INTEGRATED DEVELOPMENT PLANNING AS A PUBLIC POLICY MODEL AND PUBLIC PARTICIPATION TOOL IN FETAKGOMO LOCAL MUNICIPALITY, SOUTH AFRICA (2000-2009)

by

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DEDICATION

I dedicate this dissertation to my parents, especially my mother, Raisibe Sebei, a rural woman who by all means tried with little financial resources to ensure that I go through all educational levels, from primary to tertiary education. I thank you so much.

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DECLARATION

I, Matime Thabisho Sebei, hereby declare that this research study entitled ***"Integrated development planning as a public policy model and public participation tool in Fetakgomo Local Municipality, South Africa (2000-2009)"***, is my own original work and as far as I'm aware, has not previously in its entirety or in part been submitted at any university in order to obtain and academic qualification and that any references included herein been duly acknowledged.

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ABSTRACT

The study investigates the integrated development plan as a public policy model and public participation tool, with reference to Fetakgomo Local Municipality in Limpopo province of South Africa. The researcher conducted the study through qualitative and quantitative research methods. Furthermore, triangulation research methods have been also taken into consideration with the aim of achieving the objectives of the study in applying a variety of data collection techniques. The study involved a number of data collection techniques, namely a desktop study, literature review, case study and documetary review. Specifically, the study focused on the following objectives:

i.   To assess how the municipality develops and presents the Integrated Development Plan to the community;

ii.   The structures promoting IDP, good governance and public participation;

iii.   To bring to light any political inteferences which may hamper municipal service delivery;

iv.   To critically analyse the implementation of *Batho Pele* principles as a way of community involvement; and

v.   To identify and assess the challenges faced by both the community and the municipality during public paticipation in IDP processes.

Throughout the study, Fetakgomo Local Municipality was found to have some strengths, but it was also found that there is room for improvement in terms of providing a better and more understandable integrated development plan. In conclusion, meaningful public participation in the IDP process requires that citizens should be afforded an opportunity to raise their concerns and be taken into consideration, that they should be informed and be knowledgeable about municipal activities. The community must be willing and able to be involved. Community members must have the interest, time, opportunity and access necessary to participate. The community must take responsibility for the quality of their participation and be accountable to each other for effective and efficient use of time

and other resources. Concluding the study were reccommendations to improve the state of IDP and public participation in the municipality.

ACRONYMS AND ABBREVIATIONS

ANC   African National Congress

DLGH   Department of Local Government and Housing

IDP   Integrated Development Plan

MPRDA   Mineral and Petroleum Resources Development Act

NPM   New Public Management

RDP   Reconstruction and Development Programme

PGDS   Provincial Growth and Development Strategy

PP   Public Participation

PA   Public Administration

SALGA   South African Local Government Association

SDBIP   Service Delivery and Budget Implementation Plan

DEFINITIONS OF KEY CONCEPTS

The key terms defined below are referred to throughout the study. The purpose of this clarification is to ensure that the reader shares the interpretation and understanding of the concepts as articulated by the researcher.

Constitution In terms of Section 2 of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), the Constitution is the highest supreme law of the land that contains fundamental principles outlining the general philosophy, objectives and powers of national, provincial and local government. It implies a fundamental law that prescribes the framework of government and the nature and extent of government authority.

Development can be defined as positive social, economic and political change in a country. Development implies a process by which members of society increase their personal and institutional capacities to mobilize and manage resources to produce sustainable and justly distributed improvements in people's quality of life (Meyers et al, 1995: 11). The World Bank views development as an indicator of wealth, which reflects the quantity of resources available to a society, provides information about the allocation of those resources, for instance, about more or less equitable distribution of income among social groups, about the shares of resources used to provide free health and education services, and about the effects of production and consumption on peoples' environment. Therefore, it is no wonder that countries with similar average incomes can differ substantially when it comes to peoples' quality of life, access to education and health care, employment opportunities, availability of clean air and safe drinking water, the threat of crime, and so on.

Developmental Local Government The White Paper on Local Government (1998) defines developmental local government as a sphere of government committed to work with citizens and groups within communities to find sustainable ways to meet their social, economic and material needs to improve their quality of life.

Integrated Development Plan The DLGH (1998/1996:6) defines integrated development planning as the process through which municipalities prepare a prescribed strategic development plan for a five year period. The Integrated Development Plan is the product of the integrated development planning process. The IDP is, therefore, the principle strategic planning, budgeting, management and decision-making tool in a municipality.

Municipality Fourie (2001:22) describes a municipality as a political subdivision that is established in terms of sections 151 and 152 of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), and has control of local affairs including the power to raise taxes. A municipality is a local institution comprising councilors and officials, who function within a specific geographical area to provide services to their local community.

Public Participation as a concept has been defined differently by various authors. Pring and Noe (2002) define public participation as an all encompassing label used to describe various mechanisms that individuals or groups may use to communicate their views on a public issue. They argue that public participation is used to build and facilitate capacity and self-reliance among the people. Therefore, public participation is the involvement of citizens in initiatives that affect their lives. Brynard (1996: 40) went further by defining public participation as generally accepted terminology employed locally in relation towards the community and involves a two-way exchange of information between ward councillors, the public, community interest or sectoral groups and local government structures.

Public Policy can be defined as an intention of government to achieve a certain goal. According to Dye (1978: 6) the primary objective of public policy is to promote the general welfare of society. Promotion of the general welfare implies, among other things, measures counteracting poverty, upliftng of minority groups and the promotion of industrialization, thereby creating job opportunities. In brief, public policy defines actions government intends to undertake and it also enables government to determine which resources should be utilised to meet the needs of particular actions.

Reconstruction and Development Programme (ANC, 1994: 1, RSA, 1994: 7) refers to a policy framework developed by the African National Congress, the South African Communist Party and the Congress of South African Trade Unions for the Government of National Unity as a basis of government programmes for the reconstruction of South Africa.

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CHAPTER 1: INTRODUCTION

1.1 INTRODUCTION

Since 1994, South Africa has experienced a steep and very difficult learning curve with regard to local government development. The institutional design, in general and specifically, put in place systems, procedures and programmes for local government. When the period of transition arrived, the new democratic dispensation was put in place and South Africa inherited a very dysfunctional local government system based on inappropriate jurisdictions, structures and programmes. During the years since the dawn of democracy in South Africa, great and significance progress has been made in designing municipal systems and structures, mechanisms for service delivery and governmental principles intended to promote sustainable development. Under the democratic regime, the issue of public participation has become a much debated issue in South Africa. It is evident that most of the literature on public participation considers the concept as a *sine qua non* of a democratic society (in De Crocg, 1969: 36), which indicates that public participation is an end in itself and that it needs to be promoted and encouraged in order to preserve democracy. That public participation is essential for the continued existence of democracy can clearly be seen when the ancient concept of democracy is considered. This will make it clear that public participation, while it may seem to be non-existent in many societies, is not a new phenomenon (Stewart, 1976: XI).

In none of the spheres of government has the emphasis on integrated development plan and public participation been more keenly felt than in that of local government. This is mostly due to the fact that the municipality is where the greatest constitutional and statutory obligation for public participation exists. Perhaps it is also because this is the sphere of government perceived as the sphere "closest to the people" and because it is basic service delivery orientated.

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This chapter traces the evolution of local government pre and post 1994 and also explores avenues for and, most importantly, the role of integrated development planning. The IDP was an instrument used to contextually respond to the gap and challenges facing the post-apartheid government which was led by the African National Congress. After the brief introduction of local government, which integrates development planning, in this chapter the role of public participation at the local government level will also be considered. This is done with due regard for the fact that the local government level or municipalities are people's closest sphere of government, it is therefore imperative to local communities to actively engage with the activities of the particular municipality.

1.2 THE LOCAL GOVERNMENT SYSTEM IN SOUTH AFRICA: BEFORE AND AFTER 1994

Local government refers to a collective of political and administrative authorities constituted by law which have substantial control over local affairs and are responsible for providing services such as education, environmental health, water, electricity, housing, social care and many more services, all of which benefit the local community.

Mgwebi (2010: 2) indicates that local government is required to take a meaningful leadership role, and that citizens and stakeholder groups have to be empowered and partake in the development process, in order to create social resources and engender a sense of common purpose in finding sustainability local solutions. Local municipalities, therefore, have a critical role to play as influential policy makers, decision makers and as institutions of local democracy close to local communities. It is in this regard that local municipalities are now being pressurized to become strategic, visionary and vastly influential in the way they operate. The South African government decentralized power to local government in order to create more and better opportunities for direct participation in service delivery, policy and decision-

making processes by civil society. These actions were conducted in an effort to speed up reformation of the development of local government.

The 2000 local government elections were the first truly non-racial, democartic local government elections as it dispensed with the racial qoutas of the previous elections (Fakir, 2006). Before 1994, local government had been structured to facilitate and regulate the agenda of racial segregation and exclusion. Consequently, each racial group was afforded its own type of local government and different types coincided spatially with the formal segregation of races in terms of Native Areas Act (1923) and later, the Group Areas Act (1952). Practically, it meant that the four designated racial gropus (in terms of the Population Registration Act of 1950), namely Whites, Coloureds, Indians and Africans, each had their own version of local government, although with very different capacities and powers (Cameron, 1999).

From the start of the 20th century and as the 2nd millenium was being reached, South Africa had had no less than five constitutions. These provided for different levels of public participation, ranging from no participation, to limited participation to total participation (Moodley, et al, 1998: 3). The first Constitution of South Africa was determined in terms of the South Africa Act, 1909. According to section A1 of the White Paper on Local Government , 1998, the Group Areas Act 77 of 1957 was the key piece of legislation of apartheid used to apply strict residential segregation and saw the compulsory transfer of black people to the so-called "own areas". Similar acts such as the Group Areas Act, *supra*, were promulgated under the apartheid policy of discrimination and included legislation that promoted segregated government by having different government structures operate according to race – . for example, having a separate government to govern only the black people. The Immorality Act, 1957 (Act 23 of 1957) prohibited mixed marriages, thereby further entrenching the apartheid values in society. The various land distribution acts promulgated during the apartheid era were also unjustified and apportioned only 13-

14% of South Africa's land to the black majority population and the rest to the white minority (Van Niekerk *et al,* 2002: 35).

Based on the above mentioned facts, the constitution provided for separate representation by voters rolls for whites, coloureds and Indians within their respective house of parliament. This meant that black Africans had no representation within national parliament and were still confined to the homeland system of government. The so-called General Affairs, comprising the joint sitting of all three houses in parliament, passed matters concerning their own affairs. Own Affairs dealt specifically with matters peculiar to a specfic race group.

General Affairs dealt with matters of common concern for all three race groups, matters of dispute regarding general and own affairs were refered to the President's Council for abitration and decision (Moodley, et al., 1998: 4). The Republic of South Africa Constitution Act 200 of 1993 repealed the Constitution Act of 1983. This Constitution was refered to as the interim constitution as it was the forerunner to the first ever national elections and the legal constitution of the then new South Africa. This Constitution for the first time in the history of South Africa, provided for a Bill of Rights, which generated public participation in the politics and government of South Africa (RSA, 199: 9). Historically, apartheid and the government which systematically enforced it in pre-1994 in South Africa, disempowered the nation's people, denied access for most of the black people to direct participation in any form of governance and all power and decision making vested in a rigid, minority controlled, top down government, which acted in a hierarchical manner. Local government depended directly on central government for direction. Apartheid was a form of direct, deliberate, racial discrimination which denied opportunities and representation to all people who were not white, confined many to a service status and rigidly regulated their way of life and places of residence (Lemon, 1987; Lester *et al*, 2000).

Prior to 1994, people who were not white such as blacks, Indians and coloureds were effectively denied democratic representation and any legimate means of participating in development activities. In addition, the approach to local government administration and development during the apartheid era stands in sharp contrast to that in the contemporary period. Before 1994, local government was responsible for a narrow range of traditional local government functions, providing basic municipal services such as water, electricity, internal roads, street lighting, storm water drainage etc. and played a minimal developmental redistributive role (Pycroft, 1998: 1550).

Local government, with certain exceptions, was largely the domain of the white minority in terms of voting rights and decision making. Even for the white group, local government powers were severly restricted, decisions were made from above and it would be difficult to argue that any significant public participation was practiced (Nel, 1999). This indicates that local government was biased and not inclusive. However, since 1994 a number of official documents including the legislation were passed by parliament in an attempt to resolve what has has been seen as challenges faced by local government. Most critical was the persistence of racial practices and attitudes especially towards the black community. Pre 1994 planning was top down and, at the local level, this was implemented on a racially segregated basis, which largely reflected the needs of the priviledged white minority. The dominant emphasis was on sectoral planning and infrastructural delivery programmes by the public sector, with little involvement of the private sector. Issues such as environmental sustainability, economic viability, poverty alleviation and welfare were rarely considered. The apartheid regime had a rigid, hierarchical government and planning structure, such that local municipalities were in a subservient position to provincial government and the national authority. Their plans and budgets generally had to be approved by provincial administrations, which exerted considerable indirect control over local planning through a dense web of racially based legislation (DPLG, 2000: 14).

Since 1994, the mandate of local government was to be found in the Constitution of the Republic of South Africa 1996 (Act 108 of 1996). Section 152 of the constitution sets out the objectives of local government which include: providing democratic and accountable local government for local communities, ensuring the provision of services to communities in a sustainable manner, promoting social and economic development and encouraging the involvement of communities and community organizations in the matters of local government. In addition, each municipality has a specific developmental role, which includes structuring and managing its administration, budgeting and planning process, to *inter alia* promote social and economic development of the commnuity (Valeta & Walton, 2008).

The mandate of local government in South Africa is also articulated in the preamble to the Local Government: Municipal Structures Act 117 of 1998, which states that there is fundamental agreement in our country on a vision of democratic and developmental local government in which municipalities fulfil their constitutional obligation to ensure sustainable effective and efficient municipal services; promote social and economic development; encourage a safe and healthy environment by working with the community in creating environment and human settlement in which all our people can lead uplfted and dignified lives. A set of fundamental public administration values and principles underpin the activities of local government administration and management. These values and principles are enshrined in Section 195 (1) of the Constitution to ensure the following: promoting and maintaining a high standard of professional ethics; promoting efficient, economic and effective use of resources; development orientation; responding to people's needs and encouraging the public to participate in policy making; ensuring public accountability; fostering transparency through the provision of timely, accessible and accurate information; ensuring broad representation of the South African people, with employment and personnel practices based on ability, objectivity, fairness and the need to redress the imbalances of the past; providing services in an impartial, fair and equitable manner and without bias and cultivating good human resources management and career-development practices to maximize human potential.

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Atkinson (2003: 8) highlights that since 1994, South African local government has experienced two major changes. The first was guided by the Local Government Transition Act of 1993 and was mainly concerned with the political unification of municipalities before 1994 that had been characterized by racial division under apartheid. Because this phase was about political change, little attention was given to municipal functioning. Local governments in different parts of the country retained very different styles, and very different levels of capacity. Secondly, the major change began with the consultative process preceding the 1998 White Paper on Local Government. It centred on the question: "What should local government do?" The answer that emerged in the white paper was that local government should be "developmental". Provision was made for "wall-to-wall" municipalities to blanket the country. These municipalities transcended old apartheid boundaries, and incorporated urban and rural South Africa in a single municipal system without regard to regional differences. This approach was enshrined in the Municipal Structures Act (1998) and the Municipal Systems Act (1999). A developmental approach to local government might help policy makers and decision makers at the local government level to understand the complexity of issues surrounding local government and needs to be addressed in order to build meaningful and democratic local government. However, to reach this goal, developmental local government should place citizens as key role players at the centre of local government activities. Since the involvement of communities in municipal affairs is not only the main objective of the municipalities, but it is also the main reason why South Africans choose it for achieving developmental, local government.

Valeta and Walton (2008) furthermore argue that, while the Local Government Transition Act of 1993 was concerned with the political unification of municipalities, the successful achievement of the service delivery priorities is highly dependent on the ability of each individual municipality to strategically plan, budget and co-operate with other municipalities, district councils, provinces and national government departments, institutions and organs of the state, whose activities have a bearing on

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the municipality. Therefore, the principles of co-operative government as well as intergovernmental relations are critical determinants for a municipality's success in discharging its mandate.

There is significant potential to deepen this transition and substantially contribute to meeting developmental challenges. The extent to which it does this, however, depends on how the system will actually be implemented and how seriously local government will be taken in terms of the amount, range and quality of resources that are invested in it and on how this sphere is located in the overall startegy of social and economic transformation. In many senses, local government has been undergoing a far more intricate, protracted and challenging transition process than both provincial and national government.

1.3 BRIEF BACKGROUND OF THE EMERGENCE OF INTEGRATED DEVELOPMENT PLANNING (IDP)

Integrated development planning (IDP) has been seen as a collective exercise aimed at achieving the developmental goals for the betterment and improvement of the lives of the municipal inhabitants in a particular area of jurisdiction. In addition to the above, the IDP also plays a different role, namely that of providing a strategic framework for municipal management, budgeting, delivery and implementation, thereby ensuring political accountability and continuity, facilitating interaction and the enhancement of communication and the building of alliances, transforming local government into a vehicle for development, promoting socio-economic development and assisting municipalities in producing holistic strategies for poverty alleviation and the creation of livelihoods.

In his 2006 budget speech, the former Minister of Provincial and Local Government, Mr Sydney Mufamadi, made the point that, although integrated development planning was originally conceived as part of the strategic plans for local government,

their potential impact for other developmental processes has become increasingly important. An Integrated Development Plan is derived from section 56 (2) (a-d) of the Local Government Municipal Structures Act, 1998 as amended by Act 58 of 1999 which reads that the Executive Mayor, among others, must identify the needs of the municipality; review and evaluate those needs in order of priority, recommend to the municipal council strategies; programmes and services to address priority needs through an integrated development plan. Matters of revenue and expenditure, taking into account any applicable national and provincial development plans, should be recommended or determined the best way possible which includes partnership, programmes, and services to the maximum benefit of the community.

The White Paper on Local Government (1998: 24) defines IDP as a process through which a municipality can establish a development plan for the short, medium and long term. The White Paper furthermore articulates the main steps in producing an Integrated Development Plan. These are: an assessment of the current social, economic and environmental reality in the municipal area, the current reality, a determination of community needs through close consultation, developing a vision for development in the area, an audit of available resources, skills and capacities, a prioritization of these needs in order of urgency and long-term importance, the development of integrated frameworks and goals to meet these needs, the formulation of strategies to achieve the goals within specific time frames, the implementation of projects and programmes to achieve key goals and the use of monitoring tools to measure impact and performance.

Furthermore, the Department of Provincial and Local Government (1998/1999: 6) defines IDP as a process through which municipalities prepare a strategic development plan for a prescribed five year period. The Integrated Development Plan is a product of the integrated development planning process. The IDP is, therefore, a principal strategic planning instrument which guides and informs all planning, budgeting, management and decision making in the municipality. The

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integrated development planning process strives to set the overall strategic direction for a municipality. Legislation prescribes that every new council that comes into office after a local government election has to draft or prepare its own IDP, which will guide the council for the five years that it is in office. The IDP is, therefore, linked to the term of office of councillors. The new council has the option either to adopt the IDP of its predecessor, should it deem it appropriate to do so, or to develop a new IDP taking into consideration already existing planning documents (DPLG 1998/1999: 6).

The IDP is a cornerstone of developmental local government in South Africa. It is a tool for aligning budgeting and project implementation with strategic priorities and to link and coordinate the growing number of sectoral plans, programmes and projects that impact on the activity of municipal government (Harrison, 2008: 34). More recent perspectives present the IDP more ambitiously as a central component of an emerging system of intergovernmental planning and coordination (Patel & Powell, 2008). In essence, the developmental intention of the IDP is to bring about more strategic decision making, deeper levels of local democracy, more goal oriented budgeting, more developmental and transformation outcomes, changes in spatial configuration and delivery on the ground that is better coordinated and prioritized (Harrison, 2008: 322). Pillay (2006: 192) stresses that, within the previous context where the apartheid state was searching desperately for solutions to a growing political and economic crisis, there was experimentation with various forms of integrated development planning. For example, integrated regional planning initiatives in the Kwazulu-Natal region and integrated rural development programmes in the Gazankulu and Transkei homelands, were supported by the state Development Bank of South Africa. What had a greater impact on post-apartheid policy, however, were the struggles of the grassroots, township-based, civic movement of the mid to late 1980s, which organized mass mobilization or community activism around local issues such as housing and transportation.

1.3.1 Integrated development planning: Before 1994

A Policy Paper on IDP (2000:13) asserted that for many years and decades after the advent of municipal planning in South Africa in 1903, planning at the local level was in most cases done in an unfavourable and unfair manner, namely; done on a racially segregated basis and within a top-down apartheid regime superstructure, concerned only with the perceived needs of certain privileged groups in society. All activities were sectionally fragmented, with transport, land use and engineering services plans and the budget being prepared in isolation by departments structured in accordance with areas of technical, professional competence. These were of a "master-plan" nature, the domain of the technical expert with the privileged sectors of society in some cases allowed little more than a once-off input via a question and or a view of the plan at the end of the road. There was silence on issues of environmental sustainability, economic viability, poverty alleviation and social health and welfare. Instead, the focus was on control of structured infrastructure delivery programmes by the public sector and weak on the facilitation of private sector investment.

Before 1994, provincial governments had no clear role in regard to provincial and regional planning, but were responsible for controlling local level planning through the provision of the various town planning ordinances. By the 1980s, the dire consequences of the fragmented apartheid-based planning were becoming apparent even to agents of the state. There was a limited attempt to use planning to overcome some of the spatial and institutional divides through, for example, integrated rural development initiatives, which crossed out homeland boundaries, and regional economic planning on the basis of functional development regions. National government exerted considerable indirect control over local planning through a dense web of racially-based legislation, and also through "guide-plan processes". In relation to planning for "black settlement" the control was direct, although in the later years of apartheid, some planning powers were delegated to homeland governments.

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By the late 1980s, the civic movements and progressive NGOs were mobilizing around the need to achieve integrated urban areas, as evident, for example, in the slogan "one city, one tax base". During the transitional phase in the early 1990s, the notion of integrated development planning began to crystallize within various negotiation forums that had been set up to forge agreement around development concerns (e.g. local negotiating forums and the national housing forum). The emergent notion of integrated development planning also drew on well-established traditions within the planning theory that had been propagated by progressive planning departments in South Africa's universities and on the so-called "new public management", which focused internationally on the more effective delivery of public services (A Policy Paper on IDP, 2000:13).

1.3.2 Integrated development planning: After 1994

In 1996, when the IDP was first introduced and especially in 1998, the need for a local planning instrument was obvious. The first post-apartheid planning instrument was introduced by way of the Development Facilitation Act promulgated in October 1995. The opportunity to coordinate and direct the activities of local authorities was provided late in 1996 by the preparation an amendment to the Act, which provided the basis for the system of transitional local government (Pillay, 2006: 195). The White Paper on Local Government (1998) clarified the objectives of the IDP. Progressive discourse on governance and planning internationally was centred on integration, performance management and participation. The outline of a new approach to planning was evident in a 1992 document entitled the ANC Policy Guidelines for a Democratic South Africa, which proposed that municipal planning should ensure maximum involvement of all communities and stakeholders; be directed towards those who are in greatest need (the poorest of the poor); strive to break down or be against the exclusive apartheid geography and institutional structures; and be aimed at ensuring integrated and sustainable development focusing on service delivery.

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The above-mentioned ideas were enshrined further in the Reconstruction and Development Programme (RDP) concretized in the Constitution and articulated further in a range of policy documents including the White Paper on Local Government and the Green Paper on Development Planning. In 1995, IDP had emerged as a distinct approach to planning and was being promoted by the RDP office and the Intergovernmental Forum for Effective Planning and Development. At the time, the IDP was conceived mainly as a tool for supporting the coordinated delivery of reconstruction and development initiatives by national and provincial government. However, with the closure of the RDP office and creation of transitional local councils, by 1996 the focus had shifted to the role of IDP in the local sphere of government (A Policy Paper on IDP, 2000: 13).

1.4 PUBLIC PARTICIPATION IN DEMOCRATIC LOCAL GOVERNMENT

The South African government associates public participation with the IDP process in the new democratic local government because the government believes that without community participation in municipal affairs there is no democracy. Public participation is also described by the IDP Guide Pack 1 (DPLG, 2001a: 3a) as one of the ways of enabling interaction between local government and the citizens. Hemson (2008: 5) points out that there are essentially three levels of participation in local government. Firstly, there is formal electoral participation through voting in municipal and national elections and secondly, participation as a citizen in official structures such as imbizos, ward committee meetings and consultation on municipal Integrated Development Plans. There is also a wide range of activities opening up through the development of social movements such as the contestation of municipal policy and practice through protest marches, community memoranda and the setting up of alternative local community structures.

As one form of participation in local government and national government, voting is less demanding than social mobilization and engages the largest number of people, while other forms of participation involve smaller numbers. Hemson (2010: 6) further

explains that citizen participation is possible in a variety of activities but occurs largely at the local government level where needs are most pressing. There are at least two levels at which participation is justified; firstly, as a democratic requirement to allow citizens to engage in whatever decisions are taken by the government about the multifold social, evironmental and service issues. This normally happens at the local government level. Secondly, participation is justified to improve the effectiveness of government in providing services. This happens through the articulation of dissatisfaction by customers (community members).

Normally, only a few members of any institution are actively involved in the functioning of the particular institution. Only an active and influential minority of individuals constitute an elite, that fulfils the basic tenets of democracy by participating on behalf of the masses. The masses participate indirectly through the elite that represents them, because any attempt to consult all the members of the community on all actions would be time consuming and unrealistic and would amount to an abdication of its resposibilities by the government (Crythorne, 1990: 70).

1.5 CONCLUSION

It has been mentioned above that local government is among three spheres of government and that it is a crucial level of government in terms of people-based policy implementation within developing communities. No other sphere of government other than the municipalities interacts with communities. Political campaigning apart,, no other political office bearers interact with the communities like councillors at the local government level do.

Following the abolition of apartheid, new local government systems have been created through democratic and progressive legislation. These laws, regulate the operations of the new democractic local government in order to accelerate service

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provision, which remains a major challenge in poor communities. After local communities have taken to the streets across the country to protest against the perceived maladministration, inadequate service delivery and corruption at their local council, poor service delivery is still the main challenges faced by the municipalities.

CHAPTER 2: RESEARCH METHODOLOGY

2.1 INTRODUCTION

The main purpose of this chapter is to outline the methodology applied by the researcher, presenting the research methods and data collection instruments or techniques chosen for this study. The researcher must choose from among the many social science methods those which are relevant to this study based on the problem statement. Botha and Engelbrecht (1992: 37) notes that the final topic chosen is usually the outcome of a long internal debate by the researcher. It will have passed through a number of stages of enhancement, which may include deviation from the topic originally conceived. It is not advisible to formulate the final title at the beginning of the study, since experience has proven that the first title is usualy a preliminary draft.

In this case, the researcher decided to choose the topic based on observation of how Fetakgomo Local Municipality, developed and how it presented the IDP to the community, and the impact of community/public participation.

All research topics are subjected to the changing circumstances within which the study is conducted. A researcher should factor some flexibility into the design phase of the project. It is, therefore, not advisible for the research to confine itself to one method during the planning stage. This would allow for a proactive possible alteration of direction in the research project, should circumstances require it. Factors that may necessitate an alteration to a topic may include, among others, insufficient responses to a postal survey or inadequate provision of answers to questions that the researcher may ask. It may be that the researcher is unable to get access to the intended interviewees or even the sites where observation is to be conducted. It may also happen that as the reseracher continues to read literature, it

emerges that the research questions have already been addressed thoroughly by others, thereby rendering the intended study obsolete.

2.2 THE DEFINITION AND THE NATURE OF RESEARCH

There is no specific definition of research. Several authors define research in different ways. Grimmel (1993: 4) defines research as a structured inquiry that utilizes acceptable scientific methodology to solve problems and creates new knowledge that is generally applicable, while Burns (1994: 2) defines research as a systematic investigation to find answers to a problem. Gronhaung (2005) defines research as something that people undertake in order to find out things in systematic ways by increasing their knowledge. Systematic suggests it that is based on logical relationships and not just beliefs. From the above definitions, it is clear that research is a process of collecting, analyzing and interpreting information to answer questions. However, to qualify as research, the process must, as far as possible, be controlled, rigorous, systematic, valid and variable, empirical and critical. Research is a systematic process of collecting, analyzing and interpreting information in order to increase our understanding of the phenomenon about which we are in interested or concerned.

Although research projects vary in complexity and duration, Leedy *et al* (2005: 2) state that research has eight distinct characteristics, namely: research originates with a question and problem; research requires clear articulation of a goal; research requires a specific plan for proceeding; research usually divides the principal problem into more manageable sub problems; research accepts certain critical assumptions; research is guided by the specific research problem, question or hypothesis; and research requires the collection and interpretation of data in an attempt to resolve the problem that initiated the research.

William (2001) argues that many of these everyday uses of the term research are not research in the true meaning of the word. William (2001) highlights ways in which the term is used incorrectly such as referring to merely collecting facts or information with no clear purpose, reassembling and reordering facts or information without interpretation or used as a term aimed at geting your product or idea noticed and respected.

2.3 PROBLEM STATEMENT

Problem formulation describes the condition that is unsatisfactory and must be clearly defined to the extent that it can be explained along with its magnitude and consequences (Yegidis & Weinbach, 1995:15). Particular relevance to the problem statement for this study is the fact that democracy is relatively new in South Africa as it only came about in 1994 after the first democratic elections. Furthermore, local government as a sphere of government has undergone major institutional reform from 1994. One of the key aspects of this reform has been the introduction of participatory democracy in the form of public participation in integrated development planning processes. Wikipedia defines "participatory democracy" as a process emphasizing the broad participation of constituents in the direction and operation of the political system. The first reference to participation in post-apartheid local government is spelled out in the Constitution of South Africa 1996. The White Paper on Local Government of 1998 also stipulates that municipalities should develop mechanisms or structures to ensure IDP processes and public participation in policy making, analysis and implementation.

While one acknowledges the fact that municipalities have established mechanisms to promote integrated development planning and public participation, the problem is that these mechanisms might be in place but not functioning meaningfully to promote the voices from below (i.e. those of the very, very poor at grassroots level) with the intention of influencing municipal decisions. The absence of voices from below might lead to a massive increase in protest marches against poor service delivery around

the country, including those that took place in 2009 and 2010. Is this indicating that the last sphere of government (local government) is not effectively involving communities in decision-making on addressing the issues of service delivery or is there a general lack of public involvement in policy making or even in the implementation of municipal by-laws? Some authors such as Gaventa (2004) and Luckham *et al* (2000) argue that the available literary evidence, shows that engaging the citizens in matters of governance, could not only be a panacea for looming democratic deficit, but that it could also afford people an opportunity to exercise their democratic right to influence decisions through their active partaking in the democratically elected, structured activities – particularly those in the local government sphere. Fetakgomo Local Municipality (a brief description of the municipality appears in Chapter 4) is one of service delivery agents of government. As would be the case in any democratic country, community involvement in the IDP process is necessary. The purpose of this study is to critically look at the community involvement by way of the IDP and at public participation in the Fetakgomo Local Municipality.

A full introduction of the Fetakgomo Local Municipality appears in Chapter 4. For the benefit of the reader, however, a very brief background is provided here. The Municipality, which was established in 2000 is located within the Greater Sekhukhune District Municipality (GSDM) in Limpopo province. The Municipality is completely rural in nature with a population of approximately 105 196 people who reside in 87 settlements. The majority of these settlements are small with less than 1 000 inhabitants in each. The municipal area covers 1123,18 km², which represents 8,4% of the Sekhukhune District's total land area. The Municipality is divided into 13 wards (Fetakgomo, IDP: 2008/09).

2.4 RESEARCH QUESTION

The research question of this study is*: **To what extent is there meaningful public participation in the integrated development planning processes of Fetakgomo Local Municipality?***

2.5 OBJECTIVES AND SIGNIFICANCE OF THE STUDY

The main objective of the study is to investigate the integrated development planning model as a public policy and public participation tool for ordinary municipal inhabitants, which can give them a platform to voice their concerns in order to shape municipal decisions. Besides the main objective mentioned above, the following are other objectives that this study intends to achieve:

i.   To assess how the municipality develops and presents the IDP to the community;

ii.   To bring to light any political interference that may hamper the municipal service delivery;

iii.   To critically analyze the implementation of *Batho Pele* principles as a method of community involvement;

iv.   To critically analyse the current methods which used to promote public participation; and

v.   Identifying the challenges faced by the municipality during public participation in the IDP processes.

The significance of integrated development planning and public participation has come to the forefront of thinking on developmental local government. Rural development is currently high on the agenda of the government of the day led by the African National Congress. This cannot be achieved without effective and meaningful integrated development planning and public participation. The main aim of this study is to contribute to an understanding of the participation of rural communities during

integrated development planning and as a result to benefit and have an impact on the operations and activities of Fetakgomo Local Municipality and other municipalities. Furthermore, the research aims to thoroughly investigate strategic issues such as barriers to integrated development planning and public participation and to propose recommendations with the aim of improving good governance, basic service delivery and financial viability and management of the municipality.

Notably, in South Africa, government justifies public participation in local government in development, state-building and democracy. Hence the 2005 *Draft National Policy Framework for Public Participation* states that public participation "could be promoted in order to make development plans and services more relevant to local needs and conditions" (development), "in order to hand over responsibility for services and promote community action", (state-building) and "to empower local communities to have control over their own lives and livelihoods" (democracy). These points are mirrored in the White Paper on Local Government's affirmation that citizens must participate in local government as "consumers and service-users" (development), "partners in resource mobilisation" (state-building), and "voters" and "participants in policy processes" (democracy).

Scholars highlight numerous factors for effective and efficient public participation on service delivery. Clapper (1996) observes that, in America, what persuaded most institutions to give more prominence to public participation is the fact that it was both necessary and important to give local communities a sense of self-worth. Historically, local communities considered themselves as being powerless in respect of shaping development, even when these developments had a direct impact on their lives. In fact, Clapper (1996) mentions that involvement and participation in respect of citizen-defining activities "reduces psychological suffering and overcomes the apathy of ordinary citizens, and should be the fundamental reason for urging citizen participation" (Clapper, 1996: 75). In this way the capacity of local communities to believe and act on their potential influence of government in relation to development

grows, thereby enhancing both the probability and possibility of effecting relevant developments that meet the communities' needs and aspirations.

Few can argue against the fact that citizen or public participation enables independent communities through meaningfully transformed individual citizens who are not merely "passive consumers of services [provided by]… others [but instead are]… producers of those services" (Clapper, 1996: 75). Participation is therefore seen as an invaluable source of an indispensable resource – "person power". A significant opportunity associated with this argument is that local communities possess extensive knowledge of their surroundings, and involving them in major decision making therefore allows development planning professionals to tap into this useful knowledge in the course of a mutually-defined planning process. There are many instances in many countries today where projects have failed or cost more than was necessary because the implementing agencies (development planning professionals) did not know the unique conditions of the local environments within which they were working. At the same time potential conflicts resulting from, for example, cultural implantation and foreignness of projects are being avoided when development is mutually defined and shaped both by the community and implementing agencies (Clapper, 1996). It is also possible that through public participation, local communities are able to manage professionals and could actually make them account for all aspects of the project, programme or service being rendered; this has the potential of also keeping in check would-be power-abusive and corrupt public officials (Clapper, 1996).

Lastly, if local communities are kept abreast of service delivery priorities as well as the why and how of resource allocation and utilisation, this may result in a shared understanding between both the local government sphere and the various community sectors. Potential expressions of service delivery discontent will be better contextualised than in an environment of non-participatory development planning (Clapper, 1996). Participatory development planning processes have the potential of

ameliorating and harmonising counter-constructive community-specific relations through rendering these communities partners in development initiatives (outcomes) that are aimed at joint responsibility and benefit. In other words, public participation is an optional way of managing community conflicts before they spiral out of hand (Clapper, 1996).

2.6 LIMITATION OF THE STUDY

Several limitations emerged throughout the study. Firstly, the study was based only on Fetakgomo Local Municipality, therefore, the findings of the study cannot be generalized as reflective of the state of affairs of all the Sekhukhune District Municipalities. Secondly, the study focuses on the IDP model as a public policy and public participation tool; the focus was not on the implementation phase of the Integrated Development Plan, monitoring and evaluation and outcomes of the IDP. Thirdly, the timing of the study was a limitation in itself. This study was conducted around a time of local government elections, therefore, in some instances there were delays in accessing relevant documents for the study.

Fourthly, the change of political leadership at Fetakgomo Local Municipality in 2010, due to some political leaders defecting to other political parties when Fetakgomo Local Municipality reshuffled its political management had a limiting impact on the progress of the study since those who had been newly appointed had to be briefed in terms of protocol. This exercise negatively impacted on the pace of the study. Lastly, throughout the years from 2000 to 2009, the research acknowledges a lack of accessibility to the information related to the political interferences towards municipal service delivery. Due to this, the researcher could not gain a better understanding with which to fully interrogate or analyze the impact of the political interferences at Fetakgomo Local Municipality.

2.7 RESEARCH METHODS

Research methods are an important and critical part of any research project. The researcher chooses methods that are specifically aligned with the kind of data that must be collected in order to answer the research question. Methods are tools or instruments used to obtain data about a problem being studied or investigated. The research methods must be directly connected to the problem statement and the objectives of the study.

Research methodology refers to the systematic approaches to gather information that rely on established processes and procedures drawn from scientific research techniques, particularly those developed in the social and behavioural sciences. Examples of ways to gather data can be surveys, focus group discussions, interviews, observation etc. Blaxter *et al* (1996: 78) state that thinking about methodology can be important for enhancing the research because it provides a better appreciation of the advantages and disadvantages of particular methods on their own or in combination, the research methods allow a researcher to relate the research project to similar projects undertaken by other researchers, it may provide an understanding of different perspectives on the research and it provides a range of possible research strategies, approaches and techniques available to the researcher in undertaking research.

Whatever the methods a researcher decides to use, a researcher should know in advance what the main sources of information required for his or her topic are and where to locate them. The most important factor influencing the choice of research methods is the purpose of the research (Brannen, 1992: 140).

2.8 RESEARCH DESIGN

Research design can be defined as a strategic framework for action that serves as a guideline between the formulation of the research questions and the actual research.

Research designs are plans that guide the arrangement of conditions for collection and analysis of data in a manner that aims to combine relevance to the research purpose (Sellits, Jahoda, Deatsch and Cook, 1965: 50). Kerlinger (1986: 279) also defines research design as a plan, structure and strategy of investigation so conceived as to obtain answers to research questions or problems. The plan is the complete scheme or programme of the research and it includes an outline of what the investigator will do from writing the hypotheses, to their operational implications, to the final analysis of data.

The above definitions suggest that a research design has two main functions. The first relates to the indentification or development of procedures and logistical arrangements required to undertake a study and the second emphasizes the importance of quality in those procedures to ensure the validity, objectivity and accuracy of findings. The interrelationship between the problem statement and the strategic framework of the study cannot be overemphasized. The strategy of investigating which has been highlighted in the research design, must be totally in line with the research questions, hypothesis and the problem statement (Botha and Engelbrecht, 1992: 40).

Designing a research study has often been compared to designing a building. There are several reasons why it is a good idea to plan a house before actually building it. Research design plays the role of a bridge between the research question and the execution of the research. Research is viewed as a process consisting of five stages. The following are highlighted by Blanche et al. (2006: 34) as the stages of research: stage 1: defining the research question; stage 2: designing the research; stage 3: data collection; stage 4: data analysis and the last stage, stage 5: writing a research report.

During the initial or planning stage of the research, the researcher requires theoretical premises on which the study should be based. This requires a review of some of the theoretical frameworks for the empirical study, which leads to the hypothesis being derived from one or more of the accepted theories or models (Mouton, 2001: 92). The research design helps the researcher in the emprical world and connects the research questions to data. The research design is a basic plan for a piece of research that includes four main ideas. The first is the strategy; the second is the conceptual framework; the third is the question of who or what will be studied; and the fourth concerns the tools and procedures to be used for collecting and analysing empirical material (Punch, 2005: 63).

2.9 TYPES OF RESEARCH METHODS

There are many different types of research methods that are used by social researchers in trying to find things out about solutions to the problems being investigated. Quantitative and qualitative research methods indicate different approaches to social research. Qualitative research methods are associated with interviews either semi-structured or unstructured, participant observation and disclosure analysis while quantitative research methods are strongly associated with social surveys, like self administered questionnaires, experiments, structured observation, content analysis, official analysis etc. where responses are quantified statistically (Brannon, 1992; 59).

2.9.1 Qualitative research methods

Snape and Spencer (in Ritchie and Lewis, 1992: 2) defined qualitative research as a situated activity that locates the obsever in the world. It consists of a set of interpretive, material practices that make the world visible. These practices turn the world into series of representation including field notes, interviews, conversations, photographs, recordings and memos. Qualitative research involves an interpretive, naturalistic approach to the world. This means that qualititative researchers study

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things in their natural setting, attempting to make sense of or to interpret phenomena in terms of the meanings people bring to them.

Qualitative research answers very different questions from those addressed by quantitative research. Qualitative methods cannot answer questions such as *How many?* or *What is the strength of the relationship between variables?* but it can provide an understanding of how official figures are created through social processes. Qualitative research can make visible and pick up the mechanisms which link particular variables, by looking at the explanations or accounts provided by those involved. By contrast, quantitative research excels at identifying statistically significant relationships between variables such as social class and health status and frequently produces diagrams which shows the distribution of people located at different points on the social class spectrum (Barbour, 2008: 12). Qualitative methods, on the other hand, can allow the researcher to access the embedded process by focusing on the context of people's everyday lives, where such decisions are made and enacted. There is a range of qualitative research methods such as documentary and visual sources, observational fieldwork, interviews, focus groups, diaries, enhanced case records, case study research and action research.

Neuman (2000: 121-155) distingushes between quantitative and qualitative research design. The quantitative category includes experiments, surveys, content analysis, statistics, percentages and measurement. Denzin and Lincoln (1994) define qualitative research as a interdisciplinary, multi-paradigmatic and multi-method, employing methods such as participant observation, archival source analysis, interviews, focus groups and content analysis. Although qualitative research reflects certain approaches to knowledge production, it may be useful to consider qualitative research as any research that uses qualitative data (Tesch, 1990: 55). Given the variety of qualitative research strategies, Merriam (2009: 21) chose to present several commonly used approaches to doing qualitative research. These approaches are explained below:

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2.9.1.1 Basic qualitative research

According to Merriam (2009: 23) basic qualitative research can be found thoughout the disciplines and in applied fields of practice and in the most common forms of qualitative research found in education. Data are collected through interviews, observations or documentary analysis. Although this understanding characterizes all qualitative research, other types of qualitative studies have additional dimensions, for example, a phenomenological study seeks understanding about the essence and the underlying structure of the phenomenon. Ethnography strives to understand the interaction of individuals not just with others, but also within the culture of the society in which they live. A grounded theory study seeks not just to understand, but also to build a substantive theory about the phenomenon of interest. Narrative analysis uses the stories people tell, analysing them in various ways, to understand the meaning of experience as revealed in the story, while action research focuses on societal critique in order to raise consciousness and empower people to bring about change.

2.9.1.2 Phenomenology

Schram (2003: 71) explains the phenomenology as a study of peoples' conscious experience of their life world, that is their everyday life and social action while according Babie (1999: 259) describes this approach by refering to the consideration of a perceived phenomenon, both subjective and objective. This approach maintains that the researcher should describe ordinary experiences of the lifeworld and issues as experienced by members of the society as individuals. Such issues can be experienced through perception, believing , recalling and feeling.

2.9.1.3 Ethnography

Anthropologists do ethnography (a research process) as well as write up their findings as an ethnography, a product. Ethnography is both a process and a product. Walcott (1999: 8) summarizes the notion of culture as a control to an ethnography, stating that it must provide the kind of account of human social activity out of which cultural patterning can be discerned. This research strategy is sometimes refered to as naturalistic research. It describes and interprets social systems. As a research method it places the emphasis on observing the details of everyday life in a society. This type of method provides the researcher with the opportunity to study social groups based on obeservation from the field (Creswell, 1997: 245).

Silverman (2004: 10) explains that ethnographic studies are carried out to satisfy three silmultaneous requirements associated with the study of human activities. These are: the need for an empirical approach; the need to remain open to elements that cannot be codified at the time of the study and a concern for grounding the phenomenon observed in the field. Each requirement is briefly discussed below.

i.   The need for an empirical approach: this first need is dictated by the fact that a phenomenon studied cannot be deduced but requires empirical observation. In the current debate over the resources people mobilize to understand the world and to make reference to it, this is a major difference between the social sciences, on the one hand, and the philosophy of language, phenomenology and hermeneutics on the other.

ii. The need to remain open: the main objective of the second need is to distinguish between openness to new data and its opposite and on the basis of previously defined items and rules. This need relates to the intrinsic ability to reveal the unexpected elements that come to light as a study progresses. The principles of openess to what cannot be *a*

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priori pre-codified results in the basic tension underlying some studies. The flexibility required by this openness conflicts with the need to maintain at least a minimum of method in conducting the study, that is a certain guide for the behaviour of both the fieldworker and the people observed, depending on the plan of the study.

iii.   Grounding observed phenomena in the field: in this approach distinctions can be made between different sorts of empirical studies carried out in social sciences. Formal studies dissociate collected data from any context in order to access the universal human level from the outset. It is also characteristic of the nomothetical approach that uses empirical observation to demostrate consistencies between facts and to formulate general laws.

2.9.1.4 Grounded theory

Cobin and Strauss (2007) explained that what differentiates grounded theory from other types of qualitative research is its focus on building theory. The type of theory developed is usually substantative rather than grand theory. Data in grounded theory studies can come from interviews, observation and a wide variety of documentary materials. As with other types of qualitative research, grounded theory has its own jargon and procedure for conducting a study. Charmaz (2006) points out that, as with other forms of qualitative research, the methodology of grounded theory has evolved over time. Recent publications on grounded theory are from a constructionist and post-modern perspective. Rubin and Babie (1997: 373-374) contrast grounded theory with theories generated from deductive reasoning based on a prior assumption. This results in their argument that theories generated from and grounded in observation of the empirical world stand a better chance of being useful and valid than do logic-deductive theories. This also enables reseachers to become sensitive to new perspectives if their observations are guided exclusively by a specific preconceived and theory.

2.9.1.5 Case study

Another popular qualitative research method is the case study. A case study is an examination of a specific phenomenon such as a programme, an event, a person, a process, an institution or a social group (Merriam, 1998: 9). Yin (1993: 3) states that it is preferable to have the phenomenon under study not readily distinguishable from its context. Cases become relevant to the topic of the researcher trying to attribute fundamendal relationships within the explanatory-interpretative-critical cases on qualitative design. Case study research excels at bringing one to an understanding of a complex issue or object and can extend experience or add strength to what is already known through previous research. Case studies emphasize detailed contextual analysis of a limited number of events or conditions and their relationships. Researchers have used the case study research method for many years across a variety of disciplines. Social scientists, in particular, have made wide use of this qualitative research method to examine contemporary, real-life situations and provide the basis for the application of ideas and extension of methods. Researcher, Robert K. Yin, defines the case study research method as an empirical inquiry that investigates a contemporary phenomenon within its real-life context when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used (Yin, 1984: 23).

2.9.1.6 Action research

Ferrance (2000: 1) explains action research as a reflective process that allows for inquiry and discussion as components of the research. Often, action research is a collaborative activity among colleagues searching for solutions to everyday, real problems experience in school or looking for ways to improve instruction and increase student achievement. Rather than dealing with the theoretical, action research allows practitioners to address those concerns that

are closest to them, ones over which they can exhibit some influence and make changes to. According to McNabb (2002: 221), action research is a means of initiating change in social systems through the participation and involvement of members of the group in the research process. This approach has three different models which are described below.

i. Participating action research: in this approach researchers are concerned with three activities that include education, research and action. This model emerged from social movement in an oppressed society. Conditions are created where interaction with information cannot be divorced from this world.

ii. Empowerment action research: this research model may empower groups and individuals who are excluded by the majority or dominant cultural, socio-political or economic perspective on the basis of various characteristics such as ethnicity, race and affiliation. In this approach the researcher also tries to understand the underground issues and to have a voice in and power over decisions that affect them.

iii. Traditional action research: the aim of this model is to change societal disfunctionalities while contributing to the general fund of theory and knowledge. This model advocates a situation whereby the researchers will be concerned with the knowledge of both the general laws of human and organizational behaviour and specific information about the institution. Furthermore, this research approach is characterized by the fact that information gathered might be of any type and can be collected through different means that include structured surveys, questionnairres, interviews and sample observation.

2.9.2 Quantitative research methods

Quantitative research is a form of conclusive research involving large representative samples and fairly structured data collection procedures. Its primary goal is to test hypotheses. Brannen (1992: 85) explains quantitative research as the studies in

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which the data collected can be interpreted and analysed numerically. This also indicates that quantitative research implies the application of measurement or a numerical approach to the nature of the issue under investigation as well as the analysis of the data.

According to Creswell (1994: 1-2) quantitative research is an enquiry into social or human problems, based on testing a theory composed of variables, measured with numbers and anlysed with statistical procedures in order to determine whether the predictive generalizations of the theory hold true. Mouton and Marais (1990: 155-156) identify the following as the characterisrics of the quantitative research methods: the quantitative approach is more formalized as well as more explicitcly controlled than the qualitative methods; the range of the quantitative approach is more exactly defined than the qualitative methods and the quantitative approach is relatively close to the physical sciences. Phahlamohlaka (2003: 82) indicates that quantitative research methods were originally developed in the natural sciences to study natural phenomena. These methods include laboratory experiments, formal methods as well as numerical methods such as mathematical frameworking. Several authors explore a variety of approaches or strategies used in quantitative research.

2.9.2.1 Sampling

Several authors explain sampling; Martin *et al* (2006:133) define a sample as a representation of a population if elements in the sample have been randomly selected from a sampling frame listing everybody in the population. Sampling as the practice of inferring things about a broader category of people or things from observation of a smaller subsection of that category is a central component of social scientific research. Bless and Higson-Smith (1995: 85-86) define a sample as the subject of the whole population which is examined by a researcher and whose characteristics are generalized to the entire population. Sampling is the study of relationships between a population and the samples drawn from it. Its objective is to draw inferences about the

known sample statistics, which are obtained by collecting information from the sample.

2.9.2.1.1 Probability sampling

Seaberg (1988: 244) describes a probability sample as one in which each person or other sampling unit in the population has the same known probability of being selected. The best known kinds of probability sampling are random systematic, stratified, and cluster sampling. These kinds of probability sampling are discussed below.

i. Systematic sampling: according to Babie (1990: 85) is regarded as having a higher value than simple random sampling. Effort is saved by this method, but it entails the danger or bias in that the internal selection could accidentally coincide with one or other characteristic of the study group.

ii. Stratified random sampling: this type of sampling technique is suitable for a heterogenous population because the inclusion of small subgroups percentage wise can be ensured (van der Waldt, 1998: 78). Stratification entails the universe being divided into a number of strata that are mutually exclusive and the members of which are homogenous with regard to some characteristics such as gender, home language or age. This type of sample is mainly used so that the different groups or segments of a population acquire sufficient representation in the sample.

iii. Cluster sampling: this technique is also employed when economic consideration and cluster criteria are significant for the study. This method also has the advantage of concentrating the field of study in a specific section of the greater geographical area and thus helps save costs and time. Sampling in this case consists of the creation of a number of externally homogeous but internally heterogenous clusters in the relevant population and subsequent

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random selection of one or another of these clusters in the sample.

2.9.2.1.2 <u>Non-probability sampling</u>

Bless and Higson-Smith (1995: 88) refer to this sampling where the probability of including each element of the population is a sample of the unknown. In this regard, it becomes difficult to determine the possibility of the inclusion of all represenative elements of the population into the sample. In this method, there are different types of non-probability sampling such as dimensional, quota, and purposive samples.

i. Dimensional sample: Bailey (1994: 95) views dimensional sampling as a multi-dimensional form of quota sampling. The idea is to specify all variables in the population that are of interest to the investigation and then see to it that each dimension is representend by at least one case. This method entails that only a few cases are studied in depth.

ii. Quota sampling: Bless and Higson-Smith (1995: 95) consider quota sampling to be the non-probability equivalent of stratified sampling, with the purpose of drawing a sample that has the same proportion of charactersitics as the whole population. The main purpose is to draw a sample that is as close to a replica of the population as possible in that it represents the population as such. The most important deficiency of this type of sample is that the selection of persons for inclusion in the sample rests totally with the fieldworker and that subjectivity can consequently play a significant role.

iii. Purposive sampling: this type of sample is based entirely on the judgement of the researcher, in that a sample is composed of elements that contain the most characteristic, representative or

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typical attributes of the population. This strategy has the disadvantage of relying more on the subjective consideration of the researcher than on scientific criteria (Bless and Higson-Smith, 1996: 95).

2.9.2.2. Measurement

Measurement allows the researcher to differentiate between objects on the basis of the relative quantity of the shared attribute they possess. Measurement has become part of modern life. Nearly everything is measured, for example, intelligence, daily calorie intake, attitudes, knowledge, gross domestic product, alienation and suicide rates. Quantitative indices are used to represent a vast array of social and individual objects, events and processes, both tangible and intangible. Measurement consists of rules for assigning numbers to objects in such a way as to represent quantities of attributes (Nunnaly, 1978). This definition may be broken down into the three components below.

i.   *Rules:* The process for assigning numbers should be explicitly stated, standardized and generally agreed upon by the scientific community. The rulers for assigning numbers to height are so consensual and obvious using a standardized tape measure that they are often not explicitly stated. Other examples are the rules that are used to assign numbers to intelligence, the consumer price index, social alienation. Usually, a standardized and widely accepted measure of these constructs is employed to ensure that others agree that the numbers do in fact represent the quantities that they are supposed to.

ii. *Attributes of objects:* Objects are things in the world, including brains, individuals, society, cultures and so on. Such objects have attributes, which are particular features an object may have along various dimensions. Individuals have attributes such as intelligence, height, and

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personality. Societies have attributes such as literacy rates, population growth, and levels of authoritarianism.

iii.   *Numbers to represent quantities:* Measurement involves assigning numbers to objects to represent how much the object has of a particular attribute. This involves establishing quantitative relations among objects on particular dimensions. Measurement has been the most fundamental aspect of social science research for more than a century. Measeurement has allowed researchers to turn abstract phenomena into quantitative variables (Terre Blance, 2006: 141).

2.9.2.3 Statistics

Wikipedia describes statistics as the most widely used branch of mathematics in quantitative research outside of the physical sciences. It also finds applications within the physical sciences, such as in statistical mechanics. Statistical methods are used extensively within fields such as economics, social sciences and biology. Quantitative research using statistical methods starts with the collection of data, based on the hypothesis or theory. Usually, a large sample of data is collected; this would require verification, validation and recording before the analysis can take place. Software packages such as SPSS and R are typically used for this purpose. Causal relationships are studied by manipulating factors thought to influence the phenomena of interest while controlling other variables relevant to the experimental outcomes. In the field of health, for example, researchers might measure and study the relationship between dietary intake and measurable physiological effects such as weight loss, controlling for other key variables such as exercise. Quantitatively based opinion surveys are widely used in the media, with statistics such as the proportion of respondents in favor of a position commonly reported. In opinion surveys, respondents are asked a set of structured questions and their responses are tabulated. In the field of climate science, researchers compile and compare statistics such as temperature or atmospheric concentrations of carbon dioxide.

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2.9.3 Data collection techniques

Social science research has several data techniques that can be employed to gather information. These include inteviews, case studies, documentary analysis and literature review. There should be a good and valid reasons why the researcher chooses to opt for more than one research method as this may demand more resources such as time and money. The process of using two or more methods to verify the validity of the information being collected is referred to as triangulation – a process of checking the findings of one method against the findings yielded by another method. For example, the results of a qualitiative investigation might be checked against those resulting from a quantitative study. The sole aim of triangulation is generally to enhance the validity of the findings (Brannen, 1992: 60). For the purpose of this study, multiple collection of data techniques such as documentary analysis, case study and, lastly, literature reviews would be used in this project.

2.9.3.1 Desktop analysis

Desktop analysis techniques are applied by researchers whose research does not necessitate going into the field to gather information. This technique consists of literally all the research work that can be done while sitting at a desk. Desktop research activities allow users to label related documents, images, speeches, and other items useful for performing a given task. Using the assigned labels, they can easily activate a particular task or switch between multiple tasks.

Desktop analysis provides dedicated information spaces: a personal library to collect books, manuscripts, relevant articles and media, and notes to enable simple storage and access to content snippets and other bits of information that can easily be misplaced or can be difficult to find. Desktop analyses may

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include, for example, the administration, collection and analysis of postal surveys, the analysis of data collected by other researchers, experimental and laboratory work, literature searches in the library and also a study of research reports.

Blaxter et al. (1996: 62) argue that the distinction between fieldwork and desktop analysis is a difficult one. It is debatable, for example, into which category one would place telephone interviews, which could be conducted at the desk but effectively take the researcher, at least electronically, into the field. Postal questionnaires fall within the same category. The development of information and communication technologies has undoubtedly allowed much more research to be carried out from the comfort of the office.

Microsoft research identifies four main components of its Research Desktop application, namely:

i. *Activities:* Research Desktop allows the users to name a space of activities they are working on. They can use the label associated with the activity space to access all the documents and applications used in that space, including new items, and quickly access related activities.

ii. *Tools:* Research Desktop includes a variety of tools for analysing content. Researchers can activate them within activity spaces, the library and notes as needed to accomplish a particular task. The tools are accessed through the Research Desktop sidebar or exposed in the particular space, library, notes, or activity spaces, based on the types of documents or user's activity.

iii. *Library:* This is an exclusive part of the research space dedicated to the literature and media that researchers use in their work. It is designed as a personal library space, equipped with tools for managing reading

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lists, analysing references and author networks, setting up subscription services, and analysing the content.

iv. *Notes:* Research notes is a fully extendible drawing board where researchers can plan, sketch, and outline their findings and thoughts. It is a place where they can find all the notes they attached to documents while conducting their work. They can review them or use them to browse to documents and activity spaces.

2.9.3.2 Documentary data

Documentary sources of data might be used in various ways in social science research. Some studies might depend entirely on documentary data. Documentary data may be used in conjuction with interviews or other data collection techniques such as observation. Documents may be important in triangulation methods where an intersecting set of different methods and data types are used in a single project (Denzin, 1989). The range of documents includes government reports, biographies, government pronouncements, conferences proceedings, newspaper articles, and statistical records.

MacDonald and Tipton (1996:199) stress that in documentary research nothing can be taken for granted. They recommend using the Denzin triangulation framework to ensure that findings are verified from more than one angle. Finnegan (1996:146-9) points out that thinking about and investigating how documents have come into existence generates six other useful questions:

i. Has the researcher made use of existing sources relevant and appropriate for his or her research topic?

ii. How far has the researcher taken into account any twisting or selection of facts in the sources used?

iii.   Is the source concerned with recommendation ideals or what ought to be done?

iv.   How relevant is the context of the source?

v.   With statistical sources, what were the assumptions according to which the statistics were collected and presented?

vi.   Having taken all the previous factors into account, do you consider that the researcher has reached a reasonable interpretation of the meaning of the sources?

It is an obvious fact that any municipality may develop a set of different documents to guide or regulate a certain protocol with regard to a particular matter. For example, the municipality may develop an IDP guide pack which will guide how the IDP process will be handled. Documents such as IDPs, annual reports, policies, minutes from the IDP meetings or ward committee meetings and an attendence register etc. will also form part of the documentary analysis. Documentary research is concerned with the use of written archival records as a source of information. The researcher makes use of the documentation mentioned above. Documentary data provide a rich source of analytic topics, which include how documents are written and read, who writes them and for what purpose, on what occasion and whith what outcomes they are produced and what is in fact recorded (Hammersely & Atkinson 1995: 173).

2.9.3.3 Case study

Another popular qualitative research method is the case study. A case study is an examination of specific phenomenon such as a programme, an event, a person, a process, an institution or a social group (Merriam, 1998: 9). Theodorson and Theodorson (1969) again define case study as a method of studying a social phenomenon through the analysis of an individual case. The

case study may be one person, group, or any other unit of social life. All available data relevant to the case are gathered. The case study method gives a unitary character to the data being studied by relating a variety of facts to single case. It also provides an opportunity for intensive analysis of many specific details that are often overlooked with other methods.

The case study has four characteristics; firstly, the case is a bound system, it has boundaries between the case and context which are not necessarily clearly evident. The researcher has to identify and describe the boundaries of the case as clearly as possible. Secondly, the case is a case of something. This may seem obvious but it needs stressing, to give focus to the research. Identifying what the case is a case of, is also important in determining the unit of analysis, an important aspect when it comes to analysing the data. Thirdly, there is an explicit attempt to preserve the wholeness, unity and integrity of the case. The case study is the appropriate method when events under study are not really distinguishable from their context. A case study is an intensive study of a specific individual or a specific context (Trochin, 2001: 161).

Case studies (1) are particularistic: they focus on a particular context such as one person, family, an office, classroom, (2) are muturalistic: case studies are about real people and institutions and much of the data collection occurs in real evironments, (3) make use of thick, descriptive data: sources of case study data include participant and non-participant observation, interviews, historical and narrative sources, writing journals, etc (4) are inductive for the most the part: case studies rely on inductive reasoning. Generalization, concepts or hypotheses emerge from the examination of the data grounded in the context itself (Merriam, 1998: 13).

In this case the researcher will examine the following two case studies, namely; public participation and deepening democracy, experiences from Fetakgomo Local Municipality, South Africa and community participation in the integrated development plan: a case study of City of Tshwane Metropolitan Municipality. Using the case study method will bring a unitary character to the data being studied by interrelating a variety of facts to each case.

2.10 RELEVANCE OF THE RESEARCH METHODS FOR THIS STUDY

From the plephora of various research methods in social sciences research such as empirical, basic, applied, descriptive, exploratory, explanotary research the researcher chooses to make use of triangulation as a research method. Denzin (1970) defines the triangulation method as several research methodologies combined and used together to study the same phenomenon, while Silverman (2005:121) explained triangulation as a way for the researcher to employ different methods or sources to corroborate each other. This may be done through having a cumulative view of data drawn from different contexts which enables one to triangulate the true state of affairs by thouroghly examining where the different data intersect each other.

Several studies currently using triangulation have come up with a solution to resolve dificulties in interpretation and theory building. Early efforts by Denzin (1970) indicate that this method goes beyond the initial focus on eliminating weakness in any one method. According to Jick (1979), there are five different kinds of triangulation methods. Firstly, data triangulation strengthens research findings by applying mutlpile ways to collect and analyse data involving time, space and person. Secondly, there is investigator triangulation. This method consists of the use of multiple rather than single observers. Thirdly, multiple triangulation is described as a situation where the researcher combines in one investigation multiple observers, theoretical perspectives, sources of data and methodologies. Fourthly, there is

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theory triangulation which consists of using more than a theoretical scheme in the interpretation.

In this study, the reasercher will employ two different research methods, namely qualitative and quantitative methods, and draw on several data collection techniques from both of these methods.

Again, the researcher in this study will use the literature review method as one of the data techniques of the qualitative approach. According to Cooper (1988) literature review uses as its database a report of primary or original scholarship and does not itself report any new primary scholarship. The primary reports used in the literature may be verbal, but in the vast majority of cases reports are written documents. The type of scholarship may be empirical, theoritical, critical, analytical or methodological in nature and again a literature review is an attempt to describe, summarize, evaluate, clarify and integrate the content of the primary reports. This approach cites not only books and articles but also conference proceedings, government co-operative reports, newspaper articles, theses and dissertations. There is a variety of reasons why the researcher needs to conduct a literature review. The literature review is a critical look at the already existing research work which is relevant and significant to the work the researcher is currently carrying out.

The literature review will also prevent the researcher from duplicating research that has been conducted before. The review of relevant literature will also provide the researcher with information about parts of the problem which were left uninvestigated before. This information provides the researcher with the opportunity to explore new aspects of the problem and term definition, research design, data gathering techniques and instruments, forms and style of report presentation.

2.11 STRUCTURE OF THE STUDY

The study is divided into six chapters addressing aspects of the same topic. The content of each chapter is summarized below:

Chapter 1: Introduction

The main aim of this chapter is to introduce the historical context of local government including the emergence of integrated development planning as well as public participation in democratic local government.

Chapter 2: Research methodology

The objective of this chapter is to describe the nature of the study and how the study will be conducted. This chapter outlines the research problem, the significance of the study, limitations, the research question and the research methodology applied against the backdrop of the importance of IDP as a means of enhancing public participation. Reference is made to the Constitution and other relevant legislation regulating local government, which recognizes the need for community involvement in municipal activities. It is highlighted that, for municipalities to achieve participatory governance, they have to respect the democratic rights of the citizens.

Chapter 3: Literature review

This chapter establishes the relevence of public policy within public administration as a government activity, while describing the relationship between public policy and public administration. The literature review plays a vital role in terms of bringing to light the history of integrated development planning and public participation.

Chapter 4: Case study

Chapter 4 applies the chosen case study method to Fetakgomo Local Municipality as a study area. Furthermore, the section in question will be further interrogated through the use of integrated development planning. In section two, the City of Tshwane Metropolitan Municipality will be used as a case study of public participation. This section will also examine another case study based on eThekwini Municipality regarding the deepening of public participation at the local government level.

Chapter 5: Analysis of the study

Chapter 5 is about analysing the findings of the case study with reference to Fetakgomo Local Municpality as an area of the study. The main objective of this chapter is to analyse how the Municipality conducts its business in relation to the IDP and public participation. Issues to be looked at are: the process of formulating the IDP at Fetakgomo Municipality, the role players during the IDP process, structures promoting both IDP and public participation, challenges faced by the Municipality during both processes and lastly, the strategies developed and implemented towards more meaningful public participation and effective IDP processes.

Chapter 6: Conclusion and recommendations

This chapter provides a synopsis of the previous chapters, and contains concluding remarks and recommendations.

CHAPTER 3: LITERATURE REVIEW

3.1 INTRODUCTION

Nigro and Nigro (1980: 8) contend that policy is made by the legislature in the form of laws and is carried out by the executive branch. The policy-administration dichotomy was always fictional but not an outright absurdity in the period when legislators still retained strong initiatives in policy making and the executive branch. For any public institution to grow and survive and render essential services to the public, there must an effective way to formulate policies for change and development.

The approach will be to explore the importance of policy in a public administration as a government activity and also to distinguish between public administration as a government activity and public administration as an academic discipline in terms of the different functional requirements. What is particularly important to grasp in the context of the relationship between policy and public administration is that public policy is essentially an institutional output and that the relevant institutions concerned are government. Government is also able to win or command wide domestic support for its public policies. Dye (1981: 20-21) has stated that political activities generally centre on a particular government institution. Public policy is authoritatively determined, implemented and enforced by governmental institutions. The relationship between public policy and the governmental institutions is therefore very close.

Public administration as a scientific discipline basically involves the implementation of government policy. It does not matter what level of government is referred to – it could be national, provincial, local government or even an international organization consisting of representatives from various governments. As an academic discipline it is concerned with the contemporary administrative and management practices

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encountered in the public sector. At this stage, the expression of the public sector has only a vague frame of reference. More information is needed to see how public administration as an activity works in particular but also in general (Botes et al, 1992; 147).

In the development of public administration as an academic discipline, three generations can be identified; namely the first, second and third generation. This is followed by the period after World War II and lastly by the emergence of the so-called "new public management". This chapter explores policy both as a key aspect in every government as well as public administration as an academic discipline and again as a government activity. Important elements of policy and public administration as well as integrated development planning and public participation are discussed.

3.2 POLICY DEFINED

It is important to understand what the meaning of policy is. Any government institution needs to set a clear policy for the institution to achieve a set of specific goals and objectives. The question may be posed what policy is. The term policy has been defined by different authors. Dye (1995: 4) defines public policy as whatever government chooses to do. In reaching his final definition of policy, Dye (1995; 3) acknowledges the contributions made by political scientist David Easton, who defines public policy as the authoritative allocation of values for the whole of society and by political scientist Harold Lasswell and philosopher Abraham Kaplan who define policy as a projected programme of goals, values and practices.

Fox and Meyer (1995: 107) define policy as authoritative statements made by legitimate public institutions about the way in which they propose to deal with policy problems. Furthermore, Ijeoma (2008: 114) explains that public policy decision-making is one of the key elements of good governance. Policy refers to a higher,

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more general, strategic level of plans and action; similarly, policy actors may share a primary interest in the policy area but pursue different specific goals. Policy in its most general sense, may describe the pattern of action that resolves conflicting claims or provides incentives for co-operation.

Based on the different public policy definitions, policy can be described as an action plan of any government or guidelines to follow for achieving targeted goals and objectives. It has been indicated earlier that public policy is an authoritative statement on what government of the day chooses to do or not to do and this also includes the authoritative allocation of values for the whole society (Roux, 2002: 425). Botes *et al* (1996; 308-309) suggest that public policy should be dynamic including influencing factors such as: circumstances, which include the total environment as determine by time and place; technological developments; population increases and effects of urbanization; natural disasters; international relations and trends as well as the effects of globalization; economic and industrial development; public needs and aspirations; party political dynamics; views of interest and pressure groups; research and investigations by commissions and committees; personal views of public officials and political role players.

From the definitions supplied above, it becomes clear that policies are the mechanism that government employs to deliver on the requirements and needs of society. It also becomes clear that policy and policy formulation has to be revisited and reconsidered in order to be effective (Kuye *et al*, 2002; 73). The cycle of the policy-making process, which consists of the stages of policy analysis, policy formulation, policy implementation and policy evaluation will be dealt with in paragraph 2.3.

3.3 THE RATIONAL-FORMAL VIEW OF POLICY MAKING

3.3.1 The systems approach

Easton (1965), who is considered to be the initiator of applying the systems approach to political analysis, interprets political life generally and policy making specifically as a complex set of processes through which certain inputs are converted into output, called policies, decisions or implementation actions by a group of individuals engaged in interaction guided by values and directed towards the achievement of some goal. His basic systems model of policy making, depicting a continual flow of inputs, consequences and feedback is well known by political scientists. The systems approach in politics has provided a major framework for attempts to analyze the overall patterns of relationship existing in complex political bargaining (Harman, 1974: 24; Smith, 1972: 224-249; Thomson, 1976: IX).

Numerous variations and extensions of the initial systems model have developed. Dye (1966, 1970, 1972, 1976 and 1977), for instance, amplifies the notion of political inputs by including demands and support elements, that underpin the operation of the political system. He also explains the concept of various linkages and relations between the parties involved in the political process. Jones (1970) enlarges the initial Easton model to include a list of functional activities, which the policy making body performs during the process of policy making. The Easton model is further adapted by Wirt and Kirst (1972: 18) to yield a dynamic response model which emphasizes the effect of the total environmental input on the process.

3.3.2 Adaptation of a systems approach

This model helps to identify the various parts of the process and how they generally relate to one another. Policy decisions, when implemented, have an impact on the community. The feedback of the policy consequences in turn tends to influence further inputs into the political system and the whole process follows this cycle. The model does not explain policy making, but rather provides an analytical

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categorization of elements and the connections between them (Harman, 1974: 26-34; Wirt, 1972: 249).

3.3.3 Policy making as a rational process

The rational process of policy making has been described in terms of a group single-mindedly progressing through a systematic series of problem solving steps to efficiently arrive at an acceptable solution, which results in a policy decision. However, most students of policy making realize that policy is not established on such an orderly rational basis (Colema, 1977; Dye, 1972 and Joseph, 1975).

Lindblom (1959, 1968) Dahl and Lindblom (1976) and Ostrom (192: 205-207) argue that human fallibility prevents rational decision-making in the ideal sense of being fully comprehensive. Lindblom (1968: 108-109), however, argues that this disjointed incrementalism is, in itself, rational because it occurs empirically in the world of politics because individuals act according to what seems appropriate at a certain point in time.

3.3.4 Policy making as a formal process

This approach, based on the notion of a hierarchical arrangement of organizational members in an organization, reflects the assumptions of the structural functionalist school. According to this view, each member occupies a specific role or position and has particular functions to perform within the structure of the organization. Again, the emphasis is on orderliness, efficiency, singular goal-seeking behaviour and co-operation between subsystems of the group (Mouzelis, 1967: 123-133; Feldman and Kanter, 1965: 614-619). The formal organization model of policy-making is similar to the rational model in that it assumes that the policy-making body is a unitary actor, subject to a set of uniform constraints imposed on it (Harman, 1974: 33-34; Lindblom, 1968: 4).

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3.3.5 Policy making as a discourse

Policy as a discourse encompasses the concepts and ideas relevant for policy, and the interactive processes of communication and policy formulation that serve to generate and disseminate these ideas (Schmidt & Radaelli, 2004). These discursive structures (concepts, metaphors, linguistic codes, rules of logic, etc.), often taken for granted, contain cognitive and normative elements that determine what policy-makers can more easily understand and articulate, and, hence, which policy ideas they are likely to adopt (Campbell, 2002). This perspective offers an extremely rich way into understanding the link between knowledge and policy in development, and has the potential to bring together elements of the institution and actor focused approaches in relation to the role of knowledge. Discourse plays a key role in shaping new institutional structures as a set of ideas about new rules, values and practices, and also as a resource used by actors in the processes of interaction focused on policy formulation and communication. The policy network theories and discursive institutionalism show how these in turn shape discourse (Schmidt & Radaelli, 2004).

3.3.6 Policy making as a choice among alternatives

During the process of deciding on a public policy, a deliberate choice among alternatives has to be made with a view to arriving at a final statement of the objectives to be pursued or methods of action to be employed. The final choice among alternative policy proposals, if made public, is a policy statement or a policy (Hanekom & Thornhill, 1983: 82). Making a choice among alternatives has a profound effect on the rationality of the policy decided on. Per definition the supporters of each policy alternative went through a rational process to come to a decision. The supporters of the alternative selected for implementation will regard the subsequent policy statement as rational, while supporters of the other alternatives not accepted or approved might find the subsequent policy statement extra-rational. Rationality is concerned with the selection of preferred behaviour alternatives in terms of some system of values whereby the consequences of behaviour can be evaluated (Harrison, 1981: 2).

3.3.7 Policy as subjectivity

Subjectivity can be explained by means of a practical example such as the policy for the employment of Cuban medical practitioners in public hospitals to offset the problem of a dire shortage of such trained staff. Some individuals and groups oppose this policy and find it extra-rational (Frontiers of freedom, 1997: 11-12). Rational behaviour in the policy-making process involves the selection and evaluation of some relevant alternative that offers a perceived advantage to the policy-maker. All that is necessary to make the policy a rational one is that an objective exists and that the policy-makers perceive and select some alternative that promises to meet the objective. The choice might be made under conditions of perfect information or complete uncertainty and still be perfectly rational (Harrison, 1981: 82-83).

3.3.8 Policy making as regulatory

Regulatory policies are, in general terms, policies that are intended to govern the conduct of business. There are two broad of types of regulatory policies. The first is competitive regulatory policy, which involves policies to limit the provision of goods and services to one or a few designated deliveries. Competitive regulatory policy is made without much public scrutiny. Much of this policy is made at the state level. The second type of regulatory policy, protective regulatory policy, on the other hand, is intended to protect the public at large from negative effects of private activity, such as tainted food, air pollution, unsafe consumer products or fraudulent business transactions (Birkland, 2005: 143-144).

3.4 STAGES IN THE POLICY MAKING PROCESS

Either public, private or non profit organizations develop policy. Policy making takes place in stages. These are: agenda setting, policy formulation, policy legitimation, policy implementation and policy evaluation and change. Denhardt and Denhardt (2009: 50) summarized the stages below.

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3.4.1 Agenda setting

This is a stage where certain problems come to be viewed as needing action. The agenda setting process may be viewed as a confluence of three streams of events, namely: policy recognition, policy generation and policy action. Policy recognition has to do with the way certain topics emerge as important issues that demand quick action. Policy recognition may respond to a particular problem that comes to public view such as the rise of unemployment or an increasing number of people affected by AIDS. The second phase of the agenda setting process may occur simultaneously. This is where a policy-maker will try to generate solutions to the problems. A third stream concerns policy action. For the proposal to reach the top of the policy agenda, it must be consistent with emerging political realities.

3.4.2 Policy formulation

Formulation of policy involves development of a formal policy statement that is viewed as legitimate. Policy-making will always also involve interaction between the public and the institutions and functionaries; for example, political executives, office bearers, legislatures and officials who have to perform the policy-making functions. These top institutions and functionaries will concentrate on directives, which will determine what must be done, by whom, in which organizational unit, how and who will control the activities undertaken (Cloete, 1991: 92-93).

3.4.3 Policy legitimation

Kraft and Furlong (2007) define policy legitimation as giving legal force to decisions or justifying policy action. The legitimation is about acceptance of a new policy by the broader public. The process of policy acceptance should, therefore, be considered from a legal and political perspective, as well as from the perspecitve of culture and values. According to Kraft and Furlong (2007: 87-88) this is mostly political. This is where the lawmakers ask questions before they decide to adopt policy.

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3.4.4 Policy implementation

Members of the public and public organizations play an important role in building the policy agenda and shaping legislative policy, but they are also involved in policy making as part of the implementation process. Policy implementation consists of a set of activities directed towards putting programmes into effect. According to Kraft and Furlong (2007), policy implementation includes organization, interpretation and application. Organization refers to the use of resources and methods to administer a particular programme. Interpretation involves translating the language of regulation into language understandable to the affected parties, while application is the routine provision of services, payments or other agreed upon programme objectives or instruments. Policy implementation is the stage of the policy-making process in which the public sees the concrete governmental actions or interventions.

3.4.5 Policy evaluation

Policy evaluation is an assessment of whether policies are working well. This is the stage where the question is asked whether the policy that has been implemented has met the goals and the objectives of the legislation. Cost benefit analysis is one of the most frequently used methods for evaluating policies (Kraft & Furlong, 2007: 84)

Besides the above mentioned stages of policy, one must bear in mind that there are role players in terms of policy formulation. The formulation of public policy rests in practice with the legislative institutions at the different levels of government and administration, political functionaries, leading public officials, pressure and interest groups. Policy formulation is a process which comprises of official and unofficial policy-makers. The official policy-makers are those who have legal authority to engage in the formation of public policy. These include legislators, executives, administrators and judges. To understand what each policy-maker's responsibility is, the summary made by Anderson (1984: 61) is discussed below.

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3.4.5.1 Legislatures

The role of the legislature is to legislate. They are engaged in the central political tasks of lawmaking and policy formulation in a political system. The various committee and subcommittee systems and legislative norms encouraging members to concentrate on particular policy areas have provided legislatures with their own policy specialists. Effective functioning by the legislatures in policy making has been much enhanced by an expanded assistance staff. The legislature's staff assistance falls into the three categories indicated below.

i. Personal staff: these people work for the individual members of the legislatures. They also write speeches, draft bills, monitor committee hearings, negotiate with other staff and lobbyists and suggest policy initiatives.

ii. Committee and subcommittee staffs: members of these staffs proliferated in the last two or three decades. The professional members of committee staffs, usually subject matter experts, often have much influence on the development of legislation, drafting bills, developing political support and working with agency officials

iii. Institutional staff: these staff members are normally located in agencies providing information services to the legislature. These agencies, which are expected to perform in a nonpartisan and objective manner, provide members of legislatures with research studies, policy studies, policy evaluations and budgetary data (Anderson, 1990: 52-53). The entire staff helps to increase the policy making capacity of the legislature and reduces its dependency upon others, meaning the executive, administrative agencies and interest groups.

3.4.5.2 The executive

The President's authority to exercise legislative leadership is both clearly established by the Constitution and legislation and accepted as a practical

and political necessity. The fragmentation of authority in legislature stemming from the committee system and lack of strong party leadership, generally renders that body incapable of developing a comprehensive legislative programme. The President does not act alone on policy matters. The Presidency comprises several staff agencies whose *raison d'être* is advising and assisting the President in handling his or her responsibilities, including development and implementation of policy (Anderson, 1990: 54-55).

3.4.5.3 Administrative agencies

Administrative systems throughout the world differ in terms of characteristics as size, complexity, hierarchical organization and the degree of autonomy from the other branches of government. Administration can make or break law or policy that has been made elsewhere. Especially in complex, industrial societies, the technicality and complexity of policy matters, the need for continuing control and legislators' lack of time and information have caused the delegation of much discretionary authority, which often includes extensive rule-making power, to administrative agencies. Consequently, agencies make many decisions and issue many rules that have far reaching political and policy consequences. Administrative agencies are an important source of legislative proposals especially in the American political system. Because of their experience and specialized knowledge, agency officials are able to identify needed changes in existing policies to eliminate loopholes and pro-actively prevent new problems from arising ((Kraft & Furlong, 2007: 88).

3.4.5.4 The courts of law

The courts are often called upon to interpret and decide the meaning of statutory provisions that are ambiguously or unclearly stated and open to conflicting interpretation. Today, the courts are not only becoming more involved in policy formation, they are also playing a more positive role, specifying not only what government cannot do but also what it must do to

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meet legal or constitutional requirements. Several factors would seem to guarantee continued judicial involvement in policy formulation. These are: the growing influence of government on people's lives; the failures or refusal of the legislative branches to act on some problems; the dissatisfaction that often arises when they do act; the willingness of the courts to become involved and the increasing litigiousness in at least some segments of the population.

The above-mentioned policy-makers are normally joined by many other non-officials in the policy-making process, including interest groups, political parties, research organizations, media and individual citizens. These participants provide information, they exert pressure, they seek to persuade but they do not decide, because that is the prerogative of official policy-makers.

3.4.5.5 Interest groups

Interest groups appear to play an important role in policy making in practically all countries. This role differs depending on whether a countries is democratic or a dictatorship, modern or developing, because countries are different in terms of how groups are constituted and how legitimate they are. Interest groups such as those representing organized labour, business and agriculture, are major sources of demands for public policy. Public interest groups are also important players in the policy-making process, whereas most pressure groups represent interests of direct, material benefit to their members. Public interest groups usually represent interests that, in their absence, would go unrepresented. Such groups include consumers, nature lovers, environmentalists and good governance proponents. At the national level, associations of state and local government officials routinely seek to influence the content of national policies. Much of the work in promoting pressure-group interest in the policy process is performed by the group representatives or lobbyists.

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3.4.5.6. Political parties

Anderson (1990: 63) proposes that in any country, political parties are primarily interested in contesting elections with the aim of controlling the personnel of government. Clearly, the parties appeal to different segments of society. In the American state legislature, political parties vary greatly in importance from one state to another. In a one-party state, it is obvious that opposition parties exercise little discipline over legislature voting and the party has little, if any, effect on policy making. In modern societies, generally, political parties often perform the function of interest aggregation. That is, they seek to convert the particular demands of interest groups into general policy alternatives.

3.4.5.7 Research organizations

Private research organizations, frequently referred to as "think tanks", are another set of important players in policy making. Many of these research organizations have policy biases and distinct ideological leanings. In the South African context, research organizations such as the Centre for Policy Studies, the Institute for Democracy, and the Electoral Institute of Southern Africa are research organizations that are very actively involved in socio-political issues. Besides these research organizations, universities also have policy or research centres that produce policy studies and evaluations on national, state, and local issues.

3.4.5.8 The individual citizen

During the discussion of policy making, the individual citizen is often neglected in favour of legislature, interest groups and more prominent and influential participants. Although the task of policy=making is generally assigned to public officials, in some instances citizens can participate directly in decision-

making. Many citizens do not directly avail themselves of these opportunities to shape policy because of inertia or indifference; this apathy frequently leads to the comments that citizen participation in policy making, even in democratic politics, is not effective. Many people also do not vote or engage in party activities or even fail to show an interest in politics.

3.4.5.9 Communication media

The media, such as newspapers, news magazines, radio and television may participate in policy making as suppliers and transmitters of information. The media acts as agenda setters in that they help determine what people think about and, whether intentionally or otherwise, as shapers of attitudes. Officials are not simply reported on by the media but also strive to use the press for their own purposes. Through interviews, press releases and news leaks they seek to use the media to test and influence the attitudes among both the general public and other officials toward particular proposals or actions (Anderson, 1990: 65).

3.5 DIFFERENT LEVELS AND TYPES OF POLICY

Every public institution has its own peculiar structure of operation. The activities of each of the functionaries employed in a public institution are regulated by policy directives. Cloete (1991: 82-85) describes the different kind of policy levels.

3.5.1 Political policy level

This is the policy of the ruling political party. The governing party sets objectives for the way in which the authorities will direct communities. The policy of government is based largely on party political sentiment. Public policy is essentially a guide or plan of action initiated and authorized by the relevant government department, government entity, or municipal government with the intention of achieving whatever is necessary to improve the lives of citizens. According to Cloete and Wissink (2006:

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6) it is at the level of party policy that the party ideologies, the party's value systems, the world view of its leadership and the party's *raison d'être* first seek to direct discussion and debate and ultimately shape public policy at all levels.

According to Joffe (in Shell & Shembaugh, 1999: 143), "the party effectively makes policy and oversees its implementation" while Duke (2002: 12) desciribes the detail of how the mechanics of a specific policy would be worked out by the relevant government department or ministry, submitted to the responsible minister, discussed in the cabinet, possibly presented to other ministers for comment and ultimately approved at the ministerial level.

3.5.2 Political implementation policy

The political executive institution and the office bearer have to take the initiative in the implementation of policies approved by the legislation. The legislation could state what should be done, how, where and by whom it should be done. The formation of a political implementation policy will largely be undertaken by those political executive office bearers or institutions constituting the superstructure of the executive institutions.

This is where the political wish list or political idealism must be transformed into progressive, successive and workable realities. For example, in the South African political context, the ANC manifesto (African National Congress, 2009) identifies over five priority areas for the next five years, namely: the creation of decent work and sustainable livelihoods; education; health; rural development; food security and land reform and the fight against crime and corruption.

The above-mentioned priorities were based on the vision of the freedom charter which was adopted in 1955. This is not the responsibilities of the political office

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bearer but also the senior public servants such director generals, deputy director generals and chief directors will also be involved in developing this level of policy.

3.5.3 Departmental policy

This level of policy must be in line with the relevant governmental policy. For example, the South African Department of Social Development must execute the policy articulated by the government with regard to access to the child support grant. The Department would be violating the government policy if it articulated its own policy, which is contradictory of the government policy. Botes *et al* (1997: 311) describe how the head of department, usually a director general, would formulate policy which is capable of execution both functionally and administratively and embody this in the budget. The departmental policy should be proper reflection of the aims of the department.

3.5.4 Administrative policy

This policy also termed operational policy at the government administration level and is executed by government officials. It belongs in the realm of public administration and, therefore, has more to do with public policy implementation than with public policy analysis. According to Botes *et al* (1997: 312), this policy is characterized by five of the seven generically related functions of public administration. It excludes policy analysis and policy making, but includes developmental staff policy; departmental financial policy; departmental organizational policy; departmental procedural policy and departmental control policy.

Inherent to administrative policy are particular characteristics that serve to distinguish it from mere attainment of goals and administrative actions. Botes *et al* (1997: 312-313) argue that policy must be authoritative, enforceable, flexible and adaptable, feasible, clear and public.

For the policy to be authoritative, an authorized government institution or representative such as head of department must determine and authorize it. Speculation and opinion or other influences during policy making should not be regarded as policies. This means that policy needs to be clearly defined and all interested parties should be informed in writing (Duke & Roux, 2003: 74). Hanekom (1992: 8) advances the definition of policy as public policy needs to be decided upon and made publicly known by the legislators.

Secondly, public policy needs to be enforceable. Those who are responsible for implementing public policy would need to be made more aware of their responsibility by means of a clear policy directive. Failure to comply could then result in possible legal charges of misconduct. Thirdly, public policy must be flexible and adaptable but it should be borne in mind that the aim must be fixed. The characteristics of flexibility and adaptability are what make policy analysis possible, because this characteristic implies the need to be able to consider alternative policy options when required. Fourthly, public policy must be capable of being done, effected or accomplished. Fifthly, public policy should be clear and understandable - policy directives, rules, regulations and legislation must be clear so that even the policy itself will be clear. Finally, public policy is public, this means that the policy concerns the public and must be publicized as clearly as possible.

3.6 APPROACHES TO PUBLIC POLICY

Public policy is what public administrators implement. There are manifold approaches to public policy. One way of understanding the subfield of the public policy is to bisect it into broad branches. The first branch is substantive of some issues such as the environment, crime. This branch is normally dominated by political scientists.

The second branch is theoretical, effectual, prescriptive and normative. This is concerned with the development of theories in practice. It also focuses on prescribing ways of making and implementing better policies regardless of substantive issues and areas that public policy may address (Henry, 2001: 297). Some argue that the test of a model is falsification, the confrontation with facts (Popper, 1959, 1963), though it remains doubtful how theory could simultaneously satisfy the criteria of abstract generality and descriptive realism (Krupp, 1966). The functions of public policy are to explain, understand, interpret and organize data concerning the making of decisions by public bodies. Henry (2001: 297) explains the incrementalists' paradigm of public policy making and implementation by highlighting six emphases.These are described below.

3.6.1 The elite or mass model

This model may be among the most germane to public administrators. Society is divided according to those who have power and those who have not. The elite share common values that differentiate them from the masses and prevailing public policies reflect elite values and interests. Anderson (1984: 29) states that, approached from the perspective of elite theory, public policy can be regarded as reflecting the values and preferences of the governing elite. The essential argument of elite theory is that public policy is not determined by the demands and actions of the people or the masses, but rather by the ruling elite whose preferences are carried into effect by public officials and agencies.

Dye (1976) summarizes the elite theory in detail as follows: society is divided into the few who have power and many who do not. Only a small number of persons allocate values for society; the masses do not decide public policy; the few who govern are not typical of the masses that are governed. The elite is drawn disproportionately from the upper socio-economic strata of society; the movements of non-elite to elite positions must be slow and continuous to maintain stability and avoid revolution. Only non-elites who have accepted the basic elite consensus can be admitted to

3.6.2 The group model

This is the second model of incrementalist public policy. Normally, the group model is associated with the legislature rather than the bureaucracy, but it also has long been recognized by scholars that the neutral executive branch of government is buffeted by pressure groups. According to the group theory of politics, public policy is the product of group struggle. Group theory rests on the contention that interaction and struggle among groups are the central facts of political life. A group is a collection of individuals that may, on the basis of shared attitudes or interests, make claims upon other groups in society, in that way becoming a political interest group.

A main concept in group theory is that of access. To have influence and to be able to help shape governmental decisions, a group must have access or opportunity to express its viewpoints to decision-makers. It is an obvious fact that if a group is unable to communicate with decision-makers, if no one in government is willing to listen to it, the chances that it will be able to affect policy making are very slim. Another shortcoming of group theory is that in actuality many people, such as the poor and disadvantaged, and certain diffuse interests such as natural beauty and

social justice are either not represented or only poorly represented in the group struggle (Anderson, 1984: 27- 28).

3.6.3 The systems model

The systems model relies on the concept of information theory, especially feedback, input and output and conceives of the process as being essentially cyclical. This model addresses questions such as: What are the significant variables and patterns in the public policy-making system? What constitutes the "black box" of the actual policy-making process?

Public policy may be viewed as a political system response to demands arising from its environment. The political system comprises those identifiable and interrelated institutions and activities, what we usually think of as governmental institutions and political processes in a society that make authoritative allocations of values that are binding on society. Inputs into the political system from the environment consist of demands and supports. Demands are the claims for action that individuals and groups make to satisfy their interests and values. Anderson (1984: 27) further states that support is rendered when individuals and groups abide by election results, pay taxes, obey laws and otherwise accept the decisions and actions undertaken by the political system in response to demands. The usefulness of systems theory in studying public policy is limited by its highly general and abstract nature. It does not, moreover, say much about the procedures and processes by which decisions are made and policy is developed within the "black box" called the political system.

3.6.4 The institutional model

This model focuses on the organizational charts of government. It explains how the government was arranged, the official duties of bureaux and departments, but has customarily ignored the linkages between them. Traditionally, the institutional approach concentrated on describing the more formal and legal aspects of

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government institutions: their formal structure, legal powers, procedural rules and functions or activities. Institutionalism with its emphasis on the formal or structural aspects of institutions can nonetheless be usefully employed in policy analysis. An institution is, in part, a set of regularized patterns of human behavior that persists over time and performs a significant social function or activity (Anderson, 1984: 31).

3.6.5 The neo-institutionalist model

The neo-institutionalist model attempts to categorize public policy according to public policy-making subsystems. For example, Theodore J. Low, has classified policies into four arenas of powers: redistributive, distributive, constituent and regulative. In a redistributive arena, power is redistributed throughout the polity on a fundamental scale. In fact, it considers redistributive policies to be concerned not with the use of property, but with property itself, not with equal treatment but with equal possession. Low believes that policy making that takes place primarily in the government bureaucracy has undergone the least scholarly scrutiny by social scientists. A distributive arena is one in which benefits are made directly to individuals but there are really no particularly visible costs associated with the policy. The regulative arena differs from distributive policies in that it is more likely to be identified with cost to particular groups, while the constituent arena is one that affects the political actors directly, such as a reapportionment statute, but constituent policies do not single out individuals for either punishment or rewards.

3.7 TYPES OF POLICY PATTERNS

Generally, government policy preferences address attainment levels of learners in what are defined as key skills as well as seek indicators of overall and group specific performance standards within in international comparative framework. Bianco (2002: 17) in his article further argues that there is nothing unique in this disparity between knowledge generated for explicit political action (policy knowledge) and knowledge generated for teaching, research and scholarly understanding. Politicians-bureaucrats hold that political agency rests asymmetrically with them based on their

political or democratic compact. However, there are dilemmas aplenty involved in scholarly knowledge production regardless of whether or not knowledge production has been specifically recruited for a policy purpose. Different kinds of policy patterns described by Bianco (2002: 18) are explained below.

3.7.1 Human capital and social capital

The Organization for Economic Co-operation and Development (OECD) defines human capital as the knowledge that individuals acquire during their life and use to produce goods and services or ideas in market and non-market circumstances (OECD, 1997: 7). Human capital is the theoretical framework that dominates thinking about education in many societies. Combining skills and knowledge in human capital has meant that the location of human capital in a society goes well beyond its embodiment in people. Social capital is a contesting notion that locates individuals within social, cultural and other collectivities. The term is increasingly used to express literacy as a phenomenon of human relationships rather than an individual's skills. Policies inspired by principles and understanding of social capital would emphasize a community-based setting, the networks of relationships and social cohesion in which learning takes place and how what is learned is practiced (Putnam, 1995; Coleman, 1988).

3.7.2 International contexts of literacy advocacy

Although the various national governments are principally responsible for literacy policies, institutions such as the United Nations, through its specialized agencies of UNICEF and UNESCO, have long been interested in literacy policy. The UNESCO-UNICEF-UNDP World Declaration of Education for All, envelopes its aims for universal literacy within national and religious customs regarding indigenous education, right of first language maintenance, advocacy of literacy in the mother tongue and the education of girls as well as boys according to national and cultural values.

3.7.3 Does evidence lead to action?

Despite this commitment to statistical construction of information about literacy, there is little direct correspondence between empirical demonstration of literacy need and any kind of public policy response. This history of evidence about literacy problems and the connection of such demonstration of need with policies of provision do not inspire confidence. The relationship between evidence and action is mediated by many intervening factors (Weiss, 1983) social values in particular, which make this relationship less than straightforward. Policy does not emerge unproblematically from the demonstration of need.

3.7.4 Policy advising and rewriting

The advisor function is essentially concerned with the intersection of knowledge and direct or executive power. The role and impact of advising are evident when a field of practice, known through lived experience, is reframed in a different discourse and lexicon. The advisor represents the field in a public policy expression. It changes constituted as a problem or even a crisis expressed in a arcane register after with the attribution of responsibility. Policy texts can be seen as politics of de-legitimation of teacher practitioners, intended to minimize their voice and experience in shaping assessment, progress measurement and other policies and thereby constraining professionalism as a source of policy-shaping. Policy texts are in this respect rhetorical and persuasive in the way they aim not simply to describe field realities but to do so in such a way as to give life to courses of action. Policy texts are essentially arguments for bolstering particular courses of action, ones that have usually achieved a kind of agreement or consensus prior to their formulation.

3.7.5 Policy making as a ruling

Decision-making, or ruling, depends on the marshalling of knowledge. This involves the collection of information. Information becomes knowledge when it is absorbed

into a discourse, a framework of texts about a subject. Policy, both texts and discourses of policy (Bell, 1993) embody notions of power-saturated discourses. The identification of problems and claims about what ought to be solved problems, for example, to eradicate illiteracy, are converted from the often anecdotal, interactive, experiential, grounded and concrete expressions of participants into abstract, distant and generalized expressions or policy-making texts.

3.8 THE RELATIONSHIP BETWEEN POLICY AND DEMOCRACY

Jenkins-Smith (1990) Dryzek, (1990) and Carey (1997) highlight two simplifications and jostle about the relationship between policy sciences and democratic processes. One claims that policy is a means for perfecting democracy. The vast complexity of contemporary post-industrial society means that the alternative courses of action available to decision-makers in any field are endless. The science of policy making via explicitly evaluated and casted alternatives indentifies the optimal or maximally effective option. Policy making techniques can actually pervert democracy. Policy analysis and processes transform issues and problems of society into forms of knowledge that are not neutral. Instead, policy technique diminishes the place for the expression of values and the declaration of the preferences of communities and affected groups to shape decisions. This means that formal policy processes raise barriers to entry into debate and disrupt the networks of the community and practitioners that actually exist.

Carey (1997) sees the move to scientific policy making as organized persuasion aiming to take the risk out of democracy. This association with propagandistic organization of knowledge has become a recurring strain in strong or weak form among policy science critics. Expectations from policy research are embedded in an image of policy and politics and how policy decisions are made. Categories of research that are specifically commissioned to inform policy can encounter an acute tension. Higgins (1980) identifies how a technical-political dichotomy produces tensions between the technical (scientific) and the political (action-oriented) functions

of such research. Weiss (1983) further argues that research knowledge is only taken up in policy and issues are not really tractable unless there is some balance of the interest of participants, the different information base available to them and the ideological filters that impede the utilization of new knowledge. Within policy analysis there is vibrant debate about research and the knowledge it generates.

Rein (1976: 1986) points out that values and facts either shape each other in given cases or are complexly related in others but they are rarely present alone. The technical functions of research assume a different order of importance in policy contexts from academic or scholarly ones, where definitions and objectives are precisely formulated in advance. Policy paradigms, even when they deliberately require and generate new information and engage classes of knowledge experts to this end, are ambiguous or ambivalent.

3.9 BACKGROUND AND DEVELOPMENT OF PUBLIC ADMINISTRATION

Coetzee (1991: 42) distinguishes public administration as an academic discipline and a government activity. Public administration refers to the discipline or a branch of instruction with regard to public administration. Botes and Roux *et al,* (1997: 257) argue that public administration is concerned with all the scientific disciplines that have a bearing on the contemporary administrative and managerial practices in the public sector. Administrative and managerial practices that are to be found in public institutions comprise a comprehensive suite of activities that require knowledge of virtually all sciences.

The United Nations (undated) define public administration as the aggregate machinery (policies, rules, procedure, systems, organizational structures, personnel etc.) that is funded by the state budget and in charge of the management and direction of the affairs of the executive government and its interaction with other stakeholders in the state, society and external environment or as the management and implementation of the whole set of government activities dealing with the

implementation of laws, regulations and decisions of the government and management related to the provision of public services.

Public administration is a science that has produced and continues to produce knowledge that can be analyzed and applied universally in the context of enhancing theories, knowledge and understanding of public administration in the practical and theoretical sense. Botes *et al,* (1997: 260), Pfiffner & Presthus (1967: 4-6) and Cloete (1967: 35-40) have identified four essential qualities that firmly establish the qualifications of public administration as a discipline in its own right: The first is that public administration is a science because there exists a corpus of knowledge, which has repeatedly been proven to be valid, can be analyzed systematically and contain aspects of universal applicability. The second is that public administration is an academic discipline, which can be disected in systematic steps of study and research. The third is that public administration is a university or college subject, which enjoys universal acknowledgement. The fourth is that public administration finds a field of application in the public administration.

According to Nicholas Henry (in Fox and Mejer, 1995: 105) public administration has three cornerstones, namely organizational behaviour and the behaviour of people in organizations; the technology of management and the public interest concerning individual ethical choices and public affairs. Public administration is essentially a series of actions carried out by people in public institutions on behalf of other people. It is an activity inspired by the need to apply the policies and deliver the services and outputs of those policies as determined by the executive and approved by the legislature (Brown & Roux, 2003: 69).

Du Toit and Van der Waldt (1997: 8) define public administration as an activity which focuses on what government is doing to produce certain products and or services for society. The government of the day is expected to render certain services to society

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because individuals cannot meet some of their own needs in a specific situation. Therefore, public institutions exist to meet societal needs. Public administration, as an activity, refers to the work done by officials within the government institutions to enable government to achieve its objectives in all three spheres of government. Government institutions form part of the public sector and function at central, provincial and local levels. All these levels depend on one another and on the community they serve to provide a service that meets the community's needs.

According to Fox, Schwella and Wissink (1991: 2) the activity of public administration in government institutions is much wider in scope and nature than management in government. Public administration enables public managers to manage while at the same managers can determine the managerial functions such as formulating the internal policy, organizing their staff and functions, motivating their staff, training their staff or arranging for training. Klinger (1983: 6-7) states that public administration is about the functions performed by the administrative agencies at each level of government and related administrative and judicial activities. Public administration and the agencies, administrators and employees involved do not exist in a void. A host of environmental factors affect what public administrators do and how they do it. Wikipedia describes public administration as the development, implementation and study of branches of government policy. The pursuit of public good by enhancing civil society, ensuring a well-run, fair and effective public service is one of the objectives of public administration. Public administration is carried out by public servants who work in public departments and agencies at all levels of government and perform a wide range of tasks. Public administrators collect and analyze data, monitor budgets, draft legislations and develop policy and execute legally mandated government activities.

Hanekom and Thornhill (1993: 36) divide the factors determining the spheres of authority of public administration as a government activity into four categories,

namely; political, social, economic, and scientific and technological. The above-mentioned factors are summarized below.

3.9.1 Political factors

Political factors include ideologies about the type of government action such as increasing employment and increasing government expenditure.

Firstly, the focus is on the ideologies about the type and extent of government action. Ideas held by individuals and communities regarding the role to be played by legislative institutions in community life primarily determine the type and extent of government and administration of a specific community. One such ideology is the classical approach, also known as the *laissez faire* approach. According to this approach, the state should concern itself chiefly with the protection of the community against intruders from the outside. A second approach is the socialistic approach, which is concerned with how a large number of economic institutions should function as government institutions. Thirdly, there is the useful approach, which is about the promotion of the general welfare of the people by the state, increasing employment and increasing government expenditure. Government's responsibility to create employment is directly linked to the increase and change in government functions and their amplification.

3.9.2 Social factors

The general increase in population and the depopulation of rural areas are social factors affecting the expansion of public administration. The more the population increases, the more capacity is needed in government to render a high quality, continuous service to promote the general welfare. An increasing number of employment opportunities in urban areas leads to a depopulation of the rural areas as people flock to the cities in large numbers to search for jobs.

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3.9.3 Economic factors

The national government is expected to control the economic situation by designing fiscal and monetary measures and policies to regulate economic cycles.

3.9.4 Scientific and technological factors

Government institutions are forced to make adjustments to keep up with new technology. Government's work methods and administrative processes have to be adapted accordingly to ensure the sophisticated practice of public administration.

Swain (1987: 1) states that public administration involves getting done what the government intends to do. This also applies to the decision-making process of public administrators, which involves government employees who are working within a complex and hierarchical environment, which makes heavy demands upon them and gives them little choice and only partial control over their assigned duties.

Wikipedia encyclopedia, it describes public administration as an academic field as often considered to have evolved in the United States. In Europe, especially in England and Germany under the thinking of Max Weber, it emerged as a separated scholarly field in 1890, but it was taught in continental universities in the 1720's.

Generally, the interdisciplinary nature of public administration is acknowledged. Marais (1991: 221) explains that one of the persistent ideas within the study of public administration is the bureaucratic model of Max Weber. However, the model was criticized since it became available in the public domain. Furthermore, Marais (1991: 221) states that the environment of public administration has changed intrinsically since Weber's model. The Max Weber model also proved that the demands of modern civil service go beyond the narrow prescriptions of Weber's model.

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Public administration theorists advocate a bright line differentiation of the professional field from related academic disciplines like political science and sociology. Although Woodrow Wilson was considered as the father of the study of public administration, he only reinvented the science that had been developed much earlier in Europe. In fact, the science of public administration could be found in the work of German and Australian cameralists of the sixteenth century. According to Thornhill (2006: 797) a variety of authors played an important role in the development of public administration such as Goodnow, F.J.(1893), White, L.D. (1926), Pfiffner, P. & Presthus,R. (1935), Gulick, L. & Urwick, L. (1937), Lepawsky, A. (1949) and Simon, H.A., Smithburg, D.W., and Thompson, V.A. (1950), to mention a few of the well known contributors to the discipline.

3.10 APPROACHES TO THE STUDY OF PUBLIC ADMINISTRATION

Thornhill (1985: 15) stresses that there have been numerous attempts to explain the origin of the study of public administration as an intellectual exercise, of which in recent times the philosophical approach of Peter Self (1972) and the semantic approach of Andrew Dunshire (1973) have been most prominent. The study of public administration as an area of activity concerned with the structure and working of the public sector is closely allied to the wider study of political activities and political ideas. It was marked by Woodrow Wilson's article in the Political Studies Quarterly in 1887, in which he referred to public administration as the implementation of laws by the non-judicial machinery of civil offices.

Thornhill (1985: 15) describes the essential features of some of the main approaches which have been used in the study of public administration. These are discussed below.

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3.10.1 The organizational approach

The term organization refers to a pattern of interrelationships which is established between workers engaged in the pursuit of common objectives. This approach involves the allocation of tasks to individual workers so that, together, they aggregate to the achievement of the objectives. In addition to the division of work and its allocation of offices or officers, organization necessitates the allocation of responsibility and authority to each worker commensurate with the allotted task, the provision of rules and procedures to carry out their task in such matters as the spending of money, the determination or priorities, the conduct of communication and staffing.

Weber (1947) went on to examine the different types of authority found in organizations and classified them as charismatic, traditional and rational/legal. Weber considered bureaucratic organization to be an ideal type in which the components worked harmoniously and effectively towards the attainment of the goals of the undertaking. The Weber concept of bureaucracy as the most official form of organization is obviously relevant to large undertakings and it is just as applicable to those in the private sector as to those in public sector.

Furthermore, Thornhill (1985: 8) argues that the formal organization is a prominent feature of the construction of an undertaking and it usually has important consequences for the operation of the undertaking. Getting the right pattern of distribution of work and allocation of authority is difficult.

3.10.2 Rational decision making

The first organizational theories were criticized for their lack of rationality and consistency, apart from the earlier criticism launched by the behaviorists. The development of a rational approach was most marked in the ideas of Simon (1947) who was not only critical of the usefulness of the so-called principles or organization,

but also reacted against the propensity of the behaviorists to reduce everything to interpersonal relations.

According to Simon (1947) there are three stages in the making of a decision. The first is the establishment of the need for a decision; the second is the identification of the various possible actions which would lead to a solution, and their examination and analysis to establish their cost and consequences and the third stage is the choice of the most appropriate solution available. This model owed much to classical economic theory in which the aim is to get the most satisfaction from scarce resources that have alternative uses. The rational model put forward by Simon (1947) rational model consists of the following administrative process:

i.   Search for all the various courses or strategies which would achieve the solution or objective

ii.   Identify all the consequences that follow each proposal and the cost of each

iii.   Evaluate the different consequences and select the one which enables the attainment of the objectives at the lowest cost.

The speed and effectiveness with which new organizational arrangement techniques were applied varied enormously from one body to another (Thornhill, 1985: 23).

3.10.3 Incrementalism

Lindblom (1959) argued that Simon's approach was a practical impossibility, because it depended on a comprehensive analysis for which in practice the necessary information was either unobtainable, unreliable or very expensive to obtain, the complexity of the variables and their calculation often outran the capacity of the human mind and the possibility of conflict about goals was more frequent. Lindblom (1959) described his approach as successive limited comparison and differed from Simon about setting objectives. The rational model implied that objectives were set first and then action was decided upon to maximize their attainment. Lindblom (1959) argued that the two processes were, in reality, fused together because (a) there was always argument about the objectives and values to

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be sought and (b) there was the difficulty of ranking conflicting values otherwise than as a marginal gain or sacrifice. He also commented on decision-making within an undertaking as distinct from the individual decision-maker.

Both Vickers (1965) and Keeling (1972) analyzed the administrative process in ways that show more sympathy with increamentalism than with the rational model.

3.10.4 Political interest

Apart from their individual views, people associate with one another when they share similar interests. These range from fundamental interests such as status, work, and employment and religious beliefs. Political interests, therefore, embraces a much wider range of bodies and activities than do the political parties. The political parties have primary objectives of directly influencing and partaking in the conduct of government and studying the system of government including the administration of public bodies. The role of the political parties must be taken into account while the power of government is diffused through the wide range of bodies which constitute the public sector.

3.11 THE NATURE OF AND THE INTELLECTUAL CRISIS FACED BY PUBLIC ADMINISTRATION

Wikipedia encyclopedia describe a pre-generation and the three generations in the development of the science of public administration.

3.11.1 The pre-generation

In his article (Thornhill, 2006: 794) refers to the pre-generation which includes thinkers such as Plato, Aristotle, and Machiavelli. The national state emphasis concerning society manifested principally in moral and political issues and in the organization of the public administration. From the 16th century, the national state was the reigning model of the administrative organization in Western Europe. In the

18th century the need for administrative expertise in Western Europe grew as these states needed an organization for the implementation of law and order and setting up a defensive structure. The need for expert civil servants with knowledge about administration and the military organization grew (Annon, 2007: 1).

3.11.2 The first generation

In 1855, professor Lorenz van Stein in Vienna was considered the founder of the science of public administration in Europe. Public administration was considered to be a form of administrative law. Van Stein considered the science of public administration a melting pot of several disciplines such as political scienceand public finance, but viewed public administration as an integrating science.

He furhermore saw public administration was an interaction between theory and practice and suggested that public administration should strive to adopt scientific methods.

In the United States, Woodrow Wilson was the first to discover the science of public administration as an area of study. Woodrow Wilson was more influential in respect of the science of public administration than Van Stein. When Wilson (1887) wrote in the Political Science Quarterly in 1887, he argued in favour of four concepts, namely: separation of politics and public administration, consideration of the government from a commercial perspective, comparative analysis between political schemes and reaching effective management by training civil servants and assessing their quality.

In the congressional government of the time, Wilson argued quite clearly for a distinction between politics, or perhaps more accurately legislation, and administration. He called for separate institutional arrangements that were nonetheless linked functionally and instrumentally. Administration had to be

subordinate to legislation. This did not mean that administration was of minor importance. On the contrary, administration could be equated with governing: "legislation is like a foreman set over the forces of government. It issues the orders which others obey. It directs, it admonishes, but it does not do the actual heavy work of governing".

Initially, then, Wilson saw governing as a wholly instrumental activity, fulfilling the purposes set by politics, especially the politics of constitution making. This put Wilson squarely in the same camp as most of the American founders, which is something of a surprise given the extent to which he criticized their mechanical, or Newtonian, theories of government (Cook, 1997). Yet out of his instrumental conception, combined with "the universal principal of institutional change" that he derived from his organic view of political development, Wilson eventually developed descriptive and normative arguments that recognized governing, including administration, as not merely instrumental to the polity. Far more than that, he concluded, law and administration help constitute the polity, that is, they give new shape to the character of the citizenry, and define new purposes for the regime.

In his article, Wilson's central concern was the adjustment of democracy to the modern world through the adaptation of effective administrative methods to democratic rule. He thought this was possible because he saw administration as amenable to systematic study not because it involved the "dull level of technical detail", but rather because it involved the "lasting maxims of political wisdom, the permanent truths of political progress" that transcended even "the debatable ground" of constitutional principle. This formulation was the first hint of further development in Wilson's thinking about what public administration is and how it is related to "policy politics" (Wilson, 1981).

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3.11.3 The second generation

The discussion about separating politics from public administration as argued by Wilson continued to play an important role up to 1945. Luther Gulick and Lyndall Urwick merged the ideas of earlier theorists like Henri Fayol into a comprehensive theory of administration. These two authors believed that the thoughts of Fayol offered a systematic treatment of management, which was unique at the time. Furthermore, they did not want to separate the two disciplines of politics and public administration, but also believed that a science of administration could exist. The science of administration was largely borrowed from the fourteen principles of organization of Fayol (In Thornhil, 2006: 795-796).

3.11.4 The third generation

After 1945, the third generation arose which questioned the ideas put forward by Wilson and second generation theory. The difference between politics and public administration was strongly revitalised by the third generation.

3.11.5 Since world war II

According to Nigro (1970: 14), the concept of public administration expanded after World War II. The administration-policy split was rejected, and this was the opening-up of a new area for study, namey administrative policy making. New dimensions were added to the study of administration as a process, in particular the analysis of decision-making and communications. Public administration dropped its original stance of separateness and now applied the knowledge and insights of the social sciences, particularly sociology, social psychology and anthropology. The principles approach was repudiated and the quest commenced for an administrative science founded on a new basis of behavioural research testing hypotheses in different kinds of organizations.

3.11.6 The emergence of new public management (NPM)

Towards the end of the last quarter century, there is been a significant shift within the field of public administration. Traditional values and norms have been undermined in a number of ways. One aspect of this trend is the emergence of a concept which is known as new public management. This concept promotes the public sector use of private management techniques (Baird, 2004: 1).The term "new public management" was first used in 1991 as a label to denote recent administrative reforms. It is very important to emphasize that change agents did not use this term when launching administrative reforms in the 1980's and early 1990's. The reformed content was only later classified as a new public management (Christensen, 2002: 267).

New public management is that aspect of public administration that is concerned with efficiency, accountability, goal achievement and other managerial and technical questions (Graham & Hays, 1993). New public management goes beyond simplistic mechanics of administration. It is about a dynamic, multidisciplinary field that borrows from finance, human resources, planning, policy analysis, politics and organizational development (Shafritz, 2000: 163).

Public management is an enterprise in pursuit of significance. Contemporary public managers pursue their work through five means, namely a commitment to values, a concern for serving the public, empowerment and shared leadership, pragmatic incrementalism and a dedication to public service (Denhardt, 1993). According to Shafritz (2000; 164) public management reflects a marriage between the policy process and policy implementation. The marriage co-mingles analytical fact, intuitive judgment, democratic values and political reality to produce programmes that fulfil legislative intent and satisfy citizen demands.

Waldo (1968: iiv) argues that the nature and the boundaries of the study field were problematic. He suggested that public administration ought to be pursued from a

professional perspective, while Ostrom (1974: 14-18), using Kuhu's terminology, argued that public administration faced a paradigmatic crisis because of the proliferation of prevailing theories, the methodological experimentation, and the explicit discontent among scholars.

Golembiewski (1977a and b) furthermore suggests that the discipline of public administration ought to be developed by means of a "family of mini-paradigms" such as organizational development. In other countries such as the United States and in Europe, public administration suffers from the idea that its representatives are not able to gather all research and theory together in a coherent and unified body of knowledge. The ensuing crisis concerns both the study of public administration and the practice of public administration. This can be seen from many perspectives, namely that of theoretical and methodological weakness, the controversy over the epistemological status of the discipline, the breathless pursuit of fads and fashion in both the study and the practice, and the emphasis of practices at the expense of academic inquiry (see also Hague, 1996: 511).

An exstentential crisis has arisen out of both the practice and the study of public administration. Hague (1996: 512-513) argues that the existential foundation of government in society remained fairly strong for decades but at the same time the practice of public administration now faces a different crisis, which influences the legitimacy, ethics and morale of the public service. Selepe (2009: 52) argues that new public management consists of two main features. The first of these is the primacy of economic norms and values, the second is the hybrid character of new public management. These two features are explained in detail below.

3.11.6.1 The primacy of economic norms and values

The main feature of new public management (NPM) is its one-dimensional emphasis on economic norms and values. This also indicates an ideological

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dominance of economic norms and subordination to them of many traditionally legitimate norms and values such as broader political concerns, sector political goals, professional expertise and other considerations. NPM is also connected to strong and often not well founded opinions that are asymmetrically based on economic theories and management theories about how an efficiency focus should change the formal organization of the public sector, the procedures used, the expertise needed and its relationship to the private sector.

According to Christensen (2002: 268-269), NPM is essentially a concept of generic management because it is argued that management faces similar challenges and hence should be approached in similar ways not differentiated according to the structure or environment within which management takes places. The new model of public management challenges both the traditional notion of the welfare state and the role of the welfare state and the role of the citizen in the state.

3.11.6.2 The hybrid character of new public management

While NPM cultivates economic values and objectives, it is still a loose and multifaceted concept, embracing diverse elements which comprise a kind of shopping basket for reformers of public administration. The main characteristics of NPM are: hands-on professional management, which allows for active, visible, discretionary control of an organization by officials who are authorized to manage; explicit standards of performance; greater emphasis on output control; increased competition; contracts; devolution; desegregation of units; deregulation; customer service orientation, and private sector management techniques. The tension arising from the hybrid character of NPM which combines economic organization theory and management theory, could detract from main focus of service delivery.

3.12 THE CORE FUNCTIONS OF PUBLIC ADMINISTRATION

According to Raadshelders (1999: 288), the core function of public administration is to govern the society. Public administration exists to realize the governance of society. A government will always continue to exist for betterment of delivering services to its people and translate resources for meeting the citizens' needs into collective action. Beside the above core function, there are also six generic administrative functions as a basis for managerial functions. These are: policy making; organizing; finance; human resources systems procedures and lastly control. These generic administrative and managerial functions will be discussed in detail below.

3.12.1 Policy making

Policy making is one of the important functions of the public administration. Hanekom and Thornhill (1995: 54) define policy as a desired course of action and interaction which is to serve as a guideline in the allocation of resources necessary to realize a targeted goals and objectives, decided upon by the legislators and make known either in writing or verbally.

There are always a considerable number of factors which serve to change the nature, shape and extent of activities undertaken by public administration institutions (Cloete, 1991: 85). Cloete (1991: 85-88) describe the main factors influencing public policy as follows:

Circumstances: This means the the total environment as determined by the time and place in which the authorities operate.

Needs and expectations of the population: The reason for any public institution to exist is to satisfy the real needs and justified expectations of the public. Public institutions will never start providing service out of the blue. There will be a need and then the public or interest groups will start making demands on the relevant authorities to satisfy those needs.

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Policies of political parties: In most states it is always the case that two or more opposing political parties are in continuous rivalry to gain power and to rule the country. Those parties will base their claim to power on their respective views with regard to various policy matters and these views could fundamentally affect the activities of the executive institution. It is an obvious fact that when the new party comes into power it will introduce policy change; both economically and socially.

Activities and representation of interest groups: In the Republic of South Africa as in every other state, numerous associations have been created by members of the population with identical interest. Often, the representations are intended to secure some or other tangible benefit for the members of the particular interest group.

Research and investigation as well as the views and experience of public officials: Public institutions do research on an ever increasing scale and this research must inevitably have an influence on policy matters. It should be borne in mind that the officials who are experts in their work and who are confronted with actual problems each day are undoubtedly in the best position to notice shortcomings in either the official policy itself or in the implementation of the policy.

Roux (2002: 429) states that the formulation of public policy rests in practice with the legislative institutions at different levels of government and administration, political functionaries, leading public officials, and pressure groups. These institutions and people, however, cannot play a central role in policy making if adequate information relevant to policy is not available. It is mainly those who perform their duties on a daily basis at grassroots level who are in a position to provide valuable information for the development of public policy.

According to Denhardt (2006: 52) there are many ways in which people try to affect the degree of attention given to particular items. Sometimes called policy entrepreneurs, there are people who are willing to invest personal time and energy in projects such as publicity campaigns, direct contact with decision makers, petition drives and many other activities. Policy entrepreneurs can be involved in major

institutions such as the media; in this process, political parties and interest groups provide access to decision makers.

3.12.2 Staffing

People are organizations' most important resource. However, one should also take into account that people alone will not make the difference, but that organizational sustainability will be measured according to the ability to place the correct person, who is capable of performing his or her given duties, in the correct position at the correct time and (Van Dijk., 2005: 161-162). It goes without saying that personnel have to be provided to undertake the staffing functions in central personnel institutions and personnel officials/divisions of administrative institutions. Since there are many different functions that are performed, it has become necessary to employ officials who have diverse qualifications and varied experience. The number of South African public institutions have been increasing constantly since 1910, and this lead to the activities of the existing institutions also being increased.

According to Schwella *et al* (1996: 13), public human resources management is not practiced in a vacuum. As public managers are used to pursuing policy objectives, it becomes clear that a number of contextual variables influence the management of these resources. This notion also finds support in the open system theory where the influence of the environment is an important variable in describing and explaining management and organizational phenomena.

3.12.3 Finance

Any institutional or organizational management has various principles and functions of which financial management is one manifestation. Those principles and functions form the basis of performance in terms of meeting particular objectives while employing the necessary resources. Financial management focuses on using limited public resources to effectively implement government plans to achieve value for

money in meeting the objectives of government in delivering services to the needy (Kuye *et al*, 2002: 100).

It is very clear and understandable that there is no person or institution that can initiate a business without finance. However, all public institutions are dependent on the citizens for their income. For this reason, special legislative directives have to be followed in the procurement and expenditure of money in the public sector. Gildenhuys (1997: 50-51) lists the following democratic values which should serve as basic principles in public financial management:

i. The first value that can be established is that public financial decision making should always aim at the most reasonable and equitable way in which the financial resources can be allocated, as well as the most efficient and effective way in which financial resources can be applied to satisfy the collective needs of the people.

ii. The second value is that utilization of public financial resources must satisfy collective public needs optimally.

iii. The third value is based on the tenets of participatory democracy, namely direct or indirect participation by the tax payers, consumers and users of public services in the financial decision-making process.

iv. The fourth is the principle that no tax or other charges can be collected from taxpayers without their consent and this tax burden must be distributed in a reasonable and equitable way.

v. The fifth value is the fact that only the collective body of elected political representatives has authority to introduce taxes, to collect them and to decide how and on what they will be spent.

vi. The sixth value is the principle of responsibility and accountability of elected political representatives to the taxpayers for the collection and spending of taxes and other income

vii. The seventh value is that of sensitivity and responsiveness requiring political representatives to be sensitive and respond to the collective needs of the community.

viii. The eighth value emanates from the requirement for satisfying collective needs, namely the executive authority's responsibility for efficient and effective programme execution.

ix. The ninth value, and without doubt a very significant one derived from the tenets of democracy is social equity, emphasizing the concept of social equity in maintaining high ethical and moral standards.

x. The tenth and one of the most cardinal values of democracy is that all activities regarding public financial management and administration must take place in public and not under cover of secrecy or so called confidentiality.

3.12.4 Organizing

Organizing refers to the activities or functions involved in creating and maintaining organizational units called institutions. Organizing consists of classifying and grouping functions as well as allocating the groups of functions to institutions and workers. From the foregoing it should not be assumed that the process of organizing workers into organizational units to achieve combined purposeful action is an elementary task involving the mere placement of an arbitrarily fixed number of individuals into groups. Organizing involves much more than arranging individuals and groups in a specific order so that positive action can be taken to achieve a particular objective. Attention should be given to mutual relations between individuals within the unit, also to the relations of a group with other groups (Cloete, 1991: 112).

Weber (1864-1920) was one of the first to study the characteristics of large organizations. He developed the term bureaucracy and used it to describe organizations sharing the following general characteristics:

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Hierarchy of authority: Positions are arranged in a pyramid, with each position responsible to one above it.

Division of labour: Specified and specialized duties are assigned to each position.

Rules: Decision making is based on the application of standardized rules to similar situations.

Impersonality: Officials make decisions not on the basis of their personal values, but according to the responsibilities of their positions and applicable rules.

Merit: Selection and promotion are based on objective, formal measures of expertise.

The organization of an institution is, therefore, not confined by the limitation of a building or cement structure and latter is in the eyes of the beholder, the only observable concretization of a department. One prominent feature of organization is the creation of hierarchy or pyramid structure of posts (Roux *et al.*, 1997).

Organizing takes place as soon as two or more individuals co-operate towards achieving common objectives. Organizing consists of classifying and grouping functions in institutions in an orderly pattern so that the workers will be aimed at achieving the predetermined common objectives.

3.12.5 Procedures

No goal can be achieved without effective work procedures and it is imperative that these should be standardized, especially in public institutions. Formal work procedures are required to reach objectives in order to ensure that workers do not use their own shortcuts or methods (Coetzee, 1991: 62). After the policy or laws have been formulated, the organizing and financing functions have been completed and personnel have been appointed, the work can commence. These procedures

are there to ensure that everyone in a specific organizational unit co-operates in pursuing the policy objectives and does not waste time in the process. It is essential for specific work procedures to be laid down very clearly for each task, as this will result in efficient work performance and work being done in the shortest time using the minimum amount of labour at the lowest cost (Cloete, 1998: 248).

3.12.6 Control measures

Control measures are necessary, especially when money is involved; when a number of people work together to reach a mutually agreed objective and when political office bearers are charged with public responsibility. Control can be exercised in a number of ways such as inspection, auditing, checking and reporting (Coetzee, 1998: 62). The exercised of control in the public sector can have one objective, namely to ensure that account is given in public for everything the public officials as well as politicians do or neglect to do, so that all citizens can observe exactly what is being done to further their individual interests. Legislatures are often used to exercise control in the public sector, furthermore, to ensure that the executive authorities answer for their deeds during sessions of the legislature. Control in the public sector consists of two parts: internal control, which is exercised by the executive functions and external control, which consists of giving account in the legislatures (Cloete, 1998: 265).

3.13 ISSUES TO BE CONSIDERED IN PUBLIC ADMINISTRATION

Denhardt (1991: 24) describes the following controversial issues – that remain largely unresolved – within the field of public administration and issues::

3.13.1 Politics and administration

The question of the relationship between politics and administration is one of the oldest issues in the field of public administration. Wilson (1887: 200) laid the groundwork for the self-conscious study of public administration by pointing out

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some of the challenges faced by the public agencies. He states that"it is getting harder to run a constitution than frame one". Wilson made a distinction between politics and administration: Iin the political realm, issues of public policy were to be formulated; in the administrative realm, they were to be implemented. The solution he proposes in his article is that "administration should lie outside the proper sphere of politics. Administrative questions are not political questions, although politics sets the tasks for administration. It should not be suffered to manipulate its office". Similar arguments about separating politics and administration were developed by other writers including W.F Willoughby (1936), Luther Gulick (1938), Leonard White (1936) and Paul Appleby (1949). All these writers acknowledge the difficulty of separating politics and administration, while others have found dependence on the ethical commitment of the individual administrator insufficient as a device to assure responsiveness. Herman Finer (1972) and Theodore Low (1969) both argue for greater legislative detail and increased supervision of administrative activities as a means of limiting the choices bureaucrats could make.

3.13.2 Bureaucracy and democracy

Max Weber, a German sociologist, noted the importance of bureaucratic administration, which is applied as easily to industrial and religious organization as to those in government. The concept of bureaucracy is characterized by hierarchical patterns of authority, a division of labour and specialization of tasks and an impersonal arrangement of offices. According to Weber (1947) it permits the greatest degree of efficiency in conduct of human affairs and is therefore the most rational mode of social organization.

3.13.3 Ensuring accountability

Those involved in politics and administration do not make the question of their relationship any easier. Those in public and non-profit agencies do indeed both work with and report to legislatures, but they also shape public opinion through the

information they provide. Some of them have have sought greater legislature involvement in the administrative process or substantial legislature review.

3.14 POLITICAL CONDITIONS AFFECTING PUBLIC ADMINISTRATION

Different political conditions effect public administration in different ways. Klinger (1983: 14-15) describes a number of factors affecting the sound functioning of the public administration. These are discussed below.

3.14.1 Interest groups

Interest groups are defined as groups of individuals and organizational representatives who have a strong stake in or influence over an aspect of public policy at national, provincial and local level of government. In the South African context, interest groups such as COSATU and TAC are good examples, as these groups are continually seeking to influence the ANC led government on certain policies such as health and labour etc.

3.14.2 The role of political parties

Interest groups have a direct impact on public agency decisions; they also indirectly affect decisions through later influence on the policies of political parties. At the state and national levels, political parties serve as a mechanism for aggravating and articulating policy preferences and values of interest groups (Klinger, 1983: 14-15).

3.14.3 Politics/politicians

Fox and Meyer (1995: 98) state that it -is important to note that politics is one of the most significant phenomena in the public sector. They not only refer to party politics (i.e.the politics of a political party), but also to the process of decision making, to who receives what, when, where and how, to conflict resolution processes that determine

the apportionment resources, as well as the process by which power is applied in order to determine whether and how government is to be exercised in any given area.

Politics is largely practiced by politicians, such as ministers, members of the executives council or a mayoral committee in the municipal sphere. In determining the relative importance of a proposed policy, however, the possible administrative implications also have to be considered (Thornhill, 2005: 179).

3.14.4 Personnel corps

No government or organization can function without human resources. Human resources are utilized in the public sector to give effect to policies determined by the political executive, but it should be considered that the political office bearers rely heavily on the advice of the appointed officials. Section 12 A of the Public Service Act 1994 (proclamation 103 of 1994) makes provisions for an executing authority, president, ministers, premiers as the case may be to appoint one or more persons under a special contract to advise the executive authority on the exercise of the executing authority's power and duties; and on the development of policy that will promote the department's objectives and to perform such other tasks as may be appropriate in respect of the exercise or performance of the executing authority's powers and duties. Politicians make political choices, but choices have to be considered within the framework of their administrative, managerial and technical feasibility (Thornhil, 2005: 181).

3.15 THE COMPOSITION OF INTEGRATED DEVELOPMENT PLANNING

The rationale behind IDP is to articulate a council vision for the long term development of the particular municipality. The importance of the IDP is clear, as it serves to bind council to a course of development action during its elected term of office. The communities also hold the council accountable for the attainment of the

targets set in the IDP. The content of the IDP must represent the general agreement concluded with community members through various public participation processes. The following elements distinguished by Valeta and Walton (2008:376-379) characterise the IDP:

i. It sets the priorities for the elected council's term, including local economic development. The council determines a set of objectives to be accomplished during the term for which it has been elected.

ii. The IDP contains as assessment of the current level of development in the municipal area, including identification of communities which do not have access to basic municipal services. This assessment is, necessary as not all the municipalities have the same challenges and circumstances differ from area to area.

iii. It contains a spatial development framework including guidelines for land use management. The way in which land management strategies are developed is an important part of planning for the structured and orderly development of the municipal area. Without structured geographical arrangements, social and economic development may be an illusion

iv. The IDP is a single, inclusive and strategic plan for the development of the municipality. There can be only one IDP for the term of office of a council but revisions or reviews occasioned by development within the municipality must be taken into account on an annual basis. The IDP must be inclusive, i.e. all sectors e.g. business, religious, etc, must be covered. This does not mean that they will receive equal attention or funding but merely that the strategic plan must take into account the impact that particular strategies may have on other sectors

v. The IDP must act as a link between and integrate all proposals for the development of the municipality.

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vi.   The IDP must focus on socio-economic principles to foster and promote business and employment opportunities within the local as well as adjoining municipal areas.

3.16 THE INTEGRATED DEVELOPMENT PLANNING PROCESS

The IDP processes are constituted of different planning activities, which apply to both local and district municipalities. These planning activities may be arranged in different steps of phases and specific aspects have to be considered during each step. IDP and Assessment (2001/2002) discusses planning activities as follows during the integrated development planning process.

Phase 1: Analysis

Purpose: to ensure that decisions will be based on people's needs and their problems, availability of resources and the knowledge and access to information and the understanding of the dynamics or factors influencing the development in a municipality.

Processes: analyzing of the data of service standards and conducting an in-depth analysis to identify key issues that need to be considered.

Outputs: assessing the current level of development, identifying and prioritizing issues, understanding the causes or factors giving rise to identified problems and availability of resources, including finance.

Phase 2: Strategies

Purpose: to identify the broad ways and means of tackling significant issues, taking into consideration policy guidelines and principles, available resources and competing requirements. This phase will find more appropriate innovative and cost effective solutions and it is a phase of choosing between different options.

Process: opening discussions and dialogue on ways and means of dealing with or solving the priority issues, convening workshops at district level with all affected local municipalities and representatives from local municipalities and representatives from relevant provincial and national departments or agencies.

Outputs: undoubted vision for the municipality, clear objectives for each priority issue, strategic planning, options and choice of strategy for each issue, a sound, clearly defined financial framework for projects and identification of projects.

Phase 3: Projects

Purpose: this phase will ensure that there is a proper planning/delivery link by providing an opportunity for a detailed, complete and concrete project planning process done by the project task teams responsible for the implementation of projects and relevant stakeholders. This phase will give the sector specialists their appropriate role in the planning process.

Process: the project task team which consists of the officers from the agencies in charge of implementation and other specialists is responsible for developing a project proposal in consultation with specialists from provincial and national agencies and also the communities affected by the project.

Outputs: indicators for objectives, projects output with targets and location, major project activities and the time frame, responsible role players and actors/agencies, costs and budget estimations while taking into account sectoral planning requirements.

Phase 4: Integration

Purpose: to ensure alignment of project planning with the vision, objectives, strategies and resources of the municipality.

Processes: presentation of project proposals to the IDP representative forum, alignment between the IDP and the municipality, review and revision by the project task team and revised or reworded proposal.

Outputs: reworked projects (e.g. revised strategies for priority projects) The final financial plan, capital investment programme, municipal action plans, integrated spatial development framework, integrated programme for local economic development, environmental issues, poverty alleviation, gender equity and HIV/AIDS, institutional plan for implementation management.

Phase 5: Approval

Purpose: to ensure that the IDP is adopted by the municipal council with the consultation and comments made by the members of the public on the draft Plan.

Processes: draft IDP discussion in the municipal council, opportunity for members of the community to comment, IDP changes in line with comments made, followed by the approval by the municipal council, district level alignment and national and provincial level alignment, legal compliance check, sector alignment, professional feedback, amendments and or response by the local council and final adoption by the council.

Outputs: an amended and adopted IDP. An IDP document which is supported by role players and all relevant agencies responsible for implementation of the programmes and projects within municipal area of jurisdiction, which is approved by the municipal council.

3.17 CHARACTERISTICS OF THE INTEGRATED DEVELOPMENT PLAN

A Policy Paper on IDP (2000) states that in 1995 the Forum for Effective Development Planning defined IDP as a participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the marginalized. In the above definition key elements of IDP were highlighted, such as participation, a strategic focus, integration, and prioritizing those in need. Each of these elements is discussed below.

3.17.1. Participation

All development-related legislation passed since the advent of democracy in 1994 by national and provincial government has required a participative process in plan formulation. The concept of public participation has been linked to the idea of governance. In terms of this linkage, the new local government legislation has re-conceptualized the idea of participation.

3.17.2 Strategic focus

The White Paper on Local Government, 1998, as well as the Municipal Systems Act, 2000, refers to the need for municipal planning to be strategic. This means that planning should have long term goals and focus on those prioritized interventions that will have maximum impact on the development of a locality. As the strategic planning approach was initially developed in the corporate sector, adjustments will have to be made within municipalities to make it success in the public sector.

3.17.3. Integration

Integrated planning requires a holistic approach that takes account of linkages between various stages in the planning process. IDP in South Africa is also informed

by the requirements of addressing the apartheid legacy. South African style integrated development planning is the promotion of integrated urban and rural development.

3.17.4 Focus on those in greatest need

The main goal of the RDP and other government policies is to correct social and economic imbalances of the past that existed in relation to the urban and rural divide, and inequality in terms of race and gender. The constitution indicates that a municipality must structure and manage its administration and budgeting and planning process to give priority to the basic needs of the community and to promote the social and economic development of the community.

3.18 BENEFITS OF THE INTEGRATED DEVELOPMENT PLAN

IDP allows a municipality or community to focus on itself and develop a future-oriented vision and mission, proactively positioning itself and adapting and learning from a changing environment by conducting a SWOT analysis. The municipality can conduct an organizational audit and construct an institutional plan. Resources are matched to needs through by way of a financial plan and the municipality can then establish and prioritize its needs, ascertain the availability of and allocate its resources and engage in public participation processes that prioritize services and the need for a partnership between the municipality and the community partnership – one in which the beneficiaries participate, influence, direct and eventually own their development process (Davids, Theron, Maphunye, 2009: 144-145).

A further benefit of the IDP is that it gives direction to and improves performance and measurement. The IDP must set targets and procedures or criteria for performance management as Chapter 6 of the Municipal System Act indicates. Through public participation strategies, IDP can develop a realistic, achievable plan for future development and stakeholder participation. Stakeholders in the planning process are

empowered with knowledge gained from the municipality's SWOT analysis. The IDP provides an opportunity for stakeholders with different needs and priorities to learn from each other and to negotiate and compromise around their viewpoints, leading to unification and consensus building. This is the social learning and the municipal-community partnership process in action. According to the DBSA (2000:11), IDP can be seen as a participatory planning process because it seeks to engage stakeholders in decision making. The Constitution (1996, section 41) calls for co-operative governance through which stakeholders are empowered. For a municipality this means that all stakeholders should participate in decision making.

IDP facilitates budgeting in accordance with planning. It provides for strategic management based on a budget driven by priorities arrived at through a participatory planning process (Planact, 1997). IDP also helps to provide guidelines and structure to manage change and alters the mindset of stakeholders to address the realities of the present and to embrace the opportunities the future holds. IDP, therefore, ideally should lead to a new approach to planning and management. In summary, Harrison (2001:1) argues that major benefits deriving from IDP are:

i.   The establishment of linkages within the municipal structure and among other stakeholders outside the municipality

ii.   The development of a more participatory from of municipal management

iii.   An appreciation for addressing the basic needs of communities

iv.   A greater appreciation for issues such as LED/PPP, gender and environment

v.   Increased municipal ownership of the planning process

vi.   Better-informed budgetary processes

vii.   Strategic information gathering and analysis.

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For most municipal inhabitants, the instrumental approach is what public participation in IDPs is all about, namely attending meetings, raising and discussing issues, making requests (or demands), and trusting that the state will deliver according to the demands made and frequently to be disappointed as the latter fail to materialize (Marais, Everatt, Dube 2007:7).

3.19 PITFALLS OF INTEGRATED DEVELOPMENT PLANNING

The Development Bank of Southern Africa (DBSA) (2000:12) warns that IDP is often seen as the sole responsibility of a specific department or a few allocated municipal officials. In explaining the institutionalization process of IDP, the DBSA (2000:21-28) and Planact (1997:44-48), show that an IDP belongs to everybody. The question remains: What happens on the ground? Referring to Oldfields (2008) contribution on participatory mechanism and community politics, In this regard Van Donk et al. (2008:463) warn that participatory process have been structured via stringent legalized formalities focused on the technocratic dimensions of physical delivery at the expense of building a democratic culture of negotiations, expressions and social cohesion.

The positive outcome of IDP rests upon the political willingness and the ability of different municipal departments to seamlessly bring together diverse and discrete inputs in order to achieve shared goals (Smith & Morris, 2008:9). The IDP is not just a theoretical document but also a practical one and it must be implemented. Chapter 5 of the Municipal System Act (2000) explains the principles, components, framework and process of implementation to be followed. The IDP must recognize specific conditions and circumstancesThe IDP is not only concerned with the current reality – through the IDP, the municipality manages future events and activities, which also require a proactive approach and planning strategy. If the municipality does not embrace change, the IDP will fail. The municipality must have the political will to translate its development objectives into operational strategies. The foremost

reason for the failure of an IDP is a lack of commitment and project management skills (Davids *et al.*, 2009: 146-147).

Van Donk *et al.* (2008) asserts that municipalities need to consider the detrimental effect of hierarchical, top down, prescriptive, systems that maintain blue print-type thinking and planning. Teamwork, project management skills and participatory planning strategies are essential for IDP to be successful. As previously argued, a successful IDP will have, as its foundation, a social learning process approach, interdisciplinary teamwork and a holistic point of departure (Kellerman, 1997:48-58; Theron & Barnard, 1997:35-62; Rondinelli, 1993:90-117; Brinkarhoff & Ingle, 1989:487-503). An IDP will fail if the developmental plans do not link with the macro-plan as formulated by the IDP. In holistic planning, the parts are not bigger than the whole (DBSA, 2000:14).

3.20 PUBLIC PARTICIPATION DEFINED

The National Policy Framework for Public Participation (2005) defines public participation as an open, accountable process through which individuals and the groups within selected communities can exchange views and influence decision making. It is further defined by DPLG (2004) as a democratic process of engaging people in deciding on, planning and playing an active part in the development and operation of services that affect their lives.

However, Brynard (1996: 40) defines public participation as generally accepted terminology employed locally in relation to ward committees and involves a two way exchange of information between ward councillors, the public , community, interest or sectoral groups and local government structures.

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3.21 THEORETICAL PERSPECTIVES ON PUBLIC PARTICIPATION

A number of main theoretical perspectives can be employed to understand the notion of public participation. These are: classical theory, feminist theory, and development discourse. These are discussed in detail below.

3.21.1 Participation in classical theory

Rousseau's theory of participation, found in "the social contract" hinges on the individual participation of each citizen in political decision making (Pateman, 1970: 22). However, Rousseau was writing before current institutions regulating democracy were developed. Rousseau's understanding was that the ideal situation for decision making is where an organised group was present. The rationale behind Rousseau's thinking was that participation of individuals meant meaningful and constructive decisions for the betterment of the people's lives and that it ensured good governance.

Given the work of Rousseau, John Stuart Miller developed his own ideas around representative government and participatory democracy. He claims that the most important way to form government is a people-centred government where people have access and participate (Thompson, 1976: 13).

Miller (1993: 76) developed his own ideas around what constitutes good government. Firstly it depends on how the government promotes the idea of good management and secondly, on the morality, intellect and actions of individuals. This means that government was to promote the general welfare of its citizens in terms of both their intellect and virtues and to achieve effeciency. In the current development within the liberal democratic tradition, what emerged was the theory of deliberative democracy. Dryzek (2000: 8-30) articulates the theory of democracy taking a strong deliberative turn. Miller (1993: 74-92) contrasts the liberal and deliberative forms of democracy. In liberal perspectives, the aim of democracy is to aggregate individual

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preferences into a collective choice in a fair, equitable and efficient manner. While there are many views about democracy, the political institutions must able to reflect the different beliefs and interests of society.

3.21.2 Participation in feminist theory

The concept of public participation must include gender perspectives from the public, particularly the marginalized groups of people, such as women in rural as well as urban areas. The government of the day, led by the ANC, has moved to the gender parity in most spheres of government, including national and provincial legislatures as well as local government; public enterprises, and the justice system; which bears testimony that women in the South African government are highly recognised. Feminist theoretical perspectives on participation are discussed below.

Young (1990: 121-129) postulates a theory of group democracy and rejects liberalism. Young believes that there must be structures for representation of groups with varying experiences and perspectives in the political environment. The idea is the participation of groups of citizens on a public platform they where talk from their experience and interest and have the opportunity to propose policies.

Mouffe (1994: 4-6) suggested a theory of radical democracy. Her ideas involve the contestation of relations of inequality and subordination applying the principles of freedom and equality that were originally confined to the public sphere but currently extend to social movements in all walks of life. She constructively criticises liberalism for postulating a homogenous citizenship based on masculine lines. Such arrangements are to the detriment of women and minorities in particular. In contrast to the theories of Young and Philips mentioned above, Mouffe(1994: 4-6) believes in the maximum achievable degree of freedom, liberty and equality for all.

3.21.3 Participation in development discourse

Public participation features predominantly in development discourse since that 1980s and has come to acquire several and different meanings.

3.21.3.1 The need for greater public participation

The literature (IDS, 2000, IDS Bulletin 2004; Gaventa 2002) explains the use of participation in discourse of development over the years. The concept furthermore refers to participation in the social arena, in public or within the community or in developmental projects (Gaventa, 2002). The concept of public participation has been associated with the democratic rights of citizens.

3.21.3.2 New spaces in the institutions of government

Cornwal (2004: 1) provides a different analysis of public participation. The author suggests that there is renewed concern with regard to rights, powers and opinions when it comes to participation in governance. Much attention has been focused on the institutions bringing together the communities, providers and policy makers, while a key question could be be how to create a greater opportunity for deliberative democracy.

There are different types of spaces, for example, space for participation can be described as invited spaces that are created by different institutions. This space can be either temporary or more enduring in nature. A second type of space is referred to as popular space where people come together in protesting against poor service delivery, government policies or foreign intervention.

3.21.3.3 Complexity and networks

Hajer and Wagenaar (2003: 1-30) scrutinize developments in governance within the context of the network society which is characterized by concepts such as institutional capacity, network complexity and interdependence. Hajer and Wagenaar (2003: 1-30) propose challenges for policy making and politics in the network society which are dicussed below.

New spaces of politics: The top-down bureaucratic structures make way for government institutions, public and the private sector to act as entrepreneurs.

Politics and policy making under conditions of radical uncertainty: Society has taken on more complexity and uncertainty implying that policy making and politics cannot be based upon the belief of absolute knowledge.

Increased importance of difference: Contemporary societies have become culturally complex. Problem solving must involve ways for dealing with groups that do not support the same metaphorical language.

Greater interdependence: There is greater interdependence in society and a growing importance of transdisciplinarity.

The dynamics of trust and identity: The politics of the past relied upon trust and confidence in government institutions. This trust can no longer be assumed to be present.

3.21.3.4 Building the institutions of the state

Fukuyama (2004: 43-91) highlights state-building through the creation of new government institutions and the strengthening of existing ones. He believes that failed or weak states are the source for many of the world's most serious problems such as poverty, HIV/AIDS, drugs and terrorism.

The important idea proposed by the author is to reduce the scope of the nation-states and introduce smaller governments as was proposed by the

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World Bank (Tanzi and Schuknecht,1996). This seeks to address over-regulation and excessive state intervention.

3.22 THE CONSTITUTIONAL FRAMEWORK GOVERNING PUBLIC PARTICIPATION

The principle of public participation in South Africa does not exist in a vacuum, but rather within a legislative framework as Putu (2006: 15) points out. Since the advent of democracy, the South Africa government put a range of legislative frameworks and policy provisions in place to promote participatory governance at local government level.

Firstly, Section 59(1) of the Act 108 of 1996 Constitution of the Republic of South Africa states that the national assembly must (a) facilitate public involvement in the legislative and other process of the assembly and its committees. Section 118 makes the same provision for the provinces. Section 152(1), obliges the municipalities to encourage the involvement of communities and community organizations in local government. Section 195 (e), states that, in terms of the basic values and principles governing public administration, peoples' needs must be responded to and the public must be encouraged to participate in policy making.

Secondly, the White Paper on Local Government (1998) also made a provision on the objects of community participation which are embedded in the following principles: (a) to ensure that the political leaders remain accountable and work within their mandate, (b) to allow citizens to have continuous input into local politics,(c) to allow consumers of services to have input in the way services are delivered, (d) to afford organized civil society the opportunity to enter into partnership with local government.

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Thirdly, the Municipal Structures Act (1998) obliges the municipal executive to report annually on the involvement of communities in the affairs of the municipality. Section 72 and 74 establishe ward committees to enhance participatory democracy in local government.

Fourthly, the Municipal Systems Act (2000), Section 16(1) obliges the municipalities to develop a culture of municipal governance that complements formal representative's government. Section 4(2) stipulates that a municipal council must encourage the involvement of the community in local government; the municipal council must consult the community about the level, quality, range, and impact of services. Section 5 and Chapter 5 indicate that members of the community have the right to contribute to the decision-making process of the municipality, including the IDP.

Fifthly, the Reconstruction and Development Plan (RDP) document was developed and launched by the African National Congress (ANC) before the first democratic elections in April 1994 and then formally adopted in September in 1994 as the new government's White Paper on Reconstruction and Development. The rationale behind the RDP policy document was to provide a broad framework for South Africa's new development vision, priorities and operational procedure and it aimed to both lay a basis for subsequent laws and action to address the extreme imbalance of the past years of the apartheid policies and to promote overall development (RDP: ANC, 1994).

The key features of the RDP are firstly to lay a policy foundation for promoting participation through the last sphere of government, which is local government. It is also lauded for principled support for grassroots action (Lovan, Murray & Shaffer, 2005:28-29). The RDP takes the grassroots empowerment into consideration, suggesting that development is not about the delivery of goods to a passive citizenry but rather about active involvement and growing empowerment (ANC, 1994:5).

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Finally, Section 22 of the Local Government Municipal Finance Management Act (2003), requires publishing annual local budgets and inviting the community to submit representation in connection with the budget. Section 23 furthermore calls for consultation with the local community on the tabled budget. After full consultation, mayors must be given an opportunity to respond to the submissions and, if necessary, to revise the budget and table amendments for consideration by the council.

One of the important and key ways of achieving meaningful and constructive participation is to ensure that public participation takes place within an established constitutional and legislative framework promoting public participation in local government. Structures and institutionalised frameworks for participation at local government level give citizens the hope that participating in local governance issues is not illegal but legitimate and political commitment from both the citizen and the local authorities.

3.23 SYSTEMS AND STRUCTURES PROMOTING PUBLIC PARTICIPATION

In South Africa since 1994 after the first democratic elections, a range of structures and mechanisms were established to facilitate a culture of public participation in local governance. Why the need to facilitate public participation?

The draft National Policy Framework for Public Participation gives four main reasons. Firstly, public participation is encouraged because it is a legal requirement for government to consult. Secondly, it should be promoted in order to make development plans and services more relevant to the local needs and conditions. Thirdly, participation may be encouraged to hand over responsibility for services and promote community action. Lastly, public participation could be encouraged to

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empower local communities to have control over their own lives and livelihoods. The following structures are important in facilitating public participation in South Africa.

3.23.1 Ward committees

In South Africa, the Municipal Structures Act of 1998 requires South African municipalities to establish ward committees; these committees serve as a formal communication channel between the community and the municipal council. The ward committees represent the community and build the relationship with the community with the sole purpose of enhancing participatory democracy in local government. The question is whether these committees are useful to the communities. In some parts of the country, especially in the rural areas, community members are not familiar with ward committee members.

While ward committees try their best to represent the community, lack of capacity and resources could hamper their effectiveness. The Handbook for Ward Committees outlines the role of the ward committee as to increase the participation of local residents in municipal decision making, as they are a direct and unique link with the council. The ward committee should be involved in matters such as the integrated development planning(IDP) process, municipal performance management, the annual budget, council projects, and other key activities and programmes as they impact on local people. The committeecan identify and initiate projects to improve the lives of people in the ward, can monitor the performance of the municipality and raise issues of concern to local ward.

Ward committees are defined as important communicative channels within the particular jurisdiction of the municipality for informing municipalities about the people's needs, preferences and problems. They are legally mandated to facilitate substantive grassroots participation in the development processes of municipalities, including the IDP, budgeting and municipal performance management processes.

They are meant to be non-partisan and advance the interests of the ward collectively (Steyn, 2006: 18).

3.23.2 Community development workers

A handbook on Community Development Workers (CDW) (2007: 14) defines CDW as participatory change agents who work in the communities where they live, and who have to answer to the community for their activities. The CDW came into the picture to maintain the relationship and direct contact between the people and government to improve service delivery. While there is significant progress towards basic service delivery, the majority of people who live in informal settlements in urban areas and rural areas are still finding it difficult to gain access to some of the governmental programmes. CDW are one of the agents of service delivery who link communities with many government services and programmes and can assist citizens by helping them to access services such as health, housing, education etc (www.info.gov.za.issues/cdw.htm).

The CDW enter communities and their households engaging with citizens on issues and determining the priority services which are needed so as to ensure that those services are made available. While Marais et al. point out that CDW, ward councillors and ward committees are all the legal representatives of the community, a lack of clarity in terms of functions and roles has tended to undermine the effectiveness of these institutions as vehicles of local citizen engagement in governance processes, to the detriment of local communities.

3.23.3 Integrated development planning

Apart from the above-mentioned platforms for citizen participation in South Africa, there is integrated development planning (IDP). The Department of Provincial and Local Government Integrated Development Plan guidebook defines IDP as a process in terms of which municipalities prepare a strategic development plan, for a

five year period. The Integrated Development Plan is a product of the integrated development planning process. Every South African municipality is required to draw up an Integrated Development Plan as a method of planning future developments that address the people's needs. The IDP identifies the least serviced and most impoverished areas and points where municipal funds should be spent. Implementation is made easier by the fact that the relevant stakeholders have been part of the process.

While the IDP process is generally well known, there is often inadequate public understanding of the core economic and social strategies that underpin such plans. Because the IDP frequently fails to capture the strategic choices that must be made in allocating resources, the public is often unaware of the practical implications of such plans for maintaining and existing infrastructure, services and development undertakings (Local Government Bulletin, 2007)

3.23.4 The IDP representative forum and ward forums

Apart from the above-mentioned structures and mechanisms promoting public participation, IDP forums are commonly known within the IDP process. These are forums in which several of the IDP role players are represented. These include the executive and legislative representatives of local government, local government administrators, ward committee representatives, members of organized community groups and traditional leaders (DPLG, 2007:62). According to the provisions of the Municipal Systems Act, this forum allows for consultation with local communities on local development needs and priorities.

The above-mentioned are the formal structures promoting public participation, but public participation is not limited to informal structures. The following are some of the other additional mechanisms that municipalities may employ to enhance public participation in local governance (IDASA, 2002):

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i.   *Public meetings*: Public meetings are the most well-known method of public participation. This is where the municipality invites the general public to attend council meetings. The Municipal Systems Act of 2000 indicates that council meetings are open to the public.

ii. *Public hearings*: Public hearings are meant for members of the community to have a fair and equal opportunity to raise their concerns about particular issues. This process can be used to obtain an input on the process of developing municipal by-laws. Inputs may be made through direct communication or written submissions.

iii. *Consultative sessions*: Since municipalities are tasked with the social and economic development of their communities, it is always important to engage the community on any relevant matters the municipality deems it fit the community to participate in.

iv. *Report back*: The community must be informed of the decisions the municipality takesthat affects the daily livelihood of community memberes. There also has to be regular disclosure of the state of affairs and finances of the municipality.

v.   *Advisory committee*: The Municipal Systems Act of 2000 states that a municipality may establish one or more advisory committees consisting of those who live within the municipal jurisdiction.

3.24 CONCLUSION

This chapter provided an explanation of the concept of policy. In order to understand what policy is, the chapter explained what characterizes policy, such as the rational formal view of policy making, stages in policy making, different kinds of policy levels, and approaches to public policy. The relationship between policy and democracy was explained with regard to the relationship between policy sciences and democratic processes. The chapter went further by examining the second part of the literature based on the IDP and public participation. Such literature explained

aspects such as the composition of the Integrated Development Plan (IDP) and other aspects of public participation. The chapter concluded by describing the role of public participation in the IDP.

CHAPTER 4: INTEGRATED DEVELOPMENT PLANNING AND PUBLIC PARTICIPATION: THE CASE OF FETAKGOMO LOCAL MUNICIPALITY

4.1 INTRODUCTION

Chapter 3 of this study focused on options for conducting this investigation that emerged from the literature review. The case study method was subsequently chosen. The focus of this chapter will be on integrated development planning and public participation specifically at Fetakgomo Local Municipality. Fetakgomo Local Municipality is one of the total of 283 municipalities including metropolitan, district and local municipalities. Fetakgomo Local Municipality plays a very significant role in terms of developing its area of jurisdiction. In this chapter, the Fetakgomo municipal area is described, the process of formulating the Fetakgomo IDP is discussed, the role players involved in the integrated development planning process and public participation are discussed and the Fetakgomo structures promoting public participation, integrated development planning and good governance by the municipality are discussed. This chapter goes further by examining the experiences of some other municipalities of integrated development planning (IDP) and public participation.

4.2 FETAKGOMO LOCAL MUNICIPALITY: A BRIEF DESCRIPTION

The Fetakgomo local municipality was established in 2000 and is located within the Greater Sekhukhune District Municipality (GSDM) in Limpopo province. The Municipality is completely rural in nature with a population of approximately 105,196 people who reside in 87 settlements. The majority of these settlements are small with less than 1000 inhabitants in each. The municipal area covers 1123,18 km², which represents 8,4% of the Sekhukhune District's total land area. The municipality is divided into 13 wards (Fetakgomo, IDP: 2008/09).

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Fetakgomo Local Municipality is a Category B municipality. The municipal area is largely rural, and is dominated by traditional land ownership. Like most rural municipalities in the country, Fetakgomo is characterized by poor infrastructure, major service backlogs, dispersed human settlements and high poverty levels. The municipality itself is an embryonic one that is currently grappling with revenue generation and performing its full array of functions effectively.

Despite its spatial legacy and the relative newness of the organization, Fetakgomo Local Municipality has a bold development vision, as well as committed leadership to pursue it (www.municipaliq.co.za).The Fetakgomo Local Municipality's Integrated Development Plan (IDP) reflects that vision. It is based on a very careful assessment of the current reality, from which the Municipality has distilled the key developmental challenges facing the municipal area. After careful thought and considered strategic planning, the Municipality has designed effective developmental strategies, linked to key performance areas (KPA) that aim to address those challenges. The projects that the municipality chooses every year is aimed at incrementally meeting these development challenges. The Municipality has also designed overarching plans that address local economic development (LED), environmental issues, internal performance management and so forth.

The municipality is endowed with mineral resources of chrome, platinum and diamond deposits. At present, there is one mine that is operational; the Atok Platinum mine. It also holds interesting tourism sites for visitors, for example: the Potlake Game Reserve, Sehlakwe Waterfalls and Phahlamanoge Wind Stones.

Figure 1 Fetakgomo Wards and their constituting villages

Source: Municipal Demarcation Board (2008)

Fetakgomo Local Municipality's vision statement reads as follows:

"A leading and viable rural municipality, this vision is fulfilled by enhancing the quality of life of all people living in Fetakgomo area through affordable, integrated, effective, efficient and sustainable municipal services delivery, whereas the municipality's mission statement is to provide sustainable integrated services in an enabled environment for growth and development." (Fetakgomo, IDP, 2009: 9).

4.2.1 Strategic priorities of the Fetakgomo Local Municipality

Strategic goals are statements of what any institution or organization wishes to achieve over the period of the strategic plan and this might be over the next year, five years, and ten years. Strategic goals reflect the analysis the organization or institution does that starts with creating a vision, a role statement and a mission

statement, and then an analysis of the environment, strengths, weaknesses, opportunities and threats.

Fetakgomo (Annual report, 2008/2009; 10) describes the following as the strategic priorities of the Fetakgomo Local Municipality over the next five years:

i.   To build the capacity of the Fetakgomo local municipality

ii.   To ensure greater investment infrastructure and provide better services to Fetakgomo residents and businesses

iii.   To promote local economic development (LED) in the municipal area

iv.   To build a sustainable revenue base for the municipality's financial viability

v.   To deepen community participation and good governance.

For a municipality to be able to provide municipal services to its community, the municipality must first identify the key priorities. The Mayor of Fetakgomo Local Municipality (2009: 3) has indicated that the above-mentioned priorities are strongly influenced by the vision, mission and functions of Fetakgomo Local Municipality.

4.2.2 Services provided by the Fetakgomo Local Municipality

According to Chapter 7, Section 157 of the South African Constitution, Act 108 of 1996, municipalities are constitutionally responsible for the delivery of a range of services to residents. Municipalities must: provide democratic and accountable government; provide services to communities in a sustainable manner; promote social and economic development; promote a safe and healthy environment; and encourage the involvement of communities and community organizations in the matters of local government. In a sense, the Constitution explicitly mandates local authorities to pledge responsibility to work towards sustainable development.

In conjunction with the Constitution of the Republic of South Africa, Act 108 of 1996, local government has to undertake specified functions in order to deliver on their mandate and satisfy the needs of the communities. The following are the services provided by the Fetakgomo Local Municipality:

i.   Provision of water and sanitation services

ii.   Provision of community and social development services

iii.   Provision of economic development services

iv.   Provision of electricity services

In addition to the core functions above, the Fetakgomo Local Municipality also carries out shared services that have been delegated by the Greater Sekhukhune District Municipality and Limpopo Provincial Government.

4.2.3 The Fetakgomo Local Municipality system of governance

After the first democratic elections in 1994, the old and outdated ramshackle local government of South Africa was immediately replaced with a new, streamlined structure. The new system was designed to drive the government's transformation programme by delivering clean water, electricity, schools, sewage treatment and roads to the poorest communities in the country. Fetakgomo Local Municipality is a category B municipality, which is a type of municipality that serves as the third and most local tier of local government. Fetakgomo Municipality falls within the jurisdiction of the Greater Sekhukhune District Municipality.

The executive authority and leadership is vested in the Mayor assisted by the Speaker and top municipal officials such as the municipal manager, strategic managers (Co-operative services), chief finance officer, strategic manager

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(Development planning). Section 73 of the Municipal Structures Act, 1998 allows for establishing ward committees. A ward committee consists of the councillor who represents the ward in council and no more more than ten members. Its role is to make recommendations to the municipality on issues around the particular ward. Gildenhuys (1997: 32) is of the view that ward committees could play a significant role given the fact that South Africa is a participatory democracy. As a principle, participatory means that the citizens of a country or a given community should be consistently and actively involved in the governing of their lives and communities.

4.3 THE FORMULATION PROCESS OF THE IDP OF FETAKGOMO

In terms of the Municipal Systems Act (Act 32 of 2000) and other relevant legislative documents such as the White Paper on Local Government, requires that the local government level must prepare an Integrated Development Plan (IDP) in accordance with the legislation. The IDP serves as a the best tool for transforming local government towards developmental local government, which is supported by the White Paper. The Municipal Systems Act also requires that all spheres of government i.e. national, provincial and local government work together in a spirit of co-operative governance, in order to facilitate the creation of effective and sustainable municipalities. The Act identifies the IDP as the vehicle to be used in pursuit of these goals.

Fetakgomo (IDP, 2009/2010) highlights the key elements of the formulation of the IDP. The Fetakgomo Local Municipality's IDP is the product of intense consultation amongst all the stakeholders described below. As it is a legal requirement to involve communities in the affairs of the municipality, communities are engaged in the processes. Community participation during the formulation of the Fetakgomo IDP consisted of a number of consultations including ward-based consultation and nodal point and sector-based consultatioin. These are explained below.

4.3.1 Community participation

Fetakgomo Municipality is committed to ensuring community participation in the interest of participative democracy at the local government level. The commitment to participate is underpinned by the adherence to the Constitution of the country and the Municipal Systems Act, which requires municipalities to consult local communities through appropriate mechanisms, processes and procedures.

4.3.1.1 Consultation processes

Consultation undertaken by the Fetakgomo Municiplaityis threefold, namely ward, nodal and sector based (mining) consultation.

Ward-based consultation

During the development of the 2006/2011 IDP robust consultation with the communities was undertaken at ward levels. These offered communities an opportunity to highlight their most pressing needs that government needs to consider when implementing service delivery projects. Due to the new ward delimitation, it was necessary for the Municipality to review the IDP according to the thirteen wards. Councilors, officials and ward committees undertook a process of gathering information according to the thirteen wards at ward level for the review of the Plan.

Node-based participation

The Spatial Development Framework of the Municipality identifies Mphanama, Apel and Atok as municipal nodal points. It therefore became critical for the Municipality to facilitate community participation according to the nodes so that communities have an understanding of how the Municipality is functioning. The purpose of these meetings was to report back to the communities on the achievements and challenges that the Municipality was experiencing in providing services. In all of these meetings the budget and the revenue generation challenge were presented to the communities. Their

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involvement in service delivery through payment for services was emphasized.

Mphanama nodal point

The node comprises wards 1, 2 and 4. During the consultation that was held on the 17 April 2007, there was criticism of the Municipality's interaction with the communities, and the outcry by community members was mainly on the issues of water in Mphanama Village and roads that link the Municipality with the adjacent municipalities, that is Makhuduthamaga and Tubatse Municipalities.

Apel nodal point

Major development in the Municipality is taking place within this nodal point hence the appreciation expressed by community members from wards 3, 5, 6, 7 and 8 at the meeting held on 16 May 2010. Critical items discussed during the meeting included the issue of the role of traditional leaders in development, a constantly leaking bulk line and incomplete housing projects. The issue on the role of traditional leaders was critical for the node because of the long standing township establishment in the Municipality.

Atok nodal point

This nodal point is within the Dilokong Corridor where mining is booming. The node consists of wards 9, 10, 11 12 and 13.The communities within these wards raised diverse issues that ranged from lack of electricity in most villages and inadequate water supply to the effectiveness of ward committees. The backlog of electrification of villages especially in ward ten, eleven and thirteen became a thorny issue during the meeting. Community members raised the issue of failure to provide electricity to the villages since 2001. The concerns of the communities were responded to based on the minister of Mineral and Energy imbizo that was held in the Municipality on 13 April 2007.

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Sector-based participation (Mining)

In terms of the Provincial Growth and Development Strategy (PGDS), Fetakgomo Municipality falls in the Dilokong corridor. Currently one platinum mine, namely Atok mine, exists within the municipal area. According to the Mineral and Petroleum Resources Development Act (MPRDA), mines operating within South Africa are obliged to plough back investment into communities in partnership with government. Communities around the mine were dissatisfied about the social investment plan that the mine was implementing and its impact and also wanted to be guided by government on the Act. Representatives from the Department of Mineral and Energy presented the Act, outlining the objectives of the MPRDA, and challenges encountered by the Department in assessing social investement plans due to non-alignment with the IDP.

4.3.2 Role players and their responsibilities in terms of integrated development planning processes and public participation at Fetakgomo Local Municipality

While the IDP is not an event but a process, it requires participation by several role players including the community of that particular Municipality. Fetakgomo (IDP, 2009/10; 20) identifies the role players and outlines the responsibilities of each during the IDP process, as described below.

4.3.2.1 Fetakgomo Local Municipal Council

i.   Prepare process plan for IDP revision

ii.   Undertake the overall management, coordination and monitoring of the process as well as the drafting of the local IDP

iii. Approve IDP within the agreed framework

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iv.   Submit necessary documentation on each phase of the IDP to the District

v.   Ensure participatory planning that is strategic and implementation oriented.

4.3.2.2 Greater Sekhukhune District Municipality

i.   Compile IDP framework for whole district

ii.   Ensure alignment of IDP in the district

iii.   Prepare joint strategy workshops with local municipalities, provincial and national role players and other subject matter specialists.

4.3.2.3 Office of the Premier

i.   Ensure that medium-term frameworks and strategic plans of the province are in place

iii.   Support and monitor Department of Local Government and Housing (DLGH) alignment responsibilities

iv.   Intervene where there is a performance problem of provincial departments

v.   Investigate issues of non-performance of provincial government as may be submitted by any municipality

4.3.2.4 Department of Local Government and Housing

i.   Ensure horizontal alignment of the IDPs of various municipalities

ii.   Ensure vertical/sector alignment between provincial sector departments/provincial strategic plans and the IDP process at local level

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iii. Ensure alignment between provincial departments and designated parastatals.

4.3.2.5 Sector departments

i. Identify an IDP coordinator in the sector department (a consistent, knowledgeable person responsible for all IDP related issues in the department)

ii. Contribute technical knowledge, ideas and sector expertise to the formulation of municipal strategies, projects and sector plans

iii. Actively participate in the various task teams established for the IDP process

iv. Provide departmental operational and capital budgetary information.

4.3.2.6 Private Sector

i. Participate in the formulation of the plan

ii. Submit their projects to the IDP of the municipality

iii. Provide information on possible opportunities for the community in their industry.

4.3.2.7 Communities

i. Identify and prioritize needs

ii. Discuss and comment on the draft IDP review

vi. Monitor performance in the implementation of the IDP review

iv. Participate in the IDP representative forum.

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4.3.2.8 Ward Committees

i.   Articulate the community's needs

ii.   Participate in community consultation meetings

iii.   Assist with the collection of the needed data/research.

4.3.2.9 Community Development Workers (CDW)

i.   Help in the generation of the required data, thereby providing requisite support to ward committees.

4.3.2.10 Other stakeholders

Interest groups such as Magoshi (traditional leaders), CBOs, NGOs, Organizations for youth, women and people with disability, tertiary and research institutions may be involved in the local IDP Representative Forum. The aim is to consult with the community on community interests and and respond to these.

4.4 STRUCTURES PROMOTING IDP, GOOD GOVERNANCE AND PUBLIC PARTICIPATION AT FETAKGOMO LOCAL MUNICIPALITY

Since the advent of democracy in 1994 after first democratic elections, a range of structures and mechanisms have been established to facilitate a culture of public participation in local governance. Why the need to facilitate public participation? The draft National Policy Framework for Public Participation give four main reasons; firstly, public participation is encouraged because it is a legal requirement to consult. Secondly, it could be promoted in order to make development plans and services more relevant to local needs and conditions. Thirdly, participation may be

encouraged to hand over responsibility for services to the community and promote community action. Lastly, public participation could be encouraged to empower local communities to have control over their own lives and livelihoods. The following structures are important in facilitating public participation in South Africa.

It is a requirement of Chapter 4 of Local Government: Municipal Systems Act No.2 of 2000 that a municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance. The culture of good governance in the year under review, manifested itself in the form of council structures functionality, ward committees and izimbizos.

4.4.1 Meetings of Council structures

During the year under review, Fetakgomo Municipality operated with 26 councilors. The Council continued with its five substructures, namely the Executive Committee, Corporate Services Portfolio Committee, Community Services Portfolio Committee, Development Planning Portfolio Committee and Technical Services Portfolio Committee. The council structures mentioned above enabled the Council to perform its legislative and governance role through passing of policies, by-laws and guidelines. The functionality of the council structures is further affirmed by the number of meetings held per annum. For the year under review, council structures met as follows:

4.4.2 Ward committees

Ward committees are defined as important communicative channels within the particular jurisdiction of the municipality for informing municipalities about the people's needs, preferences and problems of their communities. They are legally mandated to facilitate substantive grassroots participation in the development processes of municipalities, including the IDP, budgeting and municipal performance management processes. They are meant to be non-partisan and advance the interests of the ward collectively (Steyn, 2006: 8).

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Municipalities are required by Section 73 of the Local Government Municipal Structures Act to establish ward committees in each ward. The object of a ward committee is to enhance participatory democracy in local government. Fetakgomo Municipality has 13 wards and 130 ward committee members. The term of office for ward committees is two and half years. Each ward committee is chaired by a ward councilor for the respective ward. The process of re-establishment of ward committees commenced in August 2008 and was completed in October 2008. An induction workshop was held on 6 June 2009 to induct the newly elected ward committees on their roles and responsibilities and also on some of the legislation applicable to local government. The workshop was facilitated by the South African Local Government Association (SALGA) through its capacity building unit.

4.4.3 *Imbizos*

Another mechanism promoting public participation at Fetakgomo local municipality is *imbizos***.** The municipality arrange different forms of *imbizo*, namely; the mayoral, provincial and the national *imbizo.* The term *imbizo* derives from the the Zulu word for "public gathering". The President and other officials such as the ministers, the premiers and the mayors from time to timevisit remote areas in the country to have face-to-face interaction and engagement with ordinary people and see for themselves the challenges that the people are faced with at the grassroots level. about the aim is to have direct communication between government and its people to exchange views on the status of service delivery and problems experienced by the communities. It is an opportunity for government to explain its programme of action and the progress being made by the government, and on the other hand a chance for the ordinary people to hold the government accountable and shaping the policy makers and decision maker's thinking on service delivery (Hartslief, 2007: 4).

4.4.4 IDP representative forum

The IDP representative forum is a crucial mechanism, process and procedure for community participation in municipal governance. The Department of Provincial and Local Government (now the Department of Co-operative Governance) advocated for an IDP representative forum in an endeavour to promote public participation following the introduction and legislation of IDP in the year 2000. The IDP representative forum can be perceived as a crucial mechanism, process and procedure for community participation in municipal governance established in terms of Chapter 4 of the Municipal Systems Act. This can further be observed in the composition of the IDP representative forum.

4.4.5 IDP steering committee

The Fetakgomo IDP steering committee comprises the IDP Manager, five (5) nominated Councillors and Heads of Department. The steering committee ensures that the process of the IDP is managed smoothly and provides advice and guidance. The inclusion of Councillors in the committee ensures that not only critical technical aspects are considered but, most importantly, that these aspects relate directly to the needs of the electorate.

The steering committee has the following institutional roles and responsibilities in the IDP review process: Commissions research studies where additional information is required to enable the council to make informed decisions; Comments on and considers inputs from stakeholders; Oversees the collation and compilation of the reviewed IDP report; Facilitates the preparation of documents for meetings; Makes recommendations on content of the IDP review outputs; Prepares, submits and presents (with recommendations) draft IDP review report to the Executive Committee; Facilitates the public participation process in the IDP review process; and ensures horizontal co-ordination of the IDP review process.

4.5 INTEGRATED DEVELOPMENT PLAN AND PUBLIC PARTICIPATION: EXPERIENCES FROM THE CITY OF TSHWANE METROPOLITAN MUNICIPALITY

4.5.1 City of Tshwane: municipal profile

The City of Tshwane Metropolitan Municipality (CTMM) was formed at the end of 2000. A number of local authorities were amalgamated to form the new municipality, as listed in the Provincial Gazette Vol. 6 No.53 of May 2000. Tshwane lies within the smallest of the country's nine provinces, Gauteng (a Sotho word for the Place of Gold). Tshwane's neighbouring provinces are North West Province, Mpumalanga, the Free State and the Limpopo Province. The population of the City of Tshwane has been estimated at 2.2 million, with 1 657 000 blacks (809 609 male, 847 650 female), 553 368 whites (282 111 male, 271 257 female), 34 125 Asians (13 944 male, 27 894 female) and 27 894 coloureds (17 306 male, 16 819 female) (CTMM, 2002(a): 28 and 203). The total population of CTMM is expected to grow to about 2, 5 million by 2010 (Census, 2001).

The economically active population (EAP) is defined as the number of persons that are able and willing to work between the ages of 15 and 65. It includes both employed and unemployed persons. The expanded definition of the EAP includes those persons who consider themselves unemployed and did not take recent active steps to find employment. In 2002, the EAP of CTMM totalled 47.2% of the total population (the economically active population includes working persons as well as those who are actively looking for work). This is higher than the national average of 38.3 %, but lower than Gauteng's average of 52.7 %. In all areas of CTMM the EAP increased between 1996 and 2002. This implies that more people are entering the labour force and, as such, are searching for jobs with an associated impact on unemployment (CTMM Profile, 2004: 29).

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4.5.1.1 IDP within the City of Tshwane Municipality

According to Section 25 of the Local Government: Municipal Systems Act 2000 (Act 32 of 2000) integrated development planning includes a single, inclusive and strategic plan for municipalities to develop the capacity to integrate and coordinate activities and align resources meaningfully. The White Paper on local government defines developmental local government as a government at a local level that is committed to working closely with citizens, groups and communities to create sustainable human settlements that provide for a decent quality of life and meet the social, economic and material needs of the community.

In his article, Phago (2009: 483) states that integrated development planning forms an important part of municipal functioning. Every municipality is required to plan and budget for its activities according to the specifications stipulated in legislation such as the Local Government: Municipal Systems Act, 2000 (Act 32 of 2000). He further continues to highlight that a municipality should involve relevant stakeholders who are able to contribute to improve the municipal service delivery.

According to Ceasar and Theron (1999: 65)) the constitutional specification regarding developmental duties of municipalities (Chapter 7 of the Constitution) is clear and succinct ensuring that development takes place in the local sphere where elements such as planning and budgeting should form an integral part of municipal governance. Local government is the closest to the community, therefore, it is expected that opportunities to facilitate development and engage directly with people in the local sphere should be created by municipalities rather than by other spheres of government.

Furthermore, Phago (2009: 485) argues that the conceptual outline of the IDP should be within the context of the existing legislation to ensure that a generally acceptable definition is provided. Furthermore, the IDP in itself

should be discussed on the basis of the requirement of municipalities to function within the limits of the specific legislative framework.

The Municipal Systems Act, 2000, Chapter 4, deals with community participation. With specific reference to the budget process, Section 16(1) (a) and (iv) stipulate that a municipality must encourage, and create conditions for, the local community to participate in the affairs of the municipality, including in the preparation, implementation and review of its integrated development plan and the preparation of its budget. Phago (2000: 486) highlights that the CTMM as outlined in the Municipal Systems Act, 2000, must ensure that the legislative requirements pertaining to the IDP are complied with. The City of Tshwane developed a long term development goal and strategy and this was covered in the Tshwane 2020 Plan.

Municipalities as a state organ are very important for developing developmental goals either based on short term, medium and long term goals. Within the CTMM, developmental goals as required by law have been established according to a cluster of priorities. These goals are part and parcel of the IDP of the CTMM and the priorities listed below (City of Tshwane, 2004b, Chapter 8) are the focus of the IDP of the CTMM :

Priority no 1: Housing development structure

Priority no 2: Infrastructure

Priority no 3: Safety and security

Priority no 4: Social development

Priority no 5: Economic development

Priority no 6: National resources

Priority no 7: Institutional development.

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For any municipality to implement the IDP effectively, structures must be in place. Integrated development planning in the city of Tshwane has given rise to two organizational components, namely a management structure consisting of the IDP manager, IDP steering committee, IDP representative forums, and IDP functional team that can implement, coordinate, monitor and evaluate developments within the framework of the IDP and a community participation or consultation structure that is representative of all stakeholders within the constituent communities to serve as a conduit for community input in the formulation of the IDP. There is also an external, ward-based structure consisting of ward committees to promote a better understanding of community participation during the IDP process, to encourage all residents and stakeholders to become involved in the government of the city. These structures are discussed in more detail in Chapter 5.

4.5.2 Systems promoting IDP and public participation in the City of Tshwane

By way of the IDP process plan approved on 4 October 2001, various IDP structures were approved and established. After utilizing these IDP structures during the past IDP cycle, specific lessons were learnt with regard to the composition of, as well as the functions of these structures. Therefore, it is necessary to re-confirm the IDP structures and to make specific proposals on the amendment of the composition of certain structures (Tshwane, 2020 IDP).

The City of Tshwane IDP consists of an IDP Representative Forum (IDPRF), IDP Steering Committee, IDP Manager, Project Teams and a Programme Task Team responsible for the IDP process. From what is indicated in the IDP, the IDPRF represents the interests of constituencies, and provides an organizational mechanism for discussion, negotiation and decision-making between stakeholders. The IDPRF is composed of ward councillors as chairpersons of the ward

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committees; two members of every ward committee; proportionally elected councillors; and non-ward based stakeholders at a regional level. This structure has to ensure communication between stakeholders and monitor the performance of planning and implementation. The Executive Mayor is the chairperson of the IDPRF with the Mayoral Committee, ward councillors and proportional councillors as members, while the IDP Manager chairs the IDP Steering Committee.

Beside the above-mentioned structures, ward committees are seen as a very important structure promoting IDP in the city of Tshwane. Ward committees were established in 2001 for the 76 Tshwane municipality. The document titled Establishment of Ward Committees states that local government structures have the responsibility to promote local democracy, social and economic development (CTMM, Establishment of ward committees, 2001: 4). In addition to the powers listed in the Municipal Structures Act, 1998, the Establishment of Ward Committees document specifically refers to the role of ward committees in the review of the Integrated Development Plan for the municipality as well as the council's budget (Napier, 2008: 170)

4.5.3 Similarities and differences with regard to IDP and public participation

Public participation is receiving increasing attention in South Africa, especially at local government level. Section 152(1) of the Constitution states that "local government must encourage the involvement of communities and community organisations in the matters of local government". In this regard the Municipal Systems Act, 2000, section 16, obliges municipalities to "develop a culture of municipal governance that complements formal representative government with a system of participatory governance, and must for this purpose encourage, and create conditions for, the local community to participate in the affairs of the municipality, including in (i) Integrated Development Plan; (ii) the performance management system; (iii) performance, (iv) the budget (v) and strategic decisions relating to services". In addition to requiring local councils to consult communities on

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key municipal processes, the Municipal Structures Act of 1998 establishes ward committees. Consisting of ten people and chaired by the ward councillor, ward committees are intended to act as the main means of communication between the council and local communities. All South African municipalities are obliged to develope Integrated Development Plans and encourage the community to be involved. Municipalities are guided in this regard by various legislative documents, frameworks, policies, handbooks etc.

The following are the main similarities and differences identified by the researcher in the identified case studies. During the formulation of the IDP by the Fetakgomo Municipality, the public involvement and consultation processes undertaken included three forms of consultation, namely ward, nodal and sector based (mining)participation, while the City of Tshwane's participation process comprised of conducting zonal planning meetings; specific ward izimbizos; participation sessions and inviting comments on the draft IDP and Budget, among others. The zonal planning sessions should be conducted in order to facilitate community inputs into the planning process of the IDP and the Budget. In order to facilitate meaningful developmental discussions, the Office of the Executive Mayor and City Manager together with the City Planning Development and Region Services Department divided the city into development programmes. Development programmes are homogeneous areas that require similar interventions.

The Speaker's Office arranged two councillor briefing sessions in order to prepare the ward councillors for the respective ward planning sessions, which would in turn be inputs into the zonal planning sessions. Subsequently, the Speaker's Office arranged 16 zonal (Zones A to I) planning sessions with all community stakeholders. The zonal meetings were arranged for after hours during the week, and over weekends. The Office of the Executive Mayor and City Manager presented the background information based on the inputs from the departments and the regional

profiles to the community. The community was then divided into commissions and furnished with maps and guiding questions in terms of development programmes.

For any municipality to successfully implement the IDP, structures must be in place. Both municipalities, the City of Tshwane and Fetakgomo, had structures promoting integrated development planning. These structures are the IDP Representative Forum (IDPRF), IDP Steering Committee, IDP Manager, Project Teams and Programme Task Team responsible for the IDP process, as well as ward committees and council structures. With regard to public participation, both municipalities acknowledged the fundamental right of all people to participate in the local governance system especially on issues affecting them. While these municipalities have different ways of conducting public participation activities, Tshwane indicated that the nature of various stakeholders' participation was based very much on organizing workshops at various levels during points in the strategic planning process, whereas Fetakgomo did not do much in terms of organizing workshops but focused on formal structures within the Municipality. The Tshwane Municipality had a fair amount of capacity and that staff from various departments expressed their willingness to be trained as participation facilitators, while Fetakgomo does not have much capacity dedicated to the IDP and public participation. However, there are some few municipal officials responsible for IDP and public participation.

4.5.4 Conclusion

Fetakgomo Local Municipality's powers and functions relating to critical needs of the residents such as water, electricity, housing, roads, sanitation, are delegated and shared between the greater Sekhukhune District Municipality and provincial government. However, even if services are shared, a municipality plays a significant developmental role in the provision of services to the community. Fetakgomo Local Municipality is not exempt from the responsibility to render services to its communities.

This chapter defined and explained integrated development planning as a public policy and public participation process at Fetakgomo Local Municipality. This paper went further by indicating the linkages which exist between the obligatory mandates of a municipality enshrined in the White Paper on Local Government 1998 in terms of integrated development planning and public participation in the Fetakgomo Local Municipality. Furthermore, this chapter explained that the relationship which exists between the IDP and public participation can be best indicated as linear: The vision presented in the Integrated Development Plan is arrived at through public participation. It went further by drawing experiences from other municipalities across the country to examine how other municipalities conduct its activities in terms of IDP and public participation.

CHAPTER 5: ANALYSIS OF THE STUDY

5.1 INTRODUCTION

Translating the IDP and the outcomes of the public participation process into the facilitation of effective service delivery has been always a challenge for municipalities. Municipalities are obliged in terms of laws regulating local government to develop a range of structures to facilitate IDP and public participation. Those structures cannot achieve their purpose if the members of the community are excluded. Valeta (2008: 374) indicates that the local government sphere plays a significant developmental role in the provision of public goods and services to the communities of South Africa. However, against the backdrop of a sustained legacy of separate development, which has resulted in the current state of unequal socio-economic development in the country, the institution of local government is paramount to addressing the development question. However, the effectiveness of municipalities to deliver on their mandate is largely dependent on their ability to plan and allocate public resources in a developmental and sustainable manner. The objective of this chapter is to present an analysis of the Integrated Development Plan and public participation at the local government level, specifically at Fetakgomo Local Municipality.

5.2 DATA GATHERING AND ANALYSIS

The aim of this section is to critically analyze the data gathered at the Fetakgomo Local Municipality. For the purpose of this study, the researcher applied triangulation as aresearch method. Denzin (1970) defines the triangulation method as several research methods combined and used to study the same phenomenon. Multiple collection of data techniques such as documentary data analysis, case study, and existing statistics have been applied in this project. Originally, triangulation was applied in social science and psychology (Smith: 1975). Several studies are currently using triangulation to come up with a solution to resolve dificulties in interpretation

and theory building. These draw on early efforts of Denzin (1970), who pointed out that this method had gone beyond the initial focus on eliminating weaknesses in any one method.

Acoording to Jick (1979) there are different kinds of triangulation methods. Firstly, data triangulation strengthens research findings by applying multiple ways to collect and analyse data involving time, space and person. Secondly, there is investigator triangulation. This method consists of the use of multiple rather than single observers. Thirdly, multiple triangulation is described as situations where the researcher combines in one investigation multiple observers, theoretical perspectives, sources of data and methodologies. Fourthly, there is theory triangulation consisting of using more than one theoretical scheme in the interpretation. In this study, the researcher draws on several data collection techniques from both the above-mentioned methods. The researcher in this study applied a number of data collection techniques to gather data, namely desktop analysis, documentary data, literature review and case studies. These techniques are explained briefly below.

Firstly, the desktop analysis technique is applied by researchers when their research process does not necessitate going into the field to gather information. This technique consists literally of those research actions that can be performed while sitting at a desk. The technique allows users to label related documents, images, speeches, and other items useful for performing a given task. Using the assigned labels, they can easily activate a particular task or switch between multiple tasks.

Secondly, documentary data analyses were conducted on important municipal documents such as the IDP (2007/08), IDP (2009/10), Annual Report (2007/8/9), Communication Strategy (2004/5), Mayoral Speeches, Policy on Ward Committees (2006) and other documents. Thirdly, the researcher conducted a review of literature

relevant to the topic of the study while lastly case studies were applied to compare institutions in terms of how they conduct their activities related to the IDP and public participation.

5.3 RESEARCH FINDINGS, INTERPRETATION AND PRESENTATION

The findings and interpretation of this study are presented in this chapter. The data presented here were collected to arrive at the findings of the study. The objectives of the study are presented as follows:

i.   To evaluate IDP as a public policy and public participation tool as a legitimate mechanism for the community to be involved in municipal decisions

ii.   To assess how the municipality develops and presents the IDP to the community

iii.   To bring attention to political interference that may hamper the municipal service delivery

iv.   To critically analyze the implementation of *Batho Pele* principles as a method of community participation

v.   To look at the current structures promoting both IDP and public participation

vi.   To identify challenges or obstacles faced by the municipality and the community during IDP and public participation activities.

5.3.1 IDP and public participation process of Fetakgomo Local Municipality

Planact (2001: 18) describes IDP as a vehicle for development because of its participatory approach to integrating economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources. It also states that one of the goals of the IDP is the transformation of the municipalities into developmental structures through public participation. Public participation in the process is regarded as essential in accordance with

section 152 (1) of the Constitution (1996), which encourages the participation of communities and community organizations in local government.

Davids (2005c: 64) and Theron (2005b) indicate that public participation in the IDP process regarding planning, implementation, monitoring and review is obligatory as stipulated in Chapter 4 of the Municipal Systems Act (2000). Section 29 of the Act contaones a guideline for the process to be followed. It states categorically, that when a particular municipality formulates its IDP, such an IDP mustbe in accordance with a predetermined programme specifying time frames for the different steps through separate mechanisms, processes and procedures. It must furthermore be established in terms of Chapter 4 and allow for the local community to be consulted about is development needs and priorities, the local community to participate in the drafting of the development plan and for the state, including traditional leaders and other role players to be indentified and consulted on the drafting of the Integrated Development Plan.

In the case of Fetakgomo Local Municipality, the IDP process followed the community participation. Fetakgomo does have officials responsible for the IDP and public participation to facilitate IDP as well as public participation activities, but with limited resources such as staff and budget. Fetakgomo Municipality's development of its IDP unfolds in six process phases.

The first phase is the analysis phase of the IDP. This is a phase in which the previous year's IDP/budget process is reviewed and the Executive Committee (EXCO) provides political guidance in respect of the budget process and priorities that must inform preparation of the budget and also the compilation of the updated ward-based data, consultation with the established committee meetings and other consultative forums and submit process plans to Council.

The second phase involves the Council, which determines strategic objectives for service delivery through IDP review processes and the development of the next three year budget, determines revenue projections and proposed tariffs and drafts initial allocation per function and department, consults with provincial and national sector departments on sector specific programmes for alignment of projects such as schools, libraries, clinics, water, electricity, roads, etc, finalizes ward-based data compilation for verification, and updates council structures on the latest data.

The third phase of the Fetakgomo Local Municipality includes quarterly review of the budget and the IDP, related policies, and making changes if necessary.

Fourthly, the projects phase is when the IDP projects are confirmed with districts and sector departments. Sector departments are engaged by way of a strategic session to test the feasibility of planned projects and review and effect changes on the initial IDP draft.

The integration phase is the fifth phase for reviewing the budget performance and preparing for possible adjustments.The annual report, mid year performance review, IDP review, related policy amendments and proposed consultative process are tabled to Council. During this phase, the municipality prepares oversight reports for the financial year, adopts oversight reports and tables budget adjustments if necessary, makes a submission of the draft budget/IDP for the next three years to management, a submission of the draft budgets/IDP and plans to portfolio committees, a submission of draft budget/IDP to EXCO and publishes the draft budget and IDP for public comments.

The last phase of the IDP is the approval phase. In this phase the municipality approves the draft budget and recommends the IDP to the National Treasury,

Provincial Treasury and the Department of Local Government and Housing. The IDP/budget is submitted to Council structures with all submissions emanating from the consultative process and taking into account the third quarterly review of the particular year. Service Delivery and Budget Implementation Plans (SDBIPs), and performance plans for managers are prepared.

The participation process at Fetakgomo began with intense consultation consisting of ward-based consultation, node-based participation, consultation at nodal points such as Mphanama, Apel, Atok and sector-based participation to introduce the IDP process to the community. The Municipality identified all stakeholders and the community at large and invited those who were interested by putting notices on street poles, shops within the municipal jurisdiction, in local, provincial and national newspapers, and distributing them through email and fax. The consultative sessions with the communities were used to inform the community about the IDP process and also to secure the co-operation between the municipality and the municipal inhabitants for the various other phases of the participation. Figure 2 below is an example showing how the Fetakgomo Municipality engaged with the community.

Figure 2 Public participatory and consultative sessions with communities

DATE	TIME	VENUE	TARGET
03/02/2010	10H00	Municipal Council Chamber	Ward committees
06/02/2010	10H00	Municipal Council Chamber	Sector departments
09/02/2010	10H00	Municipal Council Chamber	Magoshi
10/02/2010	10H00	Masha Makopole	Communities within

		Tribal Hall	Strydkraal Node
11/02/2010	10H00	Fetakgomo Thusong Service Centre	Communities within Atok
13/02/2010	10H00	Mashilabele (Pay Point)	Communities within Mphanama Node
16/02/2010	10H00	Municipal Council Chamber	Communities within Apel Node
06/04/2010	10H00	Municipal Council Chamber	Ward Committee
07/04/2010	10H00	Municipal Council Chamber	Sector Departments and Business
08/04/2010	10H00	Municipal Council Chamber	Magoshi (Traditional leaders)
14/04/2010	10H00	Municipal Council Chamber	Special Groups
14/04/2010	14H00	Municipal Council Chamber	Sports, Arts, and Culture Council
14/05/2010	10H00	Municipal Council Chamber	IDP Representative Forum

Source: Fetakgomo, IDP/Budget review: 2009/10

There are two forms through which the public participation in the IDP takes place; a representative form (i.e. through ward committees, IDP representative forum, etc.)

and popular participatory form (i.e. imbizo). In preparation or review of the IDP for 2010/2011, on 3 September 2009 there was an *imbizo* at Atok node, on 15 September 2009 there was an *imbizo* for Apel and Strydkraal nodes held at Mankopane primary school and the *imbizo* for Mphanama node was on the 19 September 2009. Two IDP Steering Committee meetings were held on the 24 July 2009 inputs could be made on the analysis phase of the IDP. The meeting of the IDP Representative Forum took place on the 13 November 2009. The above shows the extent to which communities and stakeholders have been and are involved in the IDP process.

Integrated development planning at Fetakgomo Local Municipality has been divided into two organizational components, namely; a management structure that can implement, coordinate, monitor and evaluate developments within the framework of the IDP and the community participation or consultation structure that is fairly representative of all stakeholders within the constituent communities. The community participation structures were formed by dividing the Municipality into six consultation processes (refer to chapter 5, 5.3). Structures for promoting IDP and public participation are discussed in Chapter 5, and again in Chapter 6, paragraph 6.3.4.

The level of participation by the community varied between the ward-based and nodal point consultations and those with the sector departments. In some instances, the level of participation was relatively high because communities were facing a number of serious issues including lack of running water and electricity. In some cases the inability to see their inputs turned into tangible benefits following their participation may also seen as an obstacle for effective participation. According to the report of the MEC-Mayor *Imbizo* which was held on the 3 September 2009, the *imbizo* was attended by approximately 1 700 people who expressed the view that the IDP was a good tool for the community to voice its needs and that it made the planning process of local government transparent. While the community might perceive the IDP process as a good platform for engaging with the municipality on

issues affecting them, attendance of the IDP meetings is very important, because the higher the attendance, the more inputs will be articulated and the larger the variety of suggestions and comments that will be put forward and discussed.

How community inputs are used can be seen from what portion of the IDP analysis phase features the issues raised by the community. At the end of the analysis phase, some form of prioritization (a summary of the community's needs) is made. This then informs the strategies that Fetakgomo could use to encourage the community to respond to the summary and subsequently to the identified projects. Strategies are contained in the strategies phase while projects are contained in the projects phase. Sector plans are also developed to respond to the challenges faced by the community and these sector plans are summarized in the IDP integration phase.

Usually, the Fetakgomo Municipality convenes a "strategic planning session" to craft relevant strategies and projects. This session is attended by the municipal management and selected councillors including the Mayor, Chief Whips, Speaker, and EXCO members. The session usually results in a draft IDP which is presented to Council for adoption and invitation of the public's input. In other words, the community comments on the draft IDP and after considering comments on the draft IDP, the Council adopts the final IDP on or before 31 May of each year.

5.3.2 The systems and structures promoting IDP and public participation at Fetakgomo

As stated earlier, different IDP and public participation strategies can be utilized to give the municipal residents a platform for participating in municipal activities. The Fetakgomo Communication Strategy (2004/5) indicates that, beside the structures mentioned in Chapter 5, the Municipality has a range of communication strategies for promoting IDP and public participation, these strategies are explained below.

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i. *Mayoral imbizo:* This takes place when the Mayor visits different parts of the municipal area to have face to face interaction and engagement with ordinary people and see for first hand the challenges people are faced with at grassroots level. This is about direct communication between top political office bearers and the municipal residents exchanging views on the status of service delivery and problems experienced by the community.

The researcher found that a total of 24 local *imbizos* were held in the municipal area during the 2008/2009 financial year. These *imbizos* were issue-based and led by the Mayor. Not only were local *imbizos* held, but also provincial and national *imbizos*. According to the Annual Report (2008/2009: 29), four provincial *imbizos* were held. These *imbizos* were led by the Member of the Executive Council or the Premier. On 23 October 2008, the then Deputy Minister of the Department of Public Works, the Honourable Ntopile Kganyago, led a national *imbizo* during the national government *imbizo* focus week.

The most recent MEC-Mayoral *imbizo* at the time of compiling this dissertation was held at Atok nodal community, ward 11 on 3 September 2009. The following were issues that were raised and discussed in the memorandum, which was sent by the community to the Mayor and later to the MEC of Local Government: electricity, water and sanitation; health and social development, roads and bridges; education; RDP houses; and the grave yard.

ii. *Ward committee meetings:* The Municipality consists of 13 wards and each ward has its own ward committee established in accordance with the provisions of the Local Government Municipal Structures Act (1998). Based on the fact that the ward committee is a formal structure close to the community, the ward committee can be effective in terms of promoting both IDP and public participation within the particular ward it represents.

iii.   *Council speak to the people:* This is one of the biggest initiatives undertaken by Fetakgomo Local Municipality. This programme is open to all citizens from the business sector, the NGO sector, and other walks of life to discuss matters arising within the Municipality.

iv.   *Municipal by-laws development process:* The aim of this process is to gather input from the various sectors to develop a particular municipal by-law before it can be enacted or approved and adopted.

v.   *IDP Representative Forum:* The aim of the IDP Representative Forum is to encourage the participation of communities and other stakeholders. The Forum of the Fetakgomo Municipality includes members of the Executive Committee of the Council, the IDP Steering Committee, Magoshi (Traditional Leaders), sector departments, the private sector, CDW, the Youth Council, Disability Council, Elderly Forum, Women Council, Women in Partnership Against AIDS (WIPPA), Men in Partnership Against AIDS (MIPPA), Pastors' Association, Traditional Health Practitioners, Home-based Care Umbrella, Khomanani, Total Control of Epidemic (TCE), Love Life Ikemeleng Support Group, councillors, traditional leaders, and Ward Committee representatives.

The purpose of this Forum is to provide an opportunity for stakeholders to represent the interests of their constituencies, provide a structure for discussion, negotiations and joint decision making, and ensure proper communication between all stakeholders and the Municipality.   It creates conditions for the local community to participate in the affairs of the Municipality, including in the preparation, implementation and review of its Integrated Development Plan. It creates a basis for stakeholders to represent the interests and aspirations of their respective constituencies, thereby enabling the Municipality to cater for the diverse interests of the community.

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vi.   *Community development workers (CDW):* CDW are also important in promoting both IDP and public participation because of their closeness to the community. A factor that is negatively affecting the ability of CDW to be effective is the tensions that arise between ward councillors and the CDW and between the CDW and the Ward Committee, particularly as a result of CDW not reporting to Councillors as they are appointed by the Provincial Government and not by the Municipality. There is a lack of role clarity, differences in remuneration and a weak monitoring process. Cases where CDW were not considered effective included their limited impact in terms of enhancing public participation and failure to report back to the Municipality. The tension between the CDW and the Ward Committee emerged from the fact that there is confusion about the roles they play with respect to the communities even though these roles are fairly well explained in policy documents.

vii.   *Notices and advertisements:* Another mechanism to inform the community about the IDP and public participation meetings is through notices and advertisements. Interviewed respondents indicated that notices were being placed in the shopping complexes, at shops, police stations and social grants pay points, while advertisements were being placed in the local newspapers as well as the Municipality's newsletters.

viii.   *Publications:* In some cases, dedicated publications are used to promote and inform the Fetakgomo community about the activities of Council.

5.3.3 The role of ward committees and councillors in the IDP

Napier (2008: 167) who asserts that the establishment of ward committees in the South African context was an attempt through legislation to create a new space, although a limited space, to complement existing spaces through which citizens can

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exchange information and directly participate in political decision making. The creation and formalization of ward committees through legislation at the local government level in South Africa is very much part and parcel of the recent world-wide theoretical shift in thinking on social and political popular participation.

The issue of democratization and participation in decision making is taken up in the Reconstruction and Development Programme (RDP) of the African National Congress (ANC) published in 1994, in which it is envisaged that participatory democracy should be fostered. This should be done in partnership with civil society through various peoples' forums, referenda and other consultation processes (RDP, 1994: 120-121).

Furthermore, the White Paper on Local Government (1998: 17) introduces the concept of developmental local government, allocating to municipalities the central responsibility of working together with local communities to find sustainable ways to meet their needs and improve the quality of their lives. The White Paper on Local Government also introduced the notion of integrated development planning, which is described as a strategic framework to help municipalities fulfil their developmental mandates and engage with stakeholder groups and local communities.

The purpose of the Fetakgomo Ward Committees is to assist the Ward Councillor with organizing, consultation, spreading information and encouraging participation vy residents in the ward. In terms of Section 73 of the Local Government Municipal Structures Act, 1998, Fetakgomo Local Municipality established 13 Ward Committees in 2006 comprising of ten elected members each and chaired by the Ward Councillor. Section 74 of the Local Government Municipal Structures Act, 1998, lists the powers and functions of ward committees as being; firstly, to make recommendations on any matter affecting a ward to the ward councillor or through the ward councillor to the council and secondly, to also exercise powers and perform

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duties that may be allocated to it by the council. However, the Fetakgomo Communication Strategy (2004/5: 6) suggests that these official participatory structures need to be capacitated to be able to articulate the needs and aspirations of their community, and advise Council on issues referred to them. The fact that ward committees need to be capacitated, means that capacity might even be lacking to enable the internal communication and feedback between ward committees and council officials.

Furthermore, the direct communication between officials and ward committee members at ward committee meetings also appears to be limited according to the official statistics (Annual Report, 2008/9: 10), which indicate a low level of interaction or interpersonal communication between officials and ward committee representatives. With regard to ward committees which made inputs to the IDP, only 10 of 13 the ward committees are operational and made formal inputs to the IDP. This is in spite of the fact that some policy documents and strategies were circulated to ward committees to ensure that they become aware of the protocols and procedures on how to make inputs to the IDP.

The available data on the role the Fetakgomo Local Municipality ward committees – played with regard to public participation in the IDP process is limited. The Fetakgomo Draft Policy on Ward Committees (2006: 8) points out that ward committees shall meet at least once a month. Meetings shall be called and chaired by the ward councilor. The purpose of the meetings should be to discuss local ward issues and problems. The ward councillor should report on relevant council information, discussions and decisions; identify issues that require community consultation and plan consultation processes; develop plans to communicate important information to the community and plan outreach work. At least three public meetings shall be held in each ward per year. All residents should be invited to attend. Public meetings can be used to report back or consult. However, the small number of formal meetings held by ward committees at Fetakgomo over the period

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from 2008 to 2009, suggests a lack of enthusiasm or even demand from those elected to the committee for participating in decision making.

The small number of meetings held by ward committees may also suggest that it is clearer in the minds of many to raise questions regarding the functionality and the utility of ward committees. A lack of infrastructural such as office space and equipment might contribute negatively to the effectiveness of the ward committees. Personal commitments of ward committee members in some instances clashed with ward committee meetings. Time clashes also arose as a result of most of the meetings being held during the working hours some ward committee members are employed elsewhere. The role of the ward committees is to facilitate participatory democracy within the particular ward where IDP and public participation meetings are taking place; disseminate information to the community as well as the stakeholders; help rebuild partnerships for better service delivery; and assist with problems that exist and are experienced by the people at ward level.

With regard to the active participation of councillors in the IDP process and other activities such as attending ward committee meetings, the State of Local Government in South Africa (2009: 34) refers to assessment reports citing claims that many ward councillors do not even attend ward committee meetings, and poorly resourced ward committees are failing to comply with expectations. This could be an indication that councillors are not participating as much as required in the IDP process. The participation of the councillors during the IDP process is crucial because, firstly, it shows how serious they are to serve the community they represent; secondly, they provide a link between the municipal council and their constituencies through the planning forums; thirdly, given the fact that they are so close to the council, they know what is going on in the municipal council and can therefore answer questions that arise from the community; fourthly, councillors are, responsible for informing residents of the IDP process and encouraging them to participate; fifthly, they are responsible for attending public workshops and ensuring

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public participation and lastly, they will represent the residents in decisions made by the council in the IDP process.

5.3.4 The application of *Batho Pele* principles as a way of community involvement

Batho Pele principles is an initiative to encourage public servants to be service orientated, to strive for excellence in service delivery and to commit to continuous service delivery improvement. It is a simple and transparent mechanism, which allows citizens to hold public servants accountable for the level of services they deliver (*Batho Pele Handbook - A Service Delivery Improvement Guide*). It is a way of delivering services by putting citizens at the centre of public service planning and operations. It is a major departure from a dispensation that excluded the majority of South Africans from government machinery to one that seeks to include all citizens for the achievement of a better life for all through services, products, and programmes of a democratic dispensation (www.dpsa.gov.za).

The new, democratic South African government realised that most of its clients (citizens) were dissatisfied with the level of services received from the government. The government then came up with the initiative of *Batho Pele* principles. *Batho Pele* is a Sesotho phrase that means "putting people first". Mjanja *et al.* (2007: 3) state that much has changed since the 1994 democratic elections, won by the African National Congress. Mgqwashu (2004) highlights the fact that these changes include recognition and upliftment of the previously marginalized. The Indigenous Language Policy, which gives official recognition to eleven languages was adopted in 1994 and that is why the South African Constitution recognises and guarantees equality to all 11 official languages.

The *Batho Pele* programme seeks to engender a professional, career-oriented ethic amongst public servants. Fraser-Moleketi (2004) notes that the adoption of an

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ethical, constructive and problem-solving approach to working life is important. The professional ethic, underscored by human resource development strategies for public servants, has to have as its goal the prioritization of clients and their needs. The notion of *Batho Pele* was first mooted in 1997 (Department of Public Service and Administration, 2003). The *Batho Pele* programme espouses eight principles, namely consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money (Department of Public Service and Administration, 2003).

For the purpose of this study the researcher will only focus on one principle, namely consultation. The aim of the researcher in this part of the chapter is to critically analyze how Fetakgomo Municipality communicates and consults with its inhabitants to ensure that the Municipality it is not pursuing its own agenda but rather the general welfare of the broader population by applying the democratic principle of encouraging the public to participate in policy making. It is of high importance for the Municipality to consensually achieve its goals. De Vries (1997: 161) also indicates that another outcome of the participation is that it adds to the legitimacy of policy and prevents resistance to policies.

With regard to consultation processes the study found that Fetakgomo practices consultation on three levels, namely ward, nodal and sector-based participation. During the development of the 2006/2011 IDP, robust consultation with the communities was undertaken at ward level. This offered communities an opportunity to highlight their most pressing needs that government needs to consider when implementing service delivery projects. Due to the new ward delimitation it was necessary for the municipality to review the IDP according to the thirteen wards. Councilors, officials and ward committees undertook a process of gathering information according to the thirteen wards at ward level for the review of the plan.

Despite all the efforts made by the Municipality with regard to consultation through formal structures such as ward committees, the ineffectiveness of such structures in terms of the municipal processes such as IDP and public participation, might have a negative impact on the Municipality. The delivery of certain services by the Municipality might conflict with the notion that municipal inhabitants are consulted on a regular basis on what they want and on what the municipality intends to do. The Municipality's intention of building a sport complex can be viewed as a "luxury service" while there are still residents in parts of the municipality's jurisdiction who fetch water from the river and are still waiting for their RDP houses. It is not only the construction of a sport complex but also unprioritized services such as the tarred road provided inside the Mashung area (Ga-Nchabeleng) area. This project can be deemed unwanted, because it is very dangerous for members of the community, especially children. The above-mentioned services raised grave concern about the transparency, integrity and governance of the Municipality and caused the criteria and process for prioritizing delivery of services and the legitimacy of municipality's consultation to be questioned.

5.3.5 Benefits of public participation in the IDP at Fetakgomo

Public participation in and of itself has benefits for both the community and government. According to Sithole (2004: 4), the benefits of public participation include, but are not limited to the following:

i.   Encourages citizen-focused service delivery

ii.   Brings citizen closers to the designing and shaping of local public service

iii.   Develops a clear sense of direction for communities

iv.   Facilitates the utilization of a whole range of resources in the community

v.   Identifies alternatives to be considered when addressing issues

vi.   Improves credibility with the public

vii.   Creates a better understanding of a project and its objectives

viii.   Helps to address the concerns of all interested and affected parties.

Theron *et al.* (2007: 3) also point out that participatory strategies have two primary benefits for the democratic policy-making process, namely that public participation produces better policy outcomes and also that it helps people to develop their capacity for improving their lives. There is no doubt that community involvement adds value to the IDP processes. One of the key benefits of public participation was to bring the municipality closer to the people. The Fetakgomo IDP (2009/10) emphasises the fact that the IDP process enables community members to feel a sense of belonging and be part of the decision-making process of the municipality. This offered community members an opportunity to raise issues such as water, roads, infrastructure development, housing (especially RDP housing), sanitation, education, rural safety (the need for construction of an Apel Police Station), fencing of a graveyard, building of bridges, unemployment, skills development, health issues i.e. the need to convert Nchabeleng Health Centre into a hospital, shortage of medicine or doctors at clinics, the lack of a Home Affairs office or department, sports issues, inadequacy of communication i.e. poor TV /radio reception in some areas, poor cell phone network in some areas, land issues etc.

Thanks to comments and suggestions made by the community either in the IDP meetings, ward committee meetings or any public meetings, the whole if not large portions of the IDP analysis phase features the issues raised by the community. At the end of the analysis phase, some form of prioritization (summary of the community needs) is made. These will then inform the strategies that Fetakgomo Local Municipality will employ to respond to the above and subsequently specific projects. Strategies are contained in the strategies phase while projects are contained in the projects phase. Sector plans are also developed to respond to the challenges faced by the communities and these sector plans are summarized in the IDP integration phase.

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While the IDP (2009/10) highlights the importance of public participation in the municipal area, it is silent on how public participation brings about a significant improvement in service delivery. Public participation must not only be undertaken for compliance purposes but it must bring about significant change in terms of how policy and decision makers execute decisions based on the involvement of the community.

5.3.6 Political interference versus municipal service delivery

The Overview Report of the State of the Local Government in South Africa (2009: 30) revealed that party political factionalism and polarization of interests over the last few years, and the subsequent creation of new political alliances and elites, have indeed contributed to the progressive deterioration of municipal functionality. Evidence has been collected to dramatically illustrate how the political/administrative interface has resulted in factionalism on a scale that, in some areas, it is akin to a battle over access to state resources rather than any ideological or policy differences. The lack of values, principles or ethics in these cases indicates that there are officials and public representatives for whom public service is not a concern, but for whom accruing wealth at the expense of poor communities is their priority. Among the findings made by the assessment were the identification of inefficient and ineffective administrations premised on variables such as susceptibility to inappropriate political interference, poor (political and administrative) oversight, weak compliance and inability to respond to the complexity of societal demands and expectations.

The effective functioning of a municipality begins with its political leadership. In respect to governance, the overarching question during the assessment process centred on the effectiveness, capability and integrity of the local political council leadership. Provincial assessments exposing the reasons for distress in municipal governance pointed to tensions between the political and administrative interface.

Fetakgomo Local Municipality is not immune to party political factionalism. Some key signs of political interference have emerged from the assessment with respect to governance of the municipality. Said political factionalism or interference started after the emergence of divergent views on preferred political leadership. Local political preferences were are sometimes influenced the exprerience of service delivery. For example, in the Fetakgomo municipal area towards 2007, water reticulation services were delivered in some villages, while others were left without such services. This has affected apolitical community members who are not aligned to any political party, but who are voters and caused them to lose trust in the municipality. This has been publicly evidenced through community protests during the course of the year 2009 and the beginning of 2010, which may be seen as a symptom of the alienation of the community from local government.

5.3.7 Challenges confronting both the municipality and the community during the IDP and public participation

During the study, the researcher uncovered the challenges or obstacles faced by the municipality and community during the IDP and public participation processes. Those challenges or obstacles are explained below.

5.3.7.1 Staffing

No institution or organization can function effectively without sufficient staffing. Insufficient staffing remains one of the obstacles hampering the operations of Fetakgomo Local Municipality in terms of IDP and public participation. According to the organizational structure (see Annexure C), the Fetakgomo Local Municipality does not have sufficient numbers of dedicated staff or even a public participation unit responsible of public participation and integrated development planning. According to the organisational structure, the municipality has only three officials, namely the IDP Manager, IDP Officer and Public Participation Officer to deal specifically with IDP and public participation. The DPLG's National Policy Framework for Public Participation

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recognizes this as a key obstacle to effective participatory practice. The shortage of the staff for IDP and public participation does not enable the municipality to carry out its duties effectively and efficiently. The municipality should have at least three to four people dedicated to IDP and a further number of staff dedicated to public participation. Because the IDP is a strategic function, the post of IDP Manager needs to be placed at a strategic level post (that of senior manager) unlike the current arrangement where it is a middle management position.

5.3.7.2 Poor attendance of the IDP and public participation meetings

The Fetakgomo Communication Strategy (2004/5: 6) points out that the community (and its various organizations) has a right and responsibility to participate in the municipal activities through the IDP and public participation meetings to ensure that council programmes are responsive to their needs. Given the context (the rural nature) of the Municipality, any public participation effort on council programmes and community projects will not be complete unless all municipal inhabitants including women play a responsible role in the planning, implementation and management of these projects.

According to the Provincial Framework on Public Participation for Gauteng (2009: 84), the seeming lack of interest in attending public meetings could also be attributed to the sheer number of public events and meetings that communities might be expected to attend and engage in. This issue might well be important in explaining in part the apparent lack of interest and poor attendance of meetings by community members. Communities may be overwhelmed with meetings, road shows, official visits by provincial, local, and national officials (like Mayors, MECs, and Premiers). This may result in some confusion about what the purpose of each of these meetings is, when they are taking place, and how community members can/should interact with officials.

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the Good Governance Learning Network (GGLN) (2008: 55) states that the highly complex nature of integrated development planning also militates against meaningful participation. While this is no excuse for municipalities to ignore the requirement to facilitate public participation in the planning process, the reality is that many municipalities have opted for a more technologically driven approach to the IDP, which leaves little scope or patience for a potentially prolonged and wide-ranging process of community engagement.

The Municipality's willingness to engage with the community may be diminished by poor attendance of the meetings. Poor attendance of the meetings may result in demoralizing the municipal officials as well as the councillors who conduct public meetings. However, poor attendance may result from the fact that there are so many meetings that the public must attend such as the Mayoral *imbizos* etc. This may cause the community to lose interest in attending other important meetings. The lack of community understanding of government processes, structures and IDP and public participation is seen as one of the impediments to effective public participation. Poor attendance of meetings not only affect the Municipality,but also the community. To encourage community members to attend meetings in numbers the Municipality should communicate with members of the public so that a pool of ideas and suggestions will emerge. This will also be a plus factor to the community when they engage with the municipality. However, according to the attendance register (see Annexure D), the level of attendance of the meetings of the IDP and public participation indicated that the level of participation differs from ward to ward and nodal point to nodal point. For example, in a nodal point where the Municipality is still behind in terms of service delivery, the attendance will usually be high compared to those nodal points where basic services have been delivered.

5.3.7.3 The absence of a municipal public participation policy

Public participation activities in all levels of government (i.e. national, provincial and local government) will perhaps be most effective if those activities are officially guided by a progressive public participation policy or strategy. While there is a national Framework on Public Participation that guidespublic participation nationally, it is very important for each municipality to develop its own public participation policy because municipalities differ in terms of numerous elements such as the population size, the language used, the culture and traditions, the types of services the community needs etc.

The Limpopo Department of Local Government and Housing embarked on a project to consolidate key performance areas (KPAs) in a number of municipalities such as Aganang, Blouberg, Fetakgomo, Giyani, Grobblersdal, Lepelle-Nkumpi, Letaba, Makhado, Makhuduthamaga, Marble Hall, Maruleng, Mutale, Thabazimbi, Thulamela and Tubatse within the province. These KPAs include performance management system, integrated development planning, project cycle management, local economic development and public participation and ward committees to implement key policy and strategies. Regarding public participation and ward committees as a key performance area it was found that one of the gaps was that there was no existing public participation policy for the Fetakgomo Municipality. Even though the provincial department conducted a study a few years ago, the researcher found that Fetakgomo Local Municipality still does not have any formal public participation policy or strategy in place to guide community participation activities within the municipal jurisdiction. The absence of a municipal public participation policy may hamper progressive attempts towards encouraging community participation and perceiving it as a priority matter within the Municipality.

5.3.7.4 Finance/Budget

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Integrated development planning and public participation activities could not be properly undertaken if there is not adequate financial resources available specifically for these purposes. The fact is that a lack of financial resources prevented the smooth implementation (e.g providing transport for citizens) of the objectives of the IDP and this may result in not fulfilling the promise made by the municipalities to the communities. Lack of adequate budget for community participation programmes could stand in the way of such programmes being implemented. According to the Fetakgomo IDP (2009/10: 45) the Municipality budgeted an amount of R85,000 for the current IDP review. This amount might be too small for such activities and as a result the IDP section might be forced to source additional funds from other corporate services, common functions etc. However, budget insufficiency is due to financial constraints the Municipality finds itself under.

5.3.7.5 The use of appropriate language

Fetakgomo Local Municipality is dominated by Sepedi speaking people. According to the documents drafted and published by the Municipality, there is a perception that the use of the English language during the public meetings by the municipal officials as well as by some community members may delay the pace and the progress of the meetings because in some instances community members such as the older and uneducated people may seek interpretation. The illiteracy level (See figure 1.2) within the municipal jurisdiction is very high so the tendency to use only English during public meetings should be condemned given the fact Fetakgomo is situated in the District of Sekhukhune where everyone speaks Sepedi.

English is not only being used during public meetings but also in the documents published by the municipality such as the IDP, the annual report, strategies, news letters, notices or invitations. The use of English might be defended and protected, but if it was not for the question of budget it would be

imperative to print documents in both Sepedi and English, to make the life of the community easier.

5.3.7.6 Educating the community about municipal governance matters

The data provided by Statistics South Africa (Community Survey, 2007) on the education profile of the municipal area does not tally with the population size. The Fetakgomo IDP (2009/10) indicates a high level of illiteracy and no/few people with senior qualifications such as master's and doctoral degrees. See figure.1.3 below.

Figure 3 Educational profile of Fetakgomo municipal area (Grade 12 to tertiary level)

HIGHEST LEVEL OF EDUCATION	PERSON WEIGHTED	PERCENTAGE
1. Attained Grade 12 Out of class but not completed Grade 12	3,858	3.9
2. Grade 12/std 10/NTC/111 (without university exemption)	5,337	5.4
3. Grade 12/std 10 (with university exemption)	453	0.5
4.Certificate with less than Grade 12	645	0.7

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5.Diploma with less than Grade 12	754	0.8
6. Certificate with Grade 12	566	0.8
7. Diploma with Grade 12	2,164	2.2
8. Bachelor's degree	520	0.5
9. B.Tech	203	0.2
10. Postgraduate Diploma	128	0.1
11. Honours	39	0.03
12. Masters/PhD	0	0
13 No Schooling	18,412	18,7
Total	**98, 313**	**100**

Source: Statistics South Africa (Community Survey 2007)

There is a handful of persons with a bachelor's degree in the Fetakgomo Municipality. Currently, the majority of the people in the Municipality are not educated about their democratic rights and responsibilities. Neither do they know how their rights can be exercised. There is, therefore, a need to develop a civic education and awareness programme that focuses on disseminating this information to the community.

5.3.7.7 Political will

A ward councillor is directly elected to represent and serve the people in a specific ward. The ward councillor should make sure that the interests of the people in her or his ward are properly represented. The ward councillor should stay in touch with the issues in the area, understand the key problems and monitor development and service delivery. In committees, caucus and council meetings, the ward councillor should act as a spokesperson for the people in his/her ward. The absence of ward councillors during ward committee and public meetings is cause for concern. Ward councillors are the chairpersons of the ward committee meetings. The active participation of ward councillors in their ward committee is very important for ward committees as well as to community members. Ward councillors must act as a link between municipal council and the community and must ensure that the community is consulted and updated about the council's decisions, development and budget plans that either negatively or positively affect them. Meeting attendance by ward councillors must be promoted by the municipality.

Since a ward councillor is directly elected to represent and serve the people in a specific ward, the ward councillor should ensure that the interests of the people in the ward are properly represented. The ward councillor should be in touch with the issues in the area, understand the key problems and monitor development and service delivery. In committees, caucus and council meetings, the ward councillor should act as a spokesperson for the people in the ward.

5.3.7.8 Minimal participation by civil society structures

Civil society organizations such as churches, the business sector, sports associations etc. are participating but not to the a satisfactory extent . The main problem with participation in the IDP by civil structures might be the failure of the municipality to take incorporate inputs from civil society (community members) into the final IDP.

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5.4 CONCLUSION

Post-apartheid South African local government still faces many challenges. The transformation process towards a participative democracy for all at every level of society demands a commitment from several key roleplayers to help everyone, especially the very poor, participate – especially at the grassroots level where a culture of municipal governance has grown. In order to facilitate this, municipalities must focus on ensuring participation by their communities so as to enhance participative democracy especially at local government level. In this chapter the Fetakgomo Local Municipality in the Limpopo province was researched from the angle of public participation in the integrated development planning (IDP) model.

From an analysing point of view, it is evident that Fetakgomo Local Municipality has made important progress in terms of attending to issues related to the Integrated Development Plan and public participation in its area of jurisdiction. This includes efforts to comply with the legislative requirements on the Municipal Systems Act, 2000 and provisions of the Constitution, 1996. Without proper integrated development planning and public participation, there proper democracy at local government level may not be achieved. This study undertook analysis of the state of IDP and public participation Fetakgomo municipality. The Fetakgomo IDP is informed by the community participation.. This chapter focuses on numerous aspects of the formulation of an Integrated Development Plan, including to challenges faced by both municipality and the members of the public.

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CHAPTER 6: SUMMARY OF THE PREVIOUS CHAPTERS, CONCLUDING REMARKS AND RECOMMENDATIONS

6.1 SUMMARY OF THE PREVIOUS CHAPTERS

Chapter 1 of this dissertation described the position of South African local government under the apartheid system and during democratic South Africa, i.e. before and after 1994. With reference to the topic of the dissertation, the emergence of integrated development planning, as well as public participation in democratic, local government was explained with the view of understanding the operation and activities of local government in a democratic South Africa.

Chapter 2 mainly dealt with the research methodology. This chapter provided a definition of research, a description of the problem statement, the objectives of the study, the significance and limitations of the study, research methods and data techniques adopted in this study and provided the definitions of the key concepts used.

Chapter 3 is a review explored the relevant literature on policy and public administration. A number of aspects related to policy and public administration such as the rational-formal view of policy making, different kinds of policy levels, approaches to public policy, the relationship between policy and democracy, the background and the development of public administration, the nature and the intellectual crisis faced by the public administration were discussed in detail. Furthermore,relevant literature associated with integrated development planning and public participation in the South African context was reviewed.

In **Chapter 4** the researcher provided a detailed description of integrated development planning and public participation in the case study of Fetakgomo Local Municipality. Integrated development planning and public participation is guided and prescribed by various policies and acts of law such as the Constitution of the Republic of South Africa, 1996, the White Paper on Local Government, 1998 and the Municipal Structures Act. The detailed description was done in comparison with the

counterparts across the country to look into how the same or different do other municipalities operate with regard to integrated development planning and public participation. One case study was provided in this study, namely; the city of Tshwane. The aim was to draw some good practices implemented by the city of Tshwane.

Chapter 5 presented the analysis of the state integrated development plan and public participation at local government. This chapter, among other aspects, began with discussing findings on IDP and public participation processes at Fetakgomo local municipality, the structures promoting both IDP and public participation, thereafter, the chapter went further by taking a closer look at the role of ward committees and councillors in the IDP. The findings relating to the state of the IDP and public participation also include the application of Batho Pele principles as a way of community involvement, the benefits of public participation and the challenges confronting both municipality and the community during the IDP and public participation were also discussed.

Chapter 6 provided an answer to the research question highlighted in Chapter 2 after reviewing the current state of IDP and public participation at Fetakgomo Municipality. The researcher identified a number of strengths within the Municipality, such as existing political and institutional structures for dealing with IDP and public participation. Challenges confronting the municipality were also identified. These include lack of adequate staffing responsible for IDP and public participation, disinterest among the community members in attending the meetings, the absence of a municipal public participation policy, lack of finance, use of English in meetings and publications, lack of political will among political office bearers and lack of participation by civil society structures.

6.2 CONCLUDING REMARKS

The study's main aim was to investigate the integrated development planning model as a public policy and public participation tool by way of a case study of the Fetakgomo Local Municipality in the Limpopo Province of South Africa. The pertinent

research question of the study was: To what extent is there meaningful public participation in the integrated development planning processes at the Fetakgomo Local Municipality?

The main objectives of the study were to investigate the integrated development planning model as a public policy and public participation tool to give ordinary municipal inhabitants a platform to voice their concerns and shape municipal decisions. Besides the main objective mentioned above, the following are other objectives, which the study intended to achieve:

a.   To assess how the municipality develops and presents the IDP to the community

In this case, the study discovered key elements of the formulation of the IDP. The municipality's IDP is the product of intense consultation amongst all the stakeholders mentioned below. As it is a requirement to involve communities in the affairs of the municipality, communities are engaged in the IDP process. Community participation in the Fetakgomo Municipality during the formulation of the IDP took different forms, such as ward-based consultation and consultation at nodal points

b.   To bring attention to the political interferences which may hamper municipal service delivery

Fetakgomo Local Municipality is characterised by local politics. The effective functioning of a municipality begins with its political leadership. In respect to governance, the overarching question during the assessment process centred on the effectiveness, capability and integrity of the local political council leadership. Provincial assessments exposed tensions between the political

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and administrative interface as on of the reasons for distress in municipal governance .

c.   To critically analyze the implementation of *Batho Pele* principles as a method of community involvement

Fetakgomo Municipality communicates and consults with its inhabitants to ensure that the municipality it is not pursuing its own agenda but rather the general welfare of the broader population by effecting the democratic principle of encouraging the public to participate in policy making. It is very significant for the municipality to consensually achieve the goal of the municipality.

d.   To critically analyse the current methods promoting public participation and integrated development planning

It is a requirement of Chapter 4 of Local Government: Municipal Systems Act No.2 of 2000 that a municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance. Fetakgomo has a range of structures promoting both public participation and IDP. The culture of good governance in the year under review, manifested itself in the form of council structures' functionality, ward committees and izimbizos.

e.   To assess the challenges faced by the Municipality during public participation at the IDP meetings

In the course of the study, the researcher uncovered a plethora of challenges or obstacles faced by the Municipality and community during the IDP and public participation. Those challenges or obstacles are staffing, poor attendance of IDP and public participation meetings, municipal public

participation policy, budget, language, political will, educating communitties on governance issues and participation by civil society.

Meaningful or effective public participation requires that citizens should be afforded an opportunity to raise their concerns and be taken into consideration, be informed and be knowledgeable about the municipal activities. The community must be willing and able to be involved and have the interest, the time, the opportunity and access. The members of the community must take responsibility for the quality of their participation and be accountable to each other for effective and efficient use of time and other resources.

Public participation by all relevant community stakeholders in the Fetakgomo municipal area requires significant contributions to the development plan of the Municipality by all participating community stakeholders. What is required, is a process driven by the community and not by other stakeholders or role players, an appropriate structure and processes to ensure optimal benefits from community participation, appropriate training provided to representatives of community stakeholders, appropriate mechanisms and training to enable members of community stakeholder organizations to contribute meaningfully to the IDP.

Another crucial aspect is the co-operation between representatives of community stakeholders and elected councillors. Apart from a close working relationship between community stakeholders' representatives and municipal council officials in the IDP participation programme, the incorporation of the IDP into the plans of the municipal council and the implementation of IDP projects are also key elements for effective public participation.

One of the findings of the study is that the Fetakgomo IDP document is reviewed on an annual basis, and is developed in several stages, namely analysis, strategic design, projects development, integration and the last stage is approval. However, based on the checklist of what constitutes meaningful public participation, few factors are in compliance with meaningful public participation. For the municipality to conduct meaningful public participation during integrated development planning, the following is proposed.

The municipality should create a sustainable and conducive environment for IDP processes and public participation through the adoption of a progressive policy on public participation that guides as well as to unlocks any hindrances to public participation. For the municipality to formulate a meaningful IDP through public participation, the municipality should harness its own internal and external structures for promoting IDP and public participation in order to mobilize the community to participate in the IDP activities. Without a doubt, there is a greater need for the municipality to pay undivided attention to the development of plans, strategies, to identify projects or programmes as well as to mobilize the community in support of the IDP and public participation.

The Municipality's plan of action or programme of action related to the IDP and public participation should be developed in consultation with local government experts as well as members of the community and civil society structures for enhancing a sense of ownership. Integrated development planning and public participation are prerequisites for any local government, including metropolitan, district and local municipalities to be effective agents of service delivery.

The researcher identified a number of negative factors and strengths of integrated development planning and public participation processes at Fetakgomo Local Municipality. However, the researcher generally believes that both IDP and public

participation are very important for the smooth running of the Municipality. The most important factor of the IDP was that it gives municipal residents a direct role to play in the formulation of the IDP. Furthermore, the IDP gives communities who are indirectly or directly affected by the Municipality's policies or decisions, the opportunity to express their preferences and identify priorities in terms of service delivery.

In answering the research question, a number of key challenges were indentified during IDP and public participation processes. These were:: limited human resources for IDP activities, poor attendance of the IDP and public participation meetings, the absence of a public participation policy as one of the major obstacles, insufficient funds, the use of English during the meetings, a lack of civil education among community members, a lack of political will, and an unsatisfactory relationship between civil society and the Municipality. These are factors negatively affecting the operation of the Municipality. In some municipalities, these factors have led to protests and disgruntlement among community members at the local government . These obstacles need robust interventions by the District Municipality or even provincial government to put more effort into IDP and public participation.

Fetakgomo Local Municipality, as an agent of change at local government level, should develop an effective, Integrated Development Plan as an instrument for meeting community needs through decision-making and management. The rationale behind developing a meaningful IDP as a mechanism is to bring about a deeper state of democracy among the local communities through a variety of public participation structures within the communities. The state of the implementation of the Integrated Development Plan at Fetakgomo is another aspect that needs to be taken into consideration to ensure that the operational activities of the Municipality. Projects indicated in the IDP should not remain a wish list. Based on the findings of the study, there is a clear commitment to ensuring that the IDP and its public participation processes are employed to address community needs.

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The following recommendations were derived and suggested based on the research findings of the study on the state of integrated development planning as a public policy and public participation tool at Fetakgomo Local Municipality. These recommendations will undoubtedly help the Municipality to adopt meaningful, integrated development planning and public participation.

6.3 RECOMMENDATIONS

The following recommendations emerged from a general understanding of the findings of the study.

Issue 1: The study discovered that, while the Municipality claims to practice public participation within its municipal jurisdiction, this is only undertaken by a few individuals from the IDP Department. Currently, the Fetakgomo Local Municipality does not have an existing and responsible unit to oversee the public participation processes. In this instance, a public participation unit of the could, therefore, play a specific role in ensuring that the Municipality is effectively capacitated and supported to carry out public participation work effectively.

Recommendation 1: Establishment of a public participation unit

In the absence of a public participation unit at the Municipality, this study is recommending the establishment of a public participation unit that will regularly bring together municipal officials from various departments such as Finance, Corporate Services, the IDP Department, the Speaker's Office to specifically deal with matters related to public participation activities, in order to coordinate public participation efforts with the Municipalities.

Issue 2: The IDP is a good concept but its process is a complex one. This study found out that the Municipality has limited staff to undertake the whole IDP process . According to the organizational structure, the Municipality, so far, has only three officials to deal with specifically IDP and public participation, namely an IDP

Manager, an IDP Officer and a Public Participation Officer. The inadequate of IDP staff could impede the effective functioning of the IDP process.

Recommendation 2: Adequate staffing in the IDP section

In order for the Municipality's IDP section to meet its obligations, this study recommends that it is necessary for the Municipality to capacitate the unit in terms of hiring additional staff with sound knowledge, understanding and experience and skills related to IDP and who are more capable of carrying out tasks within the available financial and infrastructural resources.

Issue 3: The main internal gap which emerged during the study, is the absence of a public participation policy. The Municipality does not have a policy in place to provide guidance in respect of mechanisms by way of which the public may participate in the affairs of Fetakgomo Local Municipality.

Recommendation 3: Introduction of a public participation policy

It is imperative for the Municipality to draft, adopt and approve a municipal public participation policy in compliance with the national Draft Policy on Public Participation and this process needs to be undertaken in consultation with the community. The purpose of the policy is to provide the basis of and guidance with regard to all public participation activities and programmes.

Issue 4: In addition to structures promoting public participation, Fetakgomo Local Municipality has also initiated an array of participatory systems, processes and events. This study found out that the municipality uses mayoral *imbizos*, general public meetings, stakeholder summits and the IDP process extensively. Ward councillors submit an annual schedule of meetings to the Speaker's Office. The Speaker's Office in the Municipality also tends to conduct sector engagements or host specific events to encourage participation. However, it is clear that there are questions regarding the functionality and effectiveness of some structures such as ward committees . A lack of infrastructure such as office space, and equipment might contribute negatively to the perceived ineffectiveness of the ward committees.

Recommendation 4: Improving existing mechanisms promoting IDP and public participation

In order to improve the existing mechanisms promoting IDP and public participation the Municipality needs to introduce a monitoring and evaluation system. The system will help the municipality to monitor and evaluate the contribution and the impact of the existing mechanisms on the community. In this regard a survey approach can be followed to test the community's attitude and perceptions.

Issue 5: The study found that,in complying with the Municipal Systems Act, 2000, the municipality has in place a petitions system to address issues related to integrated development planning. However, ther is no evidence that this system was well planned, or that it is coordinated and sufficiently responsive.

Recommendation 5: Petitions

It is recommended that the Municipality should inform the communities through available channels such as during public and IDP meetings about the petitions process, the procedure for lodging petitions and complaints, and its benefits. Furthermore, if the petitions process can be effectively implemented, it can be used to solve community problems before the occurrence of service delivery protests.

Issue 6: Despite the fact that ward committees,CDW and ward councillors have been established in the Municipality, the study found that there was a lack of clarity with regard to roles and mandates. Indeed, there was an element of "power plays" around ward committees and CDW, arguing that clearer guidelines on the role of ward committees between local and district needed to be defined. The CDW serve as a bridge between government and citizens and have to work closely with councilors and ward committees. CDW are employed by provincial government and are drawn from the youth community in which they live.

Recommendation 6: Clear mandates between CDW, Ward Committees and Ward Councillors

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The Municipality should convene a special workshop and debriefing sessions to educate these role players where the role of each role player is clarified so that the above stakeholders will have sound knowledge and a clear understanding of what is expected of them. Secondly, the Municipality should initiate efforts for building a strong relationship between the ward councillors, ward committees and CDW.

Issue 7: The study find that, while Fetakgomo delivered a variety of services to the community, water reticulation was mentioned as a classical example of how municipal politics can impact on service delivery. The study find out that there was an elements of politics in delivering such services.

Recommendation 7: Separation of municipal politics and the municipal service delivery

It is recommended that the Municipality as the agent of service delivery to the communities should continue to exercise the powers vested in a municipality by the Constitution of the Republic of South Africa, Act 108 of 1996 to promote the general welfare of its communities, and should not promote infighting and internal factionalism within the Municipality.

Issue 8: However poor the attendance of meetings may be, the fact that there are so many meetings that the public must attend such as the Mayoral *imbizos* etc. may cause the community to lose interest in attending other important meetings. The study found that a lack of community understanding of government processes, structures,IDP and public participation was one of the impediments to effective public participation.

Recommendation 8: Encouraging attendance of meetings

The Municipality must educate the community about the importance for both parties of attending meetings where an exchange of views, comments or suggestions will take place and where the community may be informed about upcoming projects within their municipal area.

Issue 9: This study found that the Fetakgomo Municipality engaged with organized civil society structures but did not seem to have clear systems and guidelines in

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place for doing this; despite the fact that there was an attempt from the Municipality to work closely with civil society. In addition, the Municipality faces enormous challenges in the delivery of public services and infrastructure. The State of Local Governance report published in 2008, asserts that despite the gains made since the establishment of a constitutional democracy, local government in South Africa still faces serious challenges in delivering services to the citizens. These challenges have largely been attributed to lack of institutional, the lack of an effective relationship of oversight between elected and appointed local authority officials and contentious relations between municipal officials and civil society.

Recommendation 9: Building relationships with civil society

Ongoing and substantive relationships with organized civil society including academia and business to enhance public participation and the work of the municipality in general is needed. This relationship can be in the form of allowing the civil society structures seating on policy and decision-making committees, holding regular meetings to discuss matters affecting civil society, and partnering with civil society in programmes for the sake of improving the welfare of the community.

6.4 AREAS FOR FURTHER RESEARCH

While the Fetakgomo Local Municipality drafts and formulates its own Integrated Development Plan with the incorporation of its community's views through the community participatory approach, the following research areas should be considered to be investigated for future research:

i. In complying with the constitutional provisions on local government, post 1994, the South African government introduced the system of integrated development planning. The main focus of this study was to investigate the IDP model as a public policy and public participation tool in local government. However, future research should further investigate whether Fetakgomo Municipality is effectively and efficiently implementing its IDP despite the challenges the Municipality faces as highlighted by the study.

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ii.   Secondly, political interference in municipal service delivery has been identified as a limitation of the implementation of service deliverey. Some key signs of political interference emerged during the assessment with respect to governance of the Municipality. Future research should investigate the impact of political interference on municipal services and how to combat it in order to continue to provide basic services to residents.

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