

Public participation in town planning: towards a pro-active participatory process

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Declaration

Herewith I, _____, Student Number 21174806, declare that the dissertation entitled **(Public participation in town planning: towards a pro-active participatory process)** which I herewith submit to the North-West University, Potchefstroom Campus, in compliance with the requirements set for the degree, Magister Artium et Scientiae, Urban Regional Planning:

- Is my own work, has been text edited and has not previously been submitted to any other university.
- All sources are acknowledged in the reference list (Annexure I for Turnitin report).
- This study complies with the research ethical standards of North West University, Potchefstroom Campus.

B. Raubenheimer

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Abstract

This dissertation sets out to describe a pro-active process of public participation in urban planning, motivated by a lack of planning theory and also available South African legislation to describe how pro-active public participation is achieved in planning practice. Communicative planning theory advises on and describes public participation as being meaningful focussing on consensus between stakeholders. Empirical evidence of such public participation is however scarce, and also a critique against communicative planning theory. South African legislation supports and uses the concept of pro-active public participation but has few practical guidelines to facilitate such a public participation process in planning. The context of public participation in South Africa, in specifically two communities (Khuma and Stilfontein) in the North-West Province was the primary focus in describing a pro-active process of public participation. These two communities that had participated in a previous project where public participation was conducted and most importantly documented were specifically chosen because they represent two different community contexts, with Stilfontein being a community primarily consisting of retired mineworkers and Khuma a community that came into being as a result of forceful removals during the apartheid era. Furthermore the process of public participation that was followed was unique in this project as methods from community psychology were applied to guide communication. The importance of context and communication were identified as the most important aspects when conducting public participation pro-actively. The importance of communication and context should be considered if a pro- active process of public participation is to be conducted. It is a timeous process to consider the context of community members when conducting public participation, but it must be considered by spatial planners. The possibility of multidisciplinary teams facilitating public participation processes in planning should be considered. In this way planners can be assisted when conducting public participation processes. The refinement of legislation describing public participation may also be helpful in attempts to enhance pro-active processes in public participation.

Key words: public participation, pro-active participation, town planning, community psychology, community

Opsomming

Die doel van hierdie verhandeling is om 'n pro-aktiewe publieke deelnameproses in stadsbeplanning te beskryf. Dit is gemotiveer deur die ooglopende gebrek aan beplanningsteorie en beskikbare Suid-Afrikaanse wetgewing wat gemik moet wees op hoe pro-aktiewe beplanning in die praktyk bereik kan word. Kommunikatiewe beplanningsteorie word gebruik as teorie om publieke beplanning te beskryf – dit is betekenisvol en fokus op konsensus tussen belanghebbendes. Empiriese bewyse van publieke deelname is egter skaars, sowel as kritiek op kommunikatiewe beplanningsteorie. Suid-Afrikaanse wetgewing ondersteun en gebruik die konsep van pro-aktiewe publieke deelname, maar daar is min riglyne om so 'n publieke deelnameproses in beplanning te fasiliteer. Die konteks van publieke deelname in Suid-Afrika, in spesifiek twee gemeenskappe (Khuma en Stilfontein) in die Noordwesprovinsie was die hooffokus in die beskrywing van die pro-aktiewe proses van publieke deelname. Hierdie twee gemeenskappe het deelgeneem aan 'n vorige projek waar publieke deelname gedoen is, en waar belangrike inligting gedokumenteer is. Hulle is spesifiek gekies omdat hulle gemeenskappe uit twee verskillende kontekste verteenwoordig, naamlik Stilfontein, 'n gemeenskap wat spesifiek bestaan uit afgetrede mynwerkers, en Khuma, 'n gemeenskap wat bestaan uit mense wat as gevolg van gedwonge verskuiwings onder die apartheidsregering daar gevestig is.

Die proses van publieke deelname wat gevolg is, was uniek in hierdie projek aangesien metodes ontleen aan gemeenskapsielkunde gebruik is om met deelnemers te kommunikeer en om hulle in die projek in te trek. Die belangrikheid van effektiewe kommunikasie en die oorweging van konteks het duidelik geblyk as van die belangrikste aspekte in terme van die pro-aktiewe gebruik van publieke deelname. Dit is 'n proses waar tydsberekening belangrik is – die belange van gemeenskapslewe moet in berekening gebring word wanneer publieke deelname gedoen word, maar dit moet ook goed in berekening gebring word deur beplanners. Die moontlikheid van multidissiplinêre spanne om publieke deelname te fasiliteer moet ook in beplanning oorweeg word. Op hierdie manier kan beplanners gehelp word in publieke deelnameprosesse. Die verfyning van wetgewing wat publieke deelname beskryf kan ook van waarde wees in pogings om pro-aktiewe prosesse van publieke deelname te versterk.

Sleutelwoorde: publieke deelname, pro-aktiewe deelname, stadbeplanning, gemeenskapsielkunde, gemeenskap

Abbreviation list

CSIR	Council for Scientific Industrial Research
DPLG	Department of Provincial and Local Government
EXCO	Executive Council
IAP2	International Association of Public Participation
IDP	Integrated Development Plan
OECD	Organisation for Economic and Co-operative Development
PP	Public participation
PSC	Public Services Commission
SA	South Africa
SDA	Secondary Data Analysis
SPLUMA	Spatial and Land Use Management Act
SPLUMB	Spatial Planning and Land-use Management Bill

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Chapter 1: Introducing the research

1.1 Introduction

Public participation* is a complex activity with numerous definitions (Arnstein, 1969; Buccus, Hemson, Hicks & Piper, 2007; International Association of Public Participation, 2013), different approaches to it and various levels, for example passive participation and participation through consultation (Public Service Commission, 2008: 10). Both are levels on which participation are conducted in the practice of town planning (Arnstein, 1969; Wilcox, 2003). Although complex and multi-dimensional, public participation is a term that is commonly associated with involving the public in actions such as urban development that could influence them (Cornwall, 2008:270). The primary reason for public participation in terms of development revolves around the idea that the public should have influence in the decision making process (Cornwall, 2008:270; Crofton, 2001:iii; PSC, 2008:9). In practice public participation is generally either reactive or passive, implemented after the fact or pro-active, forming an integral part of decision making (PSC, 2008:10). Pro-active public participation can be seen as a two way process of interaction among planners and the community to enforce mutual understanding and empowerment (Puren *et al.*, 2012:39,45). Public participation that is meaningful and pro-active is important in the South African context because it is believed to strengthen true democracy (Buccus *et al.*, 2007; SA, 2007:6).

Public participation in practice does not necessarily reflect a process where participants influence decision-making (Buccus 2007:12; Winkler 2011:258; Mzimakwe, 2010:215; Reddy & Sikhakane, 2008: 682,683). One possible reason for this is that the level on which participation actually takes place, and the nature of public participation does not necessarily allow the public to influence decision-making (Mafukidze & Hoosen 2009). Not all levels on which participation takes place are conducive to empower people to influence decision-making. Levels such as passive participation (PSC, 2008:10) are more informative and reactive while levels such as active participation and involvement (PSC, 2008:18) are those levels on which the public actively participate in decision making.

In South Africa most public participation is achieved through consultation, where public hearings are a common example (Puren *et al.*, 2013:38). Consultation does not, however, imply an inclusive process where participants are empowered (Mafunisa & Xaba, 2008:459). Naylunga (2006) also explains that in municipalities public consultation is also not prioritised. The notion that public participation is mostly conducted on the local level of governance because it is closest to the people (Cameron, 2006:97; Draai & Taylor, 2009:113) can be questioned considering the aspects mentioned above.

The notion that different problems have different solutions is essential to remember because it implies that the public participation process cannot be tailored to fit all contexts (Bryson, 2013:23,25). When a planner facilitates public participation, a certain community and its context become an influential part in the public participation process, as different socio-economic factors are present. Because of these different contexts that planners are faced with, theories from community psychology are sought out in this research as these theories study members of communities in their environments. With that thought this study sets out to explore how a proactive process of public participation can be effectively facilitated in practice.

1.2 Problem statement

Public participation is important in South Africa as it is seen to deepen and enhance democracy (Buccus *et al.*, 2007:5; Mzimakwe, 2010:502; SA, 2007:6), improve development and service delivery and improve governance (Buccus *et al.*, 2007:5; Mzimakwe, 2010:504). Planning legislation and policies also support and describe a public participation process as promoting democratic practices (set out in the South African Constitution Act 108 of 1996) where communities and organisations are involved in matters of local government (SA, 2007:6). Central to democratic practices in participation is the empowerment of the public (Buccus *et al.*, 2007:8; PSC, 2008:22; SA 2007:13), achieved through active involvement of participants in decision that affect their lives (Mzimakwe, 2010:503; PSC, 2008:9).

Criticism towards current planning policy and legislation (CSIR, 2000:6; Paterson, 2009:6) suggests that it enforces and regulates public participation as reactive e.g. by simply asking community members to “react” to proposed development proposal instead of being pro-actively involved in making plans and decision-making. For example a study done in the Diepkloof area focussed on the participation part of housing provision concluded that public participation can have negative effects such as conflict and social tension if not implemented correctly (Mafukidze & Hoosen, 2009).

Furthermore public participation often only amounts to informing communities of decisions regarding issues (SA, 2007:51) which points to a top-down reactive participation process (Buccus *et al.*, 2007:16; PSC, 2008:10; Mzimakwe, 2010:502). A general lack of formal guidelines exists for spatial planners on how to conduct public participation in a pro-active manner (CSIR, 2000:6 and suggested by SA, 2007:17).

1.3 Aim

This study aims to analyse the public participation process conducted in two mining communities, namely Khuma and Stilfontein, South Africa in order to describe a pro-active public participation process in town planning, to make recommendations for future public participation.

1.4 Objectives for the literature study:

- To give a theoretical overview of public participation in town planning and the role of the planner in various paradigms;
- To discuss possible theories from community psychology that may be incorporated in planning.

1.5 Objectives for the empirical study

- To give an overview of existing policies and legislation that guides public participation in South Africa in order to analyse these in terms of the level on which public participation takes place.
- To describe the public participation process in the Khuma and Stilfontein case studies; and
- To explore the roles of various role-players in the above process;

1.6 Research design

The research includes a literature review and empirical study in order to align theory and practice in planning. The literature study was conducted by incorporating both planning and community psychology theories.

Public participation processes cannot be tailored to fit all contexts (Bryson, 2013:23,25) as different socio-economic factors exist in different communities. Communities and their context becomes an influential part in the public participation process. Community psychology theories are helpful in this regard as it focuses strongly on the importance of communities and public participation. Planning theory is incorporated in the literature study in order to contextualise the background to communicative planning theory paradigm that informed the case studies on which this research is based upon.

The empirical study was conducted by using data obtained from a study where public participation took place in Khuma and Stilfontein in the North West Province to explore important places in the community in order to conserve these as possible heritage sites. The empirical study focuses on the process of public participation that was followed to actively

involve community members. The findings will then be applied to make recommendations to describe a pro-active process of public participation.

1.6.1 Research approach

This research followed a qualitative and inductive approach. Howitt (2010:7) uses Denzin and Lincoln to describe major characteristics in qualitative research: (1) rich descriptions within the data are one of the main concerns for researchers, (2) each individual's opinion is of importance and (3) researchers use methods that will give them real life experiences in the research they are doing.

Therefore qualitative research is contrasted to quantitative research as it does not deal with the numbers and statistics of certain topics but aims to provide thick descriptions that are researched in-depth. Qualitative research is appropriate in this case as the research was carried out in a natural setting in which no extraneous influences occurred (Porter, 1994:212,213 in Bryman & Burgess, 1994) and a rather unknown phenomenon (in this case the a pro-active public participation process) is explored in-depth.

1.6.2 Methodology

Secondary Data Analysis (SDA) was used within the empirical study as the overarching research method. According to Sorensen *et al.* (1996:435) secondary data are often collected for 1) management, claims, administration and planning; 2) valuation of activities within healthcare; 3) control functions; and 4) surveillance or research. SDA is the use of primary data a second time towards a different research focus (Boslaugh, 2007:1) in which new research questions are formulated.

The secondary data was obtained from research conducted in 2011 from communities in Khuma and Stilfontein. The initial aim of the research in 2011 was to explore places of importance as possible heritage sites. Both the studies were conducted in the same way, but in two different communities. The data from the public participation process are in the form of video and audio recordings, which were transcribed verbatim. The purpose to which this data will be used will not alter the primary data in any way; it will just be applied to a new research question.

1.6.2.1 Data analysis and interpretation

The data were analysed and interpreted using thematic analysis. According to Braun and Clark (2006:78) thematic analysis is a flexible qualitative method that is used to identify, analyse and report themes and patterns within data. Thematic analysis is also not bound to any specific theoretical framework and can be used within different theoretical frameworks (Braun & Clark, 2006:79). To organise the thematic analysis, coding was used, this implies using textual codes

to identify certain pieces of data linked to a certain theme (Lacy & Luff, 2001:8; Braun & Clarke, 2006:88). The codes generated were data driven, supporting the inductive research approach (see Section 1.6.1. Braun & Clarke, 2006:83, 88). The themes that were generated in turn consisted of codes that were arranged regarding possible thematic patterns (Braun & Clarke, 2006:79, 89).

The complete research process is illustrated in Figure 1.1. It functions as a framework for the research that was completed from the literature study to the empirical study and lastly the conclusions and recommendations.

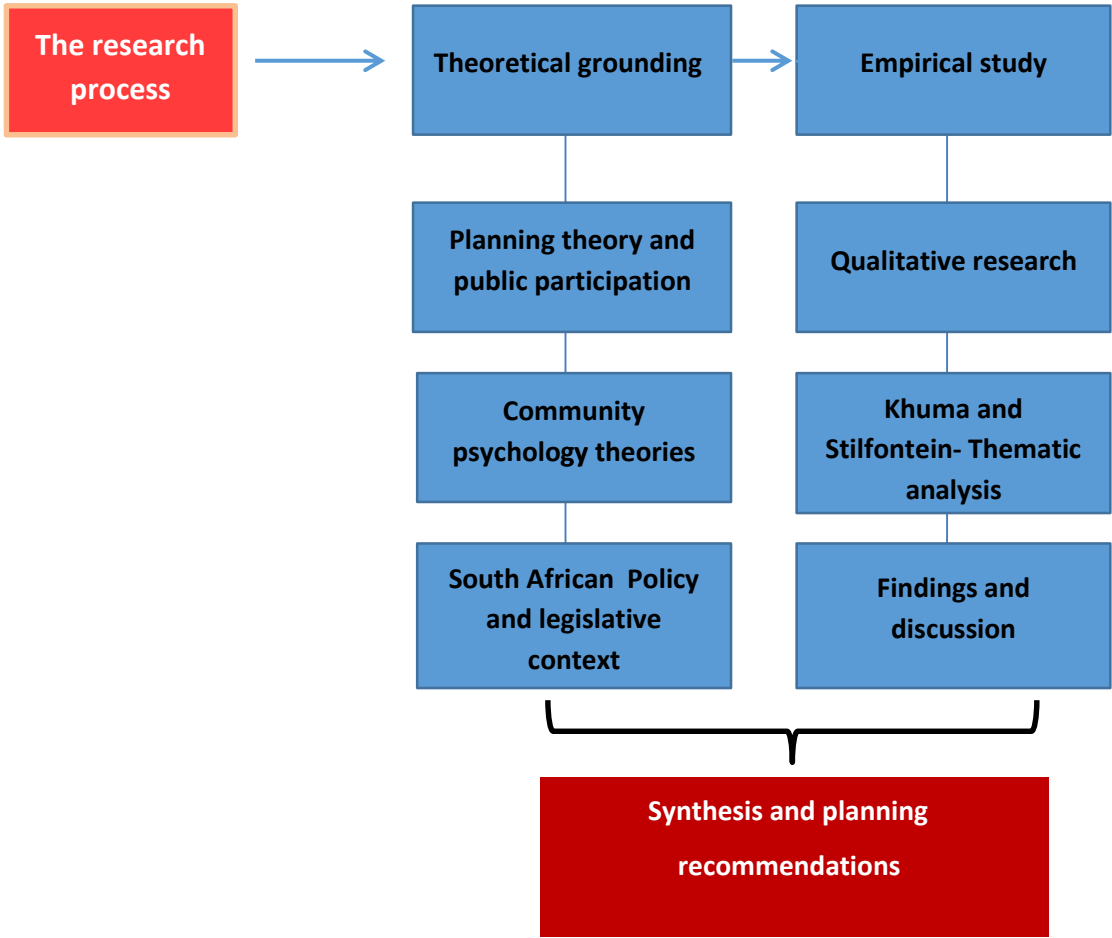


Figure 1.1: The research process followed

1.7 Chapter division

CHAPTER 2: Town planning theory: Moving towards a communicative model: The aim of this chapter was to give an overview of the development of planning theories to contextualise the communicative planning as the most recent theoretical paradigm. The changing nature of planning and the role of the planner are discussed.

CHAPTER 3: Community psychology as informative for public participation in planning:

The aim of this chapter has been to discuss community psychology as theoretical framework to assist the public participation process associated with planning. Community psychology is specifically chosen because in public participation community members are central in public participation. Communities are the public which planners need to include in public participation.

CHAPTER 4: Contextualising public participation in South Africa: A planning perspective:

Public participation is formally defined internationally and South African definitions are presented. Furthermore, current policies and legislation that guide public participation in the South African planning context are discussed on national, provincial and local level as set out in South Africa's democratic constitution. Essentially this chapter shed light on the nature of public participation in South Africa.

CHAPTER 5: Research design

This chapter describes the research design that was used to conduct this study. The qualitative research approach and methodology is discussed in detail. A thorough discussion is given of the Khuma and Stilfontein research project from which the primary data originated.

CHAPTER 6: Empirical study:

In this chapter the process of public participation used in two case studies, Khuma and Stilfontein in the North-West Province, is analysed according to the themes that emerged from the data. A discussion of the themes with regard to existing theory is included.

CHAPTER 7: Conclusions and recommendations:

A synthesis will be done through aligning theories used with empirical findings. The knowledge gained from the study is used to make recommendations for public participation in planning. The main recommendation describes a possible way to conduct public participation in planning in a pro-active manner in which communities can be empowered. Lessons learned from the study are also included.

Chapter 2: Town planning theory: Moving towards a communicative model

2.1 Introduction

While the practice of planning *per se* has not changed significantly since the post-war period (Taylor, 1998:4), Flyvbjerg and Petersen (1982:33) state that planning theory actually only emerged after the Second World War. Planning theory is a relatively new subject that originally developed from theories used in other disciplines (Friedman, 1998:245-246). Planning theory has been influenced by various thinkers from Mannheim and Popper, supporting planning as a technocratic activity focusing on physical aspects (Flyvbjerg & Petersen, 1982:26-27), to Habermas who inspired communicative action where interpersonal skills of planners are of central importance (Taylor, 1998:122; Friedman, 1998:247).

Along with when and where planning theory originated from, it is often debated what planning actually is. Hall (2002:1) explains that to describe what planning is and what planners do have become increasingly difficult because planning can be applied in many contexts, from planning a war to planning the economy. According to Friedman (1998:247) town planning is extremely difficult to theorise about because it is a profession that is rooted in practice. Planning theory is especially complex due to four difficulties according to Friedman (1998:247): (1) defining planning as an object to be theorised about, (2) the impossibility of discussing planning separately from politics and institutions (3) the many different modes within planning, e.g. the normative and (4) the inclusion of power relations into the discourse of planning. Furthermore, Friedman (1998:248) confirms that the nature of planning theory and practice is not the same in different places in the world as their planning realities are different. Friedman (1998:248,249) links this to the second of the difficulties, because as countries politics and institutions differ from each other, their planning theories and practices also differ (see also Flyvbjerg & Petersen 1982:27-29; Hall, 2002:3). For example Taylor's (1998) explanation of the development of planning theory centred within United Kingdom planning practices differs from Hall's (2002:i) distinction between theory and practice linked to Western Europe and the United States.

This complex nature of planning theory also raises questions with regard to the actual role of planners in planning. While the roles of planners have changed over time, Taylor (1998:161) refers to the fact that planners have always possessed specialist skills. Views on what these specialist skills or abilities are, or are supposed to be, are not fixed and seem to be related to different paradigms in planning.

Planning theory can broadly be divided into specific paradigms. Drawing on Faludi (1973), Steyn (1996:38-41), a South African planning theorist, divides planning theory into three paradigms: the substantive, procedural and normative planning paradigms. Substantive theory focuses on the subject of planning (Steyn, 1996:38). Much in the same way Faludi (1973:3,7) alludes to substantive theory as a “theory *in* planning”, helping planners to understand what they should focus on. Procedural planning theory focuses on how planners should do their work and what procedures they should follow (Faludi, 1973:3,5). Normative theory as Steyn (1996:39) puts it, is a “theory *for* planning” where the focus is on policies and management that include public participation. Within normative theory power relations are also very important (Friedman, 1998:247). This means that the distribution of power must be fair and not benefit certain groups more than others (Steyn, 1996:39).

With the above introduction in mind and the distinction between various paradigmatic phases in planning theory, the aim of this chapter is to give an overview of planning theory in terms of its move towards the communicative planning paradigm – the most recent paradigm in planning theory. The changing role of the planner and interface between the public and planners will also be discussed in order to contextualise public participation in planning theory.

2.2 Democracy as the origin of public participation

The idea of public participation, or citizenship, as it is also referred to, originates from the ancient Greek and Roman civilizations and is deeply rooted within democracy (Gornman, 1992:5,6; Roberts 2004:315; Fleck & Hanssen 2006:115). When looking at the origin of the word democracy, “*demos*” meaning people (Roberts 2004:315) and then further “*cratos*” literally meaning power one can see that this term is closely associated with public participation.

The first example of public participation comes from ancient Greece and is called a “city state” (Roberts, 2004:320) which is also an early form of democracy (Fleck & Hanssen, 2006:115). The idea of “city states” emerged almost in juxtaposition to the idea of a city. Gornman (1992) explains that as people (in that time specifically the Greeks and Romans) developed the habit of staying in one area they started to attach significance to a place and so it happened that civic communities developed. These communities were very religiously oriented but as families became interrelated cities emerged, and instead of separate family gods, public temples emerged with community gods (Gornman, 1992:6). “City states” formed around these agglomerations of people (Gornman, 1992:6) and state and church (religion) joined here (in the “city states”) while citizenship (Gornman, 1992:6) or citizen participation emerged (see Roberts, 2004:320). However, participation within the “city states” was not enjoyed by all, and was linked to the ownership of property and the allocation of land (Gornman, 1992:6; Roberts 2004:320; Hanssen & Fleck, 2002:116) and hence only adult white males, 18 years of age who

enjoyed the right of owning property were allowed citizenship (and thus participation in public affairs) (Gorman 1992:6,7 & Roberts, 2004:320). Citizenship was also something that was possible for those who came from families with strong religious ties within their community (Gorman 1992: 6). Mumford (1961:132,135,151) confirms that bankers and traders were the people who organized the city, while slaves and foreigners did not enjoy the advantages of democracy or the benefits of citizenship.

Both in Rome and in Greece there were democratic revolutions that were led in attempts to gain wider rights; it was, however, the attraction of foreign trade and currency that influenced their rights (Gorman 1992:7). In the end cities grew to such an extent that democracy started falling apart and citizens no longer participated in decisions due to power that was in the hands of the emperor (Mumford, 1961:156; Gorman, 1992:7).

After the decay of the Roman Empire, during the Medieval Ages the public's role was absent as decisions rested with those in powerful positions, (e.g. "feudal lords") (Habermas, 1974:50). From here on cities were planned systematically, dominated by architects as the experts; People's influence over city development was rarely considered during Medieval and Renaissance times (Akkerman, 2000; Antrop, 2005). Even in the Industrial Revolution city power was in the hands of those with money - factory owners, landowners and businessmen (Burke 1971:126) and government funded housing schemes eventually resulted in poor living conditions and inner city slums. This led to what was believed to be the first official theoretical model in town planning namely blueprint planning models.

2.3 Substantive planning theory: Planning as physical and design product

The models discussed in this Section fall into the paradigm of the substantive planning domain. Steyn (1996:38) explains this using Faludi's substantive theory which focuses on the subject of planning. In substantive theory, space (the physical environment) is the object of enquiry for the planner (Davoudi & Pendlebury, 2010:638). Galloway and Mahayni (1977:63) explain substantive planning theory or theory *in* planning, as including descriptive and predictive theories focusing on the structure and function of a city. Taylor (1998:20) substantiates this by saying that planning in this paradigm focuses on creating the ideal physical environment according to certain blueprints. Models in this Section will be discussed focussing especially on the aspects that could link them to public participation.

2.3.1 Blueprint models

Blueprint models can be explained as planning models concerned mainly with physical aspects. The planner's primary function was to produce plans, "master plans" or "blueprints" for cities (Taylor, 1998:5,14,18). These models include the Garden City, the Neighbourhood Unit, the

Superblock and the City of the Future; these models will mainly be discussed in terms of physical design.

2.3.1.1 The Garden City (Ebenezer Howard)

The theory behind the Garden City originated from Ebenezer Howard who was born into a middleclass family and grew up in the English countryside (Hall & Ward, 1998:4). Howard was never a professional planner but an individual. He was a shorthand writer who liked to speculate and thought of himself as an inventor (Hall 2002:25; Hall & Ward 1998:5). Despite the fact that Howard was the key Figure within the Garden City, he drew his ideas from many others and it is suspected that the suburb of “Riverside” in Chicago that had itself been known as “the garden city” was his biggest inspiration, as he had lived in Chicago from 1872-1876 (Hall & Ward 1998:4).

Table 2.1: Influences on Howard’s Garden City theory

Person	Influence
Alfred Marshall	Marshall highlighted the advantages of moving to the country and moving away from all the problems of the city (Hall & Ward, 1998:10).
Edward Gibbon Wakefield	Wakefield was an advocate of the movement of the population especially the poor, this movement would be due to a cities size reaching a saturated state (Hall & Ward, 1998:12 & Hall 2002:31).
James Silk Buckinham	Buckingham’s plan for the model city, having a central place, radial avenues, industries on the periphery, a maximum population for the city and a surrounding green belt to halt further development (Hall & Ward, 1998:12)

- **The Town and country concept**

The first diagram (Figure 2.1) illustrates the advantages and disadvantages of living in the countryside and in the city, the city with many job opportunities as opposed to the countryside being in a beautiful environment (Burke 1971:148; Hall & Ward 1998:17). Although these advantages and disadvantages were important, the value of this diagram lies in the combination of the town and country as it combines the advantages of both town and country in a new settlement that represented the Garden City (see Figure 2.2 “central city”) range (Hall, 2002:32,33).

The town-country concept contained two philosophical concepts that form the foundation of the Garden City model. These philosophies, “Freedom and Co-operation”, imply anarchism and socialism where in each city there would be local management and self-government, where people would build their own homes through funding received from building societies or trade

unions (Hall & Ward 1998:28). Ideally Howard aimed for a model based upon individual enterprise, where individuals of different social groups and income levels would be balanced (Hall & Ward, 1998:28; Burke, 1971:148); Furthermore the funds that were used; would be paid back out of profits that the new town made (Hall, 2002:33; Hall & Ward, 1998:28).

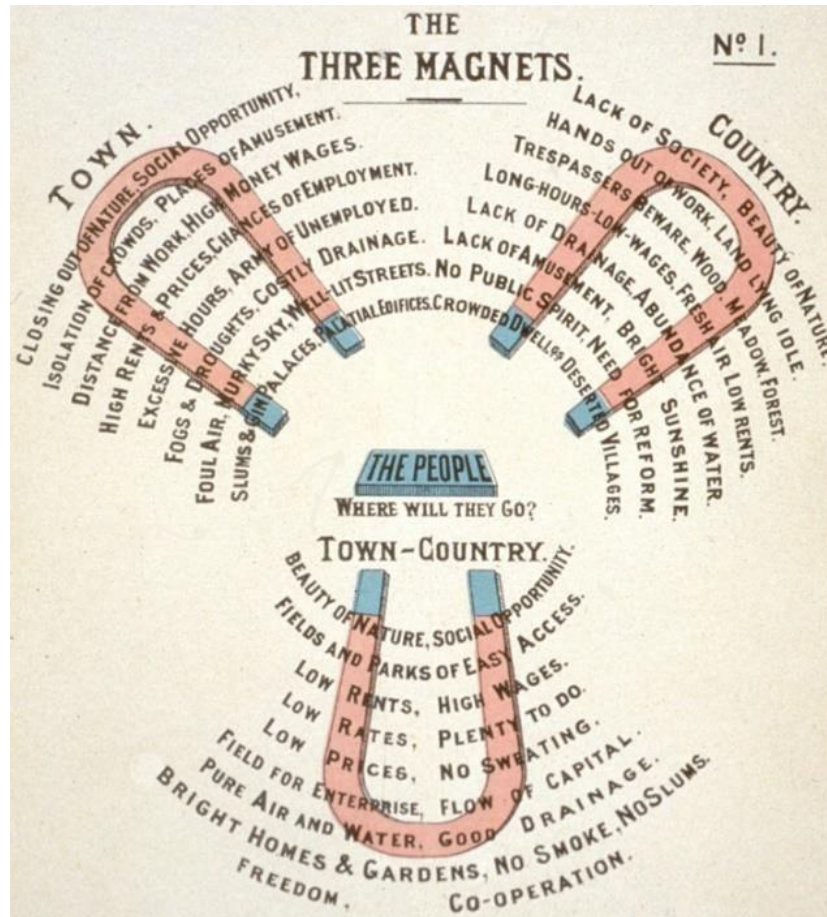


Figure 2.1: The three magnets

(Source: Messenger, 2011, http://oztypewriter.blogspot.com/2011/07/on-this-day-intypewriter-history_27.html)

- **Garden City layout plan**

Figure 2.2 illustrates Howard's master plan in which a "Garden City" consists of a central city that when reaching its maximum population would form satellite cities or replicas of the mother city. Howard stipulated the desired population as 32 000 inhabitants for each Garden City (Hall & Ward, 1998:32), an idea that was borrowed from Wakefield's notion that cities reach a saturated state (see Table 2.1). Similarly Buckingham's radial avenues, central place (see Table 2.1) are also visible in Figure 2.3. Figure 2.3 is a ward (sector) of the Garden City that illustrates in detail what his master plan would consist of - allocated zones for public buildings, shops, schools and houses of different sizes also, and green zones (gardens) to include the natural environment of the country side (Burke 1971:149; Hall & Ward, 1998:23).

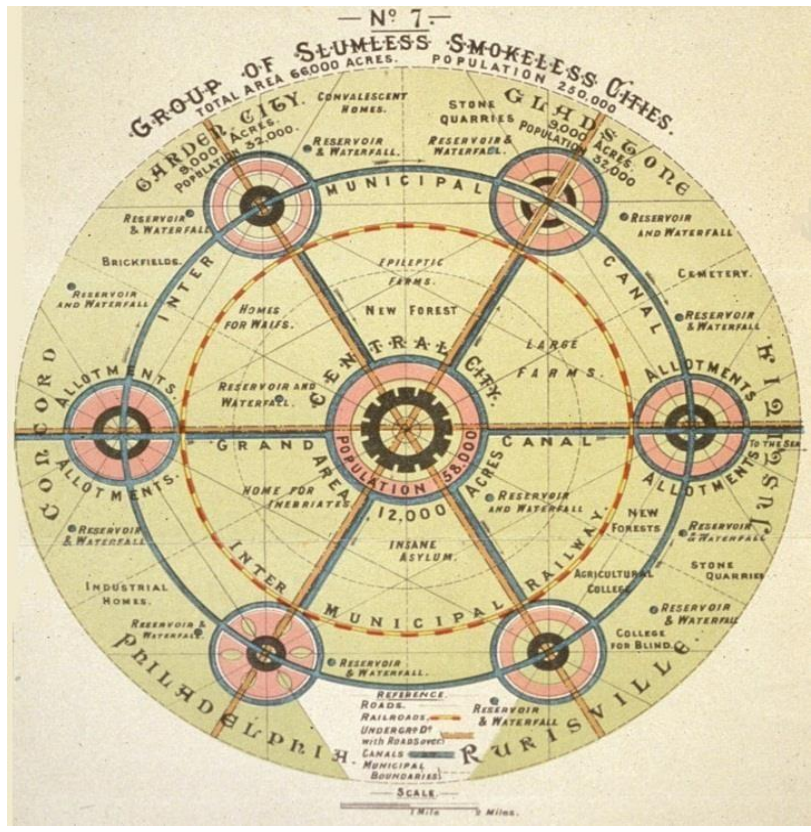


Figure 2.2: The Social City diagram
 (Source: Messenger, 2011, http://oztypewriter.blogspot.com/2011/07/on-this-day-in-typewriter-history_27.html)

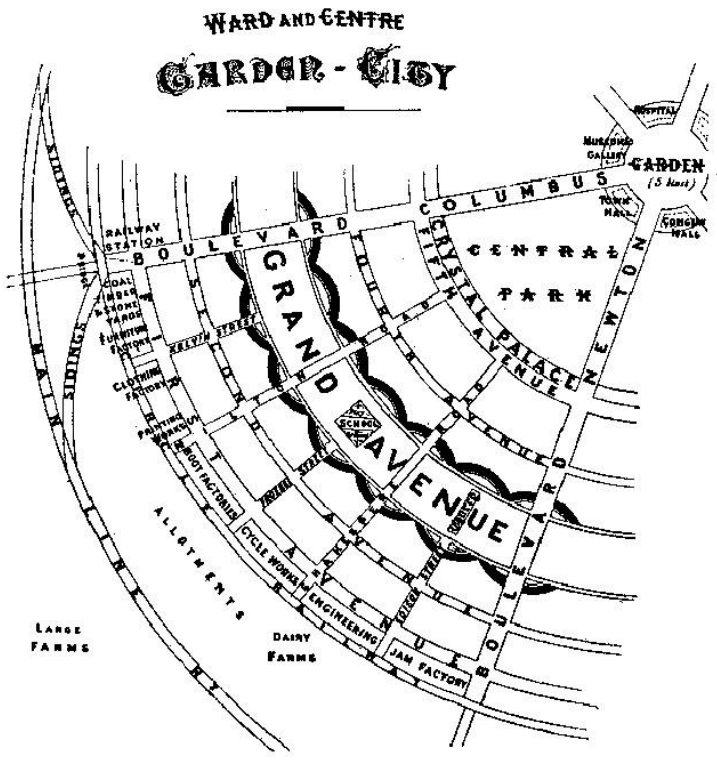


Figure 2.3: Ward of the Garden City (bottom)
 (Source: Messenger, 2011, http://oztypewriter.blogspot.com/2011/07/on-this-day-in-typewriter-history_27.html)

- **The social city**

The essence of Howard's master plan was engineered to move away from capitalism towards a more socialist approach. He wanted cities to become efficient, self-sustaining and governed by private enterprise through the implementation of Garden City blueprints. Considering the philosophy of the three magnets Howard's ideas are essentially centred around creating better living conditions for citizen by means of a physical plan.

The focus on the physical and design aspects is what links all the theorists in this paradigm of substantive planning. The idea that a city's conditions can be altered simply through physical design illustrates the notion that the city is seen as purely a physical object. This idea is central to the substantive planning theory (see Section 2.3). Another model that focuses on physical planning aspects is the Neighbourhood Unit that aims to establish ideal communities through blueprints for communities' physical environment.

2.3.1.2 The Neighbourhood Unit (Clarence Perry)

Perry worked as a community planner for the Russel Sage Foundation (Hall, 1996:123). Like Howard, Perry was influenced by others, and based his model on the garden suburb "Forest Hills Gardens" in New York based on "Riverside" (Howard's big inspiration see section 2.3.1.1) (Hall, 1996:123). Perry also believed that good design could contribute to a positive community life (Hall, 1996:123; Hall, 2002:38). Clarence Perry developed the Neighbourhood Unit as blueprint model for cities (Burke, 1971:162; Hall, 2002:38). Like Howard Perry also determined an optimum population size, centred on the catchment area of the local primary school (Hall, 2000:38). A fixed size of three-quarters of a mile was regarded as the ideal size of a neighbourhood (Hall, 2002:38).

Perry's model is in this regard more socially oriented than the Garden city because of its smaller pedestrian scale. The reason for the difference in the scale of the design can be explained the assumption that people's primary identification is subject to a small local areas (Hall, 2002:38).

The Neighbourhood Unit as blueprint for these communities manifested through the following physical elements: Firstly, a strong boundary for the unit in the form of the main traffic road (see Figure 2.4); - Perry recognised already in the 1920s that traffic (as the popularity of motor vehicles grew) - would make the forming of units like these essential (Hall, 1996:126). The main road would carry all the through traffic and the internal roads would be for internal traffic within the unit, and according to Perry discourage through traffic (Hall, 1996:126).

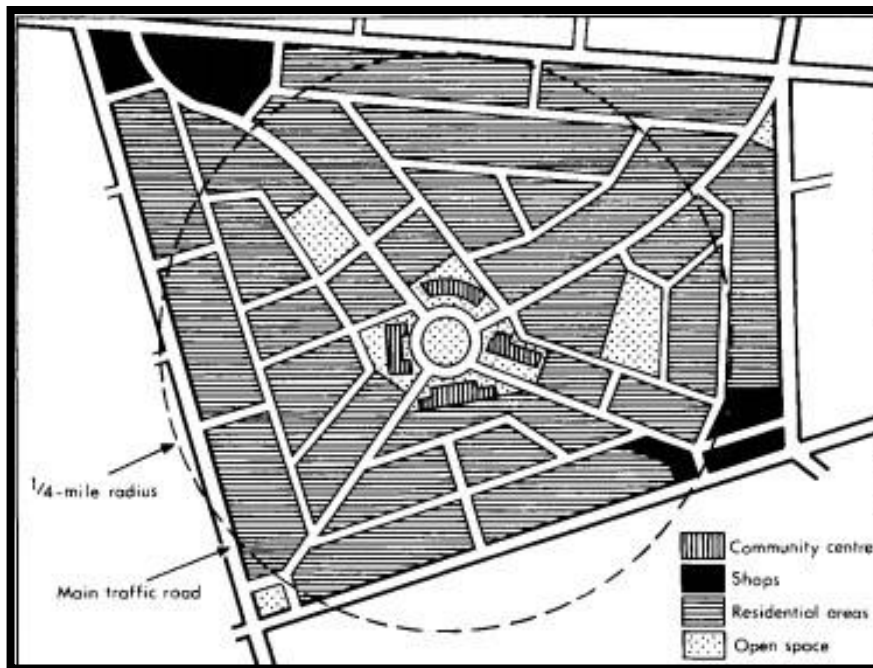


Figure 2.4: The neighbourhood unit (Source: Hall 2002: 39)

Secondly, each neighbourhood unit would have communal facilities such as shops and parks (Taylor, 1998:33 see Figure 2.4) and at the centre of the neighbourhood there would be a primary school and a church (see Figure 2.4). This unit that Perry created was also further used and adapted in other parts of the world: in Britain the in the 1950s (Hall, 2002: 38). It is clear out of the physical layout of Perry's design of an ideal neighbourhood that he had considered the community when drawing up this plan. Perry's consideration was, however, implemented through means of physical design. As Taylor indicated (1998:33) this ideal neighbourhood unit could create community life, by focusing on social aspects within the design.

Although it is clear that Perry's design was about communities and aimed at creating the optimal community, he did not consult the public. Perry's consideration was, however, implemented through means of physical design. As Taylor (1998:33) mentioned, this ideal neighbourhood unit could create community life, by focusing on social oriented design elements within the plan.

The Neighbourhood Unit, despite criticism from a social point of view, had an important physical factor that was not taken into consideration, namely how traffic would be regulated (Hall, 1996:126). One of Perry's contemporaries, Clarence Stein, expanded on the neighbourhood unit concept by developing the idea of road hierarchies and implementing the superblock concept (Hall, 1996:126; Hall, 2002:38). Stein was one of the first physical planners who understood the importance of pedestrian routes for shorter journeys in residential areas (e.g. children going to school) (Hall, 2002:38).

2.3.1.3 The Superblock (Clarence Stein)

The Superblock (referred to as the Radburn Layout) was applied in the United States in the 1930s and later in Britain in the 1950s (Hall, 2002:39). What made the Radburn Layout unique, apart from the pedestrian ways that went through open spaces between houses, was the hierarchical way in which motor vehicle roads were organised (Hall, 1996:127; Hall, 2002:39; Burke, 1971:171). Primary routes gave access to local distributor roads connecting to local access roads which ended with *cul-de-sac* giving access to a few houses (Hall, 2002:39).

The layout consisted of combined groups of houses that were centred around internal service roads (*cul-de-sac*) that led to the local access routes. Houses were turned with front facades to the back to connect with a network of pedestrian ways that link groups of houses with one another (Hall, 2002:39). Housing consisted of single dwellings units on individual stands and maintain a low density. Each of these groups of dwellings formed a superblock within the larger layout plan.

Though Stein might have addressed one of the weaknesses of Perry's model, through the addition of road hierarchy, the focus of the model was still on the physical layout and design. Another individual whom Hall (2002:38) mentions as someone who recognised the influence that mass vehicle ownership on cities; was Le Corbusier. Like Howard, Perry and Stein, Le Corbusier also had a particular blueprint idea of what the ideal city should be.

2.3.1.4 The city of the future (Le Corbusier)

Le Corbusier (1887-1965) was a Swiss-born architect from a family of watchmakers (Hall, 1996:204; Hall, 2002:49). From an early age Le Corbusier travelled frequently to Paris which in the early years of the 1900s was characterised by chaos and was a city filled with slums (Hall 1996:204-205). In reaction to the chaotic slum areas in Paris Le Corbusier envisioned a wellordered nation and his vision of the city was one of order and clear structure (Hall, 1996:205; Taylor, 1998:23). In contrast to Perry and Stein's idea (involving neighbourhood designs) Le Corbusier's vision included city plans where large parts of cities were to be demolished and reconstructed to achieve his ordered vision (Taylor, 1998:24-25).

In Figure 2.5 Le Corbusier's Radiant City, the city he also envisioned for the future, illustrates his layout plan according to his ordered view, consisting of blocks or zones with single land uses (Taylor, 1998:24). Hall (2002) explains the logic behind this future city using four propositions:

- The traditional city (referring to cities such as Paris as mentioned above) became functionally outdated with overpopulation and congestion especially in city centres, hindering communication networks and accessibility for businesses (Hall, 2002:49). As

Taylor (1998:24) adds to this, Le Corbusier's city was one with geometrical functional buildings.

- Secondly, Le Corbusier addresses the problem of congestion by increasing densities, but this increase in density was by way of skyscrapers that would have large open areas surrounding them (Hall, 2002:50).
- Thirdly, the organisation of these densities was also organised by Le Corbusier, as traditionally population densities were greater in the centres of cities as mentioned in the first proposition; in contrast to this Le Corbusier proposed equally spread densities leading to less pressure on business centres and leading to a more even flow of people (Hall, 2002:51). There would be fast motorways serving as arteries to different parts of the city (Taylor, 1998:24).
- Lastly Le Corbusier argued that cities should have effective transportation system, as suggested by his proposed multi-level highways and interchanges (Hall, 2002:51).

These four propositions sufficiently summarise Le Corbusier's model of the "Radiant City". Some of his ideas seem overly idealistic, and were also criticized in the same way that the models of Howard, Perry and Stein were criticised (Burke, 1971; Taylor, 1998; Hall, 2002). All of the models over-emphasized the physical detail, layout and design with little regard to other aspects such as social aspects.

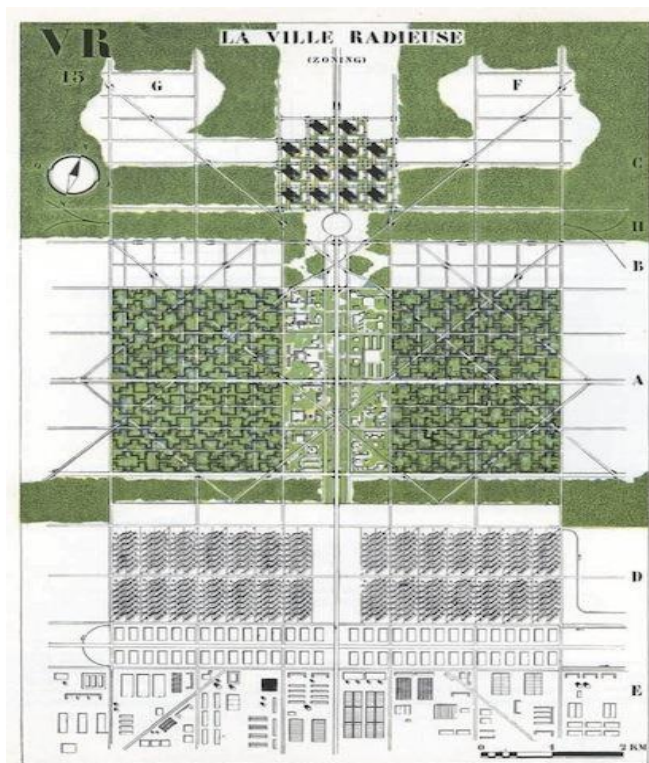


Figure 2.5: "Radiant City"

(Badger, 2012 <http://www.theatlanticcities.com/design/2012/11/evolution-urban-planning-10-diagrams/3851/>)

As far as Blueprint models are concerned key theorists Howard, Perry, Stein and Le Corbusier being only a few within this paradigm, outlined theories that were substantive in nature, descriptive and predictive regarding the structure and function (focusing mostly on physical details) as was previously mentioned (2.3.1). In the next Section, before moving to criticism of these models, there will be a brief focus on the role of the planner and public and the interface between these two in this paradigm.

2.3.2 Criticism of blueprint models

For the purposes of the discussion of the criticisms levelled against planning as a physical activity, producing blueprints there will be a focus on the main criticisms that Taylor (1998) developed - these include:

- The criticism of physical determinism;
- The lack of consultation together with the consensus view of planning; and
- Criticisms of the ordered view of the urban structure.

Focusing on the first criticism mentioned above, physical determinism, it has to be pointed out that this criticism is against the practice where planners used the physical environment to create community life as explained by Taylor (1998:40,41). Subsequently, it was perceived that economic and societal problems could be solved by looking at the physical environment for answers (Hall, 2002:53,54) - Howard seeing the Garden City as the solution to the problems of the overcrowded industrial cities illustrates this.

Underlying this criticism is something that Taylor (1998:40) calls social blindness which entails that planners, by focusing on the physical environment, create community life (see Hall 1996:123,124 linked to the Perry's neighbourhood unit) and actually become "blind" in a manner of speaking to the actual complex nature of communities in real life (Taylor, 1998:42,55). Burke (1971:165) explains that sociologists questioned this design of neighbourhood units to create community life. Flyvbjerg and Petersen (1982:29) even go so far as far as to say that society was seen as an object that could be manipulated, though seeming extreme (Taylor, 1998:55).

The social blindness manifesting within the physically determined practice of planning where the community was planned for led to the second point of criticism, which is the lack of consultation of the people living in the environment that plans (blueprints and master plans) were created for (Taylor, 1998:43). This criticism addresses the assumed consensus that there was between the public and the goals that planning should embody (Taylor, 1998:34) reminding us of the fact that- the focus of blueprint models was on the ideal environment that should be created by planners (see Table 2.2, Taylor, 1998; Hall, 2002).

This assumed consensus is also partly a result of the political “middle way”, also called the third way, which was especially prominent during the immediate years after World War II, being a combination of liberalism supporting private enterprise, and socialism, which welcomed state intervention (Taylor 1998:21,27; Flyvbjerg & Petersen 1982:25,26). Supporting this “middle way” was the fact that after the War the slums of industrial cities’ ideal urban environments were what society presumably wanted. New Towns in Britain were the most prominent examples (Burke, 1971:162; Hall & Ward, 1998:141) illustrating the fact that there was an assumed consensus among planners supported by government over what society’s needs were.

Moving on to the last point of criticism, which is closely related to both of the above criticisms, is the criticism against the highly ordered view of the urban structure. This criticism stemmed from the argument that cities being organised with specific allocations of separate land uses as seen, most of the models discussed thus far were not ideal at all as Taylor (1998:48) explains, using Jane Jacobs (1961). Clarifying what is meant by this, Christopher Alexander (1965) in his article *A city is not a tree*; explains that the cities that were created by planners lacked the mixture of land uses which formed overlapping relationships (Taylor, 1998:48,49 & Hall 2002:38). Consequently the cities that were planned and designed lacked insight into the complexity of communities consisting of overlapping relationships.

Using blueprints and master-plans to set the future state of cities failed to recognise the changing nature of cities and the changing needs of people living in them. This is in essence the root of the criticisms against the substantive paradigm of planning. This lack of insight into communities that formed cities leads to the next point of discussion, the interface between the planner and the public.

2.3.3 Planner: public interface in Blueprint models

An important concept to understand before even trying to compare the role of the planner or the public is that the models described above emanated from individuals who knew and experienced the state of cities after and/ or during the industrial revolution. Even more these individuals also experienced one of the world wars (World War I, 1914-1918 and World War II, 1939-1945).

Below, factors contributing to the roles of both planners and the public are provided to give an indication as to what these roles were. The reason for this is that different authors make different contributions, some contradictory and some similar in the description of the planner and the public’s role.

Table 2.2: Summary of planner: public interface in blueprint planning models

Model	The planner	The Public
The Garden city model	Town planning within the blueprint models described in 2.3.1 focussed on the ideal kinds of urban environments that should be created (Taylor, 1998:5, 18, 23 & Hall, 2002: 53).	Within the Garden City though accentuating self-government where people build their own homes (Hall & Ward 1998: 28). Shareholders that bought the property (Burke, 1971:150), and there would be a Central Council that would have the full rights and powers of the community (Hall & Ward,1998: 28).
Neighbourhood unit and Superblock	Planning was seen as an extension of architectural design, producing blueprints or master plans focusing on the physical environment. (Taylor, 1998:7, 8, 17).	It was perceived that community life could be planned with general assumptions that were made by planners (Hall, 1996:123 and Taylor 1998:41). This is especially visible in Stein and Perry. Planners assumed that citizens were in consensus over the ideals guiding planning (Taylor, 1998:34).
“The Radiant City”	Planning was primarily a technical activity organising land uses and buildings (Taylor 1998:8).	The public was not consulted, because planners knew best what environments suited people (Taylor, 1998:43)

When looking at the above Table (Table 2.2) and the factors that were isolated a conclusion can be made around what the roles of the planner and the public were. The planner’s role was technical, producing blueprints and master plans of the physical design of cities or parts of cities.

The public’s role, however, was limited if any involvement were indeed possible in the making of plans. The public did not seem to play a prominent role in the planning of cities. The public was to some extent taken into account during planning, but this was done by experts such as planners who thought that they understood the public’s needs.

Planners were trained to see societal and economic problems in physical terms (Hall, 2002:53; Taylor, 1998:8).The absence of a clear definition of what the public’s role during this time in planning practice also supports the substantive paradigm in planning (see Section 2.1 and 2.3). Guided by substantive planning theory, planning practice was focussed on the subject of planning, the physical environment, clearly illustrated by all of the above mentioned models

2.4 Procedural planning theory: Planning as a rational, scientific process

According to Flyvbjerg and Petersen (1982:27) concerns within planning illustrated a general shift towards the scale of planning, practical principles of planning and formulating technical methods and solutions to problems. This in turn links to Taylor’s idea (1998:66) of the rational process view of planning in which planning aimed to focus on the best methods and processes

of “*doing*”. This contradicts the focus on creating ideal environments prominent within the physically oriented blueprint planning practices. This process of *doing* planning is also referred to by Steyn (1996:38) as *how* planning is done. Steyn (1996) and Taylor both (1998:66) agree that procedural planning theory is a theory *of* planning, in contrast to the theory *in* planning (as in substantive theory).

Healey *et al.* (1981:8) explain that procedural planning theory derives from a wide-ranging systems model where planning is attributed to certain societal tasks and problems that were solved using rational procedures and methods to make decisions. These methods and procedures were informed by scientific methods such as systematic analysis (Healy *et al.*, 1981:8). According to Taylor (1998:64) this systems view (or model) was based on a reaction to planning as a physical activity and its lack of a true understanding of the social and economic complexity of society.

While criticism kept growing of blueprint planning within town planning theory, rational decision making became increasingly popular in the 1940s and 1950s (Taylor, 1998:61; Galloway & Mahayni, 1977:67). As the systems view of planning was inspired by the rational process view of planning (Stiftel, 2000:4,5), planning theory started creating systems of implementation by combining design activities and scientific techniques. This systems model is discussed in the following Section.

2.4.1 The systems model

The systems view was based on what Galloway and Mahayni (1977:67) describe as a change in the way planning theorists explored the relationship between planning and societal change. According to Taylor (1998:64) the systems view emerged from criticisms of physically-oriented planning lacking a complex understanding of the societal and economic aspects within a city. To gain a broader scientific and theoretical foundation, mathematical models and statistical analysis regarding systems seemed to be the solution to most urban problems in this paradigm (Healey *et al.*, 1981:8; Taylor, 1998:65).

Stiftel (2000:4) explains that this led to a new (social) scientific model on the urban level, where the analysis of data and looking for alternative courses of action became paramount. Thus the systems view vowed to help analyse complex interdependent (social and economic) aspects of the ever changing nature of cities (Taylor, 1998:64). The planning of the society as a whole (see Figure 2.6), viewed as consisting of series of parts that could be analysed, was important within this view because this analysis would lead to the solving of problems (Flyvbjerg & Petersen, 1982:27; Taylor, 1998:61-63). To better contextualise the systems view some of the key aspects within the systems view are subsequently discussed.

The systems view within planning recognises that cities are built up from complex interdependent relationships of societal and economic factors influencing each other (Taylor 1998:49,64). The systems view created a better scientific understanding of the environment -by using- mathematical analysis and modelling, analysis and evaluation of alternative solutions to problems were prominent (Taylor, 1998:66; Haeley *et al.*, 1981:8). The quality of life could even be improved (Taylor, 1998:74).

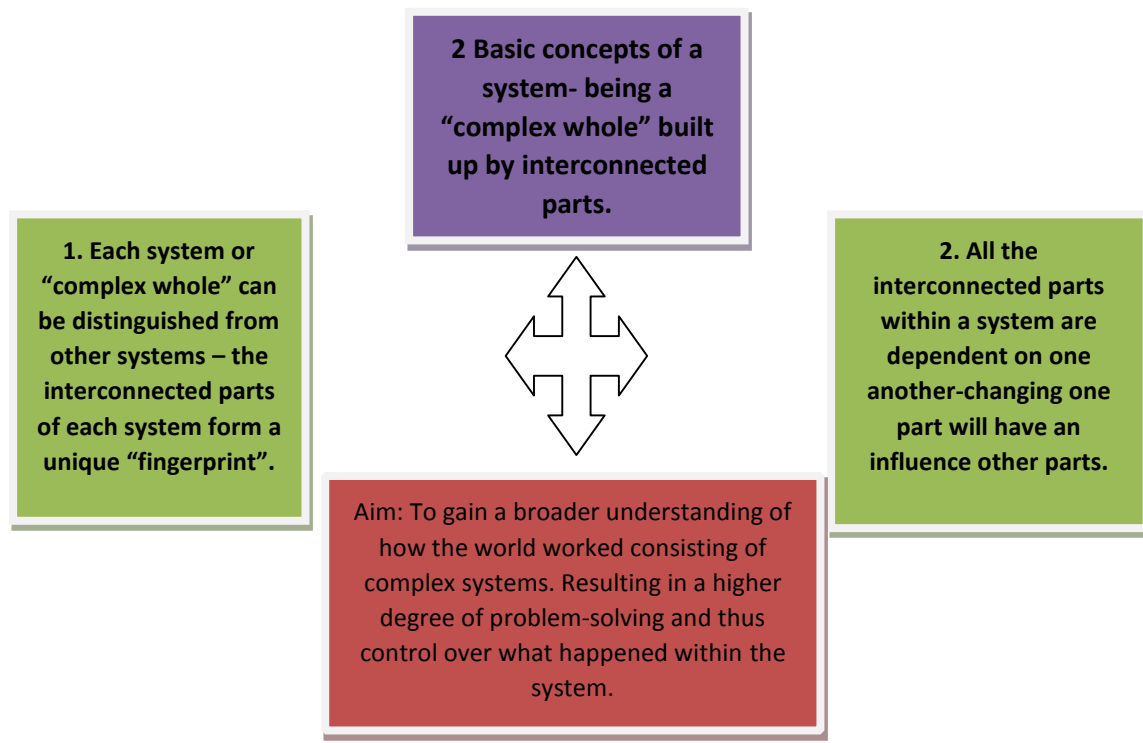


Figure 2.6: Key aspects within the systems view

Improvement in the quality of life, according to Taylor, is part of the belief that proper understanding of the environment (social and economic factors included) as a system (see Figure 2.6 the aim of the systems view) and greater control over nature could be achieved and could be used to the advance of human well-being (Taylor, 1998:74). The rational process view informed planners on how to decide what course of action (process) to use in accomplishing planning goals (Taylor, 1998:66-73; Healey *et al.*, 1981:8,9; Stiftel, 2000:5). The systems view did not inform planners about what to do with the better understanding of the environment, and this is why the rational process view followed the systems view.

2.4.2 The rational model

The differentiation between the rational process view of planning and the systems view is complex. Therefore Figure 2.7 illustrates and explains the rational process view as a step-by-step process.

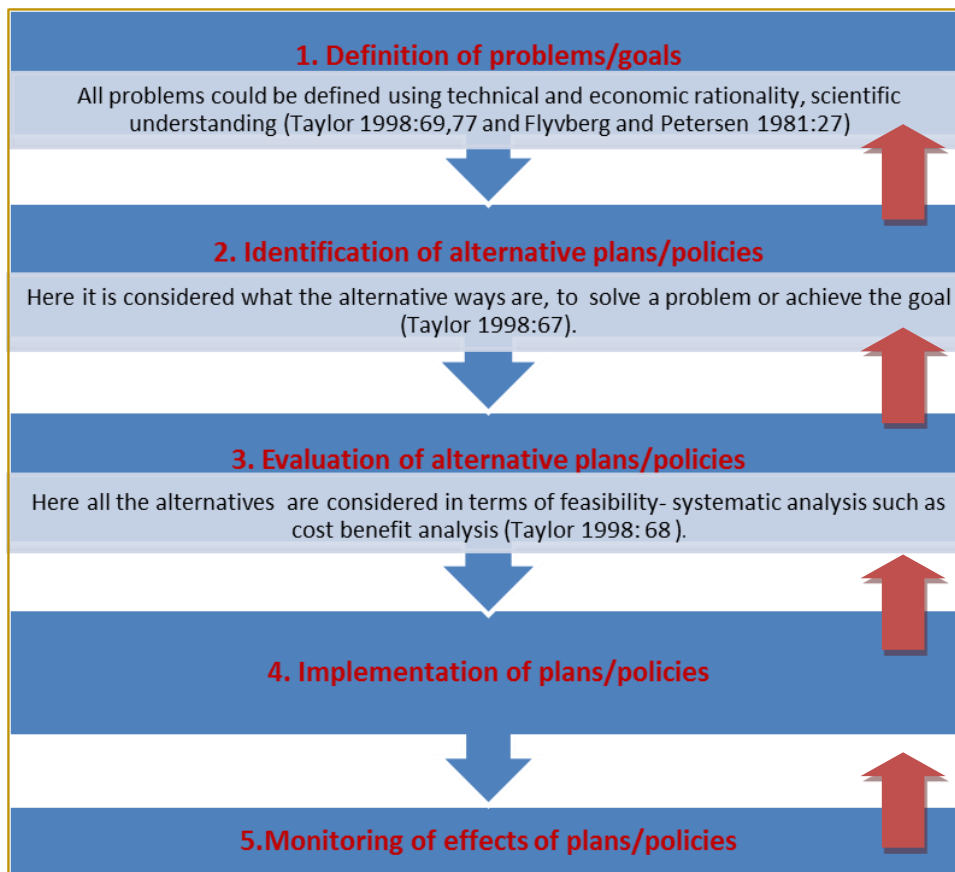


Figure 2.7: Planning as a process of rational action (red arrows indicating feedback)
(Source: Based on Taylor (1998) and Flyvbjerg & Petersen (1982))

2.4.2.1 Rational action

Figure 2.7 illustrates the process of rational action which developed within the rational process view of planning. The practice of planning amounted to the completion of the process of rational action. The first step was to define and identify the goals or problems that had to be achieved or solved. The second step was to identify alternative plans or policies to address problems or achieve goals. In step three these alternatives that were identified were evaluated using scientific methods such as cost-benefit analysis (explained in 2.4.2.2).

After the alternatives had been evaluated the best alternative option was implemented (step four). Following this the effect of the implemented option was monitored, and this was done to ensure that the desired outcome was reached (Taylor, 1998:68). The exact objectives were, however, rarely achieved and therefore the process needed to be continuous (Taylor 1998:68). Feedback illustrated by the red arrows on Figure 2.7 ensured continuity and dealt with changes that arose (Taylor, 1998:68; Hall, 2002:7).

This process was a great development for planning, going from a physical design activity to a thoroughly guided process of decision- making. A change in planning theory underpinned this change and will be discussed next.

2.4.2.2 The process of planning

The systems view using scientific and technological methods (including traffic models and economic models) resulted in a better understanding of the social and economic aspects within the city to improve the welfare of the citizens (Taylor, 1998:66; Galloway & Mahayni 1977:67; Flyvbjerg & Petersen 1982:32,33). The best method or process (see Figure 2.7) to apply this knowledge in planning was, however, not specified (Taylor, 1998:66) and eventually led to the development of the rational process theory in planning or collective rationality or action (Taylor, 1998:71; Stiftel, 2000:6).

The collective rationality rested upon the assumption that citizens within a city might know what they wanted but not necessarily what would be best for the city or region as a whole; this was thus a decision that was taken by planners, seen as a social or collective action (Stiftel, 2000:6; Taylor, 1998:71), in a way representing the public. Together with this, the political thought at that time supported a social democratic style of doing- Stiftel (2000:6) also refers to this as “managerial politics” where economic growth was the main goal of planning practices (Flyvbjerg & Petersen, 1982:27,28). The state (government) was advised by professionals such as planners on how to manage, for example, land-use zoning.

This style of politics is also known as the “middle way” or “third way”, as it is characterised as being in the middle of capitalism and socialism. In a manner of speaking, capitalistic rationality was replaced with social rationality (Taylor, 1998:77; Flyvbjerg & Petersen, 1982:25). This social rationality should also be carried out by state intervention (Flyvbjerg & Petersen, 1982:25) where public concerns were seen in “technical” (understandable through science) terms (Taylor, 1998:77).

This led to the emergence of different rational models such as the “Welfare state” (see Table 2.3) and cost-benefit analysis (Taylor, 1998:69; Flyvbjerg & Petersen, 1982:28,34) which had a huge influence on what happened in the city and region. Both the “Welfare state” and “cost benefit analysis” were part of a social democratic politics, where technical professionals advised politicians on how to best manage the economy (Taylor, 1998:69). “Cost benefit analysis” was, however, a tool used in calculation of welfare and of paramount importance within the “Welfare state” (see Table 2.3).

Table 2.3: Explaining the “welfare state”

The “Welfare State”	
The idea behind the “Welfare State”	It was believed that economic growth could improve the material welfare of citizens (Taylor, 1998:79). Through cost-benefit analysis welfare could thus be quantified (Flyvbjerg & Petersen, 1982:34). Material welfare as being synonymous with a good life including being happy satisfied and secure (Taylor, 1998:69 & Flyvbjerg & Petersen, 1982:34)
The utilitarian philosophy	Supports the cost benefit way of thinking where welfare was economically quantifiable - the sum of the net benefit (representing a population as a whole) replaced individual welfare (Flyvbjerg & Petersen 1982: 35).
Main criticism	The “Welfare state” that is not based on empirical knowledge about the working society led to value-free planning activities (Taylor 1998:79-81). The collective rationality (representing the population as a whole) assuming the best answer to a problem in the case of the welfare state would be the one were the cost benefit ratio is maximised- thus were the welfare is maximised (Flyvbjerg and Petersen 1982:35)

The rational process followed in planning was, however, not flawless. Criticism started to develop of many aspects; the main criticism was the fact that the rational process model only described the procedure used to make rational decisions (Taylor, 1998:71). Planning decisions were made based on an assumption which was seen as a value-free scientific technique (Taylor, 1998:71,81). Flyvbjerg and Petersen (1982:28,29) summarise this by saying under this main goal of economic growth that dominated the socio-political framework, society became an object (thing) where intelligent administration and management, disregarding ethical judgements, could realize this goal. Naturally this view of the society being part of the rational process theory attracted much criticism, regarding the role of the public within planning.

2.4.3 Criticism of procedural planning

When looking at the role of the planner and the role of the public, both seemed to be on track to change, but why? Factors that possibly contributed to the role change are listed below:

- Large-scale economic growth created problems of its own – rising levels of pollution, exploitation of natural resources (Flyvbjerg & Petersen ,1982:30)
- Material gratifications as a result of the “welfare state” that were gained by a part of the society led to negative impacts in other parts of the society; this caused the socio political consensus mentioned in 2.4.2.2 to break (Flyvbjerg & Petersen, 1982:39). Citizens no

longer wanted material gratification, they wanted planning activities to be value driven not only guided by value-free techniques (Taylor, 1998:80,81)

- Unemployment due to the economic crisis in the 1970s fuelled debates where the unemployed citizens questioned the rational process theory that guided public policies leave them jobless- indirectly indicating the break-down of the socio political consensus (Flyvbjerg & Petersen, 1982:30,40).

Leading the criticisms of the rational process theory or procedural planning theory was the inability within the theory to lead planners to decide what decisions were the better decisions as this theory only described the process of decision-making (see Section 2.4.2 and Taylor 1998:83,84) but fails to describe how the right decision is to be made.

Davidoff and Reiner's view, including different values of different people by giving the planner an advocating (representative) role, represents a big shift regarding planning thought and theory. From the physically-oriented view focusing on the ideal environments to create to the systems and rational view regarding the solving of problems or reaching goals, especially economic growth (that could create welfare) was the main drive.

What Davidoff and Reiner suggest can be seen as one of the first signs of public participation even though it could also be seen as radically political (Taylor, 1998:86,87) it inspired further criticisms and models reacting to the rational process view of planning (progressive planning, transactive planning, social learning theories and the ladder of citizen participation). In Table 2.4 Davidoff and Reiner's criticism is explained.

Planning at this stage was based firstly on decisions to be made, followed by the way of implementation (Galloway & Mahayni, 1977:68; Taylor, 1998:113). Pressman and Wildavsky in Taylor (1998:113) explained that, if effective implementation was to be achieved, certain skills, especially communication and negotiation skills, were necessary. The shift in the thought of planning from a purely rational scientific process to that of communicative action could be ascribed to the following reasons: (i) problems with effective implementation of plans and policies (Taylor 1998:112,113) and (ii) the top-down nature of the rational process theory where experts assumed the public's interests, and development was market driven (e.g. the influence of the welfare state) and the consequent questioning who benefitted from planning (Fainstein, 2005:453).

Table 2.4: Explaining the criticisms

Origin of the criticism	<ul style="list-style-type: none"> • The process view (procedural planning theory) based on scientific factual assumptions ignored the normative nature of values (Hooper 1982:245 and Taylor 1998:82,83); • Only focusing technical scientific activities guiding the methodology behind the process of making planning decisions; see Figure 2.7. (Taylor, 1998:83; Hooper 1982:245,246 and Galloway and Mahayni, 1977: 67,68)
The normative nature of values	<ul style="list-style-type: none"> • The object or substance of planning, linked to the normative model as it cannot be described using a process that describes various problems or goals (Taylor 1998; 71 and Hooper 1982: 246) • Taylor (1998:79) explains that the decision regarding all the alternatives of which plans and policies (in the process of rational action see Figure 2.7) to implement is a matter of value. • Subsequently decisions were values were included, the evaluation of all the alternatives had to be done by following normative action, and not scientific methods, as they can only deal with facts (Taylor 1998:79-85; Hooper 1982: 245, 246) and Galloway & Mahayni 1977: 67,68).
How Davidoff and Reiner included “value”	<ul style="list-style-type: none"> • Advocacy- that was the answer on how to represent the values of different people in the public (Taylor 1998: 85 Healey <i>et al.</i>, 1981: 9). • Recognising the that planning activities affect large amounts of people with different views on how the planned environment should look based on values and therefore a political activity (Taylor, 1998:63) • Reiner and Davidoff explained planning as a process of choice, this implies that the planners should share “technical” information regarding all the options and possible effects (as derived from the rational decision-making process (see Figure 2.7 and Taylor, 1998:84), also Healey <i>et al.</i>, 1981:9). The choice of what option to choose however should remain a political and democratic activity among the public (Taylor 1998: 84, 85; Healey <i>et al.</i>, 1981:9 and Oranje, 2002: 174). • The planner would thus fulfil the role of an advocate for the public by representing their interests within policy making (Taylor, 1998: 85; Healey <i>et al.</i>, 1981:9 and Stiffler, 2000:7) • This advocacy that the planner fulfilled was also often referred to as “representative democracy” (Taylor, 1998:86) or “social democracy” (Healey <i>et al.</i>, 1981:9).

While the exact reasons for this shift differ, the source of these reasons all comes from criticisms and reactions towards the rational process view (Taylor, 1998:112,113; Healey 1992b:233,234; Harris, 2002:21; Oranje, 2002:181; Stiffler, 2000:9). More importantly this changing focus of planning indicates a shift to what people call the most recent planning paradigm which is widely labelled as the communicative turn in planning (Allmendinger & Tewdwr-Jones, 2002; Healey, 1992b).

As Stiffler (2000:9) explains, there was a growing popularity towards the social sciences, especially towards the philosophies of Habermas. Writings of Healey (1992b), Allmendinger Tewdwr-Jones (2002), Fainstein (2005), Matthews (2012) and Huxley (2000) to name a few, all

identify Habermas's philosophy regarding the communicative rationality and his idea of communicative action as central to this change towards communicative planning theory.

2.4.4 Planner: public interface in procedural planning

2.4.4.1 The role of the public

During the time that procedural planning theory formed the main paradigm guiding planning practices, the role of the public was one that was represented by the planner. The welfare state was one of the ways the public was represented (see Table 2.3). As Healey *et al.* (1981:5) put it, procedural planning theory in itself viewed planning as a societal management process. The role of the public was thus not fulfilled by the public itself.

This representation was, however, not accepted by all members of the public. During the late 1960s and 1970s community action groups and general resistance groups against planning practices started to form (Healey *et al.*, 1981:11; Taylor, 1998:86). It was through the emerging social uprising that the idea of public participation was sparked (Taylor, 1998:86). Prominent articles were also published, Sherry Arnstein's article, *A ladder of citizen participation* (1969) probably being one of the most important articles.

2.4.4.2 The role of the planner

The public's role might have been as shifting towards greater influence regarding planning practice. The planner's role, however, still dominated the decisions that were made regarding development. The nature of the planner's role, however, did change, from a physical and design-oriented role to a more technical problem-solving nature (Healey *et al.*, 1981:8; Flyvbjerg & Petersen, 1982:27). As illustrated in Figure 2.7 the planner's role was to make decisions. Within this decision-making role it was also seen as part of the planner's role to distinguish between factual matters and matters of value and political nature.

As mentioned in 2.4.2 the planner, making decisions on behalf of the public, received strong criticism. These criticisms motivated a change in the role of the planner, it was suggested that the planner should act as an advocate for the public (Taylor, 1998:85). Davoudi and Pendlebury (2010:630) similarly illustrate the changing role of the planner as one that went from a "designer" to an "analyst" and then a "facilitator" and a "mediator". The planner facilitated the involvement of citizens, advising them on what to do as "he" the planner was seen as the expert (Taylor, 1998:85).

2.5 Normative planning theory: Planning as socio-political process

Communicative theory is seen as the most current theory in planning (Matthews, 2012; Harris, 2000:21; Allmendinger & Tewdwr-Jones, 2002:6). There are different interpretations and names for theoretical models that emerged out of Habermas' theory, collaborative planning (Healey, 1997), argumentative planning (Fischer & Forester, 1993) and the Foucauldian perspectives (Allmendinger & Tewdwr-Jones, 2002:5,6) to name a few.

The focus of planning shifted to communication; Collaborative planning (Healey, 1997) and argumentative planning (Fischer & Forester, 1993) have different interpretations regarding the communicative planning model. Healey focuses on planning as part of an interactive process where there is communicated (Healey, 2003:104). There will be a focus on communicative planning directed at two interpretations of the model.

2.5.1 The communicative planning model

Healey draws heavily on Habermas' "ideal speech" situation (Allmendinger & Tewdwr-Jones, 2002:8) and builds the communicative theory on Habermas' theory of "communicative action". "Communicative action" is Habermas' view of democracy where collective decisions can be made by communicating effectively (Taylor, 1998:124; Healey, 1992b:248; Allmendinger & TewdwrJones, 2002:14). Furthermore, effective communication is achieved through the following:

- (1) **Comprehensible:** participants who are communicating should understand one another;
- (2) **Truthful:** the information that is being shared has to reflect the truth and be
- (3) **sincere**, where everything is stated openly; and lastly
- (4) the communication must be **legitimate** (Taylor, 1998:124; Healy, 1992b:239; Huxley 2000:370).

Healey's model is an adaptation and extension of Habermas' ideas. Allmendinger and TewdwrJones (2002:8,9) use ten components to explain Healey's version of the communicative turn in planning (see Table 2.5).

Table 2.5: Healey's components explaining the communicative turn in planning

<p>1. Planning is and interactive and interpretive practice</p>
<p>The focus here is on making decisions and taking action, which Healey (1992a: 154) explains happens within different authoritative systems illustrating different rationalities. Further planning processes should be enriched by discussions of moral dilemmas and experiences that are shared by the public (Healey 1992a:154). Statistical analysis and moral aspects are complementary in these planning processes. (Healey, 1992a:154)</p>
<p>2.Planning is undertaken among diverse and fluid discourse communities (as is pre-supposed)</p>
<p>Each community accordingly has a different way of constructing meaning. Here the purpose of the communicative action is thus used to find achievable levels of mutual understandings regarding the purposes of discussion. Also here it needs to be accepted that not everything can always be understood immediately. (Healey, 1992a:154)</p>
<p>3.Interaction should illustrate interpersonal and intercultural respect</p>
<p>Respect should be shown by valuing, listening, recognising and searching for different potentials within discourse communities (Healey, 1992a:154).</p>
<p>4. Devising plans of actions are not the only aim of this interaction, conflicts must be resolved and mediated</p>
<p>Healey (1992a:154), explains here that planning practice should be reflective, and attend to necessary areas where planning work is to be applied.</p>
<p>5. All dimensions of the communicative process within argumentation need to be involved</p>
<p>These dimensions include knowing, understanding, appreciating, experiencing and judging which need to be applied in the communicative action of exploring all claims of action to be chosen from (Healey, 1992a:155).</p>
<p>6. During argumentation, comprehensibility, integrity, legitimacy and truth should be maintained</p>
<p>Care needs to be taken when dealing with different participating communities, to avoid a situation where one community's argument is perceived as 'right' and the other as 'wrong' (Healey, 1992a:155).</p>
<p>7. Strategic discourses that are opened should include all interested parties, which in turn will create new planning discourses (Allmendinger & Tewdwr-Jones, 2002: 9)</p>
<p>It is important here that moral and dilemmas should be handled within conversation; that can in turn contribute to areas of debate (Healey, 1992a:155).</p>
<p>8. Through negotiation fixed opinions of individuals can be changed by hearing what other individuals in groups have to say</p>
<p>Within interaction opinions can be mutually reconstructed by learning from other participants while trying to understand each other (Healey, 1992a:155).</p>
<p>9. Material conditions and established power relations can be changed through communicative planning</p>
<p>This is achieved by increased understanding from participants towards what were seen as oppressive forces, wellgrounded arguments supporting alternative power relations (Healey 1992a:155). These arguments may led to the understanding and acceptance of new processes being agreed on, thus changing the existing conditions (Healey 1992a:155 & Allmendinger & Tewdwr-Jones, 2002:9).</p>
<p>10. Participants should be encouraged to find ways of practically achieving planning goals and not simply agreeing or disagreeing with what planners say (Allmendinger & Tewdwr-Jones, 2002:9)</p>
<p>Here mutual agreements are constructed between planners and participants based on conversations were understandings are critiqued and reconstructed (Healey, 1992a:155).</p>

Healey's interpretation of the communicative turn in planning led to planning rooted in the interaction between the planner and parties influenced by planning. This interaction is considered to be achieved by way of discussions, argumentation, and debates all aimed at reaching mutual agreements or consensus regarding the planning action to be taken. This is supported by what

Allmendinger and Tewdwr-Jones (2002:9) who say, regarding Healey's model, that achieving consensus is one of the guides to aid in communication. Similarly Stiffler (2000:10) generalises that in communicative planning theory it is required to work among different views articulated by different interest groups to in the end devise "new consensus" policies that are supported.

Healey's collaborative planning model, however, raises a few questions. As mentioned earlier, Healey's model supports the idea of democracy according to the ideals of Habermas. Within democracy there are, however, always parties that are in possession of more power, and planners need to be aware of the influence of politics and power on decisions that are made with regards to planning (Allmendinger & Tewdwr-Jones, 2002:18).

Essentially, Healey believed political views embedded in power structures can be changed through communicative actions (Foley, 1997:3). It is this view of Healey that led to the development (greatly based on Habermas) of an alternative model that also serves as a criticism of Healey's model. This alternative model focuses on the power structures that Healey thought could be easily changed. Huxley (2000:370) explains that current planning practices are unavoidably linked to the state and its power. These concerns regarding power structures will be explained from a Foucauldian perspective.

2.5.2 Criticism of communicative planning

Allmendinger and Tewdwr-Jones (2002:18) explain Foucault's perspective regarding power, knowledge and rationality as a perspective where power can define and redefine knowledge though the rationalisation of decisions, often after the fact. Matthews (2012:143,144) refers to

Foucault's focus on the dynamics of power, as planners are always acting out power within planning systems regulated by the government.

In response to Habermas' "power free" communication (Fischler, 2000:360), Foucault integrates the influence of power into communicative planning (Flyvbjerg & Richardson, 2002:45). Foucault agrees with Habermas that planning should move towards more democratic, liberated strong societies but believes that this is not possible without understanding the influence of power on planning. Foucault, however, also agrees with Huxley (2000:370) who believes planning is undoubtedly influenced by the state and its power.

Furthermore, Foucault shifts the focus of what *should* happen, perfectly described in Habermas' communicative rationality, towards what *is* actually done (Flyvbjerg & Richardson, 2002:48,50; and Matthews, 2012:144). Simply put, Foucault focuses on the practice of planning where Healey and Habermas theoretically explained what should happen. Using an article from Flyvbjerg and Richardson (2002), *In search of the dark side of planning theory* as primary source, Foucault's perspective will be explained in Table 2.6, by comparing it to Habermas' perspective.

Table 2.6: Foucault vs. Habermas

(Allmendinger & Tewdwr-Jones, 2002:15,16; Flyvbjerg & Richardson, 2002:48-53; Flyvbjerg, 2004:4-7).

Foucault	Habermas
<ul style="list-style-type: none"> Foucault sees discourse as a medium where power can be transmitted or produced. Power and knowledge are not separated in Foucault's perspective. 	<ul style="list-style-type: none"> Habermas' communicative rationality in which discourse takes place is separated from power.
<ul style="list-style-type: none"> Foucault believed that the "ideal speech" situation from Habermas is not possible. Foucault contextualises different power relations. 	<ul style="list-style-type: none"> Habermas deals with rationality and power, by creating consensus resting on validity claims that are assumed Habermas disregards particular aspects such as cultural differences, showing a lack of contextual knowledge.
<ul style="list-style-type: none"> Foucault's perspective truly support a bottomup approach. Foucault does not describe a process that has to be followed. Foucault gives a departure point within discussion focusing on power relations and conflicts to be resolved in order to resist domination of certain power groups. 	<ul style="list-style-type: none"> Habermas' theory seems bottom-up, as it places a strong focus on interactive communication and participants and planners listening to each other (see table 2.5). Habermas' discourse process is structured in such a way that where individuals and groups would be told how to behave and what to do is more a top-down approach.

Even though it is clear out of Table 2.6 that Habermas and Foucault viewed communicative planning differently, there were commonalities among their perspectives. As Flyvbjerg (2002:2) points out, both Foucault and Habermas aim to prevent the exploitation of power within the communicative rationality. Habermas' approach is just more idealistic (a utopia) and criticized not to be constructed in reality and being and empirically empty concept as (Flyvbjerg, 2004:4,6; Flyvbjerg & Richardson, 2002:46). Foucault thus offers an alternative view that is centred on power focusing on what is done, and in such away gives the communicative planning theory some support (Flyvbjerg & Richardson 2002:59).

2.5.3 Planner: public interface in communicative models

2.5.3.1 The role of the planner

The role of the planner is an ever-changing one, and this is visible throughout the different theories, as the planner went from being a physical expert creating blueprints and master plans focusing on what the ideal urban environments should look like (see Table 2.2). Following this, planners shifted to experts administering and guiding the processes that should be followed based on rational decisions (see Section 2.4.2) - here there was an assumed consensus that the quality of life could be created through planning-enforcing mechanisms like welfare economics (see Table 2.3). It is out of criticism of the rational process view that the role of the planner started to change significantly. Reacting to this view the planner's role was to be one where the public's view was represented by the planner, thus the planner acted as an advocate representing the views of the public when policy decisions were to be made (see Table 2.4).

Out of these criticisms developed the importance of the planner being able to communicate with different stakeholders when implementing plans, the planner needed to be able to manage interpersonal relationships (see Section 2.4). Here the planner's role is once again evolved to a facilitator's communication as such between parties involved in planning (see Section 2.4). The planner's role, however, evolved even more when planning theorists started looking into societal sciences.

Argumentation and debate to solve problems and conflicts became part of what the planner's role (Taylor, 1998:122; Allmendinger & Tewdwr-Jones, 2002:13) was within communicative planning theory and being part of the communicative rationality. This was, however, questioned when power structures were involved, explaining that although planning still involved interactive relationships between stakeholders, how could the planner remain critical when often the state or a more powerful stakeholder influenced the outcome, i.e. the planning action (Allmendinger & Tewdwr-Jones, 2002:17).

One thing that is, however, directly linked to the role of the planner and is clear in both approaches explained within communicative planning theory is that consensus is a very important aspect that is to be achieved (Flyvbjerg & Richardson, 2002:58; Stiftel 2000:10; Fischler, 2000:364; Oranje, 2002:178). Achieving or fulfilling this part of the role embedded in communicative theory can, however, be difficult as societies are so complex, consisting of people from different race, genders, cultures and income levels – all of which planners need to consider. This complexity of society was already a theme in criticisms to the physical approach of planning (see Section 2.3.4), so it must have substantial influence on planning and planning practice.

2.5.3.2 The role of the public

As the role of the planner changed, so did the role of the public within planning and planning practice. Consensus amongst stakeholders involved in planning, which is important regarding planning within the communicative planning theory as mentioned in 2.5.1, suggests that the public should play a more active role within planning, going back to where the role of the public started as a passive role (having no influence) to where the planner assumed what the public needed or wanted (see Table 2.2). It was also believed that a community could be created through physical design, when thinking of Perry and Steyn's model (see Section 2.3.4).

Criticism of this physicalist view, where neighbourhoods could be created for people, without their involvement, was common as well as criticism of the fact that urban environments were designed as a whole. Following this was the role of the public in the systems and rational process view, which was also not particularly focussed on the public. Even though the systems view acknowledged that the city is built up of parts amounting to a whole, this was due to a growing confidence among theorists that by using science the quality of life could be improved (see Section 2.4.1). Naturally within this view and also the rational process view the public did not have a great influence on what happened within planning.

In the rational process view, the planner was seen as an expert who could then, using a process guiding their decisions, also determine the views and values of the public (see Section 2.4.2). The public was seen here as a collective, thus a consensus was assumed and mechanisms such as cost-benefit-analysis could quantify benefits the public would gain. Planners made decisions regarding the public using methods of analysis like cost-benefit and welfare economics, to identify what would be best for the public (see Table 2.4 and Section 2.4.2).

Out of criticisms labelling planning as valueless, because a process could not be used to make decisions regarding ethics, the role of the public started to become a topic of discussion, so to speak. Growing social unrest and protests that started in the 1960s (Taylor, 1998: 75-77) due to the public experiencing increasing levels of inequality due to the effects of the welfare state; problems that were created by economic growth (Flyvbjerg & Petersen, 1982:40). The *Skeffington Report* was also published in 1969, where public participation and the process regarding participation were explained (Taylor, 1998:87). This can be seen as one of the ground-breaking publications regarding public participation and the role of the public, as it was published from within the department of the environment by the British.

From here on in planning theory the role of the public became more and more prominent, as Stiftel (2000:10) also mentions communicative planning theory that encourages community-based planning actions and policies that are supported by diverse interest groups. Similarly

Fischler (2000:364) explains that although there are different interpretations within communicative planning theory, theorists are concerned about how different views of the public can be included in the decision-making process. This supports what was earlier mentioned regarding the goal of planning, amounting to consensus among different stakeholders, where the diverse public is included.

2.6 Synthesis: Planner: Public interface

Throughout this chapter the theory of planning was discussed in order to determine the role of the planner and the public. It is, however, difficult to remember all the detail, so by way of synthesizing Table 2.7 combines the paradigm of planning to relevant planning practices together with the role of the public and the planner.

Table 2.7: Planner and public interface

Paradigm	Model	Planner: Public
Substantive planning	Blueprint planning e.g. <ul style="list-style-type: none"> • Garden City • Neighbourhood unit 	<ul style="list-style-type: none"> • Planner- technical specialist focusing on physical aspects. • Public - the object of planning
Rational planning	Systems view <ul style="list-style-type: none"> • Planning is guided by scientific methods • Planning is part of a “complex whole”- a system Rational process • Planning is a process intended to solve problems and achieve goals. 	<ul style="list-style-type: none"> • Planner- an advice giver in decision-making and a representative of public needs. • Public- Needs were scientifically calculated and formed part of a decisionmaking process.
Communicative planning	Collaborative planning <ul style="list-style-type: none"> • Planning should be conducted through communicative action. • It is a result of interactive conversation between participants and stakeholders. Foucault’s power model <ul style="list-style-type: none"> • Planning is conducted through communicative action, but power structures influence planning. • Power relations and conflicts have to be resolved in order to resist domination of certain power groups. 	<ul style="list-style-type: none"> • The planner and public theoretically make decisions together through effective communication. • Including interest groups and community-based planning action.

2.7 Conclusion

Different paradigms show a developing understanding of how society works, and planners have to constantly keep this in mind during planning activities. In the substantive paradigm in planning theory, where planners focussed on the physical environment and creating ideal urban environments, planners assumed what the public wanted. The result was criticism aimed at almost every aspect of planning practice at that time. From the disregard of the public, planning cities as a whole and even the subjective nature of solving urban problems it was thought that problems could be solved by a physical design approach.

Later the city was seen as a system consisting of parts and planning decisions were regulated by rational decision-making processes, where planning was also seen as procedural, only describing the process of planning. Here criticism mainly led to the planner becoming an advocate for the public having to handle stakeholders within planning practice through interpersonal relationships, thus ensuring effective implementation.

This process view was inspired by a general belief in the power of science to solve problems through science. Later on, science was questioned because it could not properly handle aspects like ethics where people's morals and values were involved. Upon receiving criticism, planning theorists started looking into the social sciences and discovered that communication could be the key to create a planning theory that could be an answer to all the previous criticisms and could therefore in practice lead to consensus. This consensus involves stakeholders, including the public.

Theory and practice are, however, rarely correlated with each other. As Allmendinger and Tewdwr-Jones (2002:19) pose the question: if planners can facilitate the conversations regarding the favours of the public, are they also learning or reflecting on what they say? Planning theory as explained in the introduction comes from different disciplines, and perhaps raise the question of appropriateness of including other disciplines that can assist in optimising the planner: public interface. Community psychology may be such a discipline that warrants further exploration. Theories of community psychology applicable for public participation in planning will thus be discussed in the following chapter.

Chapter 3: Community psychology aiding in public participation within planning

3.1 Introduction

Considering the concluding remarks of Chapter 2, the ability of planners to conduct public participation can be questioned. It was explained that the role of the planner has changed from his being an expert purely focusing on physical aspects to the planner becoming an advocate for the public, representing the needs of the public. It is possible then that planners might not be fully equipped in all cases of public participation; noting what Tewdwr-Jones (2002:19) question regarding a planners ability to interpret the public's opinion.

In search of a possible solution to problems regarding public participation, community psychology is considered as a source of help in this chapter. The aim of this chapter is to discuss community psychology as a theoretical framework to assist in the public participation process associated with planning. For the purposes of this chapter two theories chosen from the community psychology field are discussed. These theories were chosen with the aim of the chapter in mind.

Community psychology is a very wide field, and all the theories cannot be discussed in the space of one chapter. The focus will be on Kelly's four ecological principles: interdependence, resource cycling, adaptation and succession and Rodger Barker's behaviour setting theory (Dalton *et al.*, 2001; Heller *et al.*, 1984; Duffy & Wong, 2000).

Further it will be determined whether it is possible to use the knowledge base of Community Psychology (or the inclusion of community psychologists) to support planners in the process and make it more pro-active in terms of empowering the people. Community psychology could prove to be valuable to public participation in planning as it is a socially oriented field. If so the difficulties that planners face regarding public participation may be resolved.

Firstly community psychology will be defined, to give a solid background of the origin of the theories that will be discussed. Giving a thorough background as to where and when community psychology came into existence will also involve describing the field. Afterwards the two above-mentioned theories will be discussed.

3.2 Defining Community Psychology

The name Community Psychology seems to be self-explanatory, as being the study of communities. It is, however, much more than just that. The first thing that needs to be noted is that community psychology differs from psychology generally. Psychology traditionally focuses

on individual behaviour, while community psychology deals with communities, groups and organisations regarding behaviour, social systems and relationships (Dalton *et al.*, 2001:5; Duffy & Wong, 2000:8; Heller *et al.*, 1984:ix; Levine. & Perkins, 2005:3).

Community Psychology emerged in the 1960s when psychologists started realising that individuals as such could not be fully understood in isolation from their social and environmental contexts (Heller *et al.*, 1984:ix). Community psychology, like planning in the beginning, used ideas from different disciplines such as political sciences and anthropology (Duffy & Wong 2000:6; Graham & Ismail, 2011:121; Heller *et al.*, 1984:ix). Community psychology is also often referred to as a sub-discipline of psychology (Aubry *et al.*, 2010:89; Graham & Ismail, 2011:121; and Kral *et al.*, 2011:54). As Ismail and Graham (2011:121) state, it has been thus after many re-evaluations regarding the identity and development of community psychology since the 1960s.

The one event that can be marked as a landmark event in community psychology is the Swampscott Conference (1965) where group discussions led to a change regarding the focus of psychology (Aubry *et al.*, 2011:90; Fisher *et al.*, 2008:649; Duffy & Wong, 2000:6; Graham & Ismail, 2011:123,124; Heller *et al.*, 1984:14). The emergence is accompanied by the decentralisation of health care services in America (Graham & Ismail 2011:124) and similarly in Australia and New Zealand it developed from changes in the socio-political background (Fisher *et al.*, 2008:651). This change in the focus was however centred in America and Canada at the start of this change (Graham & Ismail, 2011:124; Aubry *et al.*, 2011:90) and only in the 1980s did it emerge in Australia (Fisher *et al.*, 2008:651).

The focus change happened regarding the approach of psychology that had up until then mainly focussed on the treatment for prevention (Duffy & Wong, 2000:6; Heller *et al.*, 1984:15). As Aubry *et al.* (2011:89) explains, community psychology focuses beyond the individual with a primary characteristic of community psychology being the inclusion of ecological analysis.

Kral *et al.* (2011:47) see ecology as one of three core concerns of community psychology together with the inclusion of context and diversity. Further, the ecological framework can be regarded as the circumstances surrounding and influencing people (Kral *et al.*, 2011:47). Regarding the aspect of psychology focuses on treatment but community psychology follows a philosophy grounded in prevention (Duffy & Wong, 2000:8).

Recently this philosophy regarding prevention has evolved to a level where empowerment is the main drive with a strong focus on power relationships influencing communities (Nelson & Lavoie, 2010:82; Fischer *et al.*, 2008:656). Supporting this, Graham and Ismail (2011:132)

identified the aspect of empowerment or social action as an epistemological trend in current community psychology studies.

Not forgetting the first aspect mentioned (treatment), prevention is also identified as a cornerstone of community psychology (Aubry *et al.*, 2011:94). Before empowerment became a current aspect, prevention dominated community psychology since the Swampscott Conference (Fischer *et al.*, 2008:649,650). Generally prevention became important because it became evident that treatment, common to psychology, played a role in intervention at a late stage (Duffy & Wong, 2000:9; Heller, 1984:15). Heller (1984:15) also explains that prevention takes place at different ecological levels (see also Trickett & Rowe, 2012:125).

Clearly the ecological perspective (the individual within his/her environment), was a primary concept within community psychology (Dalton *et al.*, 2001:13; Heller *et al.*, 1984:15; Trickett & Rowe, 2012:125). The significance of this perspective will be discussed later on. But before going into further detail regarding ecological levels of analysis, a few descriptions of Community Psychology are provided in Table 3.1. This is to contextualise the focus of community psychology and to ensure that it becomes clearer.

Table 3.1: Defining community psychology

Source:	Definition:
Heller <i>et al.</i> , 1984:18	<i>...the new academic discipline that has evolved to study the effects of social and environmental factors on behaviour as it occurs at individual, group, organisational and societal levels.</i>
Dalton <i>et al.</i> , 2001:5	<i>Community psychology concerns the relationships of the individual to communities and society. Through collaborative research and action, community psychologists seek to understand and to enhance quality of life for individuals, communities and society.</i>
Nelson & Prilleltensky, 2005:22	<i>... (Community Psychology) the sub-discipline of psychology that is concerned with understanding people in the context of their communities, the prevention of problems of living, the celebration of human diversity, and the pursuit of social justice through social action.</i>
American Psychological Association 2013	<i>(Community Psychology) encourages the development of theory, research, and practice relevant to the reciprocal relationships between individuals and the social system which constitute the community context.</i>

The definitions in Table 3.1 underline the fact that the focus within community psychology is on groups, organisations - and the importance of context is also prominent. The inclusion of an

individual's context within the community psychology field is especially evident regarding the two last descriptions of community psychology (Nelson & Prilleltensky, 2005; American Psychology Association, 2013). In the first two (older) descriptions the importance is implied. Heller *et al.* (1984) portray context as the "social and environmental factors" influencing behaviour, and Dalton *et al.* (2001) refer to context as "the relationships of the individual to communities and society".

Context as referred to in the descriptions is not always the same, as Kral *et al.* (2011:47) explain that context can be conceptualized differently. Regarding the American Psychological Association (2013) definition, the context of a community includes the relationships between individuals as well as the social systems in which interaction takes place (see also Aubry *et al.*, 2011:89). Kral *et al.* (2011:47) add to this saying that context includes organisational, social, economic and even political aspects that contribute to a certain community context.

These descriptions do illustrate the fact that community psychology can be widely adopted. To understand community psychology more fully, the seven core values are listed below (Dalton *et al.*, 2001:14).

- Individual wellness: Community psychologists are interested in well-being, psychologically and physically, as variables influencing individuals are often embedded in the aspects defining individual's well-being, still including an individual's context (Dalton *et al.*, 2001:14,15).
- Sense of community: Referring to the feeling of belonging and being linked to others, this value is applied in community psychology to strengthen communities (Dalton *et al.*, 2001:16).
- Social justice: This value is very important because it entails that people's different social and economic characters should not influence the way that they are treated, as equality needs to be practised and maintained (Dalton *et al.*, 2001:16).
- Citizen participation: This value requires that community members should be involved in a meaningful way when decisions are made (Dalton *et al.*, 2001:17).
- Collaboration and community strengths: This value implies that community psychologists, although being experts in their field should not overshadow communities but collaborate with them (Dalton *et al.*, 2001:18).

- Respect for human diversity: This entails respecting all individuals, regardless of cultural beliefs, sexuality, abilities or disabilities and race to name a few aspects (Dalton *et al.*, 2001:18).
- Empirical grounding: This value stresses the importance of empirical research within community psychology (Dalton *et al.*, 2001:19).

Considering the above values the drive behind community psychology becomes clearer. The community's well-being is the main concern. All these values are important in community psychology as they form the core, but the value regarding citizen participation presents a direct link to public participation in urban planning. This value requires that citizens should be included in decisions that influence them.

Keeping the aim of the chapter in mind, the value of social justice and collaboration and community strengths may also prove to be valuable regarding public participation (Nelson & Lavoie, 2010:80; Aubry *et al.*, 2013:90). To achieve this aim there will now be a focus on theories in community psychology that might be valuable to planners and public participation.

3.3 Theoretical perspectives

3.3.1 The ecological perspective within community psychology

As mentioned above the relationship between people and their environments (or context) bears a heavy weight in the grounding of community psychology. Dalton (2001:121) explains that Kurt Lewin can be regarded as the Figure leading up to the ecological perspective – “ $B=f(P, E)$ ” with his view of function that entails that behaviour is determined by both the person and the environment. Even further back, social scientist Emile Durkheim (1867) was the first to identify a relationship between an individual's behaviour when linked to differences in social environment (Heller *et al.*, 1984:119). This function also inspired the two theories, viz. the behaviour-setting theory and the ecological principles, at a later stage.

The study of people in their ecological context is a central theme within community psychology but applies to the physical and social (psychological) aspects (Duffy & Wong, 2000:8; Dalton *et al.*, 2001:121; Maton *et al.*, 2006:9). Within this ecological perspective, ecological levels of analysis were developed regarding social relationships at each level (Dalton *et al.*, 2001:10-12; Heller *et al.*, 1984:15). In Figure 3.1 these levels of analysis are illustrated.

These levels of analysis have a deep-rooted origin which goes back to ecology which posited that there are relationships between living organisms and non-living things (Heft, 2013:162; Heller *et al.*, 1984:119). This prompted the emergence of the concept of a natural system called an ecosystem (Heft, 2013:162).

Similarly community psychology's ecological perspective includes a social system (Lounsbury & Mitchell, 2009:214; Peirson *et al.*, 2011:309). Within a social system the relationship between individuals within a community and variations in their social environment can be studied (Heller *et al.*, 1984:119). The emergence of the idea of social systems is tied to a community psychologist George Kelly (Lounsbury & Mitchell, 2009:214; Graham & Ismail 2011:125; Maton *et al.*, 2006:11; Peirson *et al.*, 2011:309).

The levels of analysis fit into this ecological perspective as being the different levels within a social system that can be studied (Dalton, 2001:10; Lounsbury & Mitchell, 2009:216; Maton *et al.*, 2006:9; Peirson *et al.*, 2011:309). The smallest "component" within the social system is the individual and at each level the interaction between the "components" becomes more complex, for example the next level includes families (Maton *et al.*, 2006:9). To illustrate how this system's idea is linked to the natural system, Lounsbury and Mitchell (2009:214) make the analogy where an atom (scientific matter) is equal to an individual.

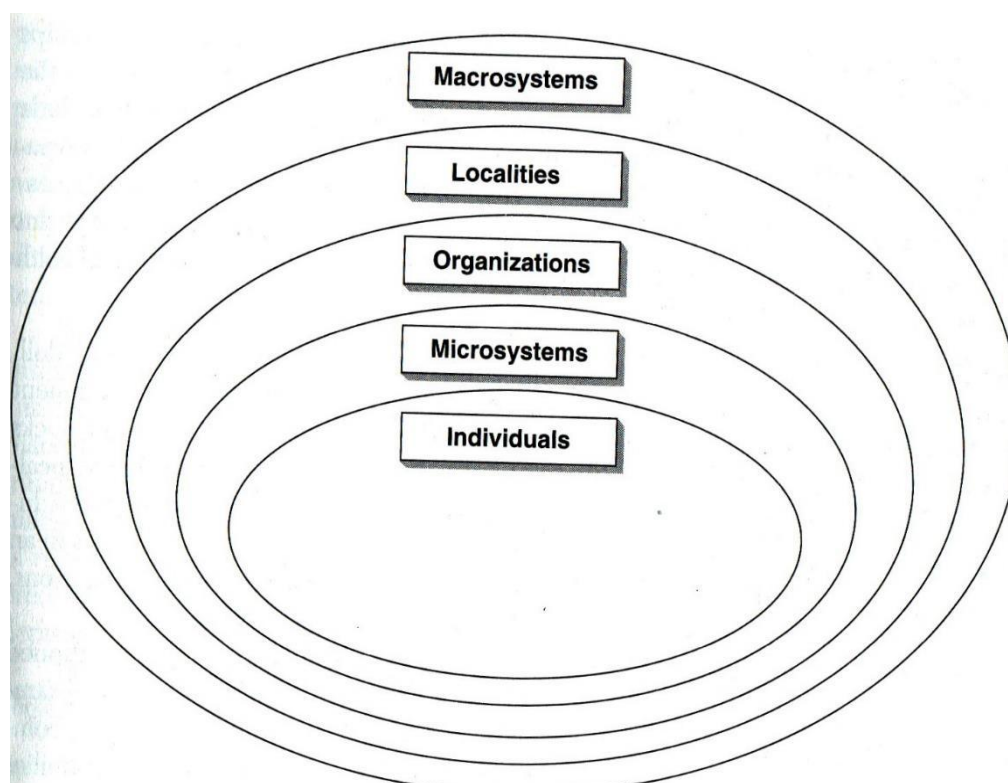


Figure 3.1: Levels of analysis for community psychology within ecology (Dalton *et al.*, 2001:11)

- The individual: This is the smallest unit within the set of interdependent layers of relationships; these relationships are studied by community psychologists regarding individuals undergoing social changes as a result of ecological transitions (Dalton *et al.*, 2001:10).

- **Microsystems:** Within this layer people interact directly with others in terms of interpersonal relationships, e.g. classrooms, families (Dalton *et al.*, 2001:11; Maton *et al.*, 2006:11).
- **Organisations:** Here sets of microsystems combined form organisations, for example staff, board and classes or public community organisations (Dalton *et al.*, 2001:12).
- **Localities:** Here there is especial reference to the geographical aspect regarding communities, the towns people live in, including organisations, microsystems and individuals (Dalton *et al.*, 2001:12).
- **Macrosystems:** Societies (nations) with their cultures, governments and economic institutions, these systems can be influenced by policies and economic changes, also ideologies and beliefs (Dalton *et al.*, 2001:13).

Taking the above levels of analysis into account it becomes apparent that community psychology can become quite complicated, considering that at each level of analysis the variables to consider grow. Duffy and Wong (2000:13) explain that to fit individuals to the exactly right setting or environment in other words finding the right combination of a setting is one of the goals of community psychology.

Further detail regarding settings will be discussed together with Barker's behaviour-setting theory. The addition of ecological principles to the ecological perspective will be focussed on first (Dalton *et al.*, 2001:127; Heller *et al.*, 1984:121; Peirson *et al.*, 2011:309). The reason for this is that Kelly's principles can be seen as an extension of the ecological perspective as explained.

3.4 J.G Kelly and the four ecological principles

“Community psychologists as a profession, I believe, should enhance the development of communities rather than only study individuals in a community-” (Kelly, 2010:389).

With the above statement in mind, it is clear that Kelly had a strong interest in community psychology and even more in communities as a whole. The principles Kelly identified come from the biological field of ecology (Dalton *et al.*, 2001:127; Heller *et al.*, 1984:121). Lounsbury and Mitchell (2009:214) describe these principles as principles of social systems analogous to biological eco-systems. These principles include: interdependence, cycling of resources, adaptation and succession.

Peirson *et al.* (2011:309) take it a step further saying that the principles Kelly proposed are intended to guide the planning, implementing and assessment of social interventions. Simplified,

the ecological or systems principles represent a critical focus on the context and communities (Maton *et al.*, 2006:11).

Similarly Trickett and Rowe (2012:130) point out that the very context of community can be found within the ecological perspective. However, they note that multi-level interventions require an understanding of the interdependence on the different levels of ecology. Kelly's elaboration of the ecology consequently expands the tools for analysing social systems (as formed within the different levels of ecology) and designing said interventions (Peirson *et al.*, 2011:309). Trickett and Rowe (2012) in their explanation in the above paragraph used the first of Kelly's principles, interdependence. Before, however, isolating one of the principles, it is important to understand all four principles as a whole. For this reason the principles are discussed as a whole. Therefore I would like to use a Figure to explain the four principles within their context (see Figure 3.2).

In Figure 3.2 interdependence is in a relationship with two other principles -resources and adaptation (seen in a triangle cycle in the above Figure). Kelly (2010:390) explains that within these ecological principles, contexts are ever changing. When one component is changed within a community it will have an effect on other components within the community, meaning multiple consequences - some wanted, others unwanted may occur (Dalton *et al.*, 2001:128; Heller *et al.*, 1984:121; Lounsbury & Mitchell, 2009:214).

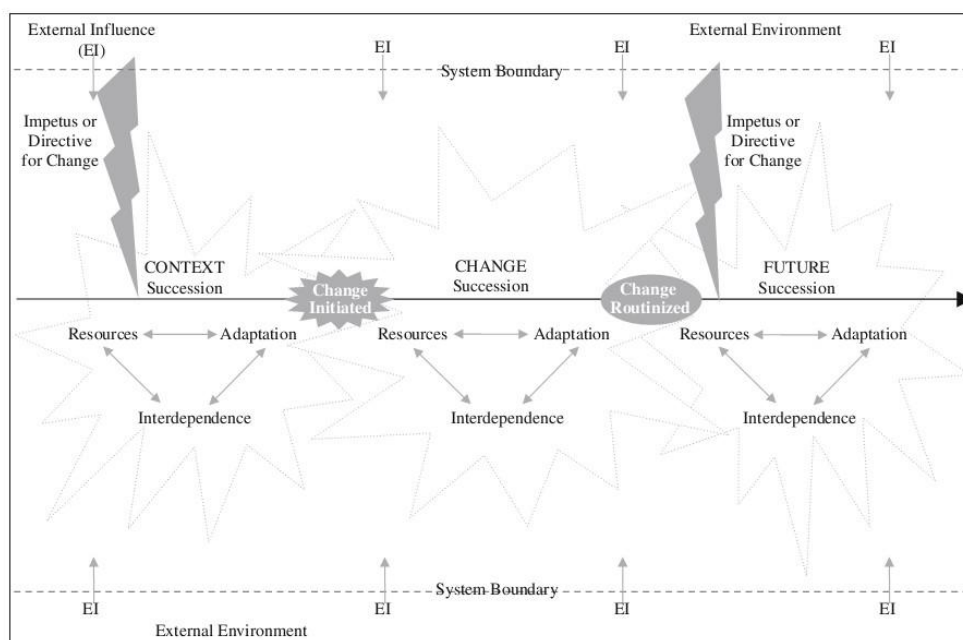


Figure 3.2: The ecological process model of systems change
(Peirson *et al.*, 2011:310)

The above Figure does not purely depict Kelly's four principles, but it illustrates how the principles work in tandem through time (Peirson *et al.*, 2011). It is an application of Kelly's

principles. The Figure is further explained by Peirson *et al.* (2011:311) noting that defining system boundaries involves a decision regarding what/who lies between the horizontal dashed lines (i.e., the elements/ agents that will implement and/or undergo change) and what/who lies beyond (the external environment). In the same way Lounsbury and Mitchell (2009:213) explain that the ecological perspective is system-oriented where information is gathered regarding dynamic interaction between individuals over space and time.

Heller *et al.* (1984:121) point out that already the notion of interdependence point to a general difference to psychology as it implies that the community is a “unit”, where intervening at multiple levels and different roles is identifiable, indicating that participation might become complicated in some communities’ cases. Additional to this Speer and Hughley (1995:742) explain that the cycling of resources is altered by social intervention, illustrating the influence yet again that intervention can have (participation being a form of intervention). Further Dalton *et al.* (2001:128) say that available resources are used by individuals to deal with demands and limitations of the environment, for instance the circulation of money how it changes hands (Lounsbury & Mitchell, 2009:215), and how things are constantly influenced by supply and demand.

Interdependence is explained by Hughley and Speer as the ecological principle that highlights the fact that all people within organisations of a community are linked. Kelly (1984:315) mentions that interdependence creates a framework for equal roles and status positions; this in turn creates a good atmosphere for collaboration. Power can then be created within the community in this process where individuals are pulled into an organisation which is of course part of a larger system. This aligns with what Rappaport (1987:122) wanted to prove in an article, viz. that empowerment is the subject of an ecological theory.

Kelly (1986:586) explains one of the roles of community psychologists as identifying the functions of networks as an intact social system. The third principle, adaptation (the first two being interdependence and resources) enables individuals within their environment to deal with problems often as a result of the cycling of resources (Dalton *et al.*, 2001:128).

Heller *et al.* (1984:122) explain adaptation also as a way by which individuals can change their roles, and in that way adapting to a new environment. In much the same way Lounsbury and Mitchell (2009:215) explain that adaptation is a way to accommodate a new situation. Now the last principle is succession which can be defined using three parameters (Heller *et al.*, 1984:122):

- The orderly process of community changes that are directional and predictable;
- Is caused by alteration of the physical environment by the community; and
- It concludes the establishment of an ecosystem that has reached its maximum stability.

Dalton *et al.* (2001:129) simply explain that ecologies change over time and succession is the principle that describes this change. These four principles, however useful they may be during social intervention (by planners), are general concepts and not specified methods of observation (Dalton *et al.*, 2001:130). These four principles illustrate processes and structures that include values and norms (Peirson *et al.*, 2001:312; Lounsbury & Mitchell, 2009:215).

Earlier there was a brief reference to a setting when the levels of analysis were discussed (3.3); the setting is the context in which behaviour can be observed as it takes place within a setting. Looking at the theory regarding behavioural settings by learning about Barker's behaviour settings could prove to enhance the usefulness of Kelly's four principles.

3.5 Barker's behaviour-setting theory

Barker's theory is explained by Perkins *et al.* (1988:355) as being inspired by a lack of theoretical understanding of environmental settings and their link to behaviour. As previously discussed, Kelly's four ecological principles also just describe the environment to a certain extent. As Smith-Lovin (1979:31) puts it, social scientists have recognised the importance of interpersonal behaviour occurring in social settings but empirical studies have remained based on individuals. Barker and Wright started doing research that led to the behaviour-setting theory in 1947 at the Midwest Psychological Field Station (Dalton *et al.*, 2001:123; Heller *et al.*, 1984:123; Wicker, 1991:288; Smith-Lovin, 1979:31). The physical and social environments were observed and Barker speculated that this was where community life began (Dalton *et al.*, 2001), within the community itself.

3.5.1 What is a behaviour setting?

A behaviour setting is a stable, frequently occurring place activity and is the fundamental unit within behaviour-setting theory (Perkins *et al.*, 1988:356). In Table 3.2 a few other definitions of behaviour settings are quoted.

Table 3.2: Defining a behaviour setting

Author	Definition
Heller <i>et al.</i> 1984:123	<i>"...the term behaviour setting referred to the naturally occurring spatial and temporal features that surround behaviour and the appropriate behavioural match."</i>
Daniel Stokols, 1995: 824	<i>"systematically organized environmental units occurring at a specific time and place and consisting of both physical components and a behavioural program"</i>

Table 3.2: Defining a behaviour setting (continued)

Dalton <i>et al.</i> , 2001:124	"Behaviour Settings- Barker developed this concept as the primary unit of analysis for his approach. A behaviour setting is defined by its time and space boundaries, and by a standing pattern of behaviour."
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In the above Table it becomes clear that a behaviour setting is simply a place where behaviour can be observed as it happens within a certain place at a certain time. The physical and social environments were observed as community life was created and maintained there, according to Barker's behaviour-setting theory (Dalton *et al.*, 2001:123).

Further, there can be distinguished between two components within a behaviour setting (1) people behaving and non-psychological objects (2) definite boundaries of time and place (Perkins *et al.*, 1988:356; Stokols, 1995:824). The components of a setting are illustrated in Figure 3.3, regarding the second component of definite boundaries (note the dotted lines). The components of a setting therefore distinguish that specific setting from other adjacent settings. Barker and his colleagues were interested in the characteristics of a behaviour setting, which consists of standing patterns of behaviour (see Table 3.2), independent of an individual's personality (Dalton *et al.*, 2001).

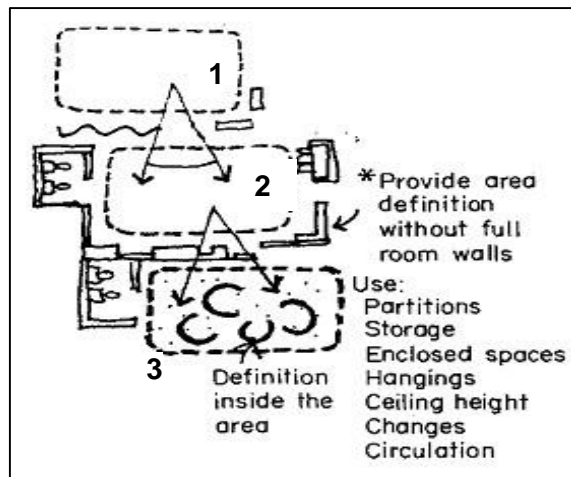


Figure 3.3: Behaviour settings inside an available space

(source: Moore 1986:209 - note that the initial top space -1- has no items, with gradually increasing definition added to the bottom space- 2,3)

Not all behaviour settings are the same; a spatially well-defined setting has a high degree of spatial differentiation containing an array of things (Moore, 1986:208). This is clearly visible in Figure 3.3 especially when one looks at the partitions causing some spaces to be enclosed. Additional to items and changes (Figure 3.3, no.3) in the environment that influences the settings there are also seven dimensions to a behaviour setting (Perkins *et al.*, 1988:356).

3.5.2 The dimensions that can be found within settings and different states of settings

- 1 and 2 are **physical** and **temporal boundaries** - a setting occurring at a certain time and place. This is in other words the locality of a setting.
- 3 **behaviour “mechanisms”** - talking, eating or listening, for example. This implies that a behaviour mechanism is an activity which results in certain behaviours taking place.
- 4 **“molar actions”** - interactions between two or more behaviour settings or the continuation of an action started in one setting and sliding into another setting.
- 5 **inanimate objects** are also part of a setting, these objects can be like the partitions illustrated in Figure 3.3 - like the partitions, or room dividers seen in within the setting boundaries of No. 3.
- 6 **people** in the setting together with the inanimate objects define the state of the setting, which can be under-populated (discussed below)
- 7 and certain people fulfilling roles of **leaders** within a setting (adapted from Perkins *et al.*, 356).

The way these seven dimensions occur within a setting will influence the quality of the setting, for example a setting that is poorly defined, i.e. lacking in inanimate objects and people. Moore explains that these settings are characterised by things such as inappropriate group sizes and surfaces that are not readily obtainable for specific activities (Moore, 1986:208).

Barker provides for even further differentiation into under-populated or unmanned and optimally populated settings (Dalton *et al.*, 2001:125; Perkins *et al.*, 1988:358). An under-populated setting has more roles than members, then people participate in different settings as the people to setting ratio is low (Dalton *et al.*, 2001:125; Heller *et al.*, 1984:124).

The opposite view to that of Heller *et al.* (1984:124) also needs to be stated, for if too many people want to participate in a setting then possibly the setting is over-manned. Further studies have shown that the ratio of the number roles obtainable in a behaviour setting, compared to the number of individuals available to play those roles, is a critical factor (Dalton *et al.*, 2001; Perkins *et al.*, 1988:358,363).

An optimally populated setting, which is the last state of setting to be mentioned, is when the number of participants and the roles to be fulfilled are exactly right for the setting (Dalton *et al.*, 2001:126). The setting is thus optimized. The idea of under and over-populating was also further studied by others - Wicker being one of the individuals who pursued Barker's study on that aspect (Heller *et al.*, 1984:124; Moore 1986:206; Stokols, 1995:824).

According to Wicker the ratio of three factors will determine whether a setting is under-manned (1) the number of people wanting to participate in the setting relative to (2) to capacity of the setting to accommodate people and (3) the minimum number of people needed for the setting to be maintained (Heller *et al.*, 1984:124). Moore (1988:206) indicates that Wicker and colleagues also sought to find connections between the architectural environmental conditions and their effect on under-manning.

Stokols (1995:824) explains that Wicker identified the conditions that contributed to under and over-manning. Interestingly enough, Moore (1988:206) states that Wicker's research at that stage had not been applied to developmental issues or the operative construction of physical environments, such as public participation. Regarding the nature and value of the behaviour setting theory, its contribution regarding developmental issues could be of particular value to public participation.

Dalton *et al.* (2001:127) state that the behaviour-setting theory within the ecological perspective provides important insights as it focuses on settings together with behaviour. Lounsbury and Mitchell (2009:213,214) add to this notion by stating that the ecological perspective and approach help to understand the dynamic complexity of people both interpersonally and with their environment. Similarly Stokols (1995:824) explains that the knowledge of the interactions between people and their environment will continue being influential in both scientific and social fields of study.

It becomes clear when looking at the behaviour-setting theory and Kelly's ecological principles that individuals should not be isolated, but should be seen in the context of their social and physical environments. This may present a possible link between community psychology and urban and regional planning. When thinking of communicative planning theory and the paradigm shift that happened in planning theory, the context started to matter. Here public participation to involve people in planning activities and the empowerment of citizens through participation became prominent (Chapter 1).

3.6 Linking planning with community psychology

At the beginning of the chapter it was mentioned that planning and community psychology would be linked regarding the process of public participation. The reason for this is perfectly highlighted by what Townsend and Tully (2004:2) mention, viz. that there is a need to consider the wider public and not just individuals and special groups in the public participation process. Barker's theory supports this as his theory suggests that people should not be observed individually (see Section 3.5).

Kelly's ecological principle of interdependence could also be of value to public participation - the reason for this is that this principle encompasses the idea that every person within a community is connected (see Section 3.4). This is important to know because it points out that when one individual is influenced by a public participation process, it can have an effect on a whole community. Freudenberg *et al.* (2009:7) also illustrate this by saying that what is good for an individual may be harmful in terms of population health and social justice. The other three principles are not to be disregarded as they also have an influence on the community.

Adaptation can be directly linked to the way that a community would respond regarding the implementation of certain development plans. Even the cycling of resources would influence development plans because if the resources aren't available, that specific development would not fit into that person-environment relationship (Dalton *et al.*, 2001:128). Further considering what Heller *et al.* (1984:122) explain about the last principle, succession, this principle can already point in the direction of where a community is changing to. In other words, this principle can inform professionals of the trends already developing within a community as it points to developmental tendencies.

All the above-mentioned knowledge that can be gained is, however, useless if it is not applied to the correct fields of development and knowledge. The inclusion of community psychology within the public policy process is widely acknowledged as an important aspect (Maton & Bishop-Josef, 2006:140; Jason, 2006:132; Nienhuis *et al.*, 2011:97). It is, however, difficult to accomplish this in practice (Chapman, 2011:511; Maton *et al.*, 2006:17; Nienhuis *et al.*, 2011:96).

Difficulties arise from a wide variety of aspects. A list of aspects that have been experienced to limit such interdisciplinary practices include:

- The previously silent perception of people in local communities and businesses is limiting to collaborative ventures - interdisciplinary communication (a language) needs to be established so that multiple systems of meaning can co-operate fairly (Chapman, 2011:511, 515). This is a limitation that is explained in the United Kingdom context.
- Planning practices are still too much top-down oriented and do not accommodate cooperation; this then highlights the difficulty of constructing policy among different actors (Nienhuis *et al.*, 2011:96,97). This is a limitation that was identified within the Dutch context.
- The decentralized nature of democracy, where the relationship between knowledge and power is not always closely related (Maton & Bishop-Josef, 2006:140). In other words planners who would not necessarily know the exact needs of communities would make decisions representing the community. This is identified within the United States and is in

contrast to the centralized character of countries such as Norway, Sweden and Germany (Maton & Bishop-Josef, 2006:140).

- Professional of the different disciplines need to be convinced themselves that collaborating with another discipline is necessary, if this is not the case Maton *et al.* (2006:17) it will make collaboration nearly impossible.

In the end it is simple to link planning and community psychology, because common goals are being pursued within communities, and natural links between the two can thus be forged (Maton *et al.*, 2006:18). The problem is, however, to implement this link in practice as can be seen from the above list. Townsend and Tully (2004:2) suggest that there should be a shift from “public participation” to “participatory planning”, they also explain that third parties should pre-mediate conflicts between stakeholders before and during open consultations. This is opposed to gaining public opinion after plans have already been drawn up and finalised, which is characterised by top-down planning practices. The ideal third party would be a community psychologist because as illustrated throughout the chapter, they are experts on how communities work.

3.7 Conclusion

In this chapter Barker’s behaviour-setting theory and Kelly’s four ecological principles were isolated within the field of community psychology. Additional to these concepts, community psychology was described to possibly find aspects that can contribute to the process of public participation within planning. It is evident that these two theories if applied correctly can be of great value within public participation (see Section 3.6). As community psychologists are the specialists with regards to these theories it would be deemed wise to include them in the process of public participation.

Barker’s theory is based on the idea of behaviour settings, which is the space where activities happen within a set time and space and behaviour patterns can be seen independent of individual personalities. A whole dynamic within a group of people is observed within this theory and different dynamics are linked to different settings. This means that public participation activities that are embarked on create a unique behaviour setting. It could therefore be critical to try and create a good behaviour setting, to ensure that the public participation process is as successful as possible and that valuable results are the outcome.

Kelly’s ecological principle of interdependence is also very important to understand. Interdependence tells us that everything is connected, which is an important concept within the context of urban is planning. Thus it is important to know that when conducting public participation it illustrates the magnitude of change that can be brought about by public participation. Subsequently, the next chapter will focus on contextualising and defining public participation in broad terms and also within the legislative context.

Chapter 4: Contextualising public participation in South Africa: A planning perspective

4.1 Introduction

While the theoretical development of planning, discussed in Chapter two, served as basis for understanding how public participation originated and evolved in planning, Chapter 3 served as an underlying motivation for the importance for public participation in communities. However, public participation per se has not yet been contextualised in terms of the South African context. Planning plays a significant role in enhancing democracy (Alexander, 2008:7) and can address social and economic inequality through inclusive planning processes (Cash & Swatuk, 2011:55). It is therefore an important change agent towards democracy in South Africa. The main purpose of this chapter will therefore be to focus on what public participation entails in the South African planning environment with specific reference to policy and legislation that guides public participation in South Africa

Firstly, public participation will be defined internationally as well as in a South African context. Secondly, different levels of participation will be discussed as this is directly referred to in the National Policy Framework for Public Participation (South Africa, 2007:15) and linked to the degree of empowerment given to citizens (Mzimakwe, 2010: 505; Buccus *et al.*, 2007:9; Zimmerman, 1990:71). As public participation in South African planning is enforced by legislation and guides the practice of public participation, policy and legislation that influence and regulate public participation will also be a focus in this chapter. National, provincial and local policies and legislation will be discussed as these three spheres are recognised within the constitution of South Africa (Reitzes, 2009:2).

The chapter will finally aim to contextualise the nature of public participation in South Africa with regard to enhancing democracy as true participation, according to Chambers (2005), is an authentic and empowering process 'generated from within' where ordinary citizens have the opportunity to actively and meaningfully contribute to their own development and well-being (Manzo & Perkins, 2006:348).

4.2 Defining public participation

Public participation can be defined in various ways. Public participation seems to place people at the centre of decision-making and to include people in decisions in order to influence decisions. Public participation is defined by the International Association of Public Participation (IAP2:2013) something that revolves around certain core values. These values include the following:

- Those who influenced decisions have a right to be part of the decision-making process;
- The public’s input will affect the decision;
- There should be sustainable decisions where the needs of both participants and decisionmakers are considered;
- The involvement of those potentially influenced by or interested in a decision should be pursued and facilitated and
- There should be a quest for participation by looking for input from participants in designing how they participate;
- public participation provides participants with the information they need to contribute towards participation meaningfully; and
- public participation gives feedback to participants regarding the effect their input had on a decision.

These core values form the most important goal of public participation. Various international definitions somehow relate to these values as basic principles for true participation. Keeping these core values in mind the focus will now turn to different definitions of participation as found in international and South African literature.

4.2.1 International definitions

While widely accepted as important, public participation is difficult to define. Some authors refer to public participation as vague (Alexander, 2008:58) and elusive (Theron *in* Davids *et al.*, 2009:113) and not universally definable due to different meanings ascribed to it (Creighton, 2005:8; Aregbeshola, Mearns & Donaldson, 2011:1279). Some of these definitions are highlighted in the table below.

Table 4.1: International definitions of Public Participation

Period of time	Definition
1960s-1970s	<p><i>...citizen participation is a categorical term for citizen power... In short, it is the means by which they can induce significant social reform which enables them to share in the benefits of the affluent society (Arnstein, 1969: 216).</i></p> <p><i>In the late 1970s it was defined as the organised efforts to increase control over resources and regulative institutions in given social situations, on the part of groups and movements hitherto excluded from such control... It could take a variety of forms, ranging from social movements to self-help groups (Gaventa & Valderrama, 1999).</i></p>

Table 4.1: International definitions of Public Participation (continued)

1980s-1990s	<p><i>“political participation” which involve the interactions of the individual or organised groups with the state, and which often focus more on mechanisms of indirect participation (Gaventa & Valderrama, 1999). Policy-makers in the 1990s have accepted that the general public should be involved in policy discussions over contentious issues such as the environment. But one of the circumstances that can militate against this admirable objective is where the discussions are dominated by ‘experts’ of one sort or another (Eden, 1996:18).</i></p>
After 2000	<p><i>Each person has a stake in protecting and enhancing the environment and citizens know the needs of their communities through work, play and travel. That is why public involvement is a central part of sustainable development policies (Department of the Environment, Transport and the Regions, 2000:8) .</i></p>
	<p><i>Active participation recognises the capacity of citizens to discuss and generate policy options independently. It requires governments to share in agenda- setting and to ensure that policy proposals generated jointly will be taken into account in reaching a final decision (Organisation for economic and co-operative development-OECD, 2001:3).</i></p>
	<p><i>Public participation, supporting the population’s commitment and guidance to urban planning actions, is therefore of utmost importance in the development process and transformation of the cities for the future (Amado et al., 2010:103).</i></p>
	<p><i>‘Public participation’ means to involve those who are affected by a decision in the decision-making process. It promotes sustainable decisions by providing participants with the information they need to be involved in a meaningful way, and it communicates to participants how their input affects the decision (International Association for Public Participation, 2013).</i></p>

Looking at the definitions in the above table it is notable that the definition of public participation has become more specific over time. The frequency of definitions also became higher as public participation became something important and current. Public participation was so wide-ranging that even self-help groups were seen as a form of public participation. In the 1980s-1990s it became a current aspect in the public sector that people should be included in the discussion of issues that influence them. People’s opinions and input grew more important as time went by - to such an extent that in the most recent definitions, public participation is portrayed as highly important and necessary.

4.2.2 South African definitions

Before formally discussing public participation definitions, it is important to take note of the fact that South Africa became a democracy in 1994 and participation largely happens within a political system (Reitzes, 2009:2,4; Ghai, 2003:3). Only after the democratisation of South Africa did public participation become part of the constitution (1996).

Table 4.2: South African definitions of public participation

Source	Definition
National Policy Framework for Public Participation (Department of Local Governance), SA, 2007:15	<i>“...public participation is defined as an open, accountable process through which individuals and groups within selected communities can exchange views and influence decision-making. It is further defined as a democratic process of engaging people, deciding, planning, and playing an active part in the development and operation of services that affect their lives.”</i>
Buccus <i>et al.</i> , 2007:8	<i>“... in South Africa, government justifies public participation in local government in all three ways. 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).</i>
PSC (Public Service Commission, 2008:V)	<i>Public participation is a mechanism for entrenching democracy and it promotes social cohesion between government and the citizens, particularly in the provision of quality and sustainable services.</i>

Despite numerous definitions, public participation essentially relates somehow to an open accountable process through which individuals and groups can exchange views and influence decision-making processes (Alexander, 2008:58; Department Provincial and Local Government, 2005; Public Service Commission, 2008:9). In Table 4.2, public participation is specifically linked to democracy as participation is referred to as a democratic mechanism and process. It is clear from the most recent definition in South African planning legislation that public participation is linked to empowering local communities. It is therefore viewed as a cornerstone of democracy in literature (Flyvbjerg, 1998:229; Al-Kodmany, 2000:220; Stave, 2002:139; Nzimakwe & Reddy, 2008:671; Reddy & Sikhakane, 2008:680; Mafunisa & Xaba, 2008:455; Burton, 2009:263; Masango, 2009:130; Mzimakwe, 2010:508; Kondlo, 2012:552) and is therefore especially important in South Africa (Maphunye & Mafunisa, 2008:463) due to the country’s recent transition to democracy and its reconstruction aims after Apartheid (Mabin & Smit, 1997:215; Nyalunga, 2006).

From the definitions, both international and South African, it can be observed that public participation is defined by various terminologies, and takes place at different levels (e.g. indirect participation proposed in Table 4.1 and mandatory public consultation in Table 4.2).

Participation does not only occur at different levels but is also facilitated through different mechanisms (e.g. Imbizos mentioned in Table 4.2). The following Sections will therefore expand on the various levels and mechanisms for participation to operate through and stages it consists of.

4.3 Mechanisms to facilitate public participation

Mechanisms to facilitate public participation exist on the international as well as national level. In South Africa there are different types or mechanisms within the three spheres of government (national, provincial and local sphere) to gain participation (PSC 2008:14). These mechanisms or types of participation inform individuals and groups to take part in decision-making regarding aspects within their environment (PSC 2008:9, SA 2007:8). Mechanisms for participation can therefore be seen as the tools that individuals or groups can use to communicate their input regarding public issues e.g. policy formulation and implementation (PSC, 2008:9; SA, 2007:9). First, the focus will be on international mechanisms that are used and then some South African mechanisms will be discussed.

4.3.1 International mechanisms

The following international mechanisms exist:

- **Public hearings:** Public hearings, usually organised by the authorities where they supply information regarding plans and citizens can then give their opinion (Van der Swiep, 1994). Local media such as newspaper notices are often used to raise interest and motivate people to participate in public hearings (United Kingdom, 2000:28).
- **Advisory committees:** Van der Zwiep (1994) explains that these are committees that give advice to the government regarding laws and policies before making decisions. These committees consist of different types of individuals representing social groups (Van der Zwiep, 1994). Minority groups (different ethnic and cultural groups) must be represented in these committees who are seen as a very important participants in public participation (Ghai 2003:5; Beebeejaun 2006:3; Van der Zwiep, 1994).
- **Stakeholder dialogues:** In contrast to focus groups, participants are peers in this type of participation and not part of research; people are engaged in dialogue regarding problems or initiatives and how to solve them (Public Agenda, 2008:7).
- **Focus groups:** Typically focus groups are built up of small groups where research interviews are conducted, and are very effective to resolve conflicts (Public Agenda, 2008:6).

- **Community conversations:** Wide-ranging participants are included here, specifically stakeholders, but also members of all parts of the society resulting in effective community forums when approached correctly (Public Agency, 2008:8). Similar public forums include professional members from town councils, official authorities, local stakeholders and residents who give inside into the local expectations (Amado *et al.*, 2010:106).

4.3.2 South African mechanisms

South African mechanisms that exist include the following:

- **Imbizos:** These mechanisms (already mentioned in Table 4.2) are meetings where state officials or politicians and citizens engage in talks over service delivery and developments (Reitzes, 2009:4). Imbizos are also referred to as “public gatherings” and have become an increasingly popular forum for the interaction between government officials and community members (Buccus *et al.*, 2007:4). Imbizos correlate with what is explained under public hearings (see 4.2.1).
- **Ward committees:** These committees consist of ten members with a chairperson, acting as the main communication channel between local municipality councils and community members (Buccus *et al.*, 2007:10; Mzimakwe, 2010:511). Important to note is that participation in the ward committees is of a representative nature and these committees are established under the auspices of the Municipal Structures Act, 1998 (SA, 1998) and form part of the local government sphere (Mzimakwe, 2010:511; Ababio, 2007:614; Draai & Taylor, 2009:117).
- **Citizen’s Satisfaction Surveys:** Recommended in the National Policy Framework for Public Participation (SA, 2007:12), these surveys are to be conducted by municipalities to gain insight into the public’s view on service delivery.
- **IDP forum:** This is another mechanism mentioned in the National Policy Framework for Public Participation (SA, 2007:13,14) described as a consultative forum, giving feedback into why certain recommendations were ignored. This is, however, a new mechanism and guidelines need to be established to include society members effectively in the process of annual reviews (Buccus *et al.*, 2007:25).
- **Advisory committees:** Advisory committees are part of new mechanisms for public participation mentioned by Buccus *et al.* (2007:25,26). Contrasting to the advisory committees in 4.2.1, these committees largely consist of expert stakeholders and not groups representing minority groups (Buccus *et al.*, 2007:25,26; Van der Zwiep, 1994). Their function in both cases is, however, advisory, and in South Africa’s case it is

suggested that these committees should be institutionalised and become part of the annual review system.

As with the mechanisms mentioned under the international types, the above mechanisms also strongly show that public participation can happen at different levels. These levels are linked to the degree to which participants are allowed to participate. Wilcox (2003:3) explains these levels as the levels to which participants are allowed to function by authorities. The levels can indicate a high degree of participation or a lower degree of participation (see Figure 4.1). Considering the mechanisms for participation mentioned, it is notable that a distinction is made between participation of a consultative nature (IDP forum) and representative in nature (Ward committees).

When looking at the different types of participation and the definitions of public participation thus far it is clear that these different types of public participation represent different levels of participation (as suggested by Arnstein, 1969). Next the focus will be on these different levels that are present within the sphere of Public Participation.

4.4 Levels of public participation

In this Section the focus will fall on the ideas and models regarding the levels of participation. First Sherry Arnstein's (1969) will be discussed as well as those of David Wilcox (1994) and one example from the South African context.

4.4.1 Arnstein's levels of public participation (1969)

A classification of levels of public participation was first introduced in an article published by Sherry Arnstein (1969). Arnstein (1969) identified seven levels of public participation. Arnstein's levels of participation were a result of social and political turmoil that was experienced during that time across large parts of the world (see Chapter 2). Arnstein's levels of participation were the result of social and political turmoil that was experienced during that time across large parts of the world (see Chapter 2). In Figure 4.1 the original levels of participation as identified by Arnstein are illustrated.

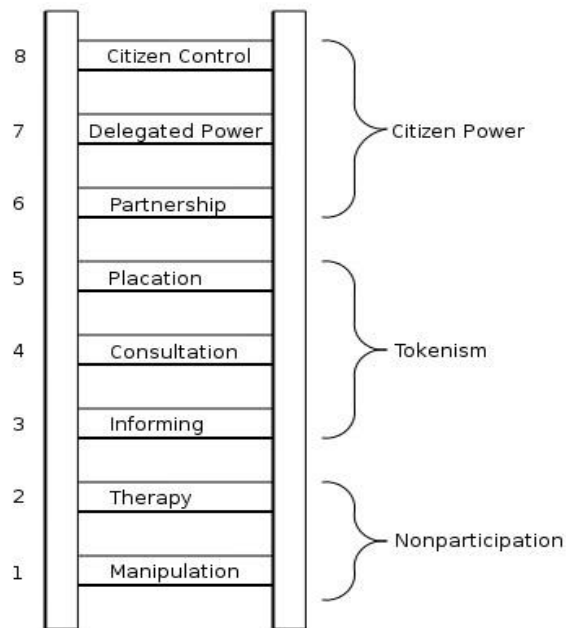


Figure 4.1: Arnstein's levels of public participation
(Arnstein, 1969)

Looking at Figure 4.1 the seven levels of participation are illustrated, but also the degrees of public participation linked to the respective levels. Arnstein (1969:216) explains that there is a difference between empty participation (non-participation Figure 4.1) and having the power to direct the outcomes of decisions. The levels of participation will be explained, to further explain participation and non-participation.

4.4.1.1 Non participation

- **Manipulation:** Arnstein (1969:218) sees manipulation as a distortion of participation because the participation was in the form of elite citizens or officials informed, educated and advised citizens what to do.
- **Therapy:** This is explained as a dishonest form of participation conducted by social workers for example who subject citizens to group sessions, where citizens are distracted from actual issues such as racism (Arnstein 1969:218). Both *manipulation* and *therapy* are seen as non-participation as the power of the citizen is limited and does not influence decision making (Tritter & McCallum, 2006:157).

4.4.1.2 Tokenism

- **Informing:** Informing citizens is seen as a step in the right direction regarding participation, but only if the flow of information allows negotiation and feedback (Arnstein, 1969:219).

- **Consultation:** Arnstein (1969:219) explains that consultation is a very good thing but it must be accompanied by another method of participation, for example public hearings. Consultation has been referred to in Section 4.2.1 and 4.2.2, what is, however, important to remember that consultation is only meaningful when powerholders allow participants to actively participate (OECD, 2001:2; Arnstein, 1969:209).
- **Placation:** Here the citizens have some degree of influence on decisions made; it is still referred to as tokenism since as the power-holders still have the greater say in decisions (Arnstein, 1969:220). In National Policy Framework for Public Participation (SA, 2007:16) the communities' advice is asked and token exchanges are made which are then referred to as placation (this also explains why Arnstein refers to placation as representing tokenism).

4.4.1.3 Citizen power

- **Partnership:** this is the sixth step on the ladder and also the first place on the ladder where the degree of participation is of such a nature that the public have power (see Figure 4.1). Arnstein (1969:221) posits that at this stage on the ladder power is redistributed through negotiation taking place between power-holders and citizens. On all the previous steps of the ladder, citizens were never the side with power (this power refers to the entity or group who has the strongest influence regarding decisions).
- **Delegated power:** At this stage negotiation is still the key practice, but it is on such a level that public officials (previous power-holders) need to bargain with citizens (Arnstein, 1969:222). In the National Policy Framework for Public Participation (SA, 2007:16) essentially decisions are still made by government and participation is also funded by the government. At this stage interdisciplinary methods are used to accommodate different perspectives (SA, 2007:16)
- **Citizen power:** As the name suggests this is where citizens have complete control within programmes and institutions regarding policy aspects (Arnstein, 1969:223).

Especially when considering the last two steps on Arnstein's ladder of public participation it becomes evident that the model might tend towards idealism, even though there are empirical examples for each step on the ladder (Arnstein, 1969). Tritter and McCallum (2006:156) further mention that Arnstein's primary and isolated focus on power within public participation undermines different forms of knowledge and expertise by only focusing on power for citizens. Arnstein's ladder of public participation has led to the construction of other similar models such as Wilcox's ladder (referred to by Tritter & McCallum, 2006:157 and Figure 4.2), as well as Mzimakwe's levels.

4.4.2 Wilcox's levels of participation (1994)

The levels of participation described by Wilcox (1994) are an adaptation of Arnstein's (1969) levels of participation (see Figure 4.2). There are more adaptations to the model by others like White's typology of participation, and in essence most models stem from Arnstein, and are therefore quite similar. Seeing how the model is adapted illustrates that there are different interpretations to accomplish citizen empowerment like Arnstein.

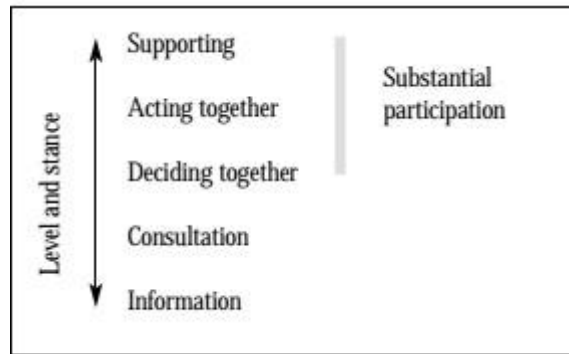


Figure 4.2: Wilcox's ladder of public participation
(Wilcox, 1994:8)

4.4.2.1 Informing and consultation

The lowest level of participation, information, is described by Wilcox (1994:8) as the minimum where people are just told what is being planned (see Figure 4.2). The next level, consultation, offers some interaction because there is then listened to feedback (Brodie *et al.* 2009:19; Wilcox, 1994:8).

4.4.2.2 Deciding together

The third level, deciding together, is the first level where two-way communication is actually possible. As Wilcox (1994:8) explains, on the third level new ideas are allowed and considered and the best option is decided together.

4.4.2.3 Substantial participation

On the fourth level partnerships are formed and decisions carried out. The last level is called supporting independent community initiatives (Wilcox, 1994:8), and here communities are assisted and advised on how to accomplish their own plans (Wilcox, 1994:13). On the last level funds and grants are given to communities to develop their own plans together with expert advice (Brodie *et al.*, 2009:19).

However, different from these models, the aspect of consultation forms an integral part of the process of public participation (Mzimakwe, 2010:507; Reitzes, 2009:3; Buccus *et al.*, 2007;

Tritter & McCallum, 2006). Even within a South African context consultation is regarded as integral to participation (see Figure 4.3) when looking at what is described as the spectrum of participation (see Section 4.4.2)

In broad terms the various classifications of different levels seem to make two main distinctions in levels of participation: levels that are consultative in nature where citizens' influence on decision-making is limited and those levels that are more geared to transferring power to citizens in which participation has a direct influence on decision-making.

4.4.3 South African levels of public participation

Formal models of public participation, regarding the levels of public participation have yet to be developed in South Africa. Arnstein's levels of participation are referred to in local publications with the most influential probably being the National Policy Framework for Public Participation (SA, 2007:15). A reason for this lack of models such as Arnstein's could be because public participation is seen as a democratic right for all and is embedded within the South African Constitution (1996). This means that public participation is government-regulated, and is therefore conducted within the three levels of government (see Section 4.5).

A similar model was also found in a South African publication (see Figure 4.3) and is titled the spectrum of public participation. Spectrum is not the same as level, but when the content of the model is considered it can also be applied to Public Participation levels.

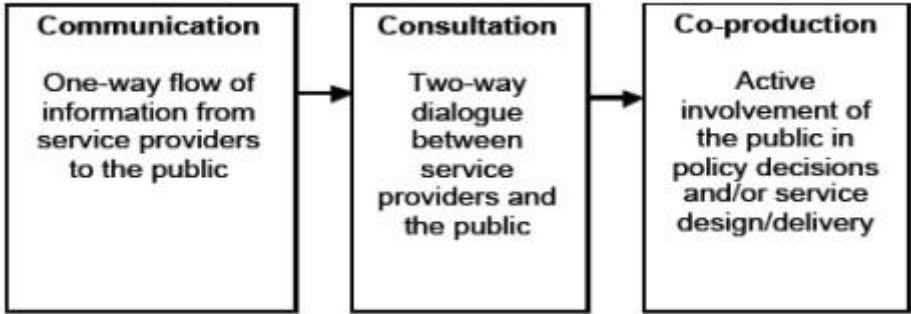


Figure 4.3: The spectrum of public participation
(Source: Mzimakwe, (2010:507)

Looking at Figure 4.3, interactive approaches to public participation are illustrated. In the same way that Arnstein (see Section 4.4) talks about one-way flow of information it is used here to describe the “spectrum” of participants. This “spectrum” is also very similar to the degrees of participation that Arnstein identified, ranging from non-participation to citizen power. The only difference here is that the focus is not primarily on power here the focus is on involving the public.

Co-production, the third link, describes active involvement of the public. Regarding active involvement mentioned here (see Figure 4.3) an active form of participation is suggested. In this specific case the active involvement is with regard to partnerships between policy-makers and the public. It seems that the different levels of participation mentioned by Arnstein (1969) and Wilcox (1994) are interpreted in this model in terms of how active or passive the participation is.

4.4.3.1 Active participation

Active participation in the broad sense is explained by the OECD (2001:2) and is based on a partnering relationship where citizens actively engage in the policy-making process. Active participation where citizens are involved in their own development as put by the PSC (2008:9) results in sustainable livelihoods.

4.4.3.2 Passive participation

Contrasting to active participation, passive participation, similar to what Arnstein (1969) sees as non-participation, is where people are told what is planned or has already happened (PSC, 2008:10). Passive participation is also seen as a top-down approach which does not result in true empowering participation (Mzimakwe, 2007:502; PSC 2008:10).

Passive participation is also indirectly contrasted to what is specified in the South African Constitution (1996), as the constitution supports a representative democracy where public consultation should take place by law (Buccus *et al.*, 2007:9). In the PSC (2008:9) it is further mentioned that the public's needs must be regarded and participation should be encouraged in policy making as is stated in the constitution (SA Act 108 of 1996: 1331(2)).

It is evident that active participation is something to be striven for, but as pointed out in the OECD (2001:2) it is not often achieved. Participation (referring to active participation) is also mentioned to promote and deepen democracy (Buccus *et al.*, 2007:8; Mzimakwe, 2007:504; PSC, 2008:ii).

According to Crofton (2001:8) public participation can either be a “means” or an “end” but also a “goal”. Crofton's view implies here that public participation can be an active process - “means” or a simply a result decided, an “end”. This idea links to the levels of participation where the former would be would be a higher level of participation as the means refers to the process itself where people collaborate with others. The latter refers to the “end” where participation is viewed as a goal or an outcome that is achieved.

4.4.4 The importance of public participation in a democracy

As clearly explained in 4.4.3 South Africa has yet to obtain a unique model of the levels of Public Participation. As mentioned, the levels that are applied to public participation are the three levels of government within the South African democratic system. Nyalunga (2006) explains that public participation as such is also a fairly new concept as it only became a concept after Apartheid with the democratisation of South Africa. Public Participation is also seen as a vitally important function in maintaining democracy (Cameron, 2006:97; Mzimakwe, 2010:504; Nyalunga, 2006; PSC, 2008:32; SA, 2007:6).

Ghai (2003:3) describes public participation as being part of the values underlying democracy together with pluralism, should embody tolerance and freedom of expression, participation and accountability. What is however very important to know is that in South Africa democracy is described as being representative and participatory (Mafunisa & Xaba, 2008:452; Draai & Taylor, 2009:113; Buccus *et al*, 2007:10).

Regarding public participation this means that within the South African democracy participatory governance is specifically a task of the third sphere, local government (see Section 4.2.2 and Buccus *et al*, 2007:10; Draai & Taylor, 2009:113; Cameron, 2006:97). Consequently this suggests that on the provincial and national participation is of a representative nature (see Section 4.3).

The power of decision-making is thus still in the government, suggesting a power imbalance. This contrasts directly what Mzimakwe (2010:503) defines as real participation where power is equally shared between the authorities (government) and participating citizens. The level on which Public Participation is actually conducted is therefore uncertain. Public Participation is supposed to empower the people of the country but the majority of power lies within the government. This results in policies and laws guiding participatory activities. As the South African government consists of three levels, there will now be a focus on policy and laws at each level.

4.5 Policy and legislation on public participation

Policies are drafted and suggested in documents such as a White Paper, but are not of a statutory nature (Buccus *et al*, 2007:8,9; PSC, 2008:ii). Legislation is laws set out to guide the conduct of affairs in this case guiding the activity of public participation (National Policy Framework for Public Participation, 2007:7).

As mentioned previously (see Section 4.2.2) the South African government is regulated at three levels. The policy and legislation will be discussed according to the national, provincial and local municipal levels as each level has unique functions regarding public participation.

4.5.1 National legislation

The South African government is centralised around the national level, as most power is allocated to this level of government (Buccus *et al.*, 2007:9). With regards to public participation, after the democratisation of South Africa public participation was assimilated as a necessity in the Constitution (1996). It is important to take note of a few Sections of the Constitution before focusing on specific laws (below a few excerpts from the constitution).

4.5.1.1 The South African Constitution (1996)

Within the constitution the key goal is to deepen democracy, with inclusion of community involvement regarding matters within local government (SA, 2007:6; Cameron, 2006:97). Furthermore public participation is regarded as the cornerstone of the constitution (Cameron, 2006:97 see also 4.2.2). With democratisation in 1994 and the constitution (1996) the path for public participation in South Africa was paved.

Table 4.3: Excerpts from the South African Constitution (1996)

Section 59 (1): *Public access to and involvement in National Assembly.* - (1) *The National Assembly must-*

(a) *facilitate public involvement in the legislative and other processes of the Assembly and its committees; and*

(b) *conduct its business in an open manner, and hold its sittings, and those of its*

(i) *to regulate public access, including access of the media, to the Assembly committees, in public, but reasonable measures may be taken- and its committees; and*

(ii) *to provide for the searching of any person and, where appropriate, the refusal of entry to, or the removal of, any person.*

Section 118: *Public access to and involvement in provincial legislatures.*-(1) *A provincial legislature must-*

(a) *facilitate public involvement in the legislative and other processes of the legislatures and its committees; and*

(b) *conduct its business in an open manner, and hold its sittings, and those of its committees, in public, but reasonable measures may be taken to-*

- (i) to regulate public access, including access of the media, to the legislature and its committees; and
- (ii) to provide for the searching of any person and, where appropriate, the refusal of entry to, or the removal of, any person.

Table 4.3: Excerpts from the South African Constitution (1996) (continued)

Section 152 (1) (e): The objects of local government (are) to encourage the involvement of communities and community organisations in the matters of local government.

Section 195 (e): In terms of the basic values and principles governing public administration – people’s needs must be responded to, and the public must be encouraged to participate in policy-making.

When looking at the above table it is clear that the three spheres are regulated and guided by the constitution. The first excerpted Section 59 (1) (SA, 1996; SA, 2006) applies to the national level of government. Looking at the underlined segments, public participation is achieved here by the public having access to information and being involved in the National Assembly.

Constitutionally speaking, the public is involved in much the same way and their participation must be facilitated and regulated (see Table 4.3). Buccus *et al.* (2007:10) point out that when regarding the Constitution it is evident that the decision-making power is centred within parliament.

It seems that this power centre is to be balanced out by the majority if public participation is concentrated within the local sphere of government (see Section 4.4). This sphere is also referred to as the “grassroots” level, meaning that this is the level within government that is closest to the public and therefore also the most apt to conduct public participation (Buccus *et al.*, 2007:4; Ababio, 2007:614). Directed at the local sphere of government there are also two key important laws regarding public participation, viz. the Municipal Structures Act 117 of 1998 (SA, 1998) and the Municipal Systems Act 32 of 2000 (SA, 2000).

4.5.1.2 The Municipal Structures Act 117 of 1998

This whole Act is important, but regarding public participation the Sections of key importance are Sections 72 and 73 (SA, 1998:52). Excerpts from these Sections will be quoted in Table 4.4, along with other excerpts of importance regarding participation.

When looking at Sections 72 and 73, it is important to note that these Sections have to do with the establishment of ward committees. As previously mentioned, ward committees are

representative committees intended to deal with the needs of the public (see Section 4.2.2). Probably one of the most important functions of the ward committee is to enhance participatory democracy (see Table 4.4). This aligns with what Buccus *et al.* (2007:3) isolate as the goals of public participation: (1) improve service delivery and development, (2) heighten the efficacy of government, and (3) intensify democracy.

Enhancing participatory democracy can also be linked directly to what was explained about South Africa being a representative and participatory democracy. Draai and Taylor (2009:118), however, point out that this Act illuminates the political structures that are to practise public participation, but does not specify how to gain participation. Note that in Sections 12 and 14 (see Table 4.4) it is only specified that consultation must be done regarding the public and affected local municipalities.

Table 4.4: Important excerpts from the Municipal Structures Act, 117 of 1998

Section 72 (3)	<i>(3) The object of a ward committee is to enhance participatory democracy in local government. (SA 1998: 52)</i>
Section 73 (1) and (4)	<i>73. (1) If a metro or local council decides to have ward committees. it must establish a ward committee for each ward in the municipality,...</i> <i>(4) A metro or local council may make administrative arrangements to enable ward committees to perform their functions and exercise their powers effectively, (SA 1998:52)</i>
Section 12 (4)(b)(c) (SA 1998: 22)	<i>(4) The MEC for local government must—</i> <i>(b) before publishing a notice in terms of this Section. consult—</i> <i>(i) organised local government in the province: and</i> <i>(ii) the existing municipalities affected by the proposed establishment: and</i> <i>(c) after such consultation publish particulars of the proposed notice for public comment.</i>
Section 14(5) (SA 1998:23)	<i>(5) The MEC for local government in a province. by notice in the Provincial Gazette...The MEC must consult the existing municipality before publishing the notice. (SA 1998:23)</i>

4.5.1.3 The Municipal Systems Act 32 of 2000

This Act addresses the aspects excluded from the Municipal Structures Act mentioned in 4.5.1.1. According to Ababio (2007:618) the Municipal Systems Act presents core guidelines and mechanisms municipalities need to be able to achieve the goals of local government. Draai and Taylor (2009:118) add to this by saying that the Systems Act contains important prescriptions that need to be considered regarding public participation.

Table 4.5: Excerpts from the Municipal Systems Act

<p>Section 17 (1) (SA 2000:30)</p>	<p>17. (1) <i>Participation by the local community in the affairs of the municipality must take place through—</i></p> <p>(a) <i>political structures for participation in terms of the Municipal Structures Act;</i></p> <p>(b) <i>the mechanisms, processes and procedures for participation in municipal governance established in terms of this Act;</i> (c) <i>other appropriate mechanisms, processes and procedures established by the municipality;</i></p> <p>(d) <i>councillors;</i></p>
<p>Section 17(2) (SA 2000:30)</p>	<p>(2) <i>A municipality must establish appropriate mechanisms, processes and procedures to enable the local community to participate in the affairs of the municipality, and must for this purpose provide for—</i></p> <p>(a) <i>the receipt, processing and consideration of petitions and complaints lodged by members of the local community;</i> (b) <i>notification and public comment procedures, when appropriate;</i></p> <p>(c) <i>public meetings and hearings by the municipal council and other political structures and political office bearers of the municipality, when appropriate;</i></p> <p>(d) <i>consultative sessions with locally recognised community organisations and, where appropriate, traditional authorities;</i> and (e) <i>report back to the local community.</i></p>
<p>Section 18 (SA 2000:32)</p>	<p>(1) <i>A municipality must communicate to its community information concerning—</i></p> <p>(a) <i>the available mechanisms, processes and procedures to encourage and facilitate community participation;</i></p> <p>(b) <i>the matters with regard to which community participation is encouraged;</i></p> <p>(c) <i>the rights and duties of members of the local community;</i> and (d) <i>municipal governance, management and development.</i></p> <p>(2) <i>When communicating the information mentioned in subSection (1), a municipality must take into account—</i></p> <p>(a) <i>language preferences and usage in the municipality;</i> and (b) <i>the special needs of people who cannot read or write.</i></p>

In Table 4.5 a few excerpts from the Act where chosen; there is, however, an entire chapter dedicated to public participation within this Act. Section 17 mentions the different mechanisms, processes and procedures for public participation, most of which have already been explained (see Section 4.2.2). Section 17(1) stipulates that the structures set out in the Municipal Structures Act must apply. Furthermore, it is important to note that just as suggested earlier, each municipality must establish its own procedures to establish local involvement.

Section 18 (see Table 4.5) is about the communication of information to community members. Available mechanisms, processes and procedures that encourage and facilitate participation are part of the aspects community members need to be informed about. When this information is

communicated to community members, attention must be paid to the language preferences and special needs of the people.

These are just some of the aspects that are touched on in this chapter (4), and further information regarding the details of public meetings, and further regulations guidelines can be found in this chapter. The previous two Acts are, however, not the only pieces of legislation with regards to public participation. In the same way that the Municipal Structures Act 117 of 1998 and the Municipal Systems Act 32 of 2000 inform each other, there are other laws impacting on public participation.

4.5.1.4 The White Paper on Local Government (1997)

The White Paper on Local Government (1997), is probably one of the most important as it directly states that citizens should be consulted regarding the quality and degree of public services (PSC, 2009:ii; Buccus *et al.*, 2007:8). This document was the first policy document published after the democratisation of South Africa and is still in many regards very important regarding public participation.

The White Paper, widely known as “Bathu Pele”, meaning *people first*, is rooted within three aspects regarding public participation: (1) people must participate in local government (2) enhancing statesmanship through people partnering with the mobilisation of resources and (3) building democracy through voting and participating in policy processes (Buccus *et al.*, 2007:8). The impact of the White paper is, however, described as limited due to the fact that it was not enforced by legislation at that time (Draai & Taylor, 2009:116).

The last mentioned could arguably be one of the causes that the development of new legislation is lagging behind, as public participation is centred within local government (Buccus *et al.*, 2007:9;

Draai & Taylor, 2009:116). Clearly “Batho Pele” has played an important role in the development of various pieces of legislation.

4.5.1.5 Other legislation

There are various other Sections of legislation that are to be applied regarding public participation.

Examples of these are discussed briefly in following Section:

- **Municipal Finance Management Act 56 of 2003-** within this act municipalities are required to publish annual financial reports open to the public, mentioned in Section 127 (SA, 2003:126).

- **Promotion to Access of Information Act 2 of 2000-** as the name suggests, within this act access to information is lawfully granted to the public (see Chapter 4 SA, 2000).
- **Local Government Transition Act 209 of 1993-** In Section 10G (1) (g) the aspect of feedback is seen as an obligation on community members regarding feedback on objectives of their IDP.

This list can continue as participation is seen as a cornerstone in the success of a democracy (see Section 2.2 and 4.4). Within these Acts it is yet again evident that public participation is mainly an activity happening within local government. Something that is, however, important to take into account is that the very manner of approaching public participation is different in each sphere within the government. At the national and local spheres, policy documents are described as being abstract, in other words theoretically based, contrasting with the provincial sphere characterised by more practically-oriented mechanisms and processes

4.5.2 Provincial legislation

The nature of public participation within the provincial sphere is of a much more practical nature, being practical in the sense that there is not a lot of legislation specified within the provincial sphere. The provincial sphere is to the greatest extent regulated by the Constitution of SA, 1996 (see Table 4.3 *Section 118*). As previously mentioned this Section is about facilitating the involvement of the public and media within legislative processes and the relevant committees (see Table 4.5 Section 18(1) (a) and (2)).

The legislation guiding provincial duties in terms of public participation regulated by the constitution is also stipulated under Rules 118 and 119 in the *Standing Rules of the North West Provincial Legislature* (North-West, 2009:49,50). In Table 4.6 a copy of Rules 118 and 119 out of the *Standing Rules North West Provincial Legislature* (2009:50) points out compliance with the constitution.

Table 4.6: Rules 118 and 119 from the *Standing Rules North West Provincial Legislature*

Parliamentary Diary:

118. The Speaker shall cause a Parliamentary Diary to be published in a manner he or she deems fit to inform the public of matters before the Legislature.

Assistance to members of public:

119. Any Committee may recommend to the Legislature that financial or other assistance be provided to any person to petition the Legislature, and for that purpose, any person may appear before a Committee or obtain Counsel.

Each of the nine provinces has a legislature consisting of political party representatives (Reitzes, 2009:2). Each province's legislature includes political party representatives (Reitzes, 2009:2) but the decision-making power lies with the municipal councillors within the legislatures. These legislatures form a platform where public participation mechanisms are practised. The key mechanisms are explained in Table 4.7.

Table 4.7: Conducting public participation within the provincial sphere

EXCO (Executive council) meets the people	<i>This initiative undertaken by the Premier and members of the executive Council in a province to engage with communities on government policy and service delivery issues (PSC, 2008:15)</i>
Public hearings	<i>Public hearings of different types are organised by different organs of the state, including Parliament and national Council of Provinces (NCOP) to engage with the general public on policy and service delivery issues (PSC, 2008:15)</i>
Imbizos	<i>As public hearings at the provincial level, imbizos are on the provincial level hosted by the presidency and provincial government regarding government institutions (Buccus et al., 2007:4). Imbizos are meetings aimed at engaging community members regarding government policies and service delivery (PSC, 2008:15)</i>

Imbizos are explained in Table 4.7 above, and have become an increasingly popular mechanism for public participation since they are regarded as an effective way of communication between the government and communities (Buccus *et al.*, 2007:4; Reitzes, 2009:4). These mechanisms are just a part of what happens on provincial level regarding public participation.

After noticing an absence of structured participatory processes the Department of Provincial and Local Government (DPLG) under the guidance of the Chief Directorate the National Policy Framework for Public Participation was published (SA, 2007). Inspired by this the Public Participation Framework (2006) document was piloted in the KwaZulu-Natal (SA, 2007:24; Buccus *et al.*, 2007:11) This document is aimed at giving practical advice regarding mechanisms and processes legally required (Buccus *et al.*, 2007:11). This document is also unique because it posits that annual reports regarding public participation plans must be drawn up.

Interestingly enough KwaZulu-Natal and the Western Cape are provinces that have formal public participation policies that are mostly referred to (see Buccus *et al.*, 2007:11; SA, 2007:24,88). The shortcomings regarding public participation will, however, be discussed in 4.6

of this chapter. The *Draft National Policy Framework for Public Participation* published by the DPLG informs the public about the background on policy-forming regarding public participation.

In contrast to this the National Policy Framework for Public Participation (2007) acts as a source of information for municipalities regarding the practical implementation of structures for public participation plans to be formulated. This leads to the next sphere of government to be discussed, which is local government.

4.5.3 Local legislation

Throughout the chapter it has been mentioned that the largest part of participation takes place within this sphere, the reason being that at this level government is closest to the people and therefore most capable of dealing with the citizens' needs (Buccus *et al.*, 2007:4; Ababio, 2007:614,616; Moyonjo & Theron, 2002:493).

Within local government there is a mixed electoral system, meaning ward councillors are elected through proportional and direct participation (Reitzes, 2009:3). As explained in Chapter 7 Section 157 and 158 (SA, 1996:1331(5)), proportional participation refers to council members already in council appointing candidates from election member lists. All citizens then registered in the municipality undergoing elections may vote (SA, 1996:1331(5)); this is referred to as the direct participation.

Further, regarding public participation at the local level, ward committees and the IDP process are instrumental in public participation, and also discussed in great detail within the National Policy Framework for Public Participation (SA, 2007). Ward committees were briefly mentioned as a mechanism to gain public participation (see Section 4.2.2), further detail will be provided about these two mechanisms.

4.5.3.1 IDP-Integrated Development Plan

IDP initially started out as a tool to help create systematic relationships and synergy among the three spheres of government (Maphunye & Mafunisa, 2008:462). IDPs have to be developed to guide Local Economic Development (LED) of municipalities (Reitzes. 2009:4). To ensure that the framework is integrated with the needs and conditions of community members, IDP forums are held. Similarly it is believed that development is more effective, feasible and sustainable when people are included in the decision-making process (Mafunisa & Xaba, 2008:452).

According to the National Policy Framework for Public Participation, IDP forums should be empowering and supportive regarding the public's involvement within the IDP process (SA, 2007:63). IDP forums strive to stay in line with the representative and participatory democracy that is central within the South African constitution (see Section 4.3 and Maphunye & Mafunisa,

2008:463,464). This is also illustrated by the fact that IDP forums are part of the Free State, Gauteng Mpumalanga Departments of Local Government and several other departments (PSC, 2008:20,21).

The level at which IDPs are formulated (District and Local level) is one step higher than Ward Committees. This means that IDP forums grant the public a chance to be part of a forum which can influence the decisions regarding development within their municipality. Moyonjo and Theron (2002:54) even go as far to say that if the public (communities) partner with IDP processes, a bottom-up participatory process in planning, empowering communities can be achieved.

This bottom-up participatory process is equal to what Arnstein (1996) strives for, viz. citizen empowerment, and what was later explained to be active participation (see Section 4.4) A few guidelines on how to ensure that IDP forums as well as Ward Committees function most effectively, and achieving the empowerment of citizens are listed below:

- An annual Public Participation Plan, including work breakdown schedules and statutory obligations to guide the IDP forum to adhere to the below mentioned guidelines.
- Construct the IDP forum as inclusively as possible.
- The forum should be given feedback, especially when council's decisions differ from what was generally advised by the forum.
- Meetings held between IDP forum representatives and ward committees or stakeholder groups should be scheduled in advance and relevant documentation must be supplied.
- Imbizos that are held should be attended by IDP forum members, to assist especially in the budget and performance management processes.

The above list that gives important guidelines regarding the IDP forum, also inadvertently points to aspects of ineffectiveness of IDP forums. If these guidelines are not adhered to, IDP forums will be completely unorganised, and will therefore not consult the public inclusively. Contrasting with ward communities, IDP forums are consultative and not advisory, therefore feedback from the councillor is also imperative (SA, 2007:14).

Considering what is set out in the guidelines of the IDP forums and also the role and function of ward committees it seems as though active participation is the general goal. The question remains regarding what the nature of public participation in South Africa is. Having gained enough background into legislation and policy regarding public participation, it is now time to evaluate the facts.

4.5.3.2 Matlosana IDP

Considering that the empirical research for this study was conducted in the Matlosana municipality, it is fitting to focus briefly on aspects set out in the Matlosana IDP. In the background Section of the Matlosana IDP, it is mentioned that certain aspects are to be stressed in the new municipal system (referring to the post-apartheid era after 1994). These aspects are listed below:

- Ensure participation of communities;
- Address most urgently the citizens' basic needs;
- Aim to disintegrate unjust spatial or institutional pattern of privilege;
- Aim to ensure integrated and sustainable development; and;
- Be focussed on delivery (IDP, 2011).

The very first item on the list focuses on public participation, which must be “ensured”, making public participation a necessity. Further on in the background Section there is further reference to public participation. It is mentioned that a “grassroots” approach to participation should be followed, meaning that participation starts at the local level - this means that the local level of government has its own guiding legislation (IDP, 2011).

Adding to this, the importance of participatory planning's importance under the new democratisation process is described. Participatory planning is described as planning where groups, individuals and organisations are allowed to access information regarding development, so that participants can be empowered by being part of decision-making processes in their own environment (IDP, 2011).

Noting the above aspects it is clear that public participation with the aim to empower is central to planning. This is further stressed in one of the IDP purposes where it is made clear that the IDP should be a mechanism where social equality can be promoted as the planning process is participatory (IDP, 2011).

In the Section where the IDP process plan of the Matlosana municipality is explained, reference is made to applying current aspects, not those of the post-apartheid era, and the following processes must be accomplished:

- An organisational structure must be established to efficiently manage draft outputs and also to grant access to affected parties in the decision-making process.

- Distributing the roles and responsibilities among role-players in the process (referring to the decision-making process) is crucial.
- Mechanisms and procedures for public participation must be created and applied.
- An action programme with timeframe and resources must be established.
- Mechanisms and procedures for alignment must be put in place.
- Legally binding planning requirements and other policies must be complied with.
- A budget for the planning process must be provided (IDP, 2011).

Looking at the above processes as described in the Matlosana IDP that have to be accomplished, it seems that there has been little improvement towards achieving participatory planning. It may seem that participatory planning has not excelled greatly but there are, however, some positive mechanisms that originate from the IDP that are mentioned in the Matlosana IDP. Next there will be a focus on ward committees that form part of the IDP representative forum process (see Figure 4.5).

4.5.3.3 Ward committees

Ward committees are an important part in public participation. Draai and Taylor (2009:119) describe these committees as “special vehicles” for public participation. Similarly Ababio (2007: 614) calls them “innovative catalysts” to promote democracy at the local level. Ababio (2007:614) as well as Draai and Taylor (2009:119) all regard ward committees as important regarding service delivery that is consistent with the needs of the citizens.

The work of ward committees is identified as democratic representative activities free from token consultation and manipulation (SA, 2007:6). Ward communities’ primary function is to make recommendations to the ward councillor or the local council (SA, 1998:53,54). Ward Committees consist of ten members and are chaired by the ward councillor; there must be women within the committee (a minimum of 40% according to Ababio, 2007:618) and diverse views must be represented (SA, 1998:52).

Ward committees are, in a manner of speaking, the communication line between the government and communities (Ababio, 2007:618; Buccus *et al.*, 2007:10; Draai & Taylor, 2009:119). Additional to representing community members, ward committees should strive to fulfil the following prescriptions provided by the Local Government Laws Amendment Bill 2007 and summarised by Draai and Taylor (2009:119,120).

- Develop a communication protocol that can be used between ward committees, bureaucracy and portfolio committees.

- Skills development must be done by ward committee members supported by municipal departments.
- Active participation of communities must be encouraged.
- Roles, powers, monitoring schedules and targets must be formally established.
- Ward committees must develop integrated plans of action in line with their respective IDPs.
- Proper administrative and managerial structures supporting ward committees must be established (Draai & Taylor, 2009:119,120).

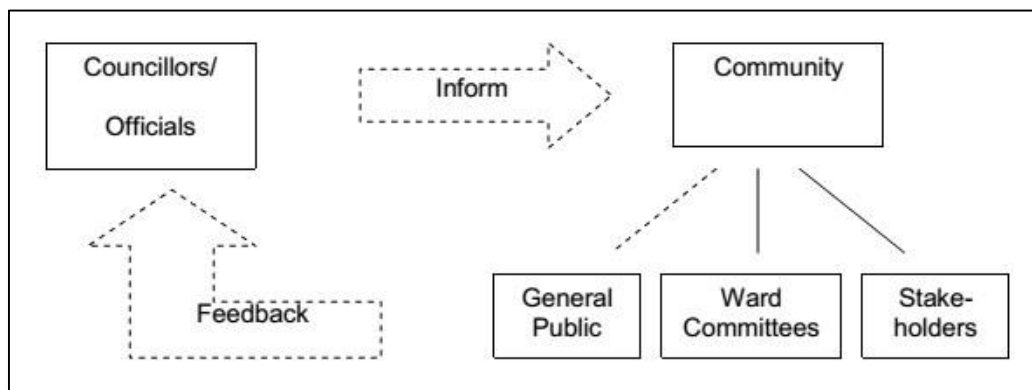


Figure 4.4: Communication channels for consultation according to the National Policy Framework for Public Participation (Source: SA, 2007:45).

As previously mentioned ward committee members should act as representatives. Looking at Figure 4.4, one can see channels of communication for consultation illustrated. Consultation is explained as the start of two-way communication between municipalities and communities (SA, 2007:47). Communities are informed by municipal officials and councillors and also give feedback to the municipalities (see Figure 4.4). The general public are not excluded but stakeholder groups and ward committees are the main channels consulted with.

Figure 4.4 in context suggests a more active approach to public participation. Draai and Taylor (2009:118), however, stress that Ward Committees as such have no decision-making powers regarding policy-making. Similarly Ababio (2007:616) explains that Ward Committees are societal organisations that facilitate mass representation.

Buccus *et al.* (2007:23) recognise this limited role of Ward Committees in Local and District municipal processes as one of the limitations. Now, considering the list that explained the future role of Ward communities, they can be contextualised, especially regarding the active participation and it is also clear that the powers and functions of ward committees are ill-defined.

Further limitations will be focussed on in the next Section, moving on to the next aspect of discussion of the IDP, or IDP processes. Ward Committees are also important in these

processes. Ultimately what happens at Ward Level should be a reflection of what is set out in the IDP. In Figure 4.5 the contexts of both Ward Committees and IDP processes are contextualised in terms of local government.

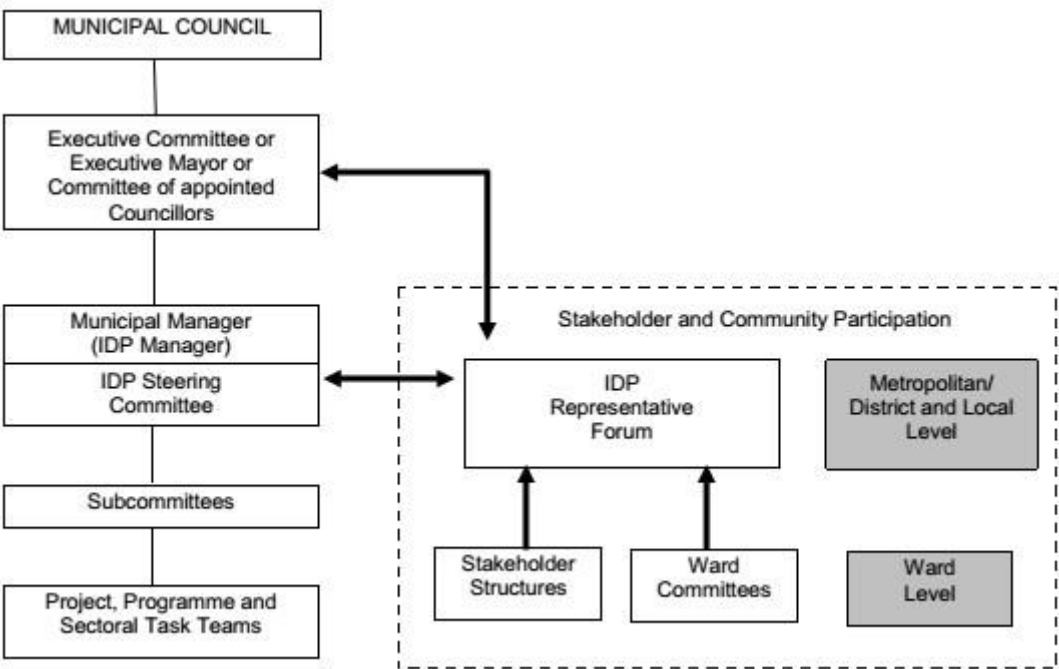


Figure 4.5: The IDP framework
(Source: SA 2007: 62)

4.6 The nature of public participation in South Africa

Considering what has thus far been described regarding public participation, it seems that policy documents on public participation suggest active participation. But as mentioned earlier with regard to the national and provincial sphere of government, public participation is mostly representative in nature. To accurately evaluate the nature of public participation, Table 4.8 will summarise the National, Provincial and Local levels of public participation regarding the legislation.

Table 4.8: The level of public participation in South Africa (http://www.parliament.gov.za/live/content.php?Item_ID=304- parliamentary commentary)

Government sphere	Legislation	Level of participation
National	Act 56 of 2003	Inform
	Constitution 74(5)(a)	Consult
	Act 107 of 1998	Consultation
Provincial	Section 118 (SA, 1996 and North-West 2009:49)	Inform
	Section 119 and North West (2009:50)	Inform

Table 4.8: The level of public participation in South Africa (continued)
 (http://www.parliament.gov.za/live/content.php?Item_ID=304- parliamentary commentary)

Local	Section 12 (b) (SA, 1998:22)	Consult
	Section 17(2) (SA 2000:30)	Consult
	Section 18 (SA,2000:32)	Inform
	Section 28(3)(iii)	Involve
	Act 56 of 2003 Section 127	Inform

Considering the above information South Africa's public participation level seems to stand strongly between informing and consulting the public. Another thing that becomes obvious is that the bulk of legislation is focussed on the local level of government (see Section 4.4.4).

Considering that most legislation is directed towards the local level one would expect a higher level of public participation. The National Policy Framework for public participation (2007:30-42), however, contradicts this. An abundance of processes at the local level specify public participation but the level reached mostly is to inform.

A possible reason for this may quite often be the minimum requirements for public participation at the local level. Other reasons for this were found when looking at articles published regarding certain municipalities and provinces.

Table 4.9: Limitations and challenges regarding Ward Committees and IDP processes

Limitations and challenges	
Ward Committees	IDP processes
Local government systems are not understood by councillors and participants, thus ward committee members are ineffective (Ababio, 2007:620).	Vast distances have to be travelled by local people to participate as municipalities are sometimes very large.
Fraudulent election of ward committee members is experienced (Ababio, 2007:620).	What is discussed during IDP forums is not visible within developments, and don't reflect the communities' precedence.
Ward committees are often dominated by certain political parties (Ababio, 2007:620 and Buccus <i>et al.</i> , 2007:23).	Ward committee members often do not attend IDP processes.
Undefined roles of ward committees within local municipalities (Buccus <i>et al.</i> , 2007:23).	IDP representatives are inappropriate to the ensure involvement of the business sector-it's too time-consuming.
Lack of salaries for ward committee members (Buccus <i>et al.</i> , 2007:23).	The lack of effort to include minority groups such as unemployed and poor people.

The limitations and challenges regarding ward committees were compiled from articles published regarding three municipalities in KwaZulu-Natal (Ilembe, Sisonke and Mgundlovu) and also research conducted in Rustenburg. Regarding the IDP process, Limpopo, the Western Cape and the same three municipalities were used. It becomes clear that one of the main

problems regarding Ward Committees is that their roles are undefined - this was also previously mentioned as one of the future priorities regarding Ward Committees (Section 4.3.5.1).

4.7 Recently approved legislation: SPLUMA 2013

The Spatial Planning Land Use Management Act 16 of 2013 was published in August 2013, and as the name suggests this act informs the processes of spatial planning and land usage.

Accordingly, this act specifies the relationship between spatial planning, the land use management system and other planning activities (SA, 2013).

Public participation is part of the development principles in the Act, in Section 7(e) describing good administration, specifically focusing on Section 7(e) (iv) and (v), and public participation is mentioned as part of good administration to be included when the mentioned planning activities (see (e) (iv) are amended or prepared (see Table 4.7.) Furthermore, public participation should include transparent processes to include opportunities for all affected parties to give their input. Lastly, the policies, legislation and processes must be established to inform and empower the public.

The prescriptions of how public participation processes should be (transparent and including all affected parties) point to an active process. The aim to empower and inform the public also suggests a very high level of public participation. There are, however, as seen throughout the chapter, very few policies, legislation and procedures practically guiding the achievement of such public participation.

Table 4.10: Section 7(e) of SPLUMA 2013 (Source: SA, 2013)

The following principles apply to spatial planning, land development and land use management:

(e) the principle of good administration, whereby—

(i) all spheres of government ensure an integrated approach to land use and land development that is guided by the spatial planning and land use management systems as embodied in this Act;

(ii) all government departments must provide their sector inputs and comply with any other prescribed requirements during the preparation or amendment of spatial development frameworks; (iii) the requirements of any law relating to land development and land use are met timeously;

(iv) the preparation and amendment of spatial plans, policies, land use schemes as well as procedures for development applications, include transparent processes of public participation that afford all parties the opportunity to provide inputs on matters affecting them; and

(v) policies, legislation and procedures must be clearly set in order to inform and empower members of the public.

4.8 Conclusion

This chapter illustrates the different levels of participation where active participation or citizen empowerment is the highest level of participation. In Section 4.2.2, where South African definitions were discussed, it seems that the concept of public participation is geared towards active participation and empowerment of citizens. It also became clear, however, that the political structure places the bulk of participation actually dealing with people at the local level. This is also evident when looking at Section 4.3, where it is even specified in legislation that participation is the responsibility of the local level, as it is closest to people. What became apparent is that the structures to implement public participation on local level may not be as effective as they should be, when regarding Ward Committees, but also IDP forums in certain regards (see Section 4.5.3.3). This may be because of the limited role of ward committees which sometimes leads to ineffectiveness (Buccus *et al.* 2007:19, 20 & 23); or it could be because ward committees facilitate “mass representation” (Ababio, 2007:616) which may be limiting to public participation strengthening democracy.

The level at which public participation is prescribed in policy and legislation is between consultation and informing which is far from the active involvement of citizens. There does, however seem to be a growing awareness that structures describing the roles and specifications of public participation mechanisms will improve (e.g. by the implementation of public participation annual reports). Structured participation processes can lead to more effective participation (Mafunisa & Xaba, 2008:459; Buccus *et al.*, 2007:16). In this case participatory monitoring and evaluation systems whereby community members can keep track of policy changes and developments (Mafunisa & Xaba, 2008:459) seems to be important. Another aspect that should be taken into consideration is the fact that each public participation scenario is context-specific and a “blueprint strategy” cannot be followed (Mafunisa & Xaba, 2008:256, also mentioned in Chapter 3). This could help and improve the communication channels used for public participation. It could also prevent stakeholders, political parties or traditional chiefs often causing conflict due to abuse of their authority as Buccus *et al.* (2007:22) and Maphunye and Mafunisa (2008:465) mentioned.

South Africa still needs to do some groundwork regarding the structures of public participation and the adaptability of these structures in real-life situations. If these are in place the whole process regarding public participation can grow from informing and consulting towards a more pro-active participatory process. However, more research seem to be necessary with regard to the practice of this, especially in planning as planning plays a key role in enhancing democracy. How exactly this should play out in planning practice is a question that the empirical Section of this research (following this chapter) will hopefully be able to answer.

Chapter 5: Research design

5.1 Introduction

The methodology and methods applied in research are important, and Welman, Kruger and Mitchell (2005:2) explain that the research methodology explains and reflects the logic of the research methods and techniques. Branham (2012:236) indicates that the methodologies guiding qualitative and quantitative research differ, and for that reason the background of qualitative research explained in this chapter will include the explanation of some qualitative research aspects. This is to emphasise the difference that exists between the two methodologies, further the research methods used will be described in this chapter. Qualitative methods of research amount to a descriptive kind of research, where group settings can be efficiently described (Welman *et al.*, 2005:188).

The primary aim of this chapter is to contextualise the background of the data used in this particular research as well as to explain the process followed to conduct this research. The focus will therefore be three-fold. The first part of the chapter revolves around the discussion and motivation for adopting the qualitative research approach that informed this research. Qualitative research is generally used in the social sciences (Poortman & Schildkamp, 2011:1728) as issues can be uniquely conceptualised, which is not always possible when using a quantitative approach (Lacey & Luff, 2001). Furthermore qualitative approaches aim to understand specific phenomena from the perspective of those experiencing it (Vaismoradi *et al.*, 2013:398) as in the case of this research where a group of participants were actively involved in public participation.

The second part of the chapter focuses on the background of the original research project which this research derived its data from. The aim, research methodology used and procedure followed in the original case study will be discussed.

The third part of the chapter will focus on the research design that informed this particular study. As this study used secondary data derived from the research project described in the second part of the chapter, the use of Secondary Data Analysis as research methodology will be discussed in detail. The procedure followed in this study will also be outlined as well as how trustworthiness and ethical aspects were addressed.

5.2 Research approach

In this Section qualitative research will be defined, as opposite to quantitative research, while the ontological and epistemological points of departure of qualitative research, as appropriate for this research, will be explained.

5.2.1 A qualitative research approach as point of departure

A qualitative research approach was chosen for this research because qualitative research is appropriate to explore phenomenon within its natural setting and to interpret the meanings that people ascribe to it (Denzin & Lincoln, 2000:3). In qualitative research the social context is very important and meaning is gained through listening carefully to the participants. It is thus appropriate for social settings (Ritchie, 2003:26; Bryman, 1994:1).

Qualitative research produces data with more depth, and it is helpful to use when certain features with regard to the nature of what is researched are considered. Ritchie (2003:32,33) refers to the following features to keep in mind when the suitability of a qualitative research approach is considered for specific research:

- *Ill-defined* phenomena: Often before quantitative research is done qualitative research is used to better understand the subject at hand;
- *Deeply-rooted* information: When the phenomenon that is studied is deeply embedded within the participants themselves;
- *Complex* phenomena: When the phenomena are essentially intricate or theoretically difficult to relate;
- *Specialist* phenomena: When the information collected is from individuals or groups having a very important role in society;
- *Delicate or intangible*: certain social research subjects are difficult to harness as they might not be visible without careful observation and structured responsive questioning; and
- *Sensitive*: It is always difficult to predict which subject matters might prove to be of a sensitive nature for an individual, because almost any subject if handled wrong can turn into a sensitive matter. Thus in qualitative research predetermined sensitive matters are dealt with by structuring certain questions to certain circumstances and also in this way helping individuals express feelings that may be distressing for them.

As the nature of this research encompasses the features above, a qualitative approach was deemed to more applicable for this research than a quantitative approach. Qualitative research

differs from quantitative research in terms of philosophy, structure, the role of the researcher, the data used, time needed, and whether the research is inductive or deductive. These differences are indicated in the following table:

Table 5.1: Qualitative versus quantitative research
(Source: Braun and Clarke, 2013 and Howitt, 2010)

	Quantitative research	Qualitative research
Philosophy of research:	Quantitative research regards <u>the social reality as static</u> and external to the individual (Howitt 2010:10).	In qualitative research the <u>social reality is constructed by the individual</u> (Howitt 2010:9)
Structure of research:	Quantitative research is mostly <u>has a highly structured strategy</u> (Braun & Clarke 2013:4; Howitt 2010:9).	Qualitative research <u>strategies are relatively free and unstructured</u> (Braun & Clarke 2013:4; Howitt 2010:9).
Role of the researcher:	The social relationship between the researcher and participant is remote. These <u>researchers are often outsiders</u> towards the participants (Howitt 2010:10; Braun & Clarke 2013:4).	The social relationship between the participant and researcher is close, to such an extent that <u>researchers see themselves as insiders</u> (Howitt 2010:10)
Nature of the data:	Quantitative <u>data is seen as concrete and reliable</u> , giving facts and statistics (Howitt 2010:9, 10).	Qualitative <u>data is seen as rich and deep</u> , written accounts are used as data (Howitt 2010:9; Braun & Clarke 2013:4).
The guiding principle:	Quantitative research is usually about <u>confirming theoretical</u> notions and concepts, testing a hypothesis (Howitt 2010:10).	Qualitative is about <u>emerging theory and concepts</u> (Howitt 2010:10).
Inductive or deductive:	Quantitative research <u>follows deductive reasoning</u> (Braun & Clarke 2013:4).	Qualitative research <u>follows inductive reasoning</u> , were the data leads to new theories (Braun & Clarke 2013:4).
Time needed:	Quantitative research can be <u>completed in a short time</u> (Braun & Clarke 2013:4)	Qualitative <u>research takes longer</u> , because there is no formula you can follow (Braun & Clarke 2013:4).

The characteristics of qualitative research set out in the table above reflect the nature of this research and served as guiding posts in the research. The ontological and epistemological views that inform qualitative research were considered and are discussed in the following Section to contextualise the qualitative approached followed.

5.2.2 Ontological points of departure in qualitative research

Ontology is the starting point of all research (Grix 2002:177). Ontology applies to everything that exists, the very nature of reality (Grix, 2002:177; Maxwell, 2011:10). Ontology in simple terms can be seen as how the world can be conceptualised. Braun and Clarke (2013:27) explain ontology as the relationship of the world and human interactions and which can be seen in different ways. Theoretically there can be distinguished between three ontological views: realism, relativism and critical realism (see Figure 5.1).

Realism and relativism are easily distinguishable as these two ontologies are opposites. Within realism the world (reality) is totally independent from human knowledge, while opposed to this relativism supports the ideas that there are multiple constructed realities (Braun & Clarke, 2013:27; Heaton, 2004:56).

Critical realism, somewhere between realism and relativism, accepts that there are different aspects to reality. However, one can only see certain parts of reality (Braun & Clarke, 2013:26, 28). Critical realism assumes that there are multiple realities that can be interpreted differently (Heaton 2004:56).

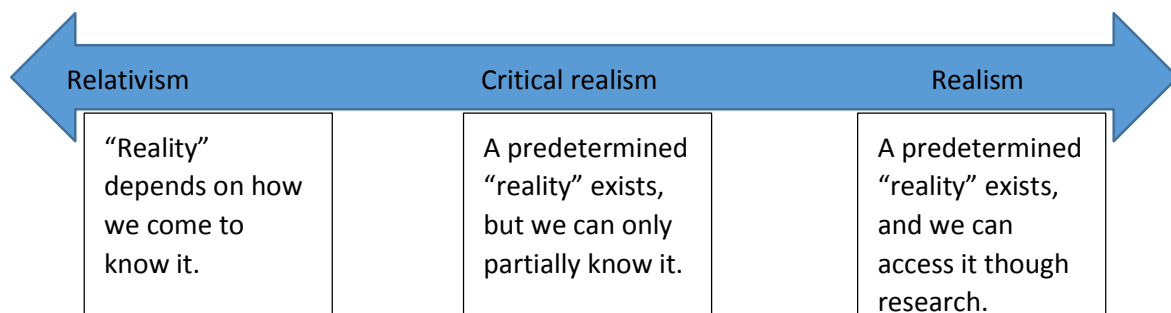


Figure 5.1: The continuum of ontology

(Source: Braun & Clarke 2013:27)

Critical realism is further expanded upon by Braun and Clarke (2013:28) by explaining that we see reality as it is, but we are influenced by aspects such as culture and history. Critical realism also assumes that the production of any kind of knowledge is social practice (Easton, 2010:120) in which the researcher is involved and can also be influenced by certain aspects. This ontological point of departure is embedded in this study.

Furthermore, critical realism also stresses the importance of communication and the way of communication (Easton, 2010:120). This assumption, though not the only assumption within critical realism, supports what is to be achieved in the research in the sense that public participation revolves around communication.

5.2.3 Epistemological points of departure in qualitative research

Epistemology is about the nature of knowledge and what can possibly be known. Epistemological views include different ways to view the legitimacy of knowledge (Braun & Clarke, 2013:28). In Table 5.2 these views, positivism (later post positivism), constructionism and contextualism are explained.

Table 5.2: Epistemological views in research (Source: Braun & Clarke 2013: 29-31)

Positivism and postpositivism	Constructionism	Contextualism
<p>Under this application it is believed the “truth” can be discovered. Purely scientific methods are used here. Post-positivism- a less rigid form of positivism that is more adaptable in social sciences. Within post-positivism finding the “truth” is still the goal, but it is acknowledged that researchers are influenced by the context of the research. Qualitative research sometimes uses this epistemology.</p>	<ul style="list-style-type: none"> • Under this epistemology poses that what we know about the world is constructed by ourselves and other objects. • This construction of knowledge takes place through various dialogues and our meaning systems. • There is also no single truth, there are different understandings forming knowledge. • The difference between constructionism lies in the fact that there is no single reality serving as a base for knowledge. 	<ul style="list-style-type: none"> • A combination of positivism and constructionism. • Linking with constructionism, contextualism also does not assume a single reality. • Knowledge develops out of different contexts, and is subject to the researcher’s opinion. • Contextualism assumes that obtained knowledge will be true within context.

In the above table positivism includes post-positivism, a later form of positivism. Post-positivism is explained as a more adaptable form of positivism and used in the social sciences (see Table 5.4). A combination of post-positivism and contextualism is the epistemological view that is used for the study. The importance of context in the forming of reality and its influence on researchers are appropriate for the study.

In this study the combination of post-positivism and contextualism is used largely because the data that was gathered is contextual (transcripts of conversations). The transcripts of the data are also very rich in description, and to a certain extent the researcher will be influenced by the context of the research (Table 5.2). An inductive approach to the study is also followed where theories arise out of the data. The inductive approach is also best adapted to include the context of the data as theories are not predetermined as with a deductive approach.

Post-positivism is particularly adapted to social sciences, finding the truth but with acknowledgement of context. The focus of this study is on the public participation process as and is focussed within the social Section of planning and is therefore supported by this epistemology. Contextualism was also viewed as important in the study of the public

participation process because the dynamic nature of public participation is difficult to see in terms of a single reality. Further it was assumed that knowledge gained is true when seen in its context and is subject to the researcher's interpretation.

5.3 Research methodology

Secondary Data Analysis (SDA) is chosen as the methodology for this research. In this Section the use of secondary data is explained, defining what secondary data is along with possible critiques. The context of where the primary research data had been generated from will also be explained by elaborating on the research questions, aims, methodology and process. Lastly ethical considerations and trustworthiness will be explained.

5.3.1 Secondary Data Analysis (SDA)

Secondary data analysis is when already existing data (primary data) are used in pursuing a different research focus, or re-analysing data to answer new questions (Church, 2001:32; Glass, 1976:3; Irwin, 2013:295; Boslaugh, 2007:1; Smith 2008:3). Secondary data analysis was applied to qualitative data* for the purposes this study motivated by the factors explained below.

The motivation for using SDA is based on the following:

- Using secondary data is very cost-effective since the data had already been collected (Boslaugh, 2007:3).
- The primary data used for secondary data analysis are often from very reliable sources such as federal bureaux and were gathered by professionals (Boslaugh, 2007:4). In this instance the data was generated by senior researchers and findings of the initial study was published in an accredited academic journal.

Secondary Data Analysis is also criticised as having certain disadvantages. As the data of one study are applied to another study with its individual aims, one of the primary disadvantages is the aspect that those specific research questions might not be answered fully by that dataset (Boslaugh, 2009:4). Braun and Clarke (2013:57) refer to this disadvantage as a problem of a data "fit", in other words within secondary research the data may not "fit" the secondary purposes.

There are, however, ways of ensuring the fit of the data. Mostly the research question is formulated while considering possible secondary datasets for their potential to answer the research question (Boslaugh, 2009:6). Braun and Clarke (2013:58) isolate three considerations to determine the extent of the data "fit":

- The magnitude of missing data;

* For more information regarding secondary qualitative analysis see Heaton (2008) Long-Sutehall *et al.* (2010) and Medjedovic (2011).

- The similarity between the primary and secondary research questions is crucial, for the greater the difference the more likely it is that the data will not fit; and
- The methodology used to produce the original data, similar types of qualitative data will enhance the fit of data.

Considering the disadvantages of secondary data the advantages of using it seems to outweigh the disadvantages. To address some of the limitations discussed in literature, the approach that was used in this study was to consult the original data in the direct verbal account as well as in the transcribed format to check for missing data. The research questions of the secondary data were different as the focus of the study is also completely different. The focus of the primary data analysis was to explore important places in the Khuma and Stilfontein communities, while the focus in this research is on the public participation process that was followed in gathering the data. This original study will now be discussed in detail to contextualise the background from which the secondary data arose.

5.3.2 Contextualisation of primary research data

As mentioned previously the primary data was generated from a study conducted by the NorthWest University Potchefstroom Campus (NWU) in 2011. To contextualise this particular research, the background of the original research project will be briefly discussed in the following Section.

5.3.2.1 Research context:

The Khuma and Stilfontien research project of 2011 took place in two mining towns in Matlosana Municipality (see Figure 5.2) namely Khuma and Stilfontein located in the North West Province. The backgrounds of these places and the research could therefore yield diverse outcomes. Khuma, a former township, was established in the 1950s due to residents moving from a neighbouring part (Makweteng) after which forced removals took place as a result of Apartheid legislation. Stilfontein, an old mining town, was established in 1949 and was greatly influenced by the British Settlers. As a result, social stratification played a big role in the functioning of the community. People were classified according to their income and positions of their job in the mine.



Figure 5.2: The Matlosana district municipality, North West Province

(Source: bgis.sanbi.org <http://bgis.sanbi.org/municipalities/munimaps/NW403.pdf>)

5.3.2.2 Research questions

Three research questions guided the original research: (i) which sites and structures in Stilfontein and Khuma represent the history of the towns?, (ii) what are the meanings and emotional connotations of these sites? and (iii) how can these sites be included in urban development and conservation?

5.3.2.3 Aim of the research project

The aim of the original project was two-fold as it was a mixed-method study. In the qualitative part the aim was to explore important places within the communities. The aims of the quantitative phase were (i) to identify possible heritage sites, (ii) and to prioritise the importance of these sites for conservation.

5.3.2.4 Methods used in the research project

A mixed-method research approach was followed in the original research project and included a first qualitative phase, a second quantitative phase and a third survey phase during which a heritage inventory was conducted (see Figure 5.3). Mixed-method research means that quantitative and qualitative methods are used together (Creswell, 2003:4; Hanson *et al.*, 2005:224). It is however necessary for integration between the quantitative and qualitative data to be called a mixed method approach (Teddlie & Tashakkori, 2006:14). In this case the first qualitative phase was exploratory in nature in terms of which places to conserve in the study areas. This phase was used to inform the second quantitative phase.

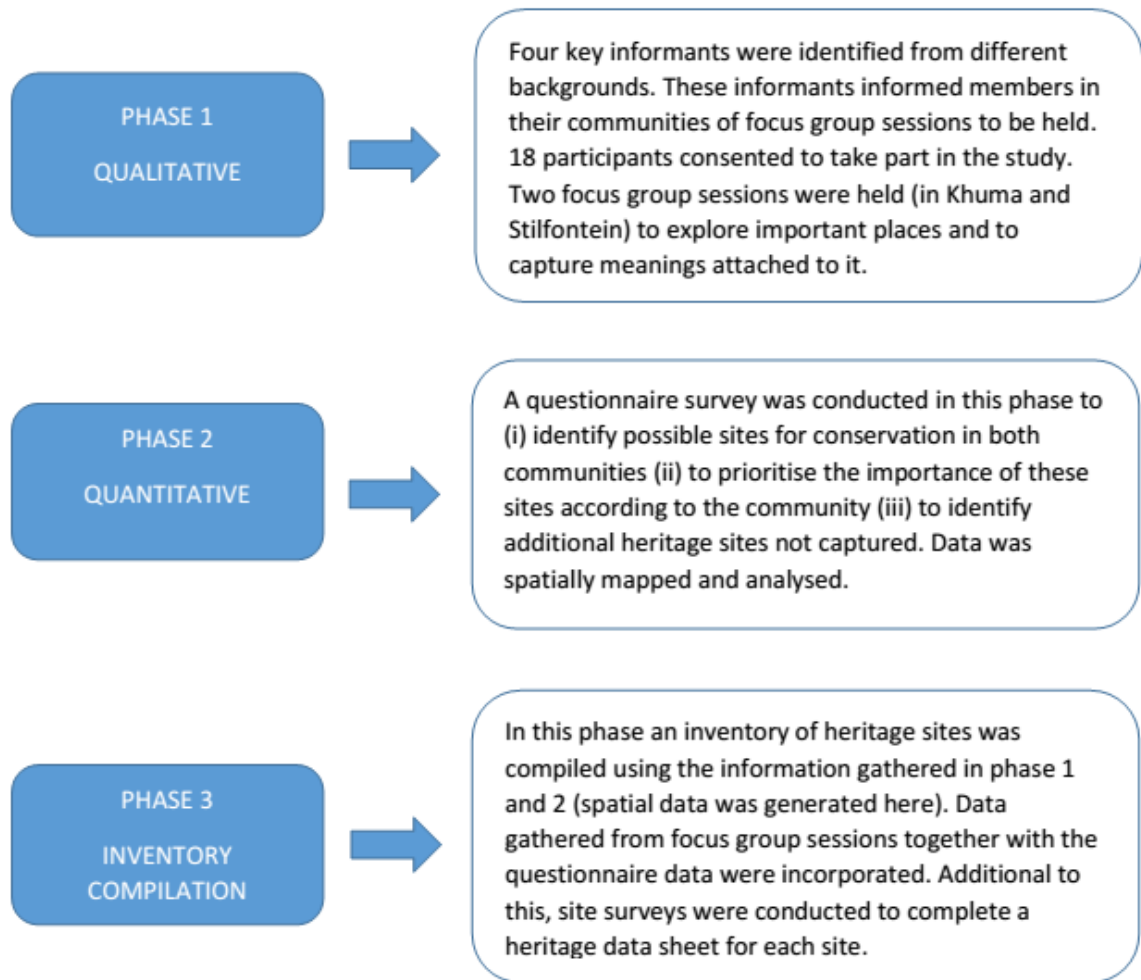


Figure 5.3: The research phases in the Khuma-Stilfontein research project
(Puren *et al.*, 2011)

5.3.2.5 Research procedure followed

This Section will explain how the data were collected in the first and second phases. The third phase will not be discussed in detail as it is more practical in nature and consisted of a physical survey of places to be conserved and is not relevant in terms of data for this particular research.

A list of aspects pertaining the qualitative study is used to describe the process:

- **Community entrance:** Four key informants (two pastors, father and son, a lifelong resident and librarian) were selected as individuals through whom access to the community was gained, informing community members of the opportunity for participating in the research. The key informants were selected due to their vast contacts among community members and because they are respected individuals in the communities.

- **Participants:** Eight people in total participated (3 females and 5 males) all of whom have lived in Stilfontein for a minimum of 10 years. In Khuma there were a total of 10 people who participated (2 females and 8 males) who had also lived in Khuma for a minimum of 10 years.
- **Data generation:** For the qualitative study in Stilfontein, the Mmogo® method was used to observe the behaviour of the participants linked to their emotional connotations with the sites as illustrated in Table 5.3.

Table 5.3: The process of the Mmogo-method®

The Mmogo-method®	
Preparation	Participants are seated around a table and are supplied with an assortment of beads, pliable clay and grass stalks (see Figure 5.4).
The first question asked to the participants, to initiate Mmogo.	<i>Using all the objects in front of you, please make a visual representation of anything that comes to your mind when you think of the places in your community that you want to see existing in the future for your children.</i>
After +- 45 min, where participants made visual representations. The representations were photographed. After which participants were asked some questions again.	<i>What did you make? Why did you make it? What is the relevance of your representation to you and others in terms of significant places? What is the meaning of your representation for you and others?</i>
Agreement amongst participants was elicited by asking:	<i>Is that the same for you?</i>

The quantitative phase used systematic sampling to select participants. A total sample of 200 people was drawn from both communities. Participants completed questionnaires focused on identifying and prioritising places for conservation in Khuma and Stilfontein (see 5.3.2.3).

5.3.2.6 Data analysis and interpretation

In the first phase textual data were analysed, in the second phase a statistical analysis was conducted with the data and in the third phase spatial analysis was conducted. The data analysis linked to the different kinds of data is explained below:

- **Textual data** were analysed by means of thematic analysis of transcriptions of the verbatim data. This entailed that all parts of the data were considered and coded in relation to topics creating themes. Further meanings into the facts in these themes were concluded. In this way of analysis ensured that the meanings attached to the identified places remained preserved.

- **Visual data** that the participants constructed during the Mmogo-method® were also analysed. The analysis was possible as participants were prompted to explain what they had made. Next, participants were also asked whether they attached more profound meanings to the places. In the end these responses were brought back to the topic of the conservation of heritage sites.
- **Statistical analysis** - as the data rendered in this phase were qualitative, a statistical analysis was conducted. The frequencies of all the questions were calculated in relation to the whole group and then also within the two separate groups (Stilfontein and Khuma). The statistical analysis was conducted by the statistical consultation unit of the North-West University.
- **Spatial analysis:** This analysis focused on spatial mapping, and a map was constructed showing existing and possible heritage sites for both communities. In a manner of speaking the data that were gathered were visually represented so that the spatial patterns could be analysed for possible information.

5.3.2.7 Ethical aspects

Permission to conduct the research was given by the Research Ethics Committee of the NorthWest University. Written consent forms were given to the participants in their respective languages. Along with the written consent participants were also informed that their participation was completely voluntary and that they could leave whenever they felt uncomfortable. Anonymity was assured and confidentiality of all the information was emphasised by the researchers by using participant numbers to refer to specific participants. The researchers also vowed to give the participants feedback when possible.

5.3.2.8 Trustworthiness

Crystallisation was applied to ensure the trustworthiness of the qualitative research findings. Crystallisation helped uncover insight into the meanings that people attached to different things. Rigour of the data was consequently ensured using different principles and strategies of crystallisation (See Table 5.3). Four principles guided the crystallisation in the Khuma and Stilfontein project, accompanied by strategies accompanying each of those principles:

Table 5.4: Principles and strategies for crystallisation (adapted from Puren *et al.*, 2011)

Principle	Strategy applied in the research
1. Deepened complex interpretations	Data collection , different methods were employed to gather data (i) the Mmogo- method® (see Table 5.2) and (ii) focus group discussions.
	Member checking and the Mmogo- method® , this was achieved by the researchers searching for information by (i) asking open questions (ii) checking that participants understood everything and (iii) explaining questions when requested. With the Mmogo- method® participants were also asked to explain their representations, ensuring that the participant's information was clear to the researchers.
2. Analysis	Multiple methods of data analysis were applied thematic content analysis and analysis strategies for the Mmogo- method® were used.
	Thick descriptions of the analysis methods and findings were provided by the researchers. This allowed researchers to access the rich data and also helped to form a holistic picture in the findings in an integrated way. Thus the participant's true realities were illustrated.
3. Genres of representation	Multiple texts formed the data. Expressions from visual art and conversations were combined; placed in juxtapose and the meanings were compiled from different accounts of the different places identified.
4. Researcher reflexions	Reflexivity was maintained by researchers by field notes were researchers noted their experiences of the research process, observations and assumptions. Throughout the research the researchers reflected on possible assumptions and perceptions that might influence the findings. They guarded against possible bias by keeping track of their emotions, observations and notes.

The Khuma and Stilfontein research project provides the context for the new study focusing on the process of public participation that was followed.

5.4 Current research

Supported and guided by critical realism (ontologically) and post-positivism together with contextualism (epistemologically), three aspects were identified that were considered throughout the study:

- The data guided the theories and themes identified in an inductive manner.
- No matter what, the context of the data remained a top priority throughout the research.
- A new phenomenon remained the focus of the study.

This Section explains the research design that was followed in this research.

5.4.1 Research methods used in this research

The most important aspect to remember when doing secondary data analysis is that the research aim and focus are different from that of the primary data. To further explain the process around secondary data analysis, Boslaugh (2009:6) identifies 6 steps in sequential order. These steps informed the process followed in this research.

Table 5.5: Steps guiding secondary data analysis (adapted from Boslaugh, 2009:6)

Research steps	Application in this study:
1. Define the question you want to study.	What does a pro-active approach to public participation consist of and how can the results be used to facilitate public participation?
2. Specify the population you want to study.	All the participants in phase 1 of the Khuma and Stilfontein research project (see Section 5.2)
3. What other variables would you like to include in your study?	The process that was followed in the Khuma and Stilfontein research project. The role-players in the public participation process. What these roles are.
4. Specify the kind of data most appropriate for your study.	Transcriptions of the Khuma and Stilfontein sessions
5. Create a list of datasets that include information needed for your study.	Khuma and Stilfontein- phase 1, focus group sessions
6. Once you have chosen the dataset, examine the variables you want to use and identify possible problems. e.g. incomplete data	Completeness of data- the transcriptions of the focus groups were compared to the audio recordings and revealed that the data was complete and correct.

The research was also conducted in phases. Figure 5.4 gives a brief summary of the essence of these phases.

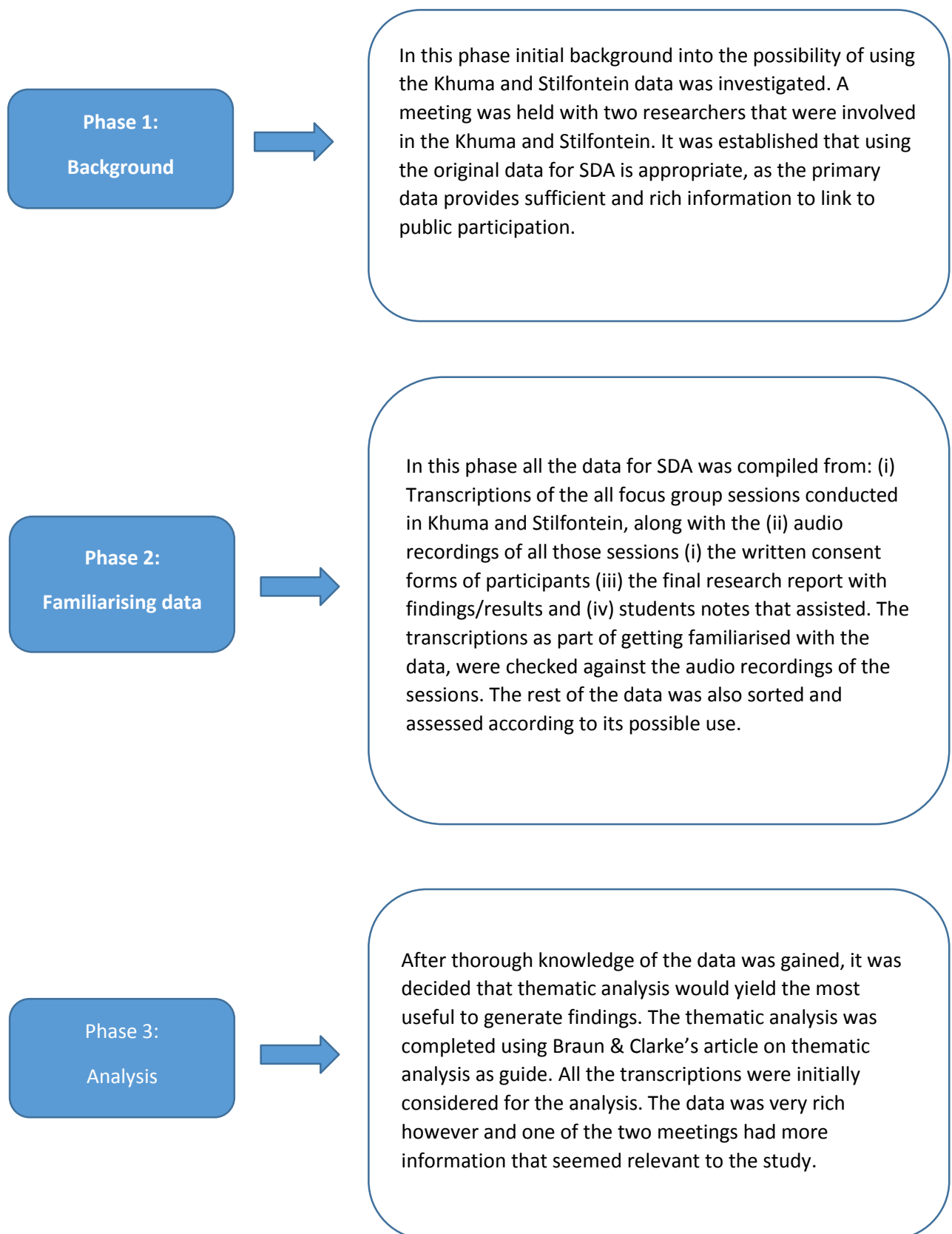


Figure 5.4: The research process

5.4.2 Research aim

The aim of this study was to analyse the public participation process conducted in two mining communities, namely Khuma and Stilfontein, South Africa in order to describe a pro-active public participation process in urban planning.

5.4.3 Objectives

Two objectives were formulated for the empirical part of the study:

- To describe the public participation process in the Khuma and Stilfontein case studies;
- To explore the roles of various role-players in the above process;

5.4.4 Data analysis: Thematic content analysis

Lacey and Luff (2001:6) explain that most data analysis that is conducted within qualitative data is classified under the rubric of thematic analysis. Thematic analysis is a data-analysing method used to identify, report and analyse patterns (themes) within data (Braun & Clarke, 2006:79; Alhojailan, 2012:10). Thematic analysis can also be adapted to inductive and deductive methodologies. An inductive analysis was conducted in this case where theories, meanings and explanations were discovered from the data (bottom-up) while a deductive methodology is where a pre-existing explanation or hypothesis is tested using the data (top-down) (Braun & Clarke, 2006: 83; Alhojailan, 2012:11; Lacey & Luff, 2001:34).

To explain the process of conducting thematic analysis the six steps identified by Braun and Clarke (2006) were used. The term coding was used frequently during this explanation. Coding is also referred to as indexing (Lacey & Luff, 2001:10) and is intended to give a feature appearing in the data that is interesting to the researcher a code (identifying unit); later on in the research codes can develop into themes (Braun & Clarke, 2006:88.89). In Figure 5.5 the process of conducting thematic analysis is illustrated step by step.

Phase 1: Familiarising yourself with the data.

In this phase a researcher familiarises himself by repeatedly working through the data. The best way to do this is through attentive reading and making notes of possible codes. The process of data transcription is also an excellent way to get to know the data.

Phase 2: Generating initial codes.

Here initial codes are produced out of the data. It is a way to organise your data, flagging the most basic segment or element of data that could be of value. It is advised to code for as many themes as possible, codes must be extracted and one extract can be used in more than one theme.

Phase 3: Searching for themes.

In this phase codes are analysed and considered on the level of themes, including various codes. Codes being combined in overarching themes. The relationship between different codes and themes should be considered (forming main themes and sub-themes).

Phase 4: Reviewing themes.

This phase commences after candidate themes where chosen. All the themes are revised again, and some are discarded others are joined or divided. Two levels of reviewing are completed here. Level 1: All the extracted data codes are reviewed and their applicability to said themes are questioned. Level 2: The same is done as in level 1 but on a grander scale each theme is considered and weighed ant to the original data.

Phase 5: Defining and naming themes.

In this phase themes are further refined and defined. The core of each theme has to be captured here. it is important to not just paraphrases what is in the data. An analysis has to be written on each theme keeping in mind other themes and sub-themes. a theme's name should be concise and to the point.

Phase 6: Producing the report.

Here everything is reported, which sufficient evidence and support for each theme. Data extracts are used to support themes and within the reporting.

Figure 5.5: How to conduct thematic analysis
(Source: Braun &Clarke (2006))

5.4.5 Ethical aspects

During the course of this study ethical considerations followed in the original study were continued during the SDA and thematic analysis. An aspect such as the informed consent form given to the participating members was a helpful aspect in the primary study. The aspect of anonymity is also regarded as paramount in this study as followed throughout the primary study.

5.4.6 Trustworthiness

All the measures taken in the research project of Khuma and Stilfontein were honoured (see Table 5.4). Additional to this, crystallisation was also applied as objectivity remains a challenge in qualitative research (Ellingson, 2009:2). The challenge with regard to objectivity arises because the research is not value-free and all people have values and assumptions (Braun & Clarke, 2013:65). Crystallization is a framework used to minimise subjectivity when conducting qualitative research by including (i) multiple forms of analysis and, (ii) combining different types of representation and text in order to give a rich an open account of the data (Ellingson, 2009:4).

Simplified, crystallisation can be described as resembling a crystal that has different facets, and the researcher has to consider the data from different angles (Ellingson, 2009:3; Thomas, 2010:324). Crystallisation was therefore also applied to the secondary data of this study, after considering some of the limitations and advantages of crystallisation (see Table 5.6).

Table 5.6: Advantages and disadvantages of crystallisation

(Source: Compiled from Ellingson, 2009:15-17)

Advantages	Limitations
Crystallisation enables the researcher to give deep and rich descriptions of the data.	It is very difficult to do research with various forms of analysis and crystallisation requires a wide variety of skills.
Crystallisation allows for less naive representations of the data as the researcher can see the participant's constructs of meaning.	Often times when using crystallisation one has to choose between depth and the scope or scale. The main reason for this is that crystallisation takes a lot of time.
Crystallisation allows researchers to go to great lengths in terms of relating and integrating narrative representations of systematic pattern finding (such as thematic analysis).	Crystallisation is not recognised within all the kinds of research paradigms, positivists for example do not support crystallisation.

Considering the advantages of crystallisation, all these form a very important component in contributing to trustworthiness, especially because secondary data were used and thematic analysis was applied the relation and integration of the data is very important. The aspects of crystallisation identified by Lincoln and Guba (1985:290), (i) truthfulness, (ii) applicability, (iii) consistency and neutrality were considered. A more recent guideline was also used to

strengthen trustworthiness in this study. Tracy (2010) describes criteria or core values to quality qualitative research and elaborates on aspects of crystallisation from Lincoln and Guba (1985).

Table 5.7: Ensuring quality research

(Source: Tracy (2010:840))

Criteria for quality (end goal)	Various means, practices, and methods through which to achieve
Worthy topic	The topic of the research is <ul style="list-style-type: none"> • Relevant • Timely • Significant • Interesting
Rich rigor	The study uses sufficient, abundant, appropriate, and complex <ul style="list-style-type: none"> • Theoretical constructs • Data and time in the field • Sample(s) • Context(s) • Data collection and analysis processes
Sincerity	The study is characterized by <ul style="list-style-type: none"> • Self-reflexivity about subjective values, biases, and inclinations of the researcher(s) • Transparency about the methods and challenges
Credibility	The research is marked by <ul style="list-style-type: none"> • Thick description, concrete detail, explication of tacit (nontextual) knowledge, and showing rather than telling • Triangulation or crystallization • Multivocality • Member reflections
Resonance	The research influences, affects, or moves particular readers or a variety of audiences through <ul style="list-style-type: none"> • Aesthetic, evocative representation • Naturalistic generalizations • Transferable findings
Significant contribution	The research provides a significant contribution <ul style="list-style-type: none"> • Conceptually/theoretically • Practically • Morally • Methodologically • Heuristically
Ethical	The research considers <ul style="list-style-type: none"> • Procedural ethics (such as human subjects) • Situational and culturally specific ethics • Relational ethics • Exiting ethics (leaving the scene and sharing the research)
Meaningful coherence	The study <ul style="list-style-type: none"> • Achieves what it purports to be about • Uses methods and procedures that fit its stated goals • Meaningfully interconnects literature, research questions/foci, findings, and interpretations with each other

Regarding the information of Table 5.7 the criteria for quality will each be contextualised regarding the current study:

- **Worthy topic:** A pro-active approach to public participation is identified within planning theory and legislation as being the current goal regarding involvement of the public. Practical guidelines, however, were lacking for purposes of guiding the achievement of such a process, and the topic addresses this gap. Relevant information regarding pro-active participation was gained based on practical applications that could reveal valuable insights on how to address this gap.
- **Rich rigour:** The study is supported with a firm theoretical base of planning theory and legislation focusing primarily on public participation within planning. Added theories that might add to the understanding of the process of public participation regarding communities is also included. The data were kept in context and for that reason the primary study was also explained in detail earlier in the chapter.
- **Sincerity and credibility:** During the commencement of the study reflexivity and transparency were enforced to avoid subjective interpretation. Meetings were held with two of the primary researchers who had facilitated the process in the primary study, to maintain objectivity. Credibility is enhanced by thorough descriptions and explanations.
- **Resonance:** Through the use of tables and Figures together with own interpretations resonance is addressed. Furthermore the findings can also inform other disciplines struggling with the process of pro-active public participation.
- **Significant contribution:** The study can inform the practice of planning through identifying important aspects that were observed in the empirical study, consequently leading to better guidance of pro-active public participation in planning.
- **Ethics:** See Section 5.4.6
- **Meaningful coherence:** The interconnection between planning theory and the focus on public participation as defined by legislation is coherent with the aim of describing a proactive public participation process. In the findings there is also referred back to theory and legislation previously discussed in terms of the answering of the research questions and achieving the aim of the study.

5.5 Conclusion

Proper background into the Khuma and Stilfontein research project (primary data source) has been given together with the research design used in this study. Applying a qualitative approach to the research was discussed as appropriate for this research as it would most likely result in an in-depth and thorough analysis of the process of public participation that was followed in the Khuma and Stilfontein research project. As part of this approach the focus is very much concentrated on the context within which the original project was conducted for example descriptions and details not previously considered.

Re-evaluating the data of the Khuma and Stilfontein allowed the focus of the study to be on the process that was followed. Studying and analysing data from another angle by means of SDA may result in new knowledge and interpretation of existing data. This may possibly lead to guidelines to improve processes and practices of public participation in planning as well as shed light on the roles various role-players fulfilled during public participation.

In the subsequent chapter the findings of the analysis are presented. This was done using the methods described in this chapter together with a clear understanding of the methods. This implies clarity of the findings are enhanced, due to proper background knowledge.

Chapter 6: Findings: Khuma and Stilfontein public participation

6.1 Introduction

When considering public participation, the process of public participation should reflect practices where citizens are actively involved, informed and expressing themselves (Mafukidze & Hoosen, 2009; PSC, 2008:2; SA, 2007:6). A “grassroots” approach, or bottom-up approach is also important to the public participation process (Harrison, 2006:202; Mafukidze & Hoosen, 2009), where citizens are informed at an early stage of developments. Communicative planning theory, the most recent paradigm within planning theory, strongly focuses on democratic practices where communication and consensus among stakeholders is paramount. Public participation is described as strengthening democracy through promotion of the relationship between government and the citizens (PSC 2008:v; Buccus *et al.*, 2007:8). If theory is to be matched to practice the planner’s task is extremely difficult, as the planner needs to remain a professional entity but also consider the public’s opinion (Allmendinger & Tewdwr-Jones, 2002). Do planners have the tools, guidelines and knowledge to fulfil such a diverse role and responsibility?

In the previous chapter the research design was discussed as well as the background to the study from which the primary data were used (see Section 5.2). This chapter gives an overview of the findings of the thematic analysis (see Section 5.4) as conducted from the two primary datasets, Khuma and Stilfontein. The focus of this (2013-2014) study was on the process that was followed in terms of public participation. Themes that emerged from the qualitative data analysis are presented in this chapter while the findings are discussed in relation to relevant community psychology theories and planning theory.

6.2 Findings from the secondary data analysis

The following findings were gathered from the secondary analysis of the transcribed data of the Stilfontein and Khuma focus group discussions that were held. The datasets were analysed separately. Four main themes emerged from the Khuma data and four from Stilfontein with regard to the public participation process that was followed.

6.2.1 Themes from Stilfontein

Table 6.1: Theme 1: The researcher's attitude

Theme 1: Researcher's attitude	
Subtheme	Supporting Quote
• Appreciation of participant's participation.	<i>" Ons waardeer regtig almal se deelname en die feit dat u 'n tydjie afgestaan het om hier te wees" p.1</i>
• Recognition of the participants' attitude and time.	<i>" Van my kant af, baie dankie vir julle entosiasiese deelname, thank you so much for your time" p.39</i>
• Motivated and reassured participants input.	<i>"As u voorstelle wil maak, gebruik enige van die materiale en wys vir ons." p.9</i> <i>"dit hoef nie iets te wees wat mooi geteken of gebou te wees nie, maar enige iets" p.10</i>
• Inquire about participants opinions.	<i>"Is dit vir almal belangrik? Is julle in ooreenstemming met dat dit 'n manier is hoe mens hierdie terrain kan bewaar." p.15</i>

A participatory atmosphere was created by the researchers through showing the appreciation and recognition of the participants' time, their input and their attitude during the whole session. There was also a sense of openness towards the participants and any suggestions that participants had.

This openness was on various occasions stressed by the researchers by recognising participants' enthusiasm and general friendliness.

The researchers also motivated the participants to use the materials at their disposal to make suggestions. This motivation is linked to the facilitators reassuring participants that any form of participation is welcome. This in turn contributes to creating and maintaining a participatory atmosphere.

Participants' input was confirmed by researchers who continuously verified the information that was shared by the participants. Participants also had opportunities to respond and give their input throughout the process.

Table 6.2: Theme 2: Nature of the methods to facilitate public participation

Theme 2: Nature of the methods to facilitate public participation	
Subtheme	Supporting Quote
<ul style="list-style-type: none"> Flexibility to participate according to participants' preference 	<p><i>"Indien enige van julle voel julle wil op 'n ander kant van die kaart werk is julle welkom om rond te beweeg" p.8 (Researcher)</i></p>
<ul style="list-style-type: none"> Various mediums for expression 	<p><i>Researcher- "enige iets wat u nou vir ons op hierdie kaart gaan aandui, maak nou nie saak op watter manier, of dit 'n papiertjie is wat u op skryf, of met die klei, of enige van die material wat ons voorsien nie, dit is die voorstelle wat ons graag wil deurgee aan die einde van hierdie navorsing." p.10</i></p> <p><i>Participants' evaluation</i></p> <p><i>"Ekskuus kan ek nou net weer sê, dis vir my 'n baie oulike metode met die foto's en klei." p. 36</i></p> <p><i>"...but the modelling and so on I thought was an excellent idea," p. 38</i></p>
<ul style="list-style-type: none"> Visual methods enabled participants' representations. 	<p><i>"To see that, reminded me again, yes there was a wall and I had forgotten about it... So it's not just my memories, it's all of those , the little photos, the models put together" p.36 (Participant)</i></p>
<ul style="list-style-type: none"> Intercommunication of participants can trigger memories 	<p><i>"Weet jy wat jy dink nie altyd aan alles nie. Wanneer mense iets noem dan onthou jy" p.32</i></p>

The nature of the methods that were used to facilitate participation was flexible and allowed different ways of expression by participants. Participants were free to move around and to orientate themselves on the map.

Multiple visual materials were provided and participants could engage in their preferred way. They could for example write or use clay to express themselves and to give their input. The flexible and accommodating nature of the participatory process enabled participants to recall information that they previously knew. Participants responded to the use of various materials as resourceful and enjoyable.

The researchers implemented the methods for participants to give their input so effectively that participants had a very positive experience. Participants described them as very nice ("an excellent idea"). Even though the methods of engagement seem to be experienced as flexible, individual preferences for a clear structure was not addressed. Even though the methods of engagement seem to be experienced as flexible, individual preferences for a clear structure was not addressed. This challenge however did not limit participants' involvement.

Table 6.3: Theme 3: Importance of feedback

Theme 3: Importance of feedback	
Subtheme	Supporting Supporting Quote
<ul style="list-style-type: none"> • Verification of information to ensure correct interpretation. 	<p><i>“kan u dalk vir ons, as u voel een van daai huise moet bykom hierso, vir ons net doodseker maak, het ons al die terreine hier...? Ons wil het soos aan die begin ook gevra, maar soos wat u nou gepraat het, as daar nog iets is wat moet bykom. Ons wil nie dit graag mis nie, dan moet ons net 'n, wil ons net 'n graag 'n nota maak.” p. 27</i></p> <p><i>“Stem julle almal saam die inheemse bome moet aangeplant word, en die uitheemse bome, ek wil nou net seker maak, die wat alreeds hier is? p. 21</i></p>
<ul style="list-style-type: none"> • Ongoing opportunities for participants to respond during the process of gathering information. 	<p><i>“Is dit vir almal belangrik? Is julle in ooreenstemming met dat dit 'n manier is hoe mens hierdie terrein gaan kan bewaar.”</i></p>

Participants' input was continuously verified to ensure that their ideas were correctly captured and not the researchers' interpretation. This verification took place throughout the process. Participants were encouraged to interact with the other participants; to move around to orientate themselves and also to interact with the researcher. The researcher asked questions to ensure that they were provided with all the important information and by confirming if the group of participants reached consensus about the suggestions of individual participants.

Table 6.4: Theme 4: Functionality of group discussions

Theme 4: Functionality of group discussions	
Subtheme	Supporting Quote
<ul style="list-style-type: none"> Group discussion leads to teamwork amongst participants. 	<p><i>“I think teamwork. Teamwork I think is the main thing. You know a lot of this can be discussed, and just as much could have come out of it,” p.38 (Participant)</i></p> <p><i>“Weet jy wat jy dink nie altyd aan alles nie. Wanneer mense iets noem dan onthou jy” p.32</i></p>

Participation in a group facilitated interaction and confirmation of other group members. Group work in which discussion is facilitated contributes to eliciting information by the discussion or as a stimulus for people's memory. Another participant explained that listening to what others say made them understand better what they were thinking.

6.2.2 Themes from Khuma

Table 6.5: Theme 1: The researchers' attitude

Theme 1: The researcher's attitude	
Subtheme	Supporting Quote
• Appreciative towards participants	<i>"Thank you pa for helping us for helping us to correct others we appreciate that very much" p. 11</i>
• Concerned and consideration of participants' specific needs	<i>"some diabetic older people... please you are free to tell us if you can't carry on anymore so that we can give you something to eat" p. 2 *</i>
• Respectful enquiry	<i>"sorry mama say something again about the taxi rank" p.25</i>
• Inclusion of all participants	<i>" In order not to leave anyone behind I would like to see whether we are all going together " p. 3 *</i> <i>"We were asking this our elders" p.9</i> <i>" Can we hear from the other groups the suggestion that we should come to?" p.23</i>

The researchers' attitude of appreciation, respect and concern contributed to participation. The researchers showed appreciation by thanking participants if they helped other participants or if they corrected the researchers. The researchers showed concern for the specific needs of the participants during the participation process emphasising a respectful engagement with people.

Researchers also ensured that all participants were included, regardless of the age of participants. This illustrated transparency and willingness from the researchers to spend extra time but in return achieving meaningful participation. The researchers showed an overall interest in the group, and wanted to be sure each participant was involved. This concern is especially highlighted in the last Supporting Quote (Theme 1).

Table 6.6: Theme 2: Lack of orientation leading to confusion

Theme 2: Lack of orientation leading to confusion	
Subtheme	Supporting Quote
• Participants have no point of reference	<i>"We can't see well what is going on here" p.3</i> <i>"Where is the old police station? At the police station? Where?" p. 6</i> <i>"where is the highway on this map?" p. 15 "they have written Moloto road. We don't know these ones?" p. 7</i>

Table 6.6: Theme 2: Lack of orientation leading to confusion (continued)

<ul style="list-style-type: none"> • Emotional reactions of participants(anger and confused) 	<p><i>“who made this plan after agreeing with whom! (shouting angrily)” p.8</i></p> <p><i>“it’s fine continue (shouting) p.10</i></p> <p><i>“So the problem in here is that two streets are new...they took the big streets and called them with names that we don’t know,” p.15</i></p>
<ul style="list-style-type: none"> • Disagreements among participants 	<p><i>“Participant 11: what we agreed upon is that we should leave a part of the hostel as a museum. Participant 9: no, we agreed that we should take a picture of the hostel and use it in a museum...” p.24</i></p>

A lack of orientation on the map which was used for this particular participation process contributed to the experiences of confusion. The participants had no point of reference regarding locality. Participants couldn’t find places (for example, the police station and the highway) on the map and they could not see properly on the map. There were also street names that the participants were not familiar with. In addition, participants disagreed about specific information according to how they orientated themselves.

Table 6.7: Theme 3: Participants’ need for acknowledgement and feedback

Theme 3: Participants’ need for acknowledgement and feedback	
Subtheme	Supporting Quote
<ul style="list-style-type: none"> • Participants want to be acknowledged, receive information. 	<p><i>“ we asked that those people, they should give us to inform us how they have changed on the map so that we can correct them” p.9</i></p> <p><i>“ that’s why it’s very important that you know we should be engaged, the Khuma community should be engaged” p.22</i></p>
<ul style="list-style-type: none"> • Consultation and feedback is proposed as part of participation. 	<p><i>“consultation must be done to the community where these mines originate... Khuma community must be involved... we must listen to their point and we must also raise our points.” p. 22</i></p>
<ul style="list-style-type: none"> • Clear communication 	<p><i>“ we want them to clarify and make us aware of what they are doing, so that we understand ” p. 26</i></p> <p><i>“we want the feedback while waiting for all these changes that we have suggested.” p. 27</i></p> <p><i>“ we wish that everything we have done here, let it not just end here we want to do something out of it.” p. 28</i></p>
<ul style="list-style-type: none"> • Gratitude expressed for how the process was conducted 	<p><i>“according to me for us to sit with you like this (pause) at times you want something (pause) you don’t get it easily [sic]” p.26 (The participant appreciates that the researchers came to them and spent time with them)</i></p> <p><i>You are showing some care on us, it was not like this in the past days” p.26, 27</i></p>

The participants in the Khuma community expressed the need to be acknowledged and to be informed. This need was expressed at various times, with participants expressing the feeling that they wanted to be involved so that mistakes could be prevented. The participants also sought acknowledgement in the way that they wanted to understand what was happening, and together with this participants also asked for feedback.

The need for acknowledgement was so deeply-rooted that one of the participants pleaded that what was discussed in the group discussion should not be ignored. The need of acknowledgement was strongly accompanied by participants wanting to be informed and communicated with. This was illustrated through clear communication, participants expressing what they wanted to have. An instance that clearly highlights this was when one of the participants explained how he wanted the sites to look (Annexure III p.21,22). The same participant also explained that it was very important that community members should be engaged and involved.

Linking with the need of acknowledgement, clear communication was a need for feedback, and consultation. One participant specifically explained that the participants should be consulted, and involved where their opinions were listened to. Further participants also expressed that they wanted feedback, on the interpretation of their suggestions and how they realised in practice.

This need of acknowledgement and feedback was met by the process that was followed. A participant expressed gratitude towards the researchers for acknowledging them. A possible reason for this strong need for acknowledgment could be the participants' previously disadvantaged background (as hinted at- in the last Supporting Quote of theme 3).

Table 6.8: Theme 4: Group discussions and teamwork

Theme 4: Group discussions and teamwork	
Subtheme	Supporting Quote
Group discussion and teamwork	<p><i>“ now I was asking the question, is there anybody who can say maybe they did not understand anything for clarity” p. 2 (Researcher)</i></p> <p><i>“ let’s leave these for now and let’s agree on one thing here we should work on agreement [sic]” p.10 (Participants agree that they should leave the problem of the faulty maps and continue with the process.)</i></p> <p><i>“Thank you mmh mmh. We work together here... if we don’t work together nicely it will not be good” p. 11</i></p> <p><i>“ do we agree with that?” p.17 (Researcher)</i></p> <p><i>“ Just to clarify what you’ve said, em... do you think it is important to keep the old shafts? ” p. 22 (Researcher) “Participant 11: what we agreed upon is that we should leave a part of the hostel as a museum.” p.24 “ everything we did here, we agreed as one” p. 28</i></p>

The importance of a group discussion was demonstrated in the group to accomplish consensus. One participant even explained that there should be a striving toward agreement. Teamwork as such helps to achieve agreement and was also very important. Working together and making decisions as one, as mentioned by the participants, illustrated the importance of teamwork and agreeing with each other.

Though there was confusion and disagreement emanating from Theme 2, the open conversational atmosphere triumphed. The researcher achieved this by frequently asking participants whether they agreed and clarifying details with participants.

6.3 Integrated discussion

The initial aim of the empirical study linked to the research question was to gather insight into the process that was followed to conduct a process of public participation, and to explore the roles of those involved in the participation process (e.g. planners and public). For the purposes of the thematic analysis of the data, the two datasets were separated to ensure thoroughness. Separate thematic analyses were also conducted to ensure that the depth of the data was obtained. The datasets were different and analysing them separately allowed room for themes to emerge uniquely within a specific context. Even though the same process was followed during both instances and broadly similar categories emerged, different findings emerged in the two settings.

Two broad aspects of public participation could be extracted from the findings that will be elaborated upon in the discussion that follows:

- Communities are different, and should be handled accordingly. As communities are different, their reactions may also differ from proposed development ideas.
- Mutual understanding between participants and facilitators guiding the public participation process is crucial.

Communities are different in many regards - social, economic and cultural. Ferreira (2013) explains that planning is a difficult activity as it deals with multicultural societies presenting complex problems at times. Moore (1986:206) explains that within the social environment where public participation takes place, people's characteristics and behaviour are related individually and in a group setting. So when considering the social environment of a community there can be a focus on individuals interacting with each other, but also interaction between individuals and the context of the setting as a whole. Both individuals and the context of the social environment can influence the behaviour of participants.

Allmendinger and Tewdwr-Jones (2002:6) point to difficulties regarding differences among societies together with individualism faced within the process of public participation, in terms of working with communities, each community as a whole is different, when socio-political, economic and cultural aspects. Together those individuals within the community often maintain their own opinions that they as individuals might not change. This illustrates what Moore (1986) said in explaining the individual and groups as they were related to one another.

The challenge of differences can be understood better when considering Barker's behavioursetting theory, as he explains that the activities happening in a community transpire in different settings (Chapter 3). Furthermore settings have different dynamics within them (for example, the relationships between participants), and a change in the dynamics can lead to a change in the setting. In the case of Khuma the sensitivity within a setting was clearly illustrated – the fact that a faulty map was presented to the participants caused upset and confusion.

Both the participants and planners can influence the process of public participation, especially when viewing the process happening in terms of a certain setting with different dynamics. Participants and planners are role-players and part of the dynamics of the public participation process, and because of this dynamic nature the process cannot be described generically.

Considering Khuma and Stilfontein in terms of the attitude of the researchers it can be noted that one researcher's attitude influenced another researcher to imitate this attitude. Breen (2006:467,268) explains that attitude is something that is socially constructed and when participants are aware of their involvement, attitude can stimulate different things, for example participants might think they would learn something if it was portrayed in the attitude. In the case of Khuma and Stilfontein this was clearly illustrated through researchers maintaining an attitude of patience, respect and appreciation of participants' contributions.

In the same way that diverse communities respond differently to proposed activities, a community as well as an individual's attitude can influence the process of public participation. Lounsbury and Mitchell (2009:213) explain that there is a dynamic interaction between individuals'. This dynamic interaction is explained in the ecological perspective.

Regarding the influence of an individual in the process of public participation interdependence, a principle within the ecological perspective is very important. The previously explained setting with dynamics is similarly seen as a system with different components within the ecological perspective (Lounsbury & Mitchell, 2009:214; Trickett & Rowe 2012:130). Changing one component within this system (e.g. a community) can change the behaviour in this system.

The difference of communities and individuals within the communities should be seen in a dynamic way. Change is always a possibility because of the diversity of opinions present. If the public participation process is not guided correctly tension and conflict can arise (Mafukidze & Hoosen, 2009). Effective communication and mutual understanding can limit tension and conflict.

The importance of mutual understanding between the participants and persons guiding the participation is crucial. There are strategies that can be used to enhance understanding. Simple gestures such as facilitators asking participants if they understand each other as was done in both Stilfontein and Khuma can enhance the understanding. Acknowledgement and feedback were also prominent in both Khuma and Stilfontein. Especially in Khuma acknowledgement featured prominently, and this may be because of the community having previously disadvantaged members (subjected to forceful removal). Forceful removals which were commonly executed in the 1950s can influence the process of public participation (Mafukidze & Hoosen, 2009).

Bryson *et al.* (2013:26) see acknowledgement as a tool to address uncertainty. The nature of the methods and tools play an important role in the process of public participation and can also improve communication. The diverse methods that were used enhanced the participation process being flexible and allowing conversations to flow. This constant exchange of information and meanings made the participation an active process.

In Khuma and Stilfontein various aspects identified in the themes can be seen as helpful towards a mutual understanding through communication. Group-work and teamwork were prominent in both cases as is illustrated in Theme 4 (Khuma and Stilfontein). Seibold and Kang (2008) stress the critical importance of teamwork and that it occurs within four dimensions (i) vision, (ii) roles, (iii) processes, and (iv) relationships.

In terms of vision, public participation is conducted to reach a goal, informing people and reaching consensus among stakeholders – this can be interpreted as the vision guiding public participation. This vision or goal was also clear in the study with the emphasis on the importance of group discussions, agreement, consensus and feedback. The roles interpreted within public participation have been a central aspect to the whole study. The change of planners' roles from physical experts, assuming what the public needed to acting as an advisor and facilitator to the public emerges. In the empirical study, planners embodied the role of facilitating public participation, asking participants for their input and letting participants actively respond. Participants' roles amounted to them giving their input actively, and reasoning with each other and the facilitators.

The vision and roles are subject to the processes used to achieve teamwork and- the process can enhance or limit teamwork. In the same way the process of public participation can enhance or limit teamwork. The variety of methods used in the process of public participation, the Mmogo method®, maps and photos point to processes were all intended to accommodate all participants. Together with the diverse methods facilitators supported these processes by checking that participants understood what they had to do. Lastly in terms of relationships, with different roles interpreted relationships develop as interaction between the different roles takes place. In the same way participants develop relationships between one another and also with facilitators as there is constant interaction. Facilitators ask questions, participants answer, and a discussion between the different views of participants is started.

Community differences, individuals' opinions, attitudes, teamwork and agreement can influence the process of a public participation process. The process of public participation is undoubtedly not passive, as the process takes place in a social environment, where change is always a possibility. Regarding the setting or system in the public participation process context is key. If context is not considered every time public participation is conducted, the process will remain passive.

The public participation process that was facilitated was conducted in a pro-active manner during which potential benefits arose such as:

- Advantages of public participation as a flexible and dynamic process;
- The usefulness of diverse methods used in public participation to actively involve participants; and
- The importance of diversity regarding the cultural and socio-political context of communities, especially regarding the cultural diversity in South Africa.

6.4 Conclusion

The complexity and dynamic nature of public participation, faced by the planner are proven realities. The process that was followed during the Khuma and Stilfontein research proves to have certain insights into possible ways in which the process of public participation can be improved. These insights can further lead to an improved understanding of the process of public participation, contributing to the creation of a democratic society.

Aspects such as the importance of communication and the consideration of context are intended to be cornerstones in the process of public participation. If context is considered the planner carries knowledge of the socio-economic and cultural background, and this knowledge can inform planners on how to react in multiple scenarios. Furthermore, knowledge of aspect such as interdependence within communities can broaden the scope and understanding of the context. It is therefore the role of the planner to know the context of a community when engaging in public participation so that the process can be facilitated successfully.

In the Khuma and Stilfontein processes of public participation many aspects were highlighted that can be linked to context and the knowledge thereof. The sensitivity and awareness to context may be one of the advantages created by the presence and understanding of community psychology. The four ecological principles that were discussed in Chapter 3 highlighted the importance of context. Considering the successes that were achieved during the Khuma and Stilfontein project, guidelines and strategies can now be formulated.

Chapter 7: Synthesis and planning recommendations

7.1 Introduction

In this study public participation has been established as a key aspect in the social dimension of planning. The social dimension includes the multicultural, social and economic nature of communities, contributing to the complexity of dealing with these aspects by involving people in public participation. In this study a pro-active process of public participation was described to stimulate ideas about how pro-active public participation can be further developed.

Pro-active public participation is informed by the theory of communicative planning which aims to align theory with planning practice. Theory and legislation both describe pro-active public participation as a process in which participants actively take part in decision-making. However, very little evidence so far has been found where the practicalities of such a process was addressed. This prompted this research which aimed to describe a pro-active public participation process.

The empirical findings of a previous study which aimed to explore places of importance to conserve as possible heritage sites in two distinct different communities, Khuma and Stilfontein, were used. Data was subjected to a process of secondary analysis focusing on the processes that were followed that involved people in a pro-active way in the process of decision-making in order to serve as an example of how pro-active public participation could be achieved.

The research process that was followed included the data being studied inductively to determine themes following thematic analysis guidelines; then a thorough theoretical review of planning theory and appropriate community psychology theories were compiled. The main objective of the planning theory overview was to describe how planning theory had progressed over time towards a participatory approach with an interface between the planner and the public as main focus. It was found that as planning theory changed the importance of public participation increased. Although this importance is expressed in communicative planning the theory lacks practical guidelines directing planners on how to conduct public participation pro-actively. People and communities are implied in public participation and since planning is a trans-disciplinary discipline and does not have applicable theories, the theories of people functioning in specific contexts were included. In this regard the theories from community psychology, and specifically Barker's behaviour setting and the ecological were appropriate as the public is part of communities and communities are central to public participation processes. Furthermore the study revolves around the relation between planners and communities during public participation processes. Reviewing the theories centring on public participation, it became clear that communities as a whole (large scale, in context of a country) and seen individually (with

different components and behaviour settings) can be influential regarding the behaviour of community members. Communities also have to be seen in the social, economic and cultural contexts so as to properly understand its members that in turn become participants in public participation processes. Within the context of communities the aspect of interrelationship is essential, and the change of one component (e.g. removing one individual) can cause communities' behaviour to change.

From the theoretical review the focus moved to a discussion of the specific legislative context that guides and defines public participation in South Africa. This background was necessary to contextualise how current practices of public participation in South Africa are approached and conducted. In this chapter it was established that even though the legislative context emphasises the importance of public participation, it tends to be more reactive in nature while practical guidelines with regard to how such a process should be conducted are lacking.

The empirical Section of the study was divided into a chapter describing the research design and the findings of the research. The qualitative inductive approach that was followed allowed the researcher to be guided by the data. An inductive approach to analysing the data allowed for the research to be done spontaneously, as it was presented in the data and not guided by a predetermined hypothesis. Data used in another research study, conducted in Khuma and Stilfontein, two mining towns in the North-West Province that experienced a decline in economic and social vitality in the past decades, served as the basis from which secondary data analysis was conducted.

Thematic content analysis revealed that the context of the community is paramount when conducting public participation processes. Together with the context, methods of communication and the attitude maintained by the facilitators played an important role in the process of public participation. The aspects of teamwork and consensus were also very important, illustrated by the participants enjoying group work and the facilitators who continuously ensured that consensus was reached among participants. Conflict is, however, inevitable, and in one case conflict between participants arose, but was quickly resolved by the facilitators changing the focus of the topic back to the actual reason for participation.

This research contributed to the debate on public participation by describing the process of public participation in detail as used in the practical application of a theoretical paradigm, communicative planning theory. Examples of the alignment between this theory and practice are limited in planning research (Allmendinger & Tewdwr-Jones, 2002:12,13; Puren *et al.*, 2013 :45), especially in the South African context - yet public participation is extremely important in

the newly established democratic South African society. The following Section will expand on the main syntheses that can be drawn from this study in terms of theory and practice.

7.2 Synthesis of theoretical concepts

7.2.1 Synthesis from the development of planning theory

With the emergence of planning theory up until current times, the interface of the planner and public evolved significantly. Planning started as a physically exclusive exercise, in which the role of the planner was to plan the layout of cities according to fixed masterplans. It was believed that proper layout plans could enhance the feel of community. The public within this paradigm of planning was seen as an object that would benefit socially and psychologically from planning. This planning paradigm is popularly referred to as blueprint planning. Various ideologies, e.g. Le Corbusier's "Radiant city", reflect the fact that planners were regarded as professionals of the physical environment. To summarise, there was an assumed consensus that planners knew what was best for society. Therefore the public was not consulted as planners were clearly the experts.

With the growing popularity of scientific methods, the paradigm of planning started to shift. Going from a purely physical activity, planning practitioners adopted the systems view. This theory stemmed from the new theory that the city, like an organism, was part of a system. The perception formed that purely physical planning activities lacked proper knowledge of the social, economic and environmental complexities. A focus change occurred towards scientific methods and understanding, also shifting from the subject of planning to methods and processes that could guide planners to make decisions. Procedural planning, as this paradigm in planning theory became known, was characterised by the creation of implementation systems where physical activities were combined with the use of scientific techniques. Planning as a rational process was goal-oriented and applied in a politically regulated context. Planners informed those in power, the state of what actions would be most economically and socially viable regarding development (see Figure 7.1 illustrating this relationship). The state and politics in turn regulated the decisions guided by a collective rationality. Guided by collective rationality it was believed that citizens did not necessarily know the best course for development and therefore the planner, a professional, informed the decision-making process. This meant that the values and views of citizens were represented by planners. This model was, however, not based on empirical knowledge and resulted in planning being labelled as a value-free activity. A collective decision regarding the welfare of citizens could not account for individual welfare.

Streams of criticisms and social riots, however, sparked another shift in the theory of planning. The idea of public participation in the planning process started to dominate. Theorists even

individually devised models of how to achieve proper public participation where the planner should act as an advocate of the public. It was even suggested that the planner should act as a mediator giving advice to the public. This shift is referred to as the communicative turn in planning theory, and led to the most recent paradigm in planning theory, viz. communicative planning.

The theory of communicative rationality and communicative action greatly influenced the view of planning. The value-free rational process that planning embraced was replaced by planning where consensus and effective communication towards decision-making dominated. Within planning, public participation had to enhance the creation of a democratic society accepting different social-political, economic and cultural views.

As with the substantive theory and the process view, there were different views of the communicative rationality (for example, collaborative planning and transactive planning). Mutual agreements among stakeholders and community members were the aim of communicative action. This model's practical feasibility is, however, questioned. This model is based on being power free, and all participants are seen as having equal influence on decisions made. With strong political influences and different socio-economic environments, this power-free view was challenged. Foucault explained that power-free planning was improbable in planning practice. For Foucault, knowledge gained through communication and power was combined in the communicative theory.

With the communicative paradigm guiding theory, the role of the planner is increasingly difficult and community-based planning action and construction of policies respecting diversity should be the goal. The planner must remain professional, adhering to policies and guiding the planning process all while remaining objective towards the public while conducting public participation. The planner is responsible for the guidance of planning practices and decision-making through ideally reaching consensus between relevant stakeholders and the public. This complex role is illustrated below (Figure 7.1), from the planner being influenced by politics and those in power to the planner including politics and also the public.

Because of this complex role that the planner has to fulfil, the insight of other disciplines can prove to be helpful. In the next Section the main syntheses drawn from theories identified in community psychology that are relevant to public participation, are stated.

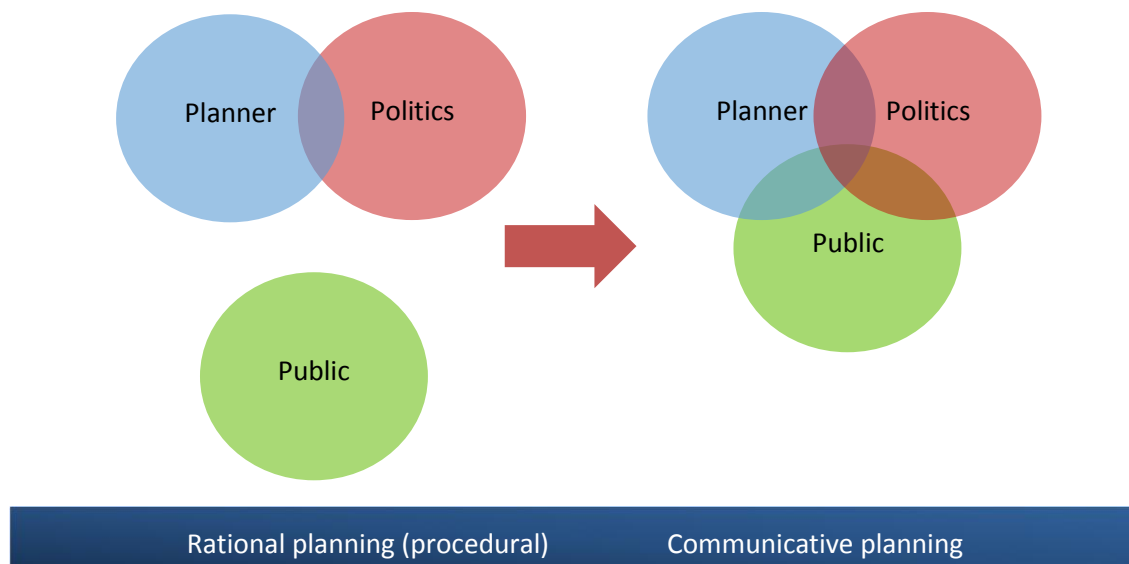


Figure 7.1: Planning context

7.2.2 Synthesis from community psychology theories

7.2.2.1 Barker's theory

Community psychology focuses on the behaviour, social systems and relationships that are part of communities. Two theories were identified that could specifically aid in the public participation process as they focus on the dynamics within communities. Barker's behaviour-setting theory and Kelly's ecological principles stress the fact that community life is created within the social environment. Barker focuses on the importance of a setting, a specific time and place where behaviour can be observed. A setting has boundaries and objects that influence behaviour. The setting of a boundary and inanimate objects represents only two dimensions. Further dimensions are people, behavioural activities (e.g. talking, listening and eating) and people fulfilling leadership roles and behavioural activities.

The different dimensions within a setting can be used to distinguish between settings. If a setting is crowded with objects the space within the setting is limited. The quality of the setting is influenced by the objects in a setting; if a setting is filled with objects the setting can become overpopulated. With over-population the quality of setting is low because the participants in the setting are limited by the objects in the setting. The size of the setting can be limited; too many participants cause over-population roles where certain roles of participants become superfluous. In the same way a setting can under-populated when certain role-players are missing with a lack of inanimate objects. Both over-population and under-population cause a setting to be weak, because its functioning is limited.

This theory can be applied in the process of public participation in the sense that planners can to a certain extent regulate the setting in which public participation will take place. In this way a setting can be prepared, furthermore awareness of overcrowding and under-population can also aid planners when conducting public participation.

7.2.2.2 Kelly's ecological theory

Barker's theory, however, does not describe the wider context of communities that is important when conducting public participation processes. Kelly's theory of ecological principles addresses a wider context. The theory is based on social systems where individuals in a community and variations in their social environment are studied. Similar to Barker Kelly sees the social system as consisting of different components, the smallest component being the individual. With the addition of components, interaction between the components becomes more complex e.g. from an individual, to a family where individuals interact directly up to a society (the largest component) where economic, political and social institutions influence the social systems.

Interdependence, cycling of resources, adaptation and succession are the four ecological principles identified that help to analyse context at the different levels within a social system. Interdependence is the principle that links all the components within a community, and changing one component can therefore influence the community (see Figure, 7.2). The other three principles further explain Kelly's explanation of the social system. The cycling of resources points to the influence that resources have on a social system (Figure,7.2) for example, the flow of money from different individuals in a community. If resources are depleted or move from one community to another, the principle of adaptation helps individuals to deal with the change in their environment. The principle of adaptation also applies to individuals changing their roles when they adapt different environments. With time the context of communities also changes as a result, and this change is described as succession.

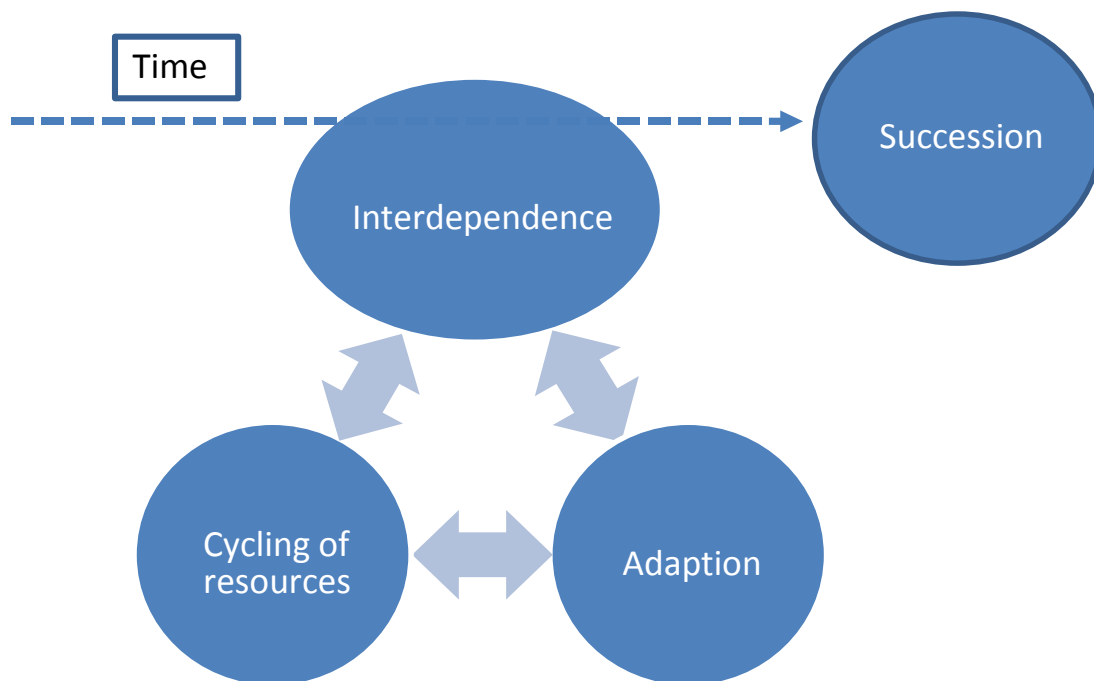


Figure 7.2: Ecological principles

Kelly's ecological principles guide the observation of the social environment on a larger scale than Barker's behaviour setting. If the two theories are combined, the concept and importance of the context on individual and community scale can aid in the process of public participation. Planners can be informed of the social environment and understand all the different concepts that can influence a behaviour, and the setting in which public participation is conducted can be seen more dynamically. Interdependence, overpopulation of a setting, different roles of individuals and the amount of objects in a setting all influence a setting or the context. If these concepts are taken into account, a static and often reactive process for public participation can hardly be effective.

7.2.3 Synthesis from the South African legislative context

In South Africa public participation is a requirement for a wide range of activities specified in the constitution. Public participation was, however, not always a constitutional requirement, as before 1994 racial segregation regulated how cities were designed and opinions on public matters were only permitted to those in political power. Public participation is now required in national legislation and also at the provincial level, but the general public is only actively included at the local level of government.

Public participation is also described as being essential to the strengthening of the democracy, where consensus between participants and stakeholders is paramount and the input of the public matters. Further the process of public participation should also be practised in a pro-

active manner, where the widest possible scope of people is found and is considered and included in decision-making processes.

The Municipal Structures Act 117 (1998) and the Municipal Systems Act 32 (2000) enforced from national level, however, amount to processes of participation where participants are mostly informed or consulted regarding matters of public interest. The most recent legislation, the Spatial Land Use Management Act 16 of 2013 states that public participation should inform and empower the public through transparent public participation processes. Furthermore, all national, provincial and municipal bodies, if deemed necessary, should promote direct involvement of the public. Here, direct participation is implied, but whether it is necessary is decided by government officials. This is characteristic of a top-down process of public participation, and not pro-active. This Act requires and describes a pro-active process of public participation but still only focuses on informing and consulting the public.

At the local level the National Policy Framework Public Participation (SA, 2007), the IDP process and Ward committees are mechanisms for public participation. Both mechanisms should empower the public to further strengthen democracy. The IDP process should conduct forums where participants are included in the decision-making processes regarding development. IDP forums also have to adhere to certain guidelines and annual reports on public participation should be published. Ward committees in their representation of the public should avoid tokenism and manipulation. The diverse inputs of the public must be represented.

Regarding the legislation and the described process of public participation, in reality it should result in pro-active public participation but the power structures regulating public participation contradict this. Within the local level where public participation should be conducted a lack of practical guidelines leads to public participation that is not pro-active. The few guidelines that do exist are often not followed, further resulting in a low level of public participation.

7.3 Synthesis from empirical study

A pro-active process of public participation focusing on consensus between participants (researchers and community members) is a common aspect in planning theory and legislation and policies guiding planning practice. This pro-active process is also defined thoroughly in all the above-mentioned writings. The aspect surrounding the practical implementation to such a pro-active process is, however, neglected. The empirical study is based on public participation focus groups that were conducted in previous research to explore important places for communities in Khuma and Stilfontein in order to conserve these. Public participation sessions (focus groups) were thoroughly documented and unique methods were used regarding planning perspectives.

In Figure 7.3 the context of public participation is illustrated as it was determined from the Khuma and Stilfontein process followed. Agreement, communication and understanding can be used to synthesise the context, but along with these three aspects the concept of conflict, the interactional style of the facilitators also played an important role in the public participation.

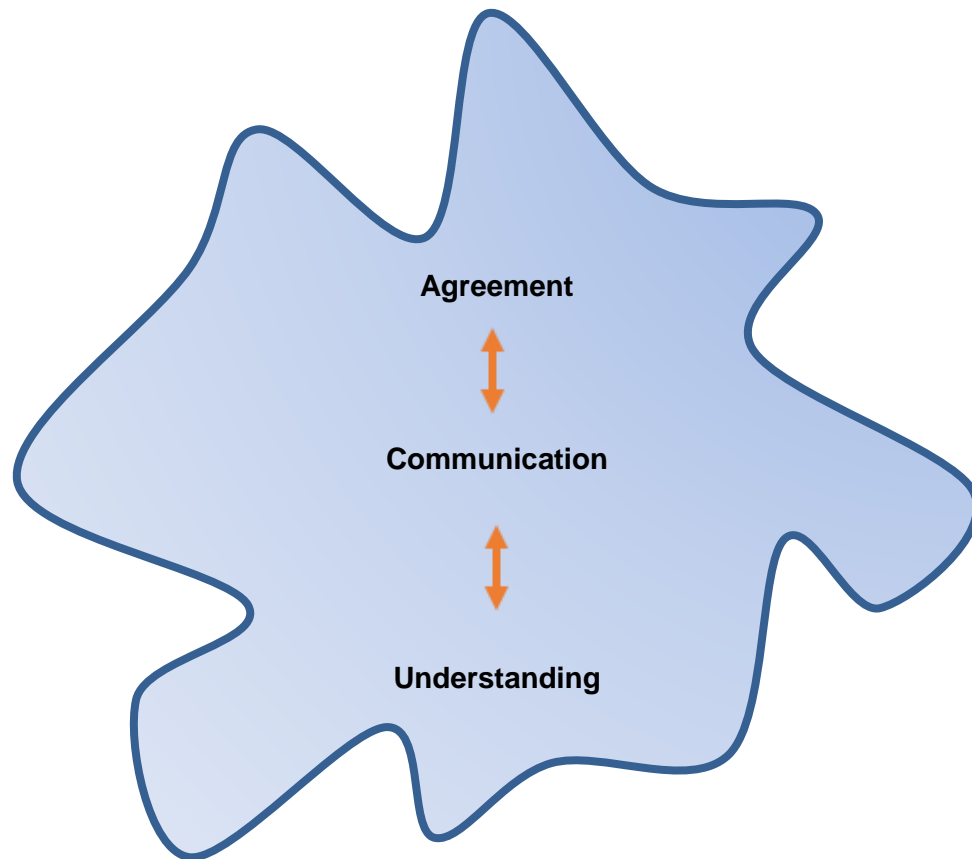


Figure 7:3: The context of public participation

As community psychology theories have explained, the context of communities with all their characteristics can influence behaviour. Khuma, a township community and Stilfontein, a community predominantly consisting of retired mine-workers, differ in context (linking communication and also understanding). The clearest example of this was found in the Khuma dataset, where the behaviour of the members clearly indicated their previously disadvantaged background. The diversity of different communities was also evident in the language differences in Khuma where translators were needed. In Stilfontein the participants were either Afrikaans or English.

Sensitivity of context was also shown by the facilitators who confirmed and recognised the people as worthy and knowledgeable throughout the whole process. The diversity of how people express themselves was also accommodated by using different mediums of communication namely demonstrating visually and by explaining verbally. Visual

representations were made of places of importance with materials such as clay, straw and beads; and maps were provided with the important places indicated. The use of clay is part of the Mmogo-method®, this method was specifically useful in the case of Khuma when the map that was presented was faulty, leading to participants becoming confused. The Mmogo-method® allowed participants to make models of the sites, and participants were then individually told what they had built and the confusion of the map was cleared up. Sensitivity with regard to the tools and materials used to communicate was applied.

7.4 Lessons learned

Reflecting on a process in which pro-active public participation was explored, a few important lessons that planners might learn from when facilitating public participation could be presented. These lessons are the following:

- Mutual understanding between the participants and facilitators of the public participation process is essential. Together with mutual understanding is the importance of communication in terms of the use of appropriate cultural sensitive methods for communities;
- Different communities react differently to proposed ideas and development because their contexts and frames of reference are different;
- Agreement between participants can be mediated, for in Khuma and Stilfontein participants were asked whether they agreed with the proposed site of each model that was built. In such a manner consensus can be reached easily and problems can be identified'
- Knowledge of individuals' functioning in a group context is important, to facilitate optimal interaction and to reach the goal for pro-active public participation.
- Understanding people in their contexts means that there should be sensitivity towards the sentiments of people and they should have a basic knowledge of how it should be handled.
- A pro-active process of public participation is dynamic and should allow for flexibility in terms of methods and timeframes allocated.

To summarise, the process of public participation should first and foremost focus on the contexts of communities. Thereafter, together with context, the process should support communication using different methods, and try to accomplish consensus and understanding.

7.5 Limitation of the study

As this study followed a qualitative approach, the findings cannot necessarily be generalised for other communities and cases where public participation is conducted, highlighting the notion that public participation is context-specific. The lessons learned from this study may be of value for planners in terms of how to facilitate a public participation process in a pro-active manner.

Detailed recommendations for such a process are discussed in the following Section.

7.6 Planning recommendations

7.6.1 General recommendations

In this Section general areas that should be addressed in the future in terms of the practice of proactive planning are suggested:

- South African legislation and policies should be revised, especially at the local level. The process of public participation as it should happen on the local level should be refined, for example including community psychologists on the project team guiding public participation together with the planner.
- The publication of public participation plans as required annually from local municipalities needs to be monitored. The publication of such reports will add to the practical knowledge that informs the public participation process.
- A greater awareness of communities and the influence of context needs to be developed by planners. The inclusion of community psychology theories and skills of psychologists to work with communities may be considered in planning curriculums.
- The possibility and efficacy of having a separate division in planning practice specialised in public participation should be considered. For example, within the Environmental Impact Assessments (EIA) reports, include Social Impact Assessments (SIA), often based on specialist reports.
- A system is needed where participants can give feedback on their experience of the process of public participation, thus a monitoring system that can inform planners.

7.6.2 A pro-active public participation process

A description of a pro-active public participation is provided here, serving as a suggested practical guideline to facilitate such a process.

Table 7.1: Suggested phases for pro-active public participation

Pro-active public participation		
Phase	General recommendations	Role of the planner
<p>1.Preparation:</p> <p>1.1 Confirm the need for, public participation (PP).</p> <p>1.2 Gather appropriate role players (participants) to take part PP.</p> <p>1.3 Decide on an appropriate facilitator</p> <p>1.3 Determine methods and tools to be used for PP.</p> <p>1.4 Inform community members of PP.</p>	<ul style="list-style-type: none"> • The socio-economic and cultural context must be established of affected parties. • Use key informants who community members know and trust to assist in selecting participating community members/ stakeholders and to; • Determine which cultural sensitive methods and tools to be used. • Consider the inclusion of a community psychologist on the facilitator’s team. 	<p>Organize and plan the semantics of the public participation.</p>
<p>2. During participation</p> <p>2.1 Create an atmosphere conducive to pro-active involvement.</p> <p>2.2 Avoid specialist language limiting confusion.</p> <p>2.3 Properly explain the methods used for PP.</p> <p>2.4 promote teamwork and consensus.</p>	<ul style="list-style-type: none"> • The interactional style of facilitators elicit particular responses and should confirm people and acknowledge their contribution. • Facilitators with an accommodating way of involving people, will elicit collaboration and obtain rich information. • Methods for PP if explained properly may enhance participation and limit conflict. • Conflict is associated with confusion and should be addressed to ensure an optimal PP process. • Facilitators need to be flexible and creative in methods and tools used during participation (as methods applied can enhance conflict resolution). 	<p>Facilitate, support and guide participants in the process of public participation.</p>
<p>3. Post-participation</p> <p>3.1 The PP results have to be analysed.</p> <p>3.2 Feedback needs to be given to the participants.</p>	<ul style="list-style-type: none"> • The analysis focuses on what the participants communicated, possible changes to the proposed activity and how the decision making process will be influenced. • Feedback can be given in a report format or verbatim by the key informant used initially. 	<p>Remain as objective as possible whilst analysing, and monitor the feedback that is given.</p>

This process is only an example of how pro-active public participation can be achieved. Public participation’s dynamic nature, being subject to context, cannot be reduced to a list of steps in the hope of ensuring success. Practical guidelines can, however, be provided, assisting planners to facilitate pro-active public participation as is described in planning theory and the legislative framework.

Pro-active public participation is about levelling the playing field between the public and planners. Pro-active participation as a democratic process consists of the facilitation of an environment that enables people to participate in a meaningful way in the process by understanding the context in which they function; using diverse methods through which they can share information in a group context, allowing rich information to emerge and the group's interaction to effect consensus; and by interacting with people in a manner that confirms them as worthy people; acknowledging their contributions and dealing with their uncertainties and confusion as part of basic human needs. Following these (and hopefully other guidelines obtained from more research), may perhaps address the gap between planning theory and practice. Further, the inclusion of practical guidelines in the form of policies and legislation will add to the understanding and manifestation of pro-active public participation.

7.7 Conclusion

The overall aim of this study was to analyse a pro-active public participation process conducted in two existing community planning case studies, namely Khuma and Stilfontein, in order to describe a pro-active public participation process in urban planning. The role of the planner and the public evolved over time theoretically and also in practice. It was discovered that in the current theory of communicative planning, public participation is emphasised greatly. Together with public participation, communication, consensus and democratic practices are assumed. The South African legislative system also regards the practice of such public participation as strengthening the democracy.

After reviewing planning theory a discrepancy was discovered in the communicative planning approach because theory and practice did not support one another. The discrepancy is further accentuated by legislation guiding the public participation process which is contradictory to what actually happens in practice. The lack of empirical knowledge surrounding the practical execution of the public participation process was explained in theory and the existing legislation motivated the empirical investigation.

The manner in which public participation should take place is synonymous with a pro-active process. In practice this would mean that the public participation process is a bottom-up process, and final decisions are regulated by the public's opinion. In communicative planning theory the focus of such participation is on the communication between relevant stakeholders, the public and consensus that must be reached between the different parties. To facilitate such a process planners need to have knowledge of the social, economic and environmental contexts of the affected communities.

Communities are small social systems within a larger social system and subject to social, economic, cultural and political influences. This means that the sphere of influence of communities can be wide, and various aspects influence the contexts of communities. The theory of ecological principles focuses on interdependence, cycling of resources, adaptation and succession that can assist the observation of communities. On a smaller scale, various components can also influence community behaviour, so knowledge gained from the behavioursetting theory can be helpful in the public participation process.

Throughout planning theory the planner's role was guided by the physical environment, the abundance of practical guidelines and rules guiding physical planning suggests that this side of the planner is better understood and defined. The social aspect, where public participation and communities are the focus, has few guidelines directed to implementation in planning practice.

The empirical study added unique insights into the description of a pro-active public participation process, as it is a real-life documentation of such a process in practice. A key finding in the study was that the context of communities does differ and as a result the methods of communication need to be effective and dynamic.

If these findings are considered, a pro-active public participation is possible if the identified aspects are included in the description of the process. In essence, a pro-active process of public participation requires great knowledge and consideration of the context of affected communities. The sensitivity should further be reflected in the use of different methods to actively involve participants. Planners, when facilitating this process, should focus on communication in order to achieve mutual understanding and agreement between participants and eliminate unequal power distribution during the process. It is envisaged that facilitating pro-active participation of communities in planning processes will be a move towards more meaningful and empowering public participation.

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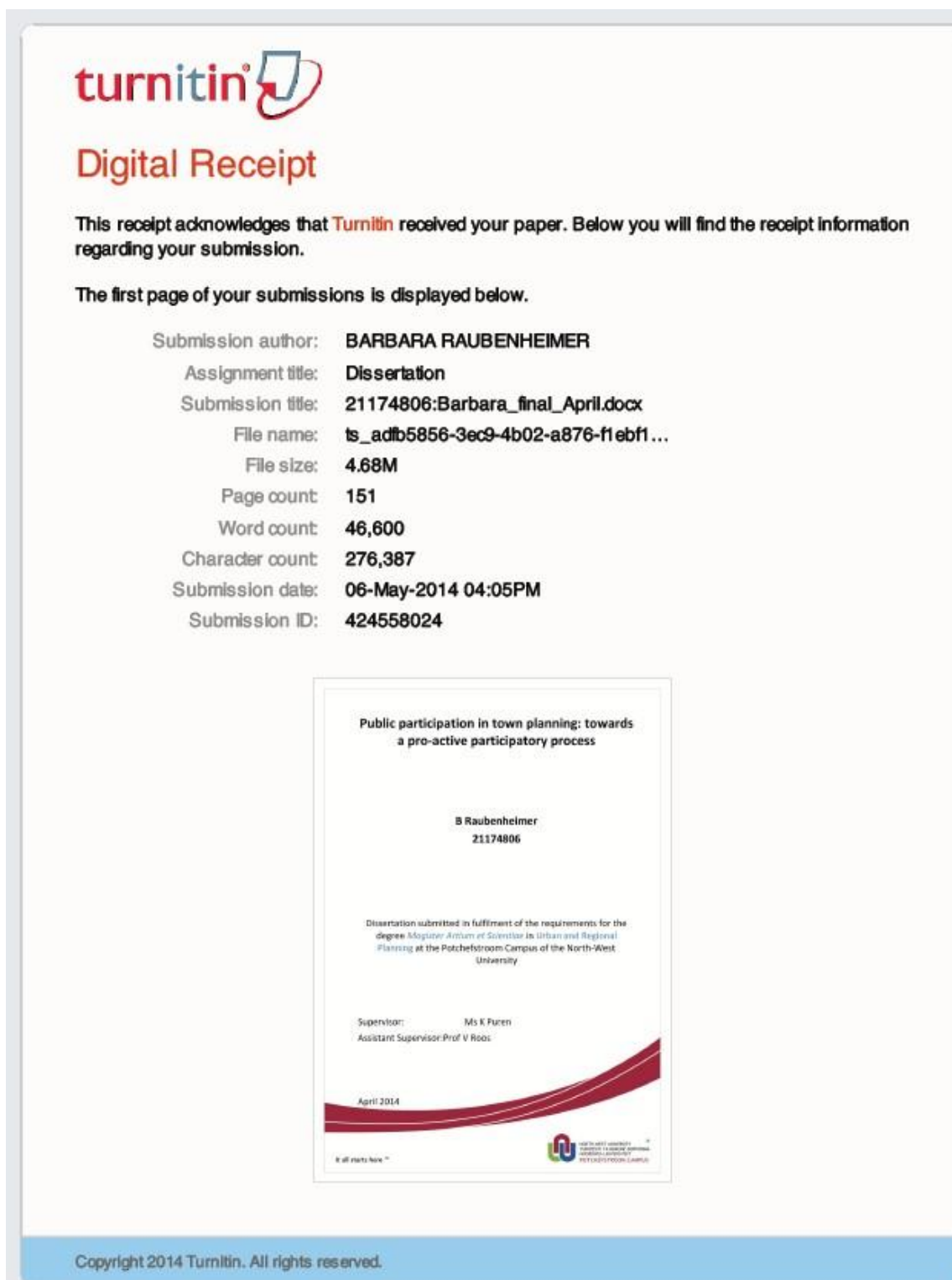
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a pro-active participatory process


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degree *Magister Artium et Scientiarum in Urban and Regional
Planning* at the Potchefstroom Campus of the North-West
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Annexure III: Public participation transcriptions: Khuma and Stilfontein