especially by municipal officials, and make us aware of the problems that they face since that would make them aware of the delays and shortcomings of initiatives that are meant to benefit them.*

**Pie Chart 6.1: The public's understanding of the importance of public participation**



Source: Author (2018)

### **6.2.2. Municipal officials in ensuring that public participation did take place**

The IDP Manager explained the process of getting a housing project (HP) to be part of the HSP and that all HPs that were reported on in the HSP were those that had been identified through the Service Delivery and Budget Implementation Plan (SDBIP) Plan 3. The SDBIP, Plan 3, fell under the Human Settlements (HS) programme. However, public participation was vital for the SDBIP Plan 3 to report to the HSP about

any HPs, as this gave a platform for the municipal officials to be able to identify the housing needs of the communities. The IDP Manager asserted that:

*It is therefore vital for public participation aimed at the compilation of the HSP to take place as this gives the municipality an idea of the HP the public needs, which further saves the municipality money as there is no wastage of resources within the municipality. Furthermore, public participation for the HSP is solely based on the opinion of the public. Hence why municipal officials have to notify the public weeks before the actual public engagement, so that every community member is aware of the public engagement pertaining to [the] HSP.*

The IDP Manager further argued that within the eThekweni Municipality "active" participation from the community was essential because of the size, extent, and the institutional mechanisms of the municipality of eThekweni. He further outlined that the municipality used strategies to ensure that it achieved its long-term vision and its development framework, as well as to ensure that the public did participate. The most effective strategies that the municipality used were Community Based Planning (CBP) and Ward Based Planning (WBP); both approaches allowed the municipality to be able to reach every part of the municipality in the name of public participation. Municipal departments involved in the HSP, mostly the Department of Human Settlements (DoHS) of the eThekweni Municipality, developed a housing plan using the strategies/directions set out by the IDP, namely CBP and WBP, in order to reach out to the public within the municipality. The IDP Manager further outlined that the eThekweni Municipality's public participation was guided by the *Municipal Systems Act No. 32 of 2000 (MSA)*, Chapter 4, which asserted:

*The need for public participation within communities and how public participation at the local government level should take place. Documents like the IDP and HSP are based on the significance of public participation, especially since they plan for settlements for communities and require them to participate and play an active role during the compilation of the IDP and HSP.*

The Ward Councillor for ward 20 stated that:

*Public participation for the compilation of the HSP is vital in a sense that it is a representation of the community needs in terms of housing development.*

Since the HSP was a housing development plan for the municipality, public participation was essential because it discussed in detail how the municipality planned on solving the housing problems within the municipality with knowledge gained from the public. The Ward Councillor for ward 20 further asserted the challenges that were experienced with the KwaDabeka public's participation, which included a lack of faith since the local government did not respond to the issues that were raised by the community and used a top-down approach to implement housing projects. To address this, the Ward Councillor stated that a steering committee was used for each development in the community to articulate the various development issues. This strategy of using a steering committee assisted in terms of representing the housing needs of the community particularly, the housing development. This also assisted the Ward Councillor to take note of the issues identified by the steering committee from the community members.

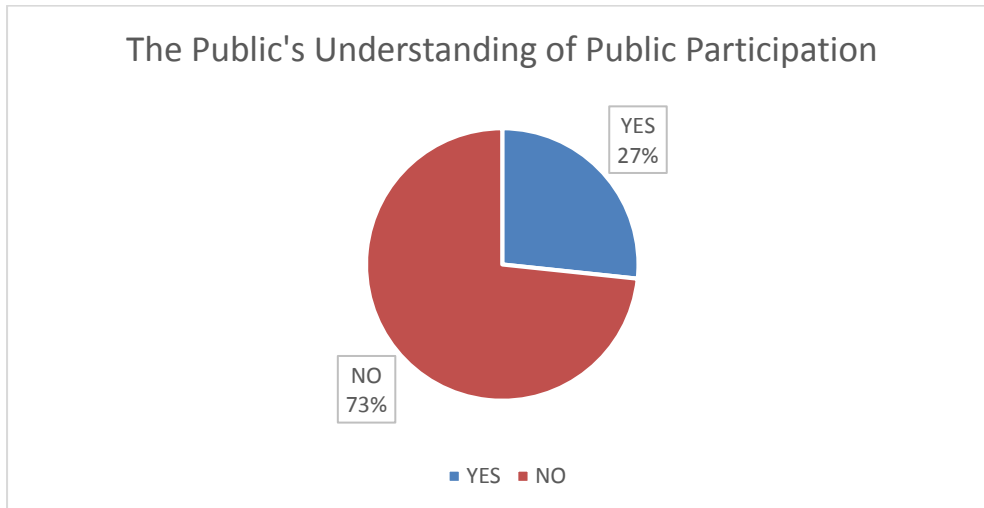
The South African Theory of Constitutionalism advocated for a developmental state using participatory democracy as a vital tool as it would facilitate the transformation of the South African society into one that was based on democratic values, social justice and fundamental human rights. One of the identified issues from this study included community members not being part of the participatory process for housing delivery. The Ward Councillor of ward 20 asserted that the public of KwaDabeka had participated in the compilation of the HSP when consulted by the municipal officials regarding housing development for the community of KwaDabeka. Furthermore, the developmental state approach which advocated for the public of South Africa to be given the means to develop their lives required long term plans and policies that would draw attention to the need for the state to eradicate poverty and inequality. It was thus important for the public to also participate in the HSP, rather than the only input to be from municipal officials. Unfortunately, the KwaDabeka public's participation was not optimal as it was found that the municipal officials used a top-down approach with the community because:

*We could not understand some of the terminologies that the municipal officials would use during the public engagement. Furthermore, most people in our community are unfamiliar with what is discussed during the public engagement, hence why municipal officials would [rather] make conclusions on behalf of the*

*public about the housing development than endlessly consult the public that does not understand the HSP (Respondent 5).*

### 6.3. Educating the Public about Public Participation

**Pie Chart 6.2: illustrating the public's understanding of public participation for the compilation of the HSP**



Source: Author (2018)

The pie chart above (6.2) demonstrated that 73 per cent of the community members of KwaDabeka did not understand the concept of public participation, while only 27 per cent of the community of KwaDabeka did understand it. This was an illustration that there was a lack of awareness with regards to the public's involvement among the residents of KwaDabeka, hence the need to create awareness about the importance of public participation in the compilation of the HSP. Some of the respondents expressed that they found it challenging to participate during public engagement meetings because the residents did not understand parts of what was discussed during the meetings. The respondents asserted that they saw the need to attend community meetings as the meetings were about sharing knowledge between the residents and the municipality. Despite this, however, the need for clarity and information was not met as municipal officials did not explain anything to the community.

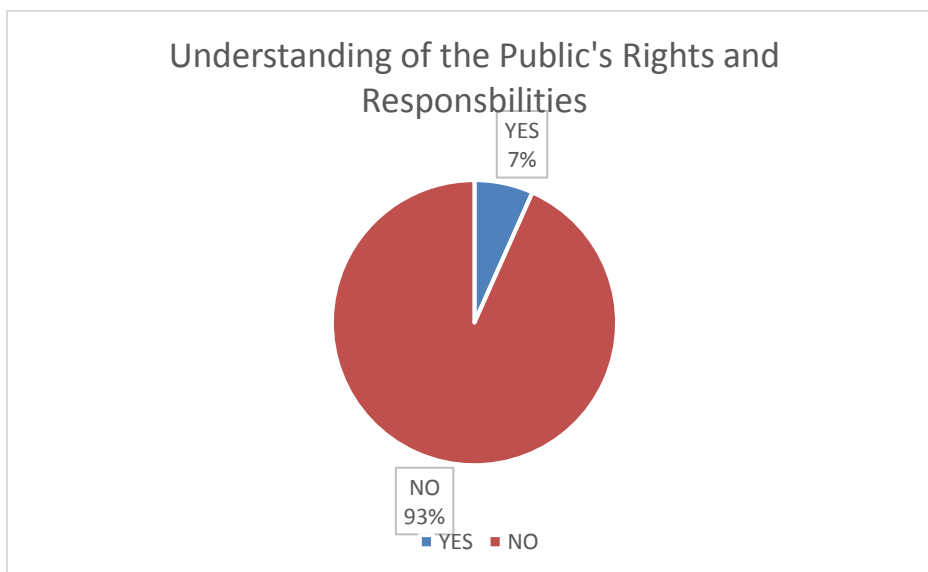
As stated, the top-down approach was used on the public during meetings between the community and the municipal officials for the gathering of information from the

community. Some of the respondents were aware of the existence, need for and importance of public participation, and to illustrate this Respondent 4 stated that:

*The ward councillor of ward 20 has implemented measures to ensure that the community of KwaDabeka does get educated about public participation. Such as area meetings which take place once a week on Thursday afternoon, and ward meetings which are usually called for by the councillor to discuss matters within the ward.*

Some respondents expressed that there are community meetings hosted by the ward committee, where the importance of public participation was discussed. Furthermore, it was a platform where the community shared their opinion about the community and a platform for the ward committee to be able to pinpoint the issues affecting the community of KwaDabeka.

**Pie Chart 6.3: Pie chart highlighting the public's understanding of their rights and responsibilities in the compilation of the HSP**



Source: Author (2018)

Pie chart 6.3 above illustrated that 93 per cent of the community of KwaDabeka were unaware of their role and responsibility regarding public participation for the compilation of the HSP, and only 7 per cent of the community of KwaDabeka were aware of public participation for the compilation of the HSP. The 7 per cent that were aware of this had gained this knowledge by reading newspapers and reading the Internet when searching for local jobs (Refer to Pie Chart 6.3). Respondent 2, who

was knowledgeable about the public's role and responsibility regarding public participation in the compilation of the HSP, expressed that:

*...Even though there are people within the community that are aware of the HSP. However, for the public to understand and participate during public engagement meetings, the municipal officials should explain the process of public participation for the HSP to the public, regardless of having some community members that are aware of the process of public participation for the HSP.*

Municipal officials explaining the process of public participation for the HSP saved time as the information needed from the public could be gathered effectively and adequately within the set period. Furthermore, it could avoid any further disagreements with the public because the public was knowledgeable about the housing process and understood the process for the compilation of the HSP.

The community of KwaDabeka expressed signs of non-participation and a degree of tokenism on the Ladder of Participation because of their wide spread lack of awareness regarding understanding the meaning, importance and the purpose of public participation in the compilation of the HSP. According to Arnstein's (1969) Ladder of Participation, where stakeholders were given the power of "educating" the public but did not educate them and instead made decisions without their participation, this was known as non-participation on the Ladder. Non-participation could be understood as preventing the community members of KwaDabeka from participating in the planning of or conducting of programmes that would provide awareness to the public of KwaDabeka about the HSP. In addition, participation that ignored the cries of the public was known as a degree of tokenism. The degree of tokenism could be explained as that the public could be heard, and they may have understood everything, however they lacked the power to ensure that their views would be regarded so the process went all wrong.

In the case of the public of KwaDabeka, during the public engagement sessions they had anticipated that the KwaDabeka A Infill housing project would utilise the "RDP" programme or its principles. However, according to 53 per cent of the public of KwaDabeka who participated in this study, when the HSP was published they actually found that it was very different to what had been discussed during the public

participation process. Instead they learned that the housing programme that would be enacted for the housing development would be the “Breaking New Ground” (BNG) programme and principles which would include various housing typologies such as semi-detached and free-standing housing, to name a few. As a result of the public's lack of knowledge about the housing process and their role in public participation, they failed to question the HSP after it was published. Publishing the HSP without notifying the community members of KwaDabeka about the changes in the housing typology was an illustration of passive participation (non-participation).

#### **6.4. The Role of the Municipality in Ensuring Public Participation in the HSP**

The *Constitution of South Africa* (Act No. 108 of 1996) recognised participatory democracy because of its important element, namely to readdress the imbalances of the apartheid era. The primary concern of participatory democracy was ensuring that citizens were allowed to participate or otherwise be involved in decision-making on matters that affected their lives, in this case participation in the HSP. Participatory democracy also called for transparency from the municipal officials and the Ward Councillor when dealing with the public. The public of KwaDabeka however expressed that there was no such thing as participatory democracy because municipal officials took advantage of the fact that the public was not knowledgeable about their required participation in the compilation of the HSP and failed to enlighten them. As a result, the public of KwaDabeka expressed that they had been side-lined during the public engagement sessions, hence some of them no longer participated in any of the development processes, especially the compilation of the HSP. It was thus evident that participatory democracy had not been practiced effectively in KwaDabeka, despite the legal mandate to do so. The role of the municipality was not to side-line the public but rather to enlighten the people and practice participatory democracy effectively.

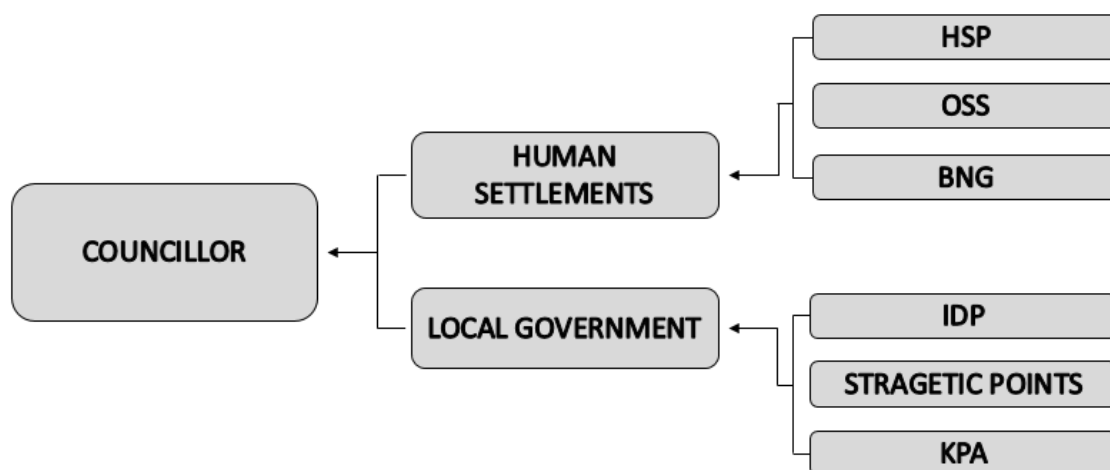
The municipality's role in public participation was not to mislead the public, as had happened in the Diepkloof case study (Fontein, 2007). The municipal official's duty during public involvement was to inform the public about the nature of their participation. The IDP Manager stated that during public involvement for development of the HSP, the community had to be made fully aware of the period for the delivery of the housing, the nature of the delivery, and the objectives of the housing project. Furthermore, it was asserted that there were different levels of participation and within the standards of participation the interaction required was different. There was a need

to contextualise participation to gather the correct information from the public, and the communities involved had to be made fully aware of what their involvement entailed. The IDP Manager explained that:

*Public participation cannot be contextualised to be about housing development, but the dialogue change to be about lack of service delivery within the community. Therefore, the dialogue during public engagement should be contextualised accordingly and should be stuck to.*

The IDP Manager explained the process that the Human Settlements Unit of the eThekweni Municipality had to follow in order to ensure that public participation did take place. He asserted that even though there was a change in Ward Councillors every five years, the municipality did conduct workshops to induct ward councillors about municipal strategies, municipal policies and municipal programmes, especially those pertaining to housing development and the HSP. Such workshops were conducted in order for Ward Councillors to be able to promote public participation within their municipal wards and for these councillors to create awareness of public participation for the HSP prior to the actual meeting soliciting participation in the HSP.

**Figure 6.1: Diagram of the various institutions and department that conducted workshops for councillors**



Source: Author (2018)

Furthermore, it was asserted by the IDP Manager that the promotion of good governance within the municipality was what the IDP stressed because it was the core



of creating effective and accountable governance to assist the municipality in changing the socio-economic conditions of the public. The IDP Manager highlighted the importance of educating ward councillors about the municipal policies and programmes, and the importance of public participation in the development of the HSP. With the help of Ward Councillor's change was implemented on a small scale which could be monitored easily, rather than changing the socio-economic status of the public on a large scale that could not easily be controlled. As such Ward Councillors were used to encourage public participation in the compilation of the HSP (IDP Manager, 2018). Furthermore, the KPA on good governance and public participation in the eThekweni IDP highlighted that it was the municipality's role to ensure that the public participated effectively in the development of the HSP. To ensure that this was the case, the IDP was reviewed annually. The reviewed IDP tracked the progress of the different projects, HSP projects and initiatives, as well as amended the document based on the contribution of the public.

#### **6.4.2. Role of the ward councillor to ensure that public participation takes place**

The purpose of the councillor in public participation for the compilation of the HSP was to ensure that the community did participate. Furthermore, the role of the councillor included being an intermediary because the councillor called the community to participate in the formulation of the HSP. The ward councillor asserted that:

*After the meeting for public participation has taken place, the Municipality IDP Office reports to me as the Ward Councillor on the progress on the HSP and the status of the housing project, and then I as the ward councillor report to the public of KwaDabeka on the progress of the housing project that the public participated [in] for the compilation of the HSP. If there are any reports from the public of KwaDabeka, then the councillor must report [those] to the Municipality IDP Office.*

The Ward Councillor stated that there were measures necessary to ensure that there was effective public participation from all members of the public within Ward 20. The Ward Councillor stated that:

*He [had] ward committee meetings with the community of KwaDabeka as a ward.*

Ward committee meetings were meetings where the whole ward's residents raised issues within the ward that needed resolving. Then there were area meetings that were based on specific areas within the ward. At area meetings the ward councillor could address any issues pertaining to that particular area without having to have general ward meetings. Area meetings assisted when sector participation was required, such as public participation in the HSP. Instead of having a general ward meeting to solicit public involvement for the compilation of the HSP, it was preferable to narrow the meeting down to the area that needed the housing projects and engage the public from that area regarding the HSP.

### **6.5. Benefits of Public Participation for the Public**

The IDP, which was guided by the MSA, promoted public participation with locals for the effective and efficient use of scarce municipal resources as well as ensuring that the issues of the post-apartheid government were resolved within the municipality. The involvement of the local residents in the affairs of the municipality, especially the housing process, was an opportunity for the public. The main benefit of public participation was offering the public the chance to be part of the decision-making process, educating them and creating awareness regarding participation within their communities for the greatness of the people (Marzuki, 2015). This was what the *Constitution of South Africa* (Act No. 108 of 1996) advocated for. Furthermore, Todes (2003) identified the key role of the IDP, more particularly the housing process, as being a contributing factor to sustainable development by educating the public about the housing process and about their rights, roles and responsibilities in the participatory process.

The IDP Manager asserted that in developing the IDP, different avenues required the participation of the public. The opportunities that were identified by the IDP manager for the housing beneficiaries using the housing process were:

1. **Education**: the public of KwaDabeka got to be informed/educated about the municipality's policies and programmes to promote sustainable growth within the municipality and specifically the area of KwaDabeka. The local government facilitated the public's education about the housing process and provided them with a platform where they could voice their concerns during the planning phase of the housing process and the compilation of the HSP. The public were thus

made aware of the fact that they were in the driving seat of the decision-making on housing issues that affected the lives of the community.

2. **Promotion of local economic development (LED)**: the promotion of LED was fostered from the implementation phase of the housing process, according to the IDP Manager (2018). The implementation phase of the housing project thus became an opportunity for the public of KwaDabeka in the sense that it created job opportunities for the unemployed within the community and provided small local businesses with opportunities for work using the Supply Chain Management (SCM) Process. The SCM process allowed for the co-operation of small local businesses and contractors, more particularly small construction companies, in the local housing development.
3. **Sustainability**: the IDP had six strategic priority points and one of them was creating sustainable livelihoods. This strategic priority point was, however, impossible to achieve without the participation of the public. Hence for this case study the help of the public of KwaDabeka was essential to make this strategic priority point achievable, given that the public had greater insight into the community and its needs than the municipality did. Through this strategic priority point the public of KwaDabeka were given an opportunity to engage with the municipality and provide them with a glimpse of their living conditions. The municipality was then able to meet the people of KwaDabeka's needs, both current and future.

The municipality was also able to provide the people of KwaDabeka with the tools for survival so that they could support and sustain themselves after the housing development had taken place. Although the public could voice their concerns about housing needs, it was the duty of the municipality through public engagement to educate the public about sustaining themselves. This could be done through the promotion of LED and by providing knowledge to those that had small businesses in the community on how to sustain and grow their businesses. If the municipality's vision was to create a sustainable municipality, it needed to give its people the means of sustaining and maintaining the housing development and the community after the housing had been delivered.

This would then enable it to focus on other communities within the municipality and assist them to create sustainable livelihoods as well.

## **6.6. Challenges Experienced during Participation of the Community in the HSP**

There were numerous issues raised by the public of KwaDabeka regarding their participation during the compilation of the HSP of the IDP. Firstly, the public were of the opinion that before the municipal official gained knowledge from them and the issues in KwaDabeka regarding the HSP for the "benefit" of the municipality, he/she had a duty to explain the process to them so that they could be adequately educated. The public were of the opinion that they could not participate in the affairs of the municipality if they did not understand the meaning, importance or the purpose of participating in the affairs of the municipality, more particularly the HSP. The KwaDabeka community may well have been a desperate community in terms of poor service delivery and a lack of housing, but as real as their needs were, it was the municipality's duty to educate the community before becoming involved in their affairs.

A problem arose because of the public of KwaDabeka's lack of knowledge about the housing process and its meaning, importance and purpose, because it meant that the municipality could hide information from them. An example of the type of information that could be hidden from the public was the type of housing that would be part of the HSP. The HSP had documented that the housing to be provided for the KwaDabeka A Infill housing project would be townhouses (housing that would share a wall) (Respondent 2, 2018; Ward Councillor, 2018). However, according to the public of KwaDabeka they had requested freestanding houses because of the numerous benefits associated with this type of housing. These benefits included a yard where the people could perform ancestral rites and a place where children could play and still be safe. The change regarding the housing typology that was going to be given to the people was not communicated to them until it was too late for them to comment/object (Respondent 2, 2018). The public were only told that the housing typology had changed at a community meeting held after the HSP had been published. Because of the public of KwaDabeka's lack of knowledge about public participation, they were not aware of the avenues that could be used to challenge the HSP or the municipality (Respondent 2, 2018).

Had the community of KwaDabeka been educated about the housing process or the importance and the purpose of public participation in the compilation of the HSP, they would have had the ability to question the municipal officials because they would have been aware of their rights and responsibilities, as well as the responsibilities of the municipality. They would have been able to understand the whole housing process and compilation of the HSP, have understood what the municipality communicated to them, and been able to recognise when the municipality was not being forthright.

The Batho Pele (BP) principles were a holistic framework that aimed to be practical and beneficial to the internal and external customers (the public) of the public service. These principles were meant to guide municipal officials in public service delivery. The BP principles that were aligned with section 16 of the *Municipal Systems Act* (No. 32 of 2000) spoke of municipalities adopting a culture of municipal governance that would complement the formal representative government with a system of participatory governance. The BP principle of Regular Consultation with Customers (Public) was unfortunately not apparent to the KwaDabeka community, even though this was the principle that the municipal officials that were consulting with the public of KwaDabeka should have made the most use of during the public engagement process. With regular public engagement the municipal officials would have realised that the public lacked knowledge about public participation or the HSP and then educated them accordingly. It was, however, evident that municipal officials consulted the community for the benefit of the municipality and not for the benefit of the public.

**Table 6.1: Table of the officials that were usually present during meetings for public engagement**

<i>Municipal Officials</i>	
<i>Ward Councillor</i>	20
<i>Housing Representatives</i>	16
<i>IDP Representatives</i>	4
<i>Community Developers</i>	4
<i>Ward Committee Members</i>	16
<b>Total</b>	<b>60</b>

Source: (Author, 2018).

Table 6.1 above showed the various numbers of municipal officials who were usually present at community meetings called by the Ward Committee or the Ward Councillor to deal with the housing development in ward 20. According to the table the number of Housing Representatives equalled the number of Ward Committee Members, yet according to the Pie Chart 6.3 the public were still unfamiliar with the process for the compilation of the HSP and their rights (as the community) to the HSP. This was an illustration of passive participation on Arnstein's (1969) Ladder of Participation; although the Housing Representatives were present at community participation meetings, the community was not fully aware of the purpose of the meetings. This was also an indication that municipal officials attended these meetings to gain information that was required for the benefit of the municipality only and not for that of the public. This finding from the public placed a question mark on good governance and public participation, as well as how it came to be that the HSP in the IDP that was compiled for ward 20 could be published when the community of ward 20 was still largely uneducated about the housing development and the HSP for their ward.

#### **6.7. Challenges Experienced during Participation of the Municipality in the HSP**

Several challenges were highlighted by the IDP Manager and the Ward Councillor of ward 20 during the participation process for the HSP. The municipal officials explained that there were processes that needed to be followed prior to, during and after public involvement meetings had been held. These proved challenging to the public participation process for the formulation of the HSP, as the public got tired of the repetition of the process (IDP Manager, 2018). According to the IDP Manager (2018):

*When the public thinks of public participation, the public tends to think it is one public engagement meeting. However, it is numerous public engagement meetings to ensure that all the information collected is correct. This results in the public losing hope and [it] does not participate with the same enthusiasm as compared to when the public engagement meetings were starting.*

The Ward Councillor elaborated on the challenges, adding that residents did not attend public engagement meetings even though the meetings had been narrowed down to areal meetings within the ward. This then led to a sense of confusion and ignorance

on the residents' part when it came to housing development. The Ward Councillor further expressed that those same community members were usually the ones who claimed to not have knowledge about the ideas that contributed to the compilation of the HSP. Furthermore, the public's subsequent lack of knowledge about the process of compiling the HSP also presented a stumbling block because they failed to understand and appreciate the procedures entailed when compiling the HSP.

## **6.8. Conclusion**

Based on the findings of the current state of affairs of public participation in the legislative sector, it was clear that there were many positive factors and innovative ideas in place across the legal landscape. The picture painted, however, also reflected some glaring gaps in areas which were crucial in ensuring and facilitating greater public participation in legislative matters. There were human and financial resources in place to assist the basic public participation function, as well as systems and processes in place for most public participation aspects, to ensure that public participation took place for the betterment of every citizen within the municipality.

Chapter Six has presented the findings and an analysis of the data collected from the study area of KwaDabeka – Ward 20, which was collected through questionnaires distributed to the housing beneficiaries and interviews with the municipality officials. The study revealed that the municipality should have done a lot in looking at the goals and needs for participatory democracy when compiling the HSP for the IDP. The public of KwaDabeka suggested that the municipality needed to put more effort and resources into engaging with them for the compilation of the HSP. It was necessary to ensure that the public participated for the betterment of their lives and in the interests of creating sustainable livelihoods for the municipality as a whole. Adequate education on the processes and attendance of the meetings would ensure that the municipality did not blindsides the public with information when it was too late to do anything about it.

## **Chapter Seven: Summary of Findings, Recommendations, and Conclusion**

### **7.1. Introduction**

The researcher's primary purpose was to assess the public's participation in the compilation of the Housing Sector Plan as a process of the Integrated Development Plan. The purpose of this chapter is to summarise findings made in Chapter Six, which were important to evaluate the public's participation throughout the compilation of the HSP for the IDP. In addition, it will assess the role of the Ward Councillor, Ward Committee and the municipality within the public participation process from a practical perspective. It further makes a conclusion on the entire study and makes recommendations on the way to ensure effective public participation throughout the compilation of the HSP for the IDP, for both the housing beneficiaries and the eThekweni Municipality.

### **7.2. Summary of the Findings**

The initial chapter provided the introduction for the entire study. The problem statement highlighted the interest in the topic that aimed to assess the public's participation during the compilation of the Housing Sector Plan of the Integrated Development Plan of the eThekweni Municipality. The objectives were noted and aligned to the research questions. Further, a hypothesis was stipulated and based on the findings the hypothesis was accepted, even though gaps in the public participation process were still evident that must be addressed.

The second chapter provided the methodology that guided this study, which was the mixed-method approach that enabled the researcher to make use of both quantitative and qualitative methods to highlight the findings and further analyse them. The limitations of this study were noted, and the possible ways in which they could be addressed or overcome were mentioned.

To accomplish the study's aim the study started with a literature review focusing on public participation, its origins, theories and application, in both the international and local context. Then the subject was narrowed down to relaying the application of public participation within the local South African context, with a particular focus on the local environment. Quantitative and qualitative techniques were employed in directing the examination. In-depth and semi-dependent interviews were conducted with the



KwaDabeka housing beneficiaries, along with the Ward Councillor and the eThekweni Municipality IDP Manager.

The information collected from the respondents was analysed, with two fundamental themes arising from the data. The first theme identified was the "significance of teaching the public about public participation," and the second theme was "municipal roles in ensuring that public participation did take place."

The first theme that was applied was the importance of educating the public about public participation. The researcher evaluated and found that 73 per cent of the community members of KwaDabeka did not understand the concept of public participation, and only 27 per cent of the community members did understand public participation. In addition, 93 per cent of the community members of KwaDabeka were uneducated about their position and duty to participate publicly in matters that affected them, while the remaining 7 per cent were knowledgeable about their role in public participation.

On the aspect of the importance of educating the public about public participation, the study found that there was a gap on the part of the municipal officers and the community members about educating the public about participation. The community expressed that municipal officials no longer explained the housing process throughout the process of public engagement, whereas municipal officials expressed that prior to public engagement the importance, roles and the responsibilities of the community members were explained to them.

With regards to municipal officers ensuring that public participation did take place and the challenges from the perspectives of the beneficiaries and the municipality: according to the findings the community members of KwaDabeka expressed that the municipal officials used a top-down approach with the public during public engagements. Public engagement was found not to be successful because the municipal officials blindsided the public by presenting an HSP that was not in accordance with their housing requests and did not explain the public participation system for housing development and the formulation of the HSP adequately. As a result, the public did not participate as anticipated in municipal policies and programmes. Furthermore, the residents' lack of understanding of the process for the

compilation of the HSP was also a hindrance and time consuming as municipal officials had to explain the process to the residents repeatedly.

To sum up the findings, the study determined that the information that the housing beneficiaries of KwaDabeka had about public participation for the compilation of the HSP for the IDP was not adequate. The community members had their perceptions of how public participation had to be conducted and felt that the public engagement process was not consistent with their perceptions. The finding was thus that the beneficiaries were not satisfied with the manner in which the public engagement was conducted. The beneficiaries had been blindsided by the municipality publishing an HSP housing typology that was not agreed upon during the public engagement.

### **7.3. Recommendations**

The following are recommendations that seek to assist and improve the public's participation during the compilation of the HSP for the IDP.

#### **7.3.1. Batho Pele principles**

Ababio (2004) complimented the Batho Pele standards, stating that they formed a brand-new holistic framework for service delivery to be realisable, practical and beneficial to the government's internal and external customers. The BP principles that were aligned with section 16 of the *Municipal Systems Act* (No. 32 of 2000) guided the municipality to develop a system of municipal governance that complemented the formal government with a system of participatory governance. Furthermore, the BP principles were based on the ideals of the *Constitution of South Africa* (Act No. 108 of 1996) that sought to promote and maintain a high standard of ethics and to make sure that citizens were encouraged to take part in policy-making and public service delivery (Nzinakwe & Mpehle, 2012).

Looking at the case of KwaDabeka, it was evident that the public there had not been encouraged to take part in the compilation of the HSP because they lacked sufficient information about public engagement and the housing development process. This resulted in passive participation (minimal participation) from the public, which had an effect of the housing typology that was documented in the published HSP. It is therefore recommended that before publishing the HSP and the IDP, the eThekweni various municipalities must ensure that the proposed housing improvements

accurately reflect what was agreed upon during the meetings where public engagement was sought.

It is further recommended that municipal officials employ a bottom-up approach during general public engagement. This means that municipal officials must take note of what the public has to say during the general public engagement, rather than imposing decisions on them. By utilising the bottom-up approach the municipality may be able to identify opportunities and constraints and help create sustainable livelihoods for the public across the municipalities.

### **7.3.2. Public participation to be more democratic**

Democracy was only possible when the public was afforded the opportunity to actively and meaningfully participate and contribute to their development and well-being (Ababio, 2007). Generally, when called upon to participate at public engagement meetings, the public tended not to communicate with each other and tended instead to interact with the municipal officers (Cash & Swatuk, 2011: 72). For public participation to be democratic and aimed at people-centred improvement, the public had to be more proactive and suggest solutions themselves, instead of waiting for an invitation to participate from the local government. According to Friedman (1987: 407), there needed to be a "step-by-step technique of radical reform and social learning in all domains of public action." This could be accomplished by "developing skills and abilities" that would enable the public to "negotiate with the development delivery system" so that they could make their "very own decisions in terms of [their] own needs and priorities" (Nzinakwe & Reddy, 2008).

In the case of KwaDabeka the study discovered that public engagement was no longer as democratic as it ought to have been for the community participants. The study discovered that the community of KwaDabeka could not articulate their housing troubles and requirements at public engagement meetings because despite their participation, their views were not acknowledged and considered. For public participation to be democratic, it is recommended that at public engagement meetings municipal officials create a platform where the public can participate and articulate their concerns and views. Furthermore, public engagement ought to be a learning platform for the public about municipal policies and programmes. It is also

recommended that the municipality publishes comments from public participation meetings as a way of displaying transparency and democracy.

The BP principles advocate for proper governance by municipal officials and in this vein the researcher recommends that municipal officials consult with the public prior to public engagement meetings, so that they may establish how much the public understands about public participation and the housing system. By doing so these officials will be able to determine if there is a need for the public to be educated about public participation and they may then schedule workshops to accomplish this. This will promote a more democratic public participation process.

### **7.3.3. Educating the public about participation**

Actual participation that was "educative and engender[ed] negotiation" would encourage proactive participation (Aregbeshola *et al.*, 2011). When the public was involved throughout the process of development, rather than being notified when the development was in process and of the outcomes, they would become knowledgeable about the participation procedure. A civil society educated in development and its processes would be able to see local possibilities and constraints, hence the importance of education in public participation, which could lead to development proposals being delivered or evaluated by the public in a proactive way.

Public participation ought to be a two-way process, meaning that the public ought to be able to influence the agenda, rather than just being part of the consultation (Mzimakwe, 2010: 503). A more proactive public participation would help stimulate people-centred development and create a balance of power between the local authorities and the participating society.

Therefore, it is recommended that prior to beginning the public engagements, the municipal officials must make sure that the public is knowledgeable about the participation process ahead. There is a need for educational workshops on capabilities and workshops where knowledge about the participatory process is given to the public before the real public engagement commences.

#### **7.3.3.1. Challenges associated with public participation**

According to Fung & Wright (2003: 5, cited in Muse & Narsiah, 2015), "public participation help[ed] to empower citizens. Ordinary citizens [we]re included in the

process of decision making. It helps[ed] to generate superior solutions as a result of wider deliberation and the existence of multiple strategies for solving problems". "... Strengthening and empowering local government has been justified, not only on the grounds of making local government more efficient, but also based on increasing accountability and participation" (Heller, 2001: 132). The proposals of Wright (2003) and Heller (2001) formed the basis of solutions to the challenges of public participation in KwaDabeka.

The challenges expressed by the residents of KwaDabeka were related to their lack of knowledge of the process for the compilation of the HSP, and the municipal officials using a top-down approach during public engagements. Therefore, it is recommended that municipal officials practice transparency with the public. The researcher suggests that during the public engagement, municipal officials must provide the community with full information on grid projects (full application with maps and tables, background studies, etc.), as well as understandable and comprehensive summaries, including maps and pictures (Rottman, 2013). Furthermore, information must be spread proactively, for example in newspapers, posters on the roadside or in the Ward Councillor's office (Sizakala Centres).

#### **7.4. Conclusion**

Public participation in decision-making was broadly taken into consideration as a key to democracy. It was a mirrored image of the democratic system followed (or not in a country). It was broadly regulated in global, regional and local regulations at different levels and was based totally on the essential human right to hold and express opinions, and to seeking, receiving and imparting ideas. It was first and most importantly regulated as a human right and protected by law. It was also regulated via different legal norms and regulations strongly related to freedom of expression, the right to have knowledge, the right to have justice, and many others. Public participation was thus also regulated through norms of direct democracy, which included referenda, or the right of residents to propose rules for themselves.

In conclusion, the study presented the findings relating to public participation during the compilation of the HSP in KwaDabeka Clermont. The study found that most of the residents of KwaDabeka were unaware of the process for the compilation of the HSP. Furthermore, the residents of KwaDabeka lacked understanding of the importance of

public participation and public policing as a whole. Therefore, the residents of KwaDabeka expressed signs of non-participation as well as a degree of tokenism of the Ladder of Participation while participating during the compilation of the HSP. The reason being that the community lacked awareness and did not understand the meaning, importance, and the purpose of public participation for the compilation of the HSP.

The hypothesis of the study was to test if the involvement of the residents of KwaDabeka through participation in the compilation of the HSP would create a sense of belonging and ownership. The study discovered that because of minimal participation by the residents, public participation during the compilation of the HSP did not create a sense of ownership and belonging for the people of KwaDabeka. It was worth noting that the challenges that the municipal officials were faced with were faced by the community of KwaDabeka to some degree as well. The researcher concluded that because of the lack of knowledge on the community's part, the process of compiling the HSP would take longer than anticipated as the community would want to understand the process better prior to participating. It is therefore recommended that the municipality revise their strategy and revisit communities prior to and after the publishing of any policy, especially the HSP. This should assist the municipality to determine if participating in the compilation of the HSP does indeed create a sense of belonging and ownership for the people.

To sum up, the aim of the study which was to evaluate the public participation in the compilation of the HSP as a process of the IDP was achieved. However, there was still room for improvement on how the participation was conducted for the compilation of the HSP. Drawing from the findings presented, the residents of KwaDabeka had participated in the compilation of the HSP, however they themselves were subsequently uncertain about whether or not they had participated, due to their lack of understanding of public participation and the process of compiling the HSP. Hence there was a need for municipal officials to ensure that residents were fully aware of what public participation was and of the influence that their participation had on the compilation of the HSP.

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