

Fostering public participation in integrated development planning: The case of the City of Matlosana

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DECLARATION

I, Sanet Ouwencamp (Student number: 10866248) declare that the thesis titled "*Fostering public participation in integrated development planning: The case of the City of Matlosana*" submitted for the degree Doctor of Philosophy in Public Management and Governance at the North-West University, Potchefstroom Campus, is my own work and has not been submitted before by me to any other university. All the sources used in this thesis have been acknowledged by means of complete referencing.

S Ouwencamp

Date: November 2022

ACKNOWLEDGEMENTS AND DEDICATION

When I think of my PhD journey, the following quote of Nelson Mandela comes to mind: “It always seems impossible until it’s done.” I never believed that I would be able to complete this journey, but with love and motivation from so many people I achieved the impossible!

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ABSTRACT

South Africa's public participation practices bear much significance due to the country's history of Apartheid whereby government participation opportunities favoured only certain demographic areas. Due to this past, public participation in the integrated development planning process is currently being regarded as an instrument to redress the injustices of the past, thereby allowing all interested parties to participate in governmental affairs. As a result, public participation found itself firmly imbedded in the supreme law and other statutory prescripts of countries.

The problem acknowledged and considered by this study was insufficient public participation in the Integrated Development Planning (IDP) cycle of local government with the focus on the City of Matlosana Local Municipality. The study was inspired by the need for the City of Matlosana to aid effective and efficient public participation mechanisms within their IDP process by embracing innovative and emerging methods that would increase public participation. Hence, proposing a public participation model was imperative in adding to the current political discourse and growing literature on public participation within the IDP process, contributing to the advancement of knowledge within public administration, management and governance as study domains. It is expected that the proposed model will meaningfully enhance public participation in the IDP cycle of local government. The efficacious implementation of this model will not only be beneficial to the City of Matlosana but may assist as a benchmark for adoption and execution by other municipalities facing similar public participation challenges.

A sound conceptual and theoretical framework to serve as meta-underpinning of the study was derived by analysing the developmental fundamentals of democracy, with particular reference to the normative principles and ideals like participation, respect for the law, freedom and equality. The principles of the social exchange theory as an ethical basis of democratic ideology outlined a continuous theme in the study. The role of local government in democracy was further analysed. Theories surrounding reasons for the transition to a democratic order were part of this analysis. The view was taken that the successful implementation of the "social contract" between government and voters is largely dependent on the confidence that the electorate has in government

structures and political leaders in the implementation of policy and service-delivery processes. The prevailing paradigmatic thought of the developmental role of government and how it changed over the ages were analysed. It was established how the developmental planning role of government has developed through time leading to existing planning frameworks. The significance of public participation and civil society engagement in developmental planning in selected developed and developing countries was ascertained and best practices extracted.

The evolution of IDPs was explored with particular reference to South African local governance realities and dynamics. Country-specific statutory and regulatory prescripts pertaining to the IDP were extracted to act as data set against which current praxis could be gauged. The nexus between public participation and the IDP cycle was expounded by demonstrating how participation deficits or gaps may impact negatively on the success of the entire IDP process. The IDP cycle that supports the implementation of IDPs was furthermore analysed and the interrelationship between public participation and the IDP was highlighted by an in-depth investigation into the typical structures and mechanisms utilised for public participation during the IDP cycle. Subsequently, the suitability and perceived effectiveness of these structures and mechanisms were empirically tested and verified. Ways to address perceived participation challenges and international best practice were then imbedded in a proposed public participation model. The model was pre-tested and validated by sampled participants in a case study research design. The successful implementation of the model is supported by means of focused recommendations.

KEY WORDS:

Democracy, government, local government, representative democracy, civil society, local democracy, public participation, engagement, consultation, integrated development planning, City of Matlosana.

TABLE OF CONTENTS

DECLARATION	I
ACKNOWLEDGEMENTS AND DEDICATION	II
ABSTRACT	IV

CHAPTER 1: INTRODUCTION

1.1	ORIENTATION	1
1.2	PROBLEM STATEMENT	8
1.3	RESEARCH OBJECTIVES	12
1.3.1	Primary objective.....	12
1.3.2	Secondary objectives	12
1.4	RESEARCH QUESTIONS	13
1.5	CENTRAL THEORETICAL STATEMENTS	13
1.6	RESEARCH METHODOLOGY	15
1.6.1	Literature review.....	16
1.6.1.1	<i>Databases consulted</i>	16
1.6.2	Empirical investigation	16
1.6.2.1	<i>Research design</i>	17
1.6.2.2	<i>Sampling</i>	17
1.6.2.3	<i>Instrumentation</i>	18
1.6.2.4	<i>Data analysis</i>	18
1.7	LIMITATIONS AND DELIMITATIONS	18
1.8	SIGNIFICANCE OF THE STUDY	19
1.9	CHAPTER LAYOUT	21
1.10	CONCLUSION	22

CHAPTER 2: LOCAL DEMOCRACY AND PUBLIC PARTICIPATION: A CONCEPTUAL AND CONTEXTUAL EXPOSITION

2.1	INTRODUCTION	23
2.2	CONCEPTUALISING DEMOCRACY	25
2.2.1	Democratic theory	29

2.2.2	Towards a typology of democracy.....	30
2.2.2.1	<i>Constitutional democracy</i>	31
2.2.2.2	<i>Participatory democracy</i>	32
2.3	THE SIGNIFICANCE OF PARTICIPATORY DEMOCRACY IN A DEVELOPMENTAL STATE	33
2.3.1	The democratic developmental state	35
2.3.2	Significance of the development state for participatory democracy....	36
2.4	DEMOCRATIC PRINCIPLES IN A LOCAL GOVERNMENT CONTEXT	36
2.5	PUBLIC PARTICIPATION AS ESSENTIAL INPUT AND OUTCOME OF LOCAL DEMOCRACY	38
2.5.1	Typologies of participation	41
2.5.1.1	<i>Types of participation</i>	44
2.5.1.1.1	<i>Passive participation</i>	45
2.5.1.1.2	<i>Functional participation</i>	45
2.5.1.1.3	<i>Interactive participation</i>	46
2.5.1.1.4	<i>Participation by consultation</i>	46
2.5.1.1.5	<i>Self-mobilisation</i>	46
2.5.1.1.6	<i>Electronic participation (e-participation)</i>	46
2.5.1.2	<i>Levels of participation</i>	47
2.6	CONTEXTUALISING PUBLIC PARTICIPATION IN SOUTH AFRICAN LOCAL GOVERNMENT	47
2.7	A THEORETICAL FRAMEWORK OF LOCAL DEMOCRACY AND PUBLIC PARTICIPATION	49
2.7.1	Social Exchange Theory	49
2.7.1.1	<i>The relevance of the Social Exchange Theory to local democracy and public participation</i>	50
2.7.2	General Systems Theory.....	51
2.8	CONCLUSION	52

CHAPTER 3: DEVELOPMENT PLANNING: META-PERSPECTIVES AND PRAXIS

3.1	INTRODUCTION.....	54
3.2	META-PERSPECTIVES TO DEVELOPMENT PLANNING IN GOVERNMENT	54
3.2.1	Classical, neo-classical and contemporary perspectives	56
3.2.2	Political ideological perspectives to government's role in development	57
3.2.2.1	<i>Liberalism and neo-liberalism.....</i>	<i>58</i>
3.2.2.2	<i>Capitalism</i>	<i>60</i>
3.2.2.3	<i>Socialism.....</i>	<i>61</i>
3.2.2.4	<i>Communism.....</i>	<i>62</i>
3.3	THEORETICAL PERSPECTIVES TO DEVELOPMENT PLANNING	63
3.3.1	Social contract theory.....	64
3.3.2	Modernisation theory.....	65
3.3.3	Dependency theory	67
3.3.4	Human development theory	68
3.3.5	Growth and catch-up theory	69
3.3.6	World systems theory.....	70
3.4	GOVERNMENT FRAMEWORKS FOR DEVELOPMENT PLANNING	71
3.4.1	International development frameworks	72
3.4.1.1	<i>Rio Declaration.....</i>	<i>72</i>
3.4.1.2	<i>Agenda 21.....</i>	<i>73</i>
3.4.1.3	<i>The post-2015 Sustainable Development Goals.....</i>	<i>74</i>
3.4.1.4	<i>The UN-HABITAT's New Urban Agenda.....</i>	<i>75</i>
3.4.2	Continental (African) development planning frameworks	75
3.4.2.1	<i>NEPAD.....</i>	<i>76</i>
3.4.2.2	<i>Agenda 2063.....</i>	<i>76</i>
3.4.3	Regional frameworks	78
3.4.3.1	<i>SADC development planning protocols.....</i>	<i>78</i>
3.4.4	National planning frameworks	79
3.4.4.1	<i>National Development Plan: Vision 2030</i>	<i>80</i>

3.4.4.2	<i>Provincial Growth and Development Plans (PGDP)</i>	82
3.4.4.3	<i>Spatial Development Framework</i>	83
3.4.4.4	<i>Municipal integrated development planning</i>	84
3.4.4.5	<i>Community-based planning</i>	85
3.5	PARTICIPATORY CITIZENSHIP IN DEVELOPMENT PLANNING: LESSONS FROM THE INTERNATIONAL EXPERIENCE	86
3.5.1	Case 1: South Korea	88
3.5.1.1	<i>Development planning status</i>	88
3.5.1.2	<i>Community participation practices</i>	89
3.5.2	Case 2: Indonesia	91
3.5.2.1	<i>Development planning status</i>	91
3.5.2.2	<i>Community participation practices</i>	92
3.5.3	Case 3: France.....	93
3.5.3.1	<i>Development planning status</i>	94
3.5.3.2	<i>Community participation practices</i>	94
3.5.4	Case 4: Rwanda.....	96
3.5.4.1	<i>Development planning status</i>	97
3.5.4.2	<i>Community participation practices</i>	98
3.5.5	Case 5: Botswana	101
3.5.5.1	<i>Development planning status</i>	101
3.5.5.2	<i>Community participation practices</i>	102
3.5.6	Key lessons learnt.....	103
3.6	CONCLUSION	106

CHAPTER 4: INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA

4.1	INTRODUCTION	107
4.2	ORIGINS OF INTEGRATED DEVELOPMENT PLANNING	108
4.2.1	Tracing the chronicles of IDP in South Africa	108
4.2.2	National, provincial and local development planning alignment	111
4.2.3	Alignment of sector plans with the IDP	114

4.3	STATUTORY AND REGULATORY FRAMEWORKS GOVERNING THE DESIGN AND IMPLEMENTATION OF THE IDP	116
4.3.1	Local Government Transition Act 209 of 1993 (LGTA)	116
4.3.2	Development Facilitation Act 67 of 1995	116
4.3.3	The Constitution of the Republic of South Africa, 1996.....	117
4.3.4	The White Paper on Local Government, 1998.....	118
4.3.5	Local Government: Municipal Structures Act 117 of 1998	118
4.3.6	Local Government: Municipal Systems Act 32 of 2000.....	119
4.3.7	Local Government: Municipal Finance Management Act 56 of 2003 (MFMA)	120
4.3.8	Traditional Leadership and Governance Framework Amendment Act 41 of 2003	120
4.3.9	Intergovernmental Relations Framework Act 13 of 2005 (IGR).....	121
4.4	NATURE AND SCOPE OF A MUNICIPAL IDP	122
4.4.1	Purpose and rationale for the IDP	122
4.4.2	Integration dimensions in IDPs	123
4.4.3	IDP cycle and phases.....	124
4.4.4	IDP design and review processes	128
4.5	THE IDP AND PUBLIC PARTICIPATION: THE NEXUS	132
4.5.1	Structures and mechanisms for IDP participation	133
4.6	POTENTIAL GAPS AND DISPARITIES IN IDP PARTICIPATION PROCESSES.....	161
4.7	CONCLUSION	165

CHAPTER 5: PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE CITY OF MATLOSANA: EMPIRICAL FINDINGS

5.1	INTRODUCTION.....	167
5.2	CASE STUDY ANALYSIS: CITY OF MATLOSANA.....	168
5.2.1	Geographic profile.....	168
5.2.2	Demographic profile	169
5.2.3	Economic profile.....	173

5.2.3.1	<i>Economically Active Population (EAP)</i>	174
5.3	RESEARCH METHODOLOGY	175
5.3.1	Research design	175
5.3.2	Data collection methods	176
5.3.3	Sampling	178
5.3.4	Data presentation and methods of analyses	181
5.3.4.1	<i>Thematic analysis</i>	181
5.4	ETHICAL CONSIDERATIONS	182
5.5	LIMITATIONS OF THE STUDY	182
5.6	RESEARCH FINDINGS	183
5.6.1	Current public participation practices within the IDP process.....	185
5.7	DRAFT PUBLIC PARTICIPATION MODEL: THEORETICAL FRAMEWORK	198
5.8	INPUT TO THE DRAFT PUBLIC PARTICIPATION MODEL	208
5.9	CONCLUSION	210

**CHAPTER 6: CONCLUSION AND RECOMMENDATIONS: A MODEL FOR
FOSTERING PUBLIC PARTICIPATION IN INTEGRATED DEVELOPMENT
PLANNING IN LOCAL GOVERNMENT**

6.1	INTRODUCTION	212
6.2	STUDY SYNOPSIS: RESEARCH OBJECTIVES AND QUESTIONS	212
6.2.1	Research objectives.....	213
6.2.2	Research questions	213
6.3	SUMMARY OF CHAPTERS	220
6.4	FINDINGS OF THE STUDY: KEY PARTICIPATION CHALLENGES	221
6.4.1	COVID-19 restrictions hampered public participation.....	221
6.4.2	Time constraints in IDP phases.....	221
6.4.3	Political unrest hampering face-to-face public participation	222
6.4.4	Community members' lack of understanding and interest in the IDP process	222

6.4.5	Inadequate and inconsistent consultation during the IDP process ...	222
6.4.6	Lack of proper communication	223
6.4.7	Lack of institutional capacity.....	223
6.5	EXPOSITION OF THE PROPOSED MODEL ON PARTICIPATION MECHANISMS AND MUNICIPAL ACTORS IN THE FIVE IDP PHASES	223
6.6	RECOMMENDATIONS FOR THE IMPLEMENTATION OF THE PUBLIC PARTICIPATION MODEL	231
6.6.1	Recommendations for a participation value chain in the IDP process	239
6.7	RECOMMENDATIONS FOR FURTHER STUDY	246
6.8	CONCLUSION	246
	BIBLIOGRAPHY.....	248

ANNEXURES

LIST OF TABLES

Table 1.1: Sampled participants	17
Table 3.1: Synopsis of key lessons and best practices extracted from selected countries.....	104
Table 4.1: Alignment of public participation with the IDP phases	136
Table 4.2: Phase II: Strategies	143
Table 4.3: Phase III: Projects	148
Table 4.4: Phase IV: Integration.....	154
Table 4.5: Phase V: Approval.....	158
Table 5.1: Population projections: CoM, Dr Kenneth Kaunda District Municipality, North West Province and national totals (2017-2022)	170
Table 5.2: Participants' profile.....	180
Table 5.3: Years of experience of participants	184
Table 5.4: Challenges on the implementation of public participation practices in the IDP process.....	190
Table 5.5: Interviewees' responses: strategic and operational aspects of IDP process.....	196
Table 5.6: Input relevant to the refinement of the model.....	208
Table 6.1: Research objectives and questions aligned to study chapters	219
Table 6.2: Participation guidelines emanating from the proposed model	226
Table 6.3: Public participation recommended per IDP phase	227
Table 6.4: Monitoring of the IDP phases	234
Table 6.5: Input into the various IDP phases	240

LIST OF FIGURES

Figure 2.1: Comparison between Arnstein’s Ladder of Citizen Participation, the IAPP’s Spectrum of Public Participation and the OECD’s Government-Citizens Relations.....	42
Figure 2.2: E-participation ladder	43
Figure 4.1: Example of a typical IDP cycle	125
Figure 5.1: Geographic profile of Matlosana	168
Figure 5.2: Total population of Dr Kenneth Kaunda District Municipality.....	169
Figure 5.3: Population pyramid of the CoM (2017-2022).....	171
Figure 5.4: Population pyramid of the CoM in comparison with South Africa	172
Figure 5.5: Gross Domestic Product (GDP): CoM, Dr Kenneth Kaunda, North West and national totals (2007-2022).....	173
Figure 5.6: Economically active population: Dr Kenneth Kaunda District Municipality (2006-2018).....	174
Figure 5.7: Participants’ gender composition	183
Figure 5.8: Highest qualification of participants.....	184
Figure 5.9: Rationale for the design and content of the model	202
Figure 5.10: Draft model of participation mechanisms and municipal actors responsible in the 5 IDP phases.....	207

LIST OF ABBREVIATIONS

AD	Anno Domini
ASGISA	Accelerated Shared and Growth Initiative for South Africa
AU	African Union
BC	Before Christ
CBP	Community-based planning
CBRD	Community-Based Rural Development Strategy
CFO	Chief Financial Officer
Civitas	Body of people constituting a politically organised community
COGTA	Department of Cooperative Governance and Traditional Affairs
CoM	City of Matlosana
COVID-19	Coronavirus disease
CPP	Centre for Public Participation
DEAT	Department of Environmental Affairs and Tourism
DPLG	Department of Local Government
EAP	Economically active population
EM	Executive Mayor
EPWP	Expanded Public Works Programme
G2C	Government-to-Citizen
GEAR	Growth Employment and Redistribution policy
GIS	Geographical information system

GNP	Gross National Product
GPoA	Government's Programme of Action
GST	General Systems Theory
HOD	Head of Department
HR	Human Resource
IAP2	International Association for Public Participation
ICT	Information and Communication Technology
IDASA	Institute for Democratic Alternatives in South Africa
IDP	Integrated Development Planning
IGR	Intergovernmental Relations Framework Act
INVIL	Information Network Village
KPI	Key Performance Indicator
LED	Local economic development
LGTA	Local Government Transition Act
MDG	Millennium Development Goals
MEC	Member of Executive Committee
MFMA	Local Government: Municipal Finance Management Act
MM	Municipal Manager
MMC	Member of the Mayoral Committee
MPAC	Municipal Public Accounts Committee
MSA	Local Government: Municipal Systems Act

MSTA	Local Government: Municipal Structures Act
MTEF	Medium-Term Expenditure Framework
MTSF	Medium-Term Strategic Framework
NDP	National Development Plan
NEMA	National Environmental Management Act
NEPAD	New Partnership for Africa's Development
NGOs	Non-governmental organisations
NPF	National Planning Framework
NSDP	National Spatial Development Perspective
NST1	National Strategies for Transformation
OECD	Organisation for Economic Co-operation and Development
PGDP	Provincial Growth and Development Plans
PGDS	Provincial Growth and Development Strategies
PMS	Performance management system
PO	Participants' opinions
PPGIS	Public participation geographical information systems
RDF	Rural Development Framework
RDP	Reconstruction and Development Programme
RISDP	Regional Indicative Strategic Development Plan
SA	South Africa
SACP	South African Communist Party

SADC	Southern African Development Community
SADCC	Southern African Development Co-ordination Conference
SDBIP	Service Delivery and Budget Implementation Plan
SDF	Spatial Development Frameworks
SDGs	Sustainable Development Goals
SDP	Strategic Development Plan
SET	Social Exchange Theory
SIPO	Strategic Indicative Plan for the Organ on Defence, Politics and Security
SONA	State of the Nation Address
SOPA	State of the Province Address
SMS	Short Message Service
UNCED	United Nations Conference on Environment and Development
UDF	Urban Development Framework
UNDP	United Nations Development Programme
UN-HABITAT	United Nations Human Settlements Programme

CHAPTER 1

INTRODUCTION

“If liberty and equality are chiefly to be found in democracy, they will be best attained when all persons alike share in the government to the utmost” – Aristotle.

1.1 ORIENTATION

This study focused on proposing a model to incorporate public participation meaningfully in the integrated development planning cycle in the South African local government sector.

The word “democracy” was derived from the Greek words “demos” (meaning people) and “kratia” (meaning power). Literally it means “people power”. Civitas (1994:4) defines democracy as “the form of government in which political control is exercised by all the people, either directly or through their elected representatives”. To this Pratchett and Wilson (1996:46) add that democracy entails the allocation and distribution of public goods according to the preferences and needs of the people. In addition, the Institute for Democratic Alternatives in South Africa (2011:5) states that “the question is not so much about the institutional and procedural norms that are in place, but rather the extent to which those institutional and procedural norms facilitate the ability of citizens to rule equally, or at least participate equally in the governance of the country”. A popular slogan of resistance used is “the people shall govern” and this reaffirms the notion of democracy as being ruled by the people for the people (Van der Waldt *et al.*, 2014:25). Democracy thus means that the people who have been elected are accountable in various ways to the people who voted for them.

Section 152(1) of the Constitution of the Republic of South Africa, 1996 (hereafter referred to as the Constitution, 1996), established representative democracy and participatory democracy as two objects of local government where it stipulates that the objects of local government are, amongst others, “to provide democratic and accountable government for local communities” and “to encourage the involvement of communities and community organisations in the matters of local government” (South Africa, 1996). Freire (1972:23) stresses that real participatory democracy depends on the “bottom-up” work of citizens to build “critical communities” that could enter political deliberations as “conscious and empowered forces”. By the 1970s activists interested

in participatory governance addressed the issue in different yet complementary ways. On the one hand, neo-Marxists focused primarily on analysing how institutions affect the participation of empowered people. These concerns spurred (mostly) European activists and scholars to identify new institutional designs that could facilitate more satisfying and radical forms of democratic participation. On the other hand, grassroots organisers inspired by the Freirean tradition stressed that critically conscious communities were a precondition of empowerment (Beaumont & Nicholls, 2008).

Local democracy, which is democracy at the grassroots level, entails the allocation and distribution of public goods according to the preferences and needs of the people (Van der Waldt *et al.*, 2014:25). Local government delivers basic services to its community that affect the quality of their lives, and therefore, in many aspects, are the most significant sphere of government as it is the closest to the community. Thus, democracy is not an all-or-nothing affair. It is rather a question of the extent or degree to which citizens exercise control over political decision making and are treated as equals (De Villiers, 2001:3). According to Van der Waldt (2010:7), local democracy could especially bring about the following advantages to local government:

- higher quality of services closer to the people's needs;
- protection of freedom and human rights;
- increase of efficiency through delegation of responsibility;
- enhancement of social and economic development; and
- policy formulation, decision making and implementation can be fully under control.

Participatory democracy is not about being at the receiving end of democracy but being an active participant in the process (Mogale, 2005:136). Participatory democracy can thus be regarded as a form of democracy in which citizens are actively involved in the decision-making process of the government (Fakir, 2003:7). For participatory government to be significant, it necessitates direct and functional involvement of community members in affairs that concern their well-being (Ababio, 2004:277).

Public meetings are prerequisites for societies to dynamically collaborate in all affairs of government and politics to benefit the largest number of community members in the

largest possible way (Van der Waldt, 2010). As such, “participation should be understood as something broader than just involving beneficiaries and the excluded, with a focus on wide ranging forms of engagement by citizens in policy formulation and decision making in key arenas which affect their lives” (Gaventa & Valderrama, 1999:4). Gaventa and Valderrama (1999:4) continue to state that citizenship participation should be regarded as “direct ways in which citizens influence and exercise control in governance”. Civic participation thus builds collective action between government authorities and citizens, and it raises awareness on development responsibilities by civil society and its involvement in public policy design. Civic participation generally lays the foundation for a process toward a more open, inclusive and transparent society, and the strengthening of democratic institutions (Gonzalez de Asis & Acuna-Alfaro, 2002).

It can be perceived that civic participation requires the contribution of the society in events that is both bureaucratic and administrative in nature. This generally includes the quantity and quality of levels of public services, prioritisation of budgetary issues and all other matters that may impact the general well-being of the society. By this approach, public participation gives effect to and can be regarded as prerequisite for local democracy (Freysen, 1998:249). Public participation essentially means allowing ordinary community members to become involved in local government decision-making processes since they are regarded as the primary customers of local government (Du Toit *et al.*, 1998:124).

Ababio (2004:273) distinguishes between the subsequent five levels of participation. The first level is called “inform” and entails informing the community members to empower them to comprehend both the problem and resolutions. The second level, namely “consult” encompasses recognising community concerns and furnishing responses on these concerns. “Involve”, as third level refers to the intension to work directly with the community throughout the process to ensure that community issues and concerns are understood and considered at an early stage. Fourthly, collaborate, entails involving the members of the community in all decision-making phases. Lastly, “empower” intends to give the ultimate decision-making power to the community to guarantee that the community view these decisions as authentic (Ababio, 2004:273).

These five levels may act as instruments to gauge the quality and extent of public participation in local government affairs.

Development can be regarded as a participatory process which includes all sections of the community, local business and other interested stakeholders. The community comprises a wide variety of actors, including ratepayers as consumers of services, civil associations, agencies and business as contributors to the local economy, and community-based organisations. All of these role players are allowed to voice their opinions on the operations of their municipality (Ababio, 2004:272).

In South Africa's system of cooperative governance and intergovernmental relations, local government as sphere of government is a key player in the developmental processes of the country. The transformation process that commenced in 1994 to establish non-racial and viable municipalities can be regarded as a crucial strategic imperative towards enabling local government to fulfil its role in socio-economic development (Department of Provincial and Local Government, 2000a:1). In this regard the White Paper on Local Government (South Africa, 1998:17) stipulates that municipalities must play a developmental role by committing themselves to "working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs, and to improve the quality of their lives". Chapter 5, Sections 23-37 of the Local Government: Municipal Systems Act 32 of 2000 has created the statutory framework within which all local authorities are obliged to embark upon a process of broadly-defined planning that is aimed ultimately at complete reorientation of municipalities in South Africa. Section 23 of the Act stipulates that the process of planning that culminates in an Integrated Development Plan (IDP) must be "developmentally orientated" to ensure that it becomes an effective strategic tool that enables local government to achieve its constitutional mandate. This mandate is enshrined in Section 152 of the Constitution as follows:

- to provide democratic and accountable government for local communities;
- to ensure the provision of services to communities in a sustainable manner;
- to promote social and economic development;
- to promote a safe and healthy environment; and
- to encourage community participation in local government matters.

According to Van der Waldt *et al.* (2014:53), developmental local government is a constitutional mandate. Local government is the sphere of government that interacts with citizens, groups and communities with a view to create sustainable human settlements that provide for a decent quality of life and meet the social, economic and material needs of the community holistically. Planning in local government is the activity where officials and politicians agree on the activities required to achieve the strategic goal of their organisation. Thebe (2016:714) argues that the planning process needs to improve dramatically, because the communities' interests are involved in the affairs of the local municipalities, and that remains a thorny issue.

South Africa's integrated planning approach was launched after 1994 as a platform for previously marginalised municipalities. Integrated development planning (IDP) is one of the key tools for local government to cope with its new developmental role (Department of Provincial and Local Government, 2000a:1). Integrated development plans (IDPs) were intended to assist municipalities in achieving their developmental mandates and to guide the activities of any institution or agency operating in the municipal area (Oranje *et al.*, 2000:19). According to Lowndes *et al.* (1998), it is time for participation to be no longer regarded as a luxury or an "add-on frill" to the normal functioning of a local authority. To build an enhanced and more effective approach to public participation requires a local authority to develop a systematic and strategic approach. Developmental local government can thus only be realised through an integrated development and participatory approach. Municipalities in South Africa are legally required to prepare IDPs for their area of jurisdiction in terms of the Local Government: Municipal Systems Act 32 of 2000.

As far as stakeholder involvement is concerned, the Act (Section 29) stipulates the following:

- The process followed by a municipality to draft its integrated development plan, including its consideration and adoption of the draft plan, must through appropriate mechanisms, processes and procedures, allow for –
- The local community to be consulted on its developmental needs and priorities;
- The local community to participate in the drafting of the integrated development plan;

- Organs of state, including traditional authorities and other role players to be identified and consulted on the drafting of the integrated development plan.

In his 2006 Budget Speech, former Minister of Provincial and Local Government, Mr Mufamadi, remarked that, although IDPs were originally conceived as strategic plans for local government, their potential impact for other developmental processes has become increasingly important. Freysen (1998:249) posits that public participation requires public involvement in legislative conducts including the IDP process, prioritising the budget and all matters affecting the wellbeing of the community. Thus, public participation brings about democracy.

According to Van der Waldt (2010:1), theories in the framework of local democracy are essential for the creation, investigation and appraisal of issues like the effectiveness of participatory procedures. For purposes of this study, the Social Contract Theory serve as philosophical foundation and the General Systems Theory (GST) was used as macro theoretical framework to analyse the input, processing, output and feedback dimensions of public participation in municipalities as an open system. According to Van der Waldt (2010:6) “organisations are part of a system within larger and smaller systems with which it interacts”. The Systems Theory guides the analysis of relationships, and the postulation is that local democracy is reliant on relationships between municipalities and communities as well as meanings imparted by individuals belonging to the local government structure. Van der Waldt (2010:6) further states that “applying the systems theory to the context of local democracy would imply that stakeholders should have an awareness of internal and external socio-political factors”. Politicians should determine the most effective way of community engagement based on their analyses of community values, needs and aspirations. Micro theories that provided particular perspectives to the respective community participation dimensions include Public Choice Theory, Social Exchange Theory, Social Penetration Theory, Cognitive Dissonance Theory, and Knowledge Gap Theory.

According to Buchanan and Tullock (1962) and Downs (1967), the premise of Public Choice Theory is that an official at any level, be the official in the public or private sector, “acts at least partly in his or her own self-interest”. Becker (1976:5) argues that this theory integrates a wide range of human behaviours and choices”. Felkins (1997)

also concurs with this statement by adding that the most important contribution of Public Choice Theory is that it recognises that politicians and officials are generally motivated by self-interest, and that their self-interests have far more significance consequences than those of regular citizens. In a local government context, it means that officials and politicians will probably make decisions that will lead to benefits for themselves.

Social Exchange Theory is based on the premise that in interpersonal relationships the fulfilment of both parties' self-interests is the most important aspect. Van der Waldt (2010:8) suggests that if a citizen perceives the benefit of the relationship as being less than the costs of the relationship, the theory envisages the citizen to leave the relationship. In local government, this implies that citizens will not participate in the democratic processes if they feel that the process is not beneficial to them. Emerson (1976:335) states that the Social Exchange Theory proposes that the relationships people choose to create and maintain are the ones that maximize their rewards and minimize their costs.

The Social Penetration Theory was developed to explain the evolution of interpersonal relationships. These relationships change, normally becoming deeper and more trusting as people gradually reveal themselves to one another over time (Altman & Taylor, 1973). Van der Waldt (2010:10) explains that in relational development, the Social Penetration Theory plays a significant role. In the local democracy milieu, this theory denotes the developing and upholding of a relationship to promote local democracy.

Cognitive Dissonance Theory is a theory in relation to change and shaping the manner in which one behave. In the local government context, the theory is significant for the reason that municipalities should foster a culture of openness, transparency and participation for all its citizens. This theory can also potentially influence individuals to display behaviour that is pertinent for particular positions in politics (Van der Waldt, 2010:10).

Viswanath and Finnegan (2016:187) suggest that the Knowledge Gap Theory, formalised in 1970, posits increasing differences in knowledge due to socio-economic inequities. The Knowledge Gap Theory argues that that there is an awareness,

information, and knowledge disparity amongst individuals of higher and lower socio-economic class. When local government information is presented, officials should recognise the fact that their constituency's knowledge on a subject will differ due to their different socio-economic status. Hence, information should be presented in different ways (Van der Waldt, 2010:10).

1.2 PROBLEM STATEMENT

The City of Matlosana is situated approximately 164 km south-west of Johannesburg on the N12 highway and covers about 3 625 km². The City of Matlosana is part of the Dr Kenneth Kaunda District Municipality in the North West Province. It was called Klerksdorp Municipality and the name was officially changed to the City of Matlosana on 1 July 2005. The name "Matlosana" is said to mean "people helping each other to move from one area to the other". The City of Matlosana includes Klerksdorp, Jouberton, Alabama, Orkney, Kanana, Stilfontein, Khuma, Tigane and Hartbeesfontein and is the largest of all municipalities in the North West Province.

According to estimates based on the population growth rate of SA Statistics (1,04%) and the Matlosana Socio-Economic Report of 2012, the City of Matlosana has a total population of 438 486 people, of whom 103 407 (92%) are urbanised and 35 079 (8%) are rural. Mining villages form part of the urban areas and the population density is 123 persons per km² people of which 92% are urbanised and 8% rural (City of Matlosana, 2017:7).

The local government sector is required under the Constitution of 1996 to ensure an inclusive approach is applied when budgetary and planning processes are carried out in municipalities. Consequently, the need for an Integrated Development Plan (IDP), a five-year municipal strategic vision intended to address the difficulties involved in creating sustainable settlements that meet people's needs and attempts to enhance the quality of life of communities who are severely impoverished (White Paper on Local Government of 1998:27). The City of Matlosana initiated a process of creating an Integrated Development Plan and Budget through this planning phase in order to construct a developmental strategy for the short, medium, and long terms.

This was a dynamic and a politically intense process that was guided by the statutory obligations that govern the operations of local government. As much as the

municipality understood their responsibilities to their communities they must remain accountable, sensitive and responsive to the needs of the populace of Matlosana. During the design of its IDP, the municipality must make sure that the needs of the communities, especially the poor and marginalised, are taken into consideration by means of statutory-obligated public participation processes and structures. For this purpose, various mechanisms for public participation are currently in place in the City of Matlosana.

In terms of Section 73 of the Local Government: Municipal Structures Act 117 of 1998 (MSTA) the establishment of ward committees is obligatory as one of the central mechanisms to enhance participatory democracy in local government. Therefore, participation commences when the local community ascertains their needs and acquire an approach of addressing their needs (Mubangizi, 2010:153). The Office of the Speaker established 70 fully functional ward committees in each ward of the City of Matlosana. These ward committees play an important role in the public participation process of the Integrated Development Plan and Budget of the City of Matlosana.

A further mechanism that is utilised for purposes of participation during the IDP processes is public meetings. Municipalities request their community members to be present at these public consultations that often form part of mayoral *imbizo* (a Zulu word meaning “gathering”) initiatives. Another mechanism that is in place is open council meetings. In the City of Matlosana, the public is invited to attend council meetings when a matter of public concern is discussed, for example the tabling of the Annual Budget, the finalisation of the Integrated Development Plan, and the Annual Report.

The mechanisms highlighted above all have varying degrees of success as far as participation in the IDP process is concerned. In the IDP process in the City of Matlosana, the public are generally consulted in the initial stage (analysis) and then only after the tabling of the Draft Integrated Development Plan (IDP) to council (approval).

A further matter that was investigated in the course of this research, is that during the process of formulating an Integrated Development Plan and Budget process, the

community needs to be informed of the decisions the municipality take and the municipality has the legal obligation to regularly disclose its budget. According to Ramjee and Van Donk (2011:19), the budget as well as the IDP processes are technical, resulting in poor communities being omitted in the participation process.

In the City of Matlosana, the only meeting in which feedback is provided, is the consultative meeting on the IDP and Budget after the tabling of the Draft Budget and IDP on or before 31 March annually. Two-way communication is an important instrument in facilitating public participation. It is therefore crucial for a municipality to have mechanisms in place to foster two-way communication to empower the community. However, it seems that municipalities in general rather focus on mere information sharing mechanisms such as newsletters, annual general meetings, information points or help centres, and strategic partnerships with various stakeholders in the community (IDASA, 2011). The City of Matlosana has initiated some mechanisms for information sharing purposes such as the compilation of a database of all relevant community and stakeholder organisations, informing communities and stakeholders through campaigns such as the *Dikgang tsa Matlosana* newspaper, advertisements in local newspapers and notices at prominent locations such as pay points, direct mail, leaflets with service bills, distribution of pamphlets and posters to ward committees, and radio announcements or newspaper advertisements. These mechanisms are generally sufficient to share information, but not to obtain responses or feedback from the community. Additional mechanisms for active two-way communication should thus be sought.

A further problem was that the City of Matlosana's IDP document for the 2017/2022 financial year cycle indicated the importance of involving communities in municipal development initiatives, emphasising that the community should be "in charge of their own development". What lacked to be mentioned, however, is whether, when and how the community will participate in *all* the phases of the IDP cycle. Furthermore, the IDP document did not indicate the level of participation needed from community members during the course of the IDP process. An investigation as well as consultation sessions with officials from the IDP unit of the City of Matlosana, revealed that citizens are only participating adequately during the first phase of the IDP cycle. Furthermore, they are only consulted after the approval of the Draft IDP by Council – mainly to inform them

of the programmes and projects that will take place in the following financial year. Again, it was evident that emphasis was placed on information sharing rather than full participation. In reality, council decisions are made by councillors and administrative technocrats that do not necessarily reflect the needs, wishes and aspirations of the community. Decisions are rather focused on internal municipal functioning and the maintenance of the bureaucracy. It thus has an internal (institutional) focus rather than an outward, community focus. The result was that community consultations do not adequately have an impact on service delivery priorities and decisions. This problem is echoed by Everatt *et al.* (2010:236) who argue that the IDP process extends over eight to ten months, but that public participation occurs only at a few discrete points during this period. Sisk and Ballington (2001:163) pick up on this notion and critically note that “participatory approaches will fail if people believe that they are being used to legitimise decisions that have already been taken or that the results of their efforts will not matter in the long run...citizens and civic groups will quickly recognize when a process is a mask for a top-down decision implementation and when the views of participants are genuinely sought.” Also, Gueli *et al.* (2007:104) and Hofisi (2014:1132) insist that local participation should happen during all phases of the IDP process and not be applied exclusively for initial assessments and the prioritisation of needs. The situation in the City of Matlosana precisely reflects this problem – participation only takes place for initial assessment and the prioritisation of the needs of the community. Real participation should enable the community to identify needs and priorities, decide on development goals, inform policies and strategies, as well as ensuring that Council assumes responsibility and accountability for service delivery.

It is evident that public participation did not play a significant role in all the cycles of the IDP process in the City of Matlosana and research on the inclusion of a comprehensive model to foster public participation can benefit not only the City of Matlosana, but all local, district and metropolitan municipalities in the country. The implementation of a mechanism to guarantee effective public participation in all phases of the IDP cycle will significantly enhance the quality and validity of decisions taken on the provision of services. This in turn could further minimise service delivery protests and could ensure that community members feel that they are contributing meaningfully to local development in general and the IDP process in particular.

Against this background, the problem statement for this research was thus formulated in the form of a guiding primary research question as follows: *What should be included in a comprehensive model to foster public participation in integrated development planning in local government?*

1.3 RESEARCH OBJECTIVES

The research objectives guiding the study included the following:

1.3.1 Primary objective

To draft a comprehensive model which will aid local government in South Africa to foster public participation in the Integrated Development Planning cycle of local government.

1.3.2 Secondary objectives

- To explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation.
- To conceptualise and contextualise public participation within the context of South Africa as a democratic developmental state.
- To analyse the statutory and regulatory frameworks for integrated development planning in the South African local government sector.
- To uncover international and national local government best practices in facilitating effective public participation within development planning processes.
- To identify and analyse institutional challenges that impede the effective and efficient implementation of existing public participation strategies in local government with specific reference to the IDP cycle.
- To investigate existing participation strategies and mechanisms in the IDP cycle in the City of Matlosana as a case study.
- To design a model to foster public participation in the integrated development planning cycle of local government with specific reference to the City of Matlosana.

1.4 RESEARCH QUESTIONS

Considering the research topic and this study's problem statement, the prominent research questions proffered and addressed throughout the chapters in this research are listed as follows:

- What are the philosophical and theoretical foundations of local democracy and public participation?
- What are the statutory and regulatory guidelines that define the foundations of local democracy and the functionality of the public participation process in terms of integrated development planning in the South African local government sector?
- Which criteria define the role of public participation within the broader context of the local government sphere of South Africa as a democratic developmental state?
- What are the theoretical and regulatory guidelines that define the functionality of the integrated development planning process in the South African local government sector?
- What are the international and national local government best practices in facilitating effective public participation in the development planning process?
- What are the institutional challenges associated with the effectiveness of public participation in the IDP cycle of the City of Matlosana?
- What is the current status of public participation in the City of Matlosana as a local municipality?
- What can be done to improve the public participation strategies and mechanisms in the IDP to fulfil the expectations of representative democracy?
- What should be included in an integrated model for public participation to incorporate in the IDP cycle of local government with specific reference to the City of Matlosana?

1.5 CENTRAL THEORETICAL STATEMENTS

Public participation in the legislative process and the accountability and oversight tasks of legislatures is essential for long-term democratic stability. Public participation

promotes legitimacy and public support for legislation and government policies, and thereby ensures democratic stability (De Villiers, 2001:5).

According to Freysen (1998:249), public participation requires the participation of the community in a variety of governmental policy-making activities such as prioritising the budget, establishing the service levels and all other matters impacting community well-being. Public participation therefore brings about democracy. As clients of local government, community members are inherently more receptive to public needs than government officials. Public participation entails that members of the community should be engaged in the decision-making process (Du Toit *et al.*, 1998:124).

Local government is a fundamental instrument for developmental government as it is the sphere of government that can exert the most significant development. Development is the process where all local stakeholders, business groups and the community participate and where they are permitted to voice their opinions with regard to the operation of the municipality (Ababio, 2004:272). Significant public participation is crucial for a feasible local government as the local community should be presented with information that is timely, available and accurate for them to make the correct decisions. Frequent community consultation is vital to guarantee that all endeavours embark on by the municipality are consented by the community. Constant feedback from the local community is crucial for enhancing service delivery (Ababio, 2004:272-273).

According to the Local Government: Municipal Systems Act 32 of 2000, all municipalities (i.e. metros, district and local municipalities) have to undertake an integrated development planning process to produce integrated development plans (IDPs). As the IDP is a legislative requirement it has a legal status, and it supersedes all other plans that guide development at local government level. The IDP is about determining the stakeholder and community needs and priorities which need to be addressed in order to contribute to the improvement of the quality of life. Community and stakeholder participation in determining those needs is therefore at the heart of the IDP process. The Constitution and the Municipal Systems Act clearly stipulate that the municipality must mobilise the involvement and commitment of its stakeholders by establishing an effective participatory process.

According to Lowndes *et al.* (1998), every local authority can claim some valuable experience of participation, but no authority can yet claim that they have built participation into the heart of their organisation. It is time for participation to be no longer regarded as a luxury or an add-on frill to the normal working of a local authority. To build an enhanced and more effective approach to public participation requires a local authority to develop a systematic and strategic approach. This does not imply the production of some great written plan or set of rules about when and how to organise participation, although some guidance document specific to the needs of the authority might be appropriate. What is necessary is to ask how to deeply ingrain a commitment to participation throughout the authority and ensure that the many tensions and difficulties associated with participation are addressed. The importance of public involvement in the IDP process has been overlooked and there is a need for a public participation model to ensure the effectiveness of the public participation process in the IDP cycle.

1.6 RESEARCH METHODOLOGY

In research methodology, the researcher interrogates the issue of what can be known or believed (Henning *et al.*, 2013:17). Franklin (2012:248) advocates that “research methodology generally refers to methods, techniques, and procedures that are employed in the process of implementing the research design or research plan”.

This study focussed on the public participation process, especially participation within the IDP cycle of the City of Matlosana. A secondary focus point was to uncover international and national local government best practices in facilitating effective public participation within development planning processes. Against this background, internet sources accompanied by semi-structured interviews were utilised to determine the methods of public participation typically used by local government in the IDP cycle. A substantial amount of information was obtained from internet sources (i.e. municipal websites) due to the fact that most local government institutions utilise this method to converse with their communities and all collected information was evaluated. A comprehensive study was done utilising the limited literature available to further enhance the research. This study exposed the challenges of South African local government with regard to public participation. The findings of the analysis were applied to develop a model that will not only support IDP specialists in local

government in South Africa but will also present a framework for fostering public participation effectively in all the phases of the IDP cycle.

1.6.1 Literature review

Primary literature was used as the foundation of the research. Books, government and international reports, conference proceedings and research reports/documents were consulted in order to ascertain the most current developments on the topic.

1.6.1.1 Databases consulted

The following databases have been consulted to ascertain the availability of material for the purpose of this research:

- Catalogue of theses and dissertation of South African Universities (NEXUS)
- Catalogue of books: Ferdinand Postma Library (North-West University)
- Index to South African Periodicals (ISAP)
- EBSCO Academic Search Elite

1.6.2 Empirical investigation

“There are mainly two research paradigms or approaches in social research, namely the quantitative research approach and the qualitative research approach” (Franklin, 2012:261). In qualitative research, the analysis of data is a constant procedure of evaluation, appraisal and processing that commences with the accumulation of literature and empirical data by the researcher (Cloete, 2007:513). The stages of the qualitative approach are best explained by Corbin and Strauss (1990) as follows:

- The first stage is acknowledged as the identification of codes. The purpose of codifying the corpus of data ensures the detection of anchors which enables the recognition of significant facts.
- The second stage would be to establish concepts that embody an anthology of codes that displays an analogous substance.
- The third stage is recognised as categories of which the purpose would represent broad collections of analogous concepts.
- The fourth stage suggests the materialisation of theory or theoretical assumptions. The purpose of the latter stage would be to elucidate the topic of this research.

For purposes of this research, qualitative research methodology with a single case study design was utilised. Source triangulation as well as method were used to analyse data obtained from sampled participants selected from the City of Matlosana and surrounding municipalities.

1.6.2.1 Research design

Babbie and Mouton (2002:74) provide a useful definition of a research design as “a plan or blueprint of how you intend conducting the research”. According to them, the value of the case study approach is that it allows the researcher to “observe the characteristic of an individual unit - a child, a clique, a class, a school or a community”. Sources of data, conceptualisation and critical strategies are informed by the case study design in this study. A qualitative design was followed for purposes of this study.

1.6.2.2 Sampling

“The target population is the population to which the study would like to generalise the results. It sets boundaries on the study units, which are the individuals who possess specific characteristics” (De Vos *et al.*, 2010:223). Participants from the City of Matlosana was purposively selected based on their direct involvement and responsibility towards shaping the Integrated Development Plan and was clustered as Cohort 1 (see Table 1.1). The empirical investigation further included interviews with IDP managers of surrounding municipalities in the Kenneth Kaunda District clustered as Cohort 2 and lastly interviews were extended to Provincial Government where interviews with officials from the IDP unit was conducted and clustered as Cohort 3. The inclusion of Cohort 2 and Cohort 3 in this study is due to the fact that these additional participants served the purposes of cross-referencing and verifying the responses from participants in the City of Matlosana. As such, they contributed significantly to analyse the status of public participation.

Table 1.1 Sampled participants

Cohorts	Participants	Sample (n=)
1: Officials and councillors from the City of Matlosana	<ul style="list-style-type: none"> • Executive Mayor: City of Matlosana • Speaker of Council: City of Matlosana • Municipal Manager: City of Matlosana 	9

Cohorts	Participants	Sample (n=)
	<ul style="list-style-type: none"> Senior Managers: City of Matlosana 	
2: Dr Kenneth Kaunda District Municipality and Maquassi Hills Local Municipality	<ul style="list-style-type: none"> IDP Manager of Dr Kenneth Kaunda District Municipality IDP Manager of Maquassi Hills Local Municipality 	2
3: COGTA	<ul style="list-style-type: none"> Senior COGTA officials in the province responsible for municipal IDP processes 	2
Total sample		13

More details pertaining to the profile of participants are provided in Chapter 5 of the study.

1.6.2.3 Instrumentation

Semi-structured interviews were conducted with sampled participants. Interviews as data collection instrument were chosen because of its flexibility in the discussion by the interviewee on the topic. A total of 13 semi-structured interviews with participants were conducted to obtain rich data and detailed descriptions of the constructs of this study. An interview schedule was developed using closed and open-ended questioning to obtain information. This schedule was pre-tested (piloted) with a smaller sample of the target population.

1.6.2.4 Data analysis

De Vos *et al.* (2010:397) describes data analysis as the method of bringing denotation, co-ordination and composition to the corpus of data in an endeavour to identify the essence of the intricate subjective and social world. The input obtained by semi-structured interviews from participants was categorised in themes and then coded for purposes of analysis. ATLAS.ti (Version 9) software was utilised for this purpose.

1.7 LIMITATIONS AND DELIMITATIONS

According to Lutabingwa and Nethonzhe (2006:700), “factors that are known to pose potential limitations to the findings of a study should be disclosed because of ethical and scientific reasons”. This study made use of a single case study with different units of analysis embedded in the case. The findings cannot therefore be generalised to the

total population, namely all municipalities in South Africa. The movement of and interaction with individuals during the COVID-19 lockdown period made the extension of the scope of the study and personnel interviews extremely difficult. Great care was taken to observe all protocols. This also significantly influenced the availability of funds and logistical arrangements necessary to conduct the interviews. The sample size was thus limited to the most significant role-players in the IDP process, namely IDP managers and ward councillors. In a more ideal environment, the study could have benefited by including civil society organisations, community-based organisations and activists in the field of local democracy.

A potential further limitation of the study is the physical involvement of the researcher in the IDP process of the City of Matlosana. Her experience with and direct exposure to the IDP process and her intimate knowledge of local conditions and actors may have influenced objectivity in terms of the interpretation and formulation of findings. To validate the results, however, data, source and technique triangulation were employed, and all scientific best practices were followed in the application of the research design and data collection procedure.

1.8 SIGNIFICANCE OF THE STUDY

On a practical level, the effectiveness of public participation in the IDP cycle is determined by analysing and identifying the status of public participation and on endorsing institutional arrangements as well as a comprehensive participation model. As such, this study significantly contributed to the stated ideals of deepening local democracy as prescribed and outlined by national legislation, the Constitution, the National Development Plan: Vision 2030, the Sustainable Development Goals, Local Agenda 21, the Medium Term Strategic Framework, official guidelines of COGTA (Department of Cooperative Governance and Traditional Affairs) and SALGA (South African Local Government Association), the Government's Programme of Action, and the mission statements of most municipalities. The application of the proposed model will also improve the legitimacy of municipal structures, the proper prioritisation of community needs, and the design of suitable interventions to improve service delivery. Since community members feel empowered to meaningfully contribute to the IDP process, it will potentially minimise service delivery protests and damage to government infrastructure and property. It will potentially also contribute to civil society

awareness about their democratic rights and obligations regarding active and responsible citizenship.

On a scholarly level, the study significantly enriched the existing corpus of knowledge in the domains of public administration and municipal governance by designing a comprehensive conceptual and theoretical framework for local democracy, public participation and the IDP process. It also contributed to better comprehension of the international best practice pertaining to citizen engagement, the suitability of some participation mechanisms, and the nature of typical challenges experienced by municipalities in fostering local democracy. Overall, the study established the philosophical and meta-theoretical underpinnings of community participation and the ethics of developmental local governance.

1.9 CHAPTER LAYOUT

To operationalise the respective research objectives, the study is logically structured in the following chapters:

Chapter 1: Introduction

Chapter 1 introduced the primary purpose of this research as fostering public participation in the integrated development planning process. The general orientation primarily focused on the role and prerequisites of an autonomous developmental state in addition to the constitutional mandate and statutory obligations of municipalities to strengthen local democracy. Chapter 1 also outlined the problem statement and resultant primary and secondary research objectives. Central theoretical statements established the foundational arguments and outlined the philosophical and theoretical arguments significant to the study. The sampling, research design and data collection methods were furthermore explicated.

Chapter 2: Local democracy and public participation: A conceptual and contextual exposition

Chapter 2 addressed the normative propositions of local democracy and public participation within the milieu of South Africa as a sovereign developmental government by means of a robust literature review. Focus was placed on the role of public participation within the local government sphere and the effectiveness therefore within the practice of the IDP cycle.

Chapter 3: Theoretical underpinnings and praxis of the IDP process

Chapter 3 was set out to determine the theoretical and regulatory frameworks for integrated development planning in the South African local government sector. This was established by means of a literature study and the analyses of applicable theories, approaches and principles.

Chapter 4: Statutory and regulatory frameworks and international and national best practice

In Chapter 4 international and national local government best practices in facilitating effective public participation within development planning processes were uncovered.

In conjunction with a thorough analyses of key prescripts of national legislation, regulations and official guidelines, this provided a data set against which gaps pertaining to current participation practices could be gauged.

Chapter 5: Challenges associated with the effectiveness of public participation in the IDP process of the City of Matlosana: Empirical findings

In Chapter 5, the institutional issues that hinder the effective and efficient implementation of current public involvement structures and procedures in local government – particularly the IDP cycle – were identified and analysed as the study's main focus. Semi-structured interviews were utilised to attain data with sampled participants representing three cohorts. Responses obtained were cross-referenced (i.e. gap analysis) with the content emanating from Chapters 2 and 4.

Chapter 6: Conclusion and recommendations: A model for fostering public participation in integrated development planning in local government: The case of the City of Matlosana

Chapter 6 concluded the study by summarising the key findings relevant in answering the respective research questions. The chapter also presented theoretical perspectives and practical, operational recommendations to enhance the level of public participation in the City of Matlosana by presenting a model for fostering public presentation in the IDP cycle of local government.

1.10 CONCLUSION

Chapter 1 postulated the study's introduction, course and also the justification of the research design. The research problem and the applicable research questions were formulated with corresponding research objectives. Additionally, the importance of the study and research methodology engaged to respond to the research questions and to achieve the research objectives were delineated.

Chapter 2 will address the normative propositions of local democracy and public participation within the framework of South Africa as an autonomous developmental state by means of literature review. Particular focus is placed on the role of public participation within the local government sphere and therefore the effectiveness within the IDP cycle.

CHAPTER 2

LOCAL DEMOCRACY AND PUBLIC PARTICIPATION: A CONCEPTUAL AND CONTEXTUAL EXPOSITION

“Any democratic developmental state will need sufficient political authority and administrative capacity to maintain public order by managing the social and political conflicts arising from structural divisions in society and from the tensions inherent in a successful growth process” (White, 2002:29).

2.1 INTRODUCTION

The purpose of this chapter is to explore the conceptual and contextual dimensions of local democracy and public participation with particular reference to the meta-theoretical and normative dimension applications thereof in a developmental state context. This chapter will also investigate criteria that define the role of public participation within the broader context of local governance.

The position taken in this study with regards to democracy and local government is normative in nature. Stoker (1996:1-2) defines normativism as the “what should be” dimensions of reality. He further argues that normative thought finds expression in multiple governance-related activities such as the manner in which governments adhere to democratic principles. In a scientific sense, Beetham (1996:28-29) holds that normative theorising is a complex and “many-sided endeavour” that includes a number of distinct dimensions. The first dimension is an analytical or conceptual component aimed at designing a conceptual framework for scholarly inquiry. The second dimension is a “justificatory” component answering the question “why should it be valued and why is it important? The third dimension entails critical engagement answering questions such as “to what extent are the criteria or principles associated with the concepts realised in a given institution, and to what extent do these institutions comply with the normative specification?” The practical fourth dimension focuses on the following problems: The most efficient institutional procedure to achieve the principles in question and the stage when achieving these principles bring about conflict with other valued principles. Lastly, the agency dimension is concerned with the social or political group that may act as the protagonists or beneficiaries of the applicable norms and values. This exposition of normativism by Beetham (1996:28-29) serves as valuable framework to design the content of this chapter.

In adherence to the respective dimensions of normativism, the chapter will conceptualise key concepts and constructs associated with this study, namely democracy, local democracy and public participation. The meta-theoretical underpinnings of democracy and local democracy will first be explored as answer to the “what should be” question. In this regard, Stoker’s reference to the underlying values and norms of democracy is particularly significant. These values and norms have implications for the particular nature in which local government comply with the established principles of local democracy and community participation. Also, Wiechers (1993:250-251) holds that community values are “the rules of the game according to which everyone can participate in government processes, while norms are the specific prescriptions that are carried and nurtured by those values”. In this regard, the chapter aims to confirm the nexus between the norms, values and principles of constitutional and participatory democracy and local government participation praxis.

Consistent with the dimensions of normativism, this chapter will furthermore discover the key characteristics of the respective types of democracy. Due to the developmental nature of the South African state, emphasis will be placed on development democracies as forms of government. The developmental role of local government in this regard will be accentuated. In this regard, Van der Waldt *et al.* (2014:32) claim that the physical (literal) and figurative distance between national government and the general public can be overcome by permitting local government to act as agent of the state to deliver local services and goods. In this respect, decentralisation of authority and powers to local government allows communities to participate more directly and efficiently in local affairs.

The final part of the chapter will analyse the theoretical underpinnings of public participation from a democratic perspective. Theories applicable to transitions towards a democratic dispensation are part of this analysis. In this regard the principles of the Systems Theory and Social Exchange Theory serve as a valuable normative basis to investigate democratic ideology. In addition, the approaches and the advantages of public participation will be assessed by considering the significance thereof in local democracy as well as the developmental obligation of local government. Public participation is the key focus of this study and therefore the nature and scope of its application are essential to ascertain the current status thereof in South Africa.

Scholars such as Nyalunga (2006) and Maphazi *et al.* (2013:57) confirm that public participation in South Africa is a recent occurrence and was only firmly established after democratisation in 1994.

2.2 CONCEPTUALISING DEMOCRACY

According to Birch (2002:73), the word “democracy” is derived from the Greek words “demos” (meaning people) and “kratia” (meaning power). Literally it means “people power” where political equality amongst people exists. Wollheim *et al.* (1962:177) characterise democracy as the reign of the public and considers the notion that “democracy is the government of the whole people by the whole people, equally represented” (Wollheim *et al.*, 1962:180). Dahl (2015) supports the declaration of equality in a democracy. Ranney (1987) also considers the notion of majority rule in his definition of democracy as “a form of government organised in accordance with the principles of popular sovereignty, political equality, popular consultation, and majority rule”. It can therefore be argued that people are firmly at the centre of democracy.

Held (2006:14-15), states that democracy can be regarded as a political phenomenon that emerged around 500 BC with the creation of the Athenian city-state model, implemented as a participatory type of democracy. Political participation was allowed for adult (male) Athenians, referred to as *demos*. When Julius Caesar was assassinated in 44 BC, ancient notions of democracy disappeared for approximately 1 000 years. Amid the Vikings of Northern Europe about 900 AD a political system developed that was similar to a democracy, and in 1100 AD in certain Italian cities key principles of democracy re-emerged (Dahl, 2015:15-18). The main characteristics of these early democracies, according to Held (2006:13), were broad participation, social equality, individual freedom, and respect for the rule of law. The democratic dispensation's main accomplishment was arguably built on the mutual trust between the government, groups and individuals, based on a largely inherent agreement that was later popularised by John Locke, Thomas Hobbes and Jean Jacques Rousseau as “The Social Contract”.

Held (2006:15) states that the most profound expression of democracy is found in *The Politics* of Aristotle in which he argues that the basic principle of a democracy is civil liberty. The tenets of civil liberty, according to Held (1993:16), strongly emerged during

the Renaissance. Held (1993:16) states that “the core of the Renaissance republican case was that the freedom of a political community rested upon its accountability to no authority other than that of the community itself”. The ideal, according to Held (1993:17), was that rulers of the state should not be viewed in a traditional or conventional sense, but rather be regarded as “agents of justice” on behalf of the community. It thus seems that the ideals of democracy in classical times primarily focused on self-government as the premise of civil liberty and citizen participation. Held (1987:158) expounded the concept of democracy to include three key aspects. These three aspects are of importance for this study, mainly due to the causal relationship between the health of local democracies and the nature and scope of public participation. The first aspect is clarification of the notion of “people”. In other words, who are the people and why and how should they participate in government decisions. The “people” as participants in democratic processes entails multiple definitions and descriptions. Social contract theorists, for example, regard the people as an “authoritarian corporate” construct (Canovan, 2008:356). According to Canovan, the “corporate people” is seen as a social construct that can take certain collective actions. However, the “corporateness” of people is usually negated by the fact that people as a collective disappears and that they only express their collective opinions by means of official spokespersons. In this regard, classical theorists like Jean-Jacques Rousseau and John Locke differentiated between the individual and the collective persona of society. Rousseau argued that the collective persona of the people is imbedded in the notion of the “common good”, which represents both individual and collective interests. Locke reasoned that people as a collective body is bound by a “contract”, confirming them as “one people, one body politic” (Canovan, 2008:356). Ackerman (as quoted by Canovan, 2008:357) regards the people as a “random mobilisation of independent individuals who gather temporarily as voters in a political body to exercise political power”. In addition, Canovan (2008:359) reasons that people’s endorsement of a government legitimises the state, therefore a strong state must be supported by people with adequate comprehension of the “collective identity” to oversee political power. The authority and collective identity that the people possess thus acts as the foundation of a strong and healthy state dispensation.

The second aspects entail the system and type of government. This, according to Held (1993) is significant since the system and type of government largely determine the

nature of democracy and the way in which participation is viewed. In this regard, Civitas (1994:4) affirms that democracy should be interpreted as a form of government in which political control is exercised by all the people, either directly or through their elected representatives". In addition, IDASA (2011:5) states that "the question is not so much about the institutional and procedural norms that are in place, but rather the extent to which those institutional and procedural norms facilitate the ability of citizens to rule equally, or at least participate equally in the governance of the country". Governmental democracy is a question of the degree to which citizens exercise control over political decision making and are treated as equals (De Villiers, 2001:3). According to Diamond (1999), a healthy democracy acts as foundation to legitimise political decisions. This legitimacy is premised on the extent to which decisions comply with the norms and principles of democracy, such as participation, equity, representation and accountability. In agreement, Dahl (2015:45) opines that democracy is the most stable form of government since it safeguards fundamental human rights, individual human development, the protection of personal interests, political equality, peace and prosperity. As such, it should represent the "democratic ideal" (Dahl, 2015:45).

The third and final aspect expounded by Held (1987) refers to the particular relationship between people and government. In this respect, McLaren (2008:3-4) argues that the idea of "political equality" of people is central to democracies. He ascertained a number of conditions for political equality, namely that politicians are voted for by the people, there is freedom of speech, alternative sources of information, free association and elections are free, fair and regular. Apart from the equality dimensions of democracy, scholars such as Diamond (1999) and Doorenspleet (2005) focus on the actors involved in maintaining the relationship between people and government. They suggest that elected and appointed officials in government administrations should act and behave in a democratic manner. This means that their decisions should be made in a responsible, responsive and transparent way aimed at addressing the collective concerns of the people. Similarly, Rawls (1972:136) accentuates the need for "fair procedures" so that administrative and political decisions can be regarded as just. In this regard, Doorenspleet (2005:15) maintains that a healthy democracy can be regarded as a type of political regime in which "(1) there are institutions and procedures through which citizens can express effective preferences about alternative policies at

the national level, and there are institutionalised constraints on the exercise of power by the executive (*competition*); and (2) there is inclusive suffrage or the right of participation in selecting national leaders and policies (*inclusiveness / participation*)”.

Further to the relational aspects of democracies, Bobbio (1987:61-62) holds a pluralist perspective by arguing that there is generally a relationship between democracy and “dissent”. Dahl (1989:19) adds that “the characteristic of the modern democratic state is political struggle, not peace.” While Rawls (1972:28) defines democracy as “a way of promoting just outcomes through procedural justice that increase coordination, agreement, and cooperation between rational individuals, even though they have different interests,” Dahl (1989:19) distinguishes democracy as “a means of solving conflict.” Therefore, democracy could be considered as the framework where participation and solving conflicting relationships between people and government can flourish. Sound democracy obliges government to be open about what they do and equipped to justify their actions (Valderrama & Hamilton, 1999:98). Rosanvallon (2008:3) regards a “true” democracy to contain elements of tension and conflict between people’s interests and the vested interests of government. He argues that people have “veto power” and should use this power if decisions made by government do not reflect the norms, values and principles of a democracy. He also warns that “positive democracy” (characterised by regular elections and legal institutions to maintain rule of law) can be replaced by “counter-democracy” premised on distrust between people and government (Rosanvallon, 2008:14). Rosanvallon further believes that the “democracy of rejection” theory has covered up the original idea of “democracy of proposition” (Rosanvallon, 2008:15) thus rejecting the notion that democracy is based on trust. This notion of distrust is helpful since it can provide insight into indifference and insufficiency in democracies. The idea that mistrust in government can lead to certain tensions and conflict is especially significant in diverse cultural and socio-political settings. Although notions of democracy may be understood differently in modern times, it is evident that more conventional assumptions and more contemporary notions of democracy are largely still aligned.

2.2.1 Democratic theory

Notions of a democratic dispensation first occurred in ancient Greece, and it was established that democracy involves a degree of self-government. The basic democratic theory was derived from this idea of democratic governance. As social construct, democracy mainly derives from the field of political theory (Fung, 2007:443). Proponents of democratic theory such as Warren (2000), Nanz and Steffek (2004), and Peters and Pierre (2010) maintain that democratic theory is premised on the following core components: public relationships, unrestricted and impartial elections, political and civil liberties and a democratic regime with cooperative officials that assist all citizens.

Democratic theory can be regarded as an overarching term that encapsulates a variety of related micro or sub-theories pertaining to different types of democratic dispensations and political thought. It is especially helpful to explore the intricate relationships and participatory processes of ordinary citizens during the endeavours of government (Pateman, 1970:8; Wong *et al.*, 2011:596). Political equality as component of political theory is also essential to investigate the rights of citizens to partake in all governmental matters as cohorts without preference and preconception. According to Miller (2009:204), societies are allowed to contribute and take part in an election to drive the policies implemented by government. Democratic theory pronounces the need for political decisions based on the recognition of the common good. Citizens should be able to determine priority issues by means of elections for political representatives that are fair and free (Nanz & Steffek, 2004:315). In addition, democratic theory holds that government institutions should be approachable to members of society and that they can freely participation through a variety of means including public debate, elections, lobbying, protesting or other means (Warren, 2000:317). Democratic theory is thus primarily based on the principle of majority rule (Cerase, 1999:422) and holds that the implementation of political authority is regarded as lawful and legitimate only when it is reasonably applied to citizens (Abizadeh, 2008:41). As such, democratic theory assists scholarly inquiry into both the philosophical, normative dimensions as well as practical applications of democracy in the respective spheres of government. It also serves as framework to comprehend the nature of civil society participation in the affairs of government.

2.2.2 Towards a typology of democracy

The application of the tenets, values, norms and principles of democracy is subject to different interpretations. Such interpretations are imbedded in different political ideologies, government systems, and political cultures. Scholars such as Collier and Levitsky (1997:430) and Doorenspleet (2005:14) have identified more than 550 subtypes of democracies around the globe. Examples from among the hundreds of subtypes that have appeared include the following:

- Authoritarian democracy is a category of democracy devoted by a ruling elite of a dictatorial state that undertake to represent the distinct interests of society. Authoritarian regimes are often adversely defined as being regimes that do not meet particular principles of democracy. On the other hand, non-democratic regimes are not, a homogenous group, but engage different sets of institutes. These varying arrangements of institutions may yield different outcomes and generate distinct regime logics. Research has advocated that some authoritarian regime styles are more stable than others (Geddes, 1999; Hadenius & Teorell, 2007; Brownlee, 2009), generate more economic growth (Wright, 2008) or enhance the quality of government (Charron & Lapuente, 2011).
- Neo-patrimonial democracy can be regarded as a structure of social hierarchy where benefactors use government resources to acquire the allegiance of consumers in the general population. The concept of neo-patrimonial rule as a hybrid system in which two styles of politics co-exist is fundamental to the way the concept is referred to by Anne Pitcher, Mary Moran and Michael Johnston. Their exploration of neo-patrimonial politics, modern democratic processes and rational legitimacy are fostered “on a foundation of traditional and highly personalised reciprocities and loyalties”. Their key claim is that neo-patrimonialism is not an anachronistic existence that impedes modernisation but rather a practice of authority that can perform in a variety of regimes, authoritarian and democratic (Pitcher *et al.*, 2009:145).
- Parliamentary democracy, according to Strøm (2000:261), can be viewed as a specific regime of delegation and accountability. It is a democratic style of

representative democracy whereby political rule is lodged in an elected government, but the executive and legislative allocations are not separate.

- Federal democracy is a structure of government where power is constitutionally assigned between a governing authority and fundamental political entities like provinces. According to Hague and Harrop (1987:169-170), federalism can be regarded as “a system of government in which legal sovereignty is shared between the central and the other levels of government. Each level or sphere of government, central and state, has constitutional authority to make some decisions independently of the other. Citizens of a federal state remain subject to the authority of both the central and state governments, each of which impacts directly on the citizen”. Gildenhuys (1991:165) adds that “in a federal system the formal stipulations in the constitution define the authority of governmental institutions at federal, state and local levels”.
- Participatory democracy can be regarded as a democratic dispensation underlining the comprehensive participation of constituents in the course and procedure of political systems. It is thus a form of democracy in which citizens are actively involved in the decision-making process of the government (Fakir, 2003:7).
- Constitutional democracy is a democracy where the authority of the majority is restricted by legal and institutional processes so that the rights of individuals and minorities are valued (Strøm, 2000:262; Doorenspleet, 2005:15).

This study particularly focused on constitutional and participatory democracies as the prevalent applications of democracy in the South African context.

2.2.2.1 Constitutional democracy

According to scholars such as Phillips (1996) and Girardin (2012), a constitutional democracy can be regarded as a political system guided by the stipulations of the constitution of the country and where citizens vote in free and fair elections that are held on a recurring basis. In the case of South Africa, the Constitution, 1996, allows for the establishment of various institutions to support and maintain a constitutional democracy and also promote the rights contained in Chapter 2: Bill of Rights of the Constitution, 1996. The system of constitutional democracy in South Africa is also

strengthened by national and provincial legislatures that have the responsibility to foster democratic principles. These principles include the fact that all government institutions are accountable to Parliament and responsive to the needs of society. On the local sphere of government, municipal councils should also uphold the principles of a constitutional democracy by promoting local democracy (Department of Provincial and Local Government, 1998:24; Ababio, 2004:283).

According to Kelsen, as cited in Nyamaka (2011:6), the constitution of a country is its supreme legal document. It can be regarded as a political document that manifests the national consensus in terms of how the state will be governed and what the restrictions are on the government. It is prepared through a social contract, and therefore a constitution can be regarded as a social contract that, as a moral agreement, is based on legal principles, consent and mutual trust. According to Waldron (2008:326), a constitution is as strong as the moral and political consensus that it supports.

The notion that the South African Constitution can be viewed as a social contract may serve as a valuable normative framework against which democratic government is gauged, inclusive of the formalisation of institutional rules, laws and policy objectives (Girardin, 2012:47). Such a framework is inherently political in nature and the application of constitutional prescripts automatically brings some ethical questions to the fore. Divergent interpretations may lead to conflict as far as the use of certain norms and values in the inclusion of institutional policies and codes of conduct are concerned. A constitutional democracy should be characterised by the attainment of the original principles of democracy and Social Contract Theory. Constitutional principles form the basis of the establishment of cooperation and trust between political representatives and citizens, and are especially significant in transformational democracies, like South Africa, where the abolition of socio-economic inequalities is accentuated.

2.2.2.2 Participatory democracy

Authors such as Ismail *et al.* (1997), Mogale (2005) and Van Cranenburgh (2016) argue that a participatory democracy was fundamentally derived from the notion of public participation. Van Cranenburgh (2016:5), for example, holds that a “true”

democracy cannot be sustained without popular participation. He considers true democracy in a broad-based democratic dispensation as one which upholds the basic values of good governance such as participation, accountability, responsiveness, and rule of law.

Participatory democracy is founded on a number of premises. The first one is the issue of power. Bekker, as cited in Benhabib (1996), asserts that public participation is essential for citizens to exercise power over the decisions affecting them. A second premise is held by Barber (1984:175) who insists that participatory democracies can only be maintained by effective communication. He (Barber) contends that “the heart of a strong democracy is talk”. In turn, Ismail *et al.* (1997:28) and Ababio (2004:277) accentuate the decision-making and voting processes in a participatory democracy by arguing that regular elections ensure that the decision makers consider the wishes and desires of voters. In this regard, Mogale (2005:136) asserts that participatory democracy is not about being at the receiving end of democracy. Hence, to take part in an election is not the conclusion of participatory democracy, it is the commencement. Ismail *et al.* (1997:28) also maintain that voters can bring about large-scale organisational change by influencing government policies.

In South Africa, notions of participatory democracy are largely underpinned by constitutional democratic principles and values such as public participation, transparency, openness and responsiveness. The application of the principles of both a constitutional and participatory democracy in a country like South Africa should be interpreted within the particular developmental context of the state. This particular perspective is explored in the next section.

2.3 THE SIGNIFICANCE OF PARTICIPATORY DEMOCRACY IN A DEVELOPMENTAL STATE

Development is primarily characterised by Swanepoel and De Beer (1997) as the opposing force to an impoverished and deprived condition. Mhone and Edigheji (2004:4) concur that a broader perspective to development is necessary and suggest that development has the following dimensions that should be upheld sustainably: economic, communal, human and ecological.

Placing notions of development in a governance system, Woo-Cumings (2019) maintains that a developmental state is a state that has a “compelling interventionist dimension” to its economy. It is neither a socialist nor a liberal market economy, but exhibits a fundamentally mixed economy, with state supervision as a crucial feature. The notion of a developmental state became appealing to the developing world after the success of the model in East Asia that followed the success of Japan. In order for a state to pursue a developmental state trajectory, its political, economic, social and governance dimensions should be aligned (Landsberg & Georghiou, 2015). Van Dijk and Croucamp, cited by Van der Waldt (2015:38) consider a state aimed to promote and sustain developmental goals as developmental. They suggest that a developmental state performs a functional role in guiding economic development by utilising national resources to satisfy the demands of the people.

Gumede (2009:7) maintains that in a developmental state, political as well as administrative resources are utilised to influence economic development. The institutional capability and public participation are also main contributors in achieving socio-economic objectives in a democratic developmental state whilst strengthening democracy (Madumo, 2012:42). Edigheji (2009:61) suggests that “in each historical period, developmental states were created to react to particular contextual developmental challenges.” Evans (2009) furthermore believes the notion that no “ideal” model can replicate developmental states. Democracy as well as development are therefore complimentary in fostering the capability of the state.

A developmental state can be classified “as one whose ideological underpinnings are developmental and one that seriously attempts to construct and deploy its administrative and political resources to the task of economic development” (Mkandawire, 2001). In other words, the democratic developmental state is defined by its goals and its institutional characteristics in a developing state, the government needs to play a fundamental role in the economic lifecycle of the state, with the explicit aim of accelerating industrial growth and economic development. The objective is not to create a socialist state, but preferably a partnership between the state and major economic interest groups (Heywood, 2013: 68). According to Mkandawire (2001:290), a successful developmental state reveals attributes of a robust state structure and economic realisations, capable to create and execute policies. Moon and Prasad, as

cited in Maphunye (2009:2), believe the developmental state is an effective substitute to dependency and neo-classical interpretations emanating from political economy of development. Maphunye (2009:9) refers to how Chalmers cites Maserumule and argues that the “type of state is radically planned in a manner that makes it possible and necessary for government to influence the duration and pace of economic and social development rather than leaving it to the dictates of the markets”.

Consequently, it can be concluded that planning is an important tool for achieving development when it is used and applied in collaboration with the community members for whom such development is intended.

2.3.1 The democratic developmental state

Scholars such as Awa (1991) and Edigheji (2005) reason that a democracy that cannot deliver on the basic development needs of people will be short-lived. Therefore, democracy and development are highly interdependent. Awa (1991), for example, avers that a democracy needs to provide economic empowerment and an advanced state of living (i.e. development) for people. A conventional definition of a democratic developmental state is proposed by Huntington (1991:7) who asserts that a political system can be regarded as being democratic, “to the extent that its most powerful collective decision makers are selected through fair, honest and periodic elections in which candidates freely compete for votes and in which virtually all the adult population is eligible to vote”. This has become the prevailing way in which democracy is conceived.

According to White (1988:44), the democratic developmental state was “a rare bird on the developmental scene” as its objectives were “potentially contradictory and difficult to achieve: autonomy and accountability; growth and redistribution; consensus and inclusiveness”. Nonetheless, increasingly sound evidence has developed claiming that developmental states can effectively poise economic growth and social development whilst constructing democratic institutions at the same time (Heller, 1999). The Turkish economist, Dani Rodrik (2004), claims that democracy is not only compatible with growth and poverty decline, but may be crucial to both. A democratic developmental state is one that not only exemplifies the principles of electoral

democracy, but also warrants citizens' participation in the development and governance processes (Edigheji, 2005:9).

Leftwich (2002:55) clarifies a democratic developmental state as one that fulfils two sets of autonomous criteria to accomplish being acknowledged as both democratic and developmental. The first measure is that a state's principal developmental obligation would be acknowledged as a yearly average growth rate in Gross National Product (GNP) of at least four per cent over a period of 25 to 30 years (Schumpeter, 1965:269). Leftwich (2002:55) clarifies the second measure as democracy that in its basic sense consists of a "national political system in which people, political parties, and groups are free to pursue their interests according to peaceful, rule-based competition, negotiation and co-operation within an institutional arrangement for arriving at political decisions in which individuals acquire the power to decide, by means of a competitive struggle, for the people's vote." As alluded to, the primary objective of a developmental state is generally to foster socio-economic development in society. The principle of this objective is rooted in the organisational competency and economic capacity of the state.

2.3.2 Significance of the development state for participatory democracy

The state utilises available structures and resources to address matters impacting socio-economic development and democratic participation (Van Dijk & Croucamp, 2007:668; Maphunye, 2009:8). In developmental states, participation is generally promoted by building institutional capacity (Gumede, 2009:7). To this, Madumo (2012:42) maintains that the state has the normative obligations to ensure the general well-being and prosperity of its citizens without any unnecessary state interference.

This concludes an exposition of the significance of participatory democracy in a developmental state. The application of these democratic principles in a local government setting is analysed in the next section.

2.4 DEMOCRATIC PRINCIPLES IN A LOCAL GOVERNMENT CONTEXT

Scholars like Nkuna (2011) and Fourie and Reutener (2012) concur that democracy and development have been strongly emphasised, both in law and practice in local government settings. Venter, as cited in Breakfast *et al.* (2020:8) postulates that "local government is that sphere of government closest to its constituents and involved in

rendering a wide range of services that materially affects the lives of the inhabitants residing within its area of jurisdiction". Hence, local government has become responsible for the advancement of the principles of developmental governance. According to Jakoet-Salie *et al.* (2016:118), the developmental mandate of South African municipalities obligates it to promote "a people-centred form of government". This people-centeredness places a strong premium on the continuous involvement of citizens in municipal decision making. In this context, Dassah (2011:593) maintains that municipalities serve as a state tool to increase public participation in politics through consultation and the prioritisation of local concerns.

Public participation in local government, especially in the development planning processes, is viewed as the process where the community members actively partake in the procedures of developmental programme execution, public service decision making and monitoring of developmental programmes (Draai & Taylor, 2009:114). This usually promotes accountability and responsiveness of municipal officials and enhances a sense of ownership by the community. Hence, community empowerment and involvement are key ingredients for supporting a more people-centred developmental governance approach. Thus, in order to strengthen the capacity of the state, democracy and development should complement one another. Reddy and Sabelo (1997:576) highlight the distinction between the terms "democracy" and "local democracy", suggesting that "democratic local governance offers more direct access for the people to the government and the government to the people, and to stimulating the public to participate in development initiatives". Thus, with local democracy the proximity of people to the decision-making process is improved and the participation process brought to the local population.

According to Van der Waldt *et al.* (2014:25), local democracy primarily entails the allocation and distribution of public goods according to the preferences and needs of the people. For this "grassroot" democracy to occur, citizens have to be given some part in these processes. This part is usually expressed in political culture, democratic structures and participatory processes. Bekker (1996:12) outlines this type of democracy as a government structure where every individual has a chance and an obligation to participate in decision-making processes. The preferences and interests of citizens are paramount in local democracy (Nsingo & Kuye, 2005:5).

Local democracy occurs where there is decentralisation of administrative and political sovereignty to the local governmental level. This has a significant impact on how democratic a government develops. Local democracy, according to Ribot (2008:1), is a strategy that makes local authorities accountable and attentive to the concerns of the community. As a result, national governments all over the world have committed to delegating more and more power to public organisations located at the lowest societal levels. Local democracy, according to Reddy (1999:9) permits local residents to influence local policies and choose representatives who are qualified to lead them. According to Van der Waldt (2010:17), local democracy could bring about the following advantages to local government:

- higher quality of services closer to the people's needs;
- protection of freedom and human rights;
- increase of efficiency through delegation of responsibility;
- enhancement of social and economic development; and
- policy formulation, decision making and implementation can be fully under control.

According to Smith and Vawda (2003:28), the Reconstruction and Development Programme (RDP) and the Growth Employment and Redistribution policy (GEAR), South Africa's two main post-1994 national policy programmes for economic growth and poverty reduction, were combined to create developmental local government. Municipalities gave affect to this through their IDP processes. As such, IDPs accommodate the developmental mandate for municipalities.

In summary, the focal point of local democracy is based on the enablement of broader public participation as well as rendering necessary services to make municipalities more open to community needs.

2.5 PUBLIC PARTICIPATION AS ESSENTIAL INPUT AND OUTCOME OF LOCAL DEMOCRACY

The people who reside in a given municipality are specified as the public or community (Van der Waldt *et al.*, 2014:27). The municipal community typically comprises of people, industries, community associations and any other organisations which are governed by the local government (Mokale & Scheepers, 2006:4).

A democracy's ability to function depends on the effectiveness of public engagement, claims Van der Waldt *et al.* (2014:28). He cites Schuler and Namioka, who claim that the key element of participation is democracy, and, equally, the key element of democracy is participation. Masango (2002:52), who contends that public engagement can be seen as the essence of democracy, supports this view. With an emphasis on extensive systems of participation by people in the formation of policy and decision making in significant areas that affect their lives, participation should be seen as complete (Butcher, 1993:5). As a crucial component of democracy and good governance, participation promotes accountability, responsibility, and the prioritising of important concerns in the provision of public services (Mavee, 2014:202). By utilising the mechanisms of local democracy, such as ward committees and public meetings, participation enables the public's voice to be heard in matters of local administration (*imbizo's*). Therefore, participation commences when the local community ascertains their needs and acquire an approach of addressing their needs (Mubangizi, 2010:153).

Public participation allows ordinary community members to become involved in local government decision-making processes since they are regarded as the primary customers of local government (Du Toit *et al.*, 1998:124). Gaventa and Valderrama (1999:4) add that public participation is the "direct way in which citizens influence and exercise control in governance". Public participation thus builds collective action between government authorities and citizens, and it raises awareness on development responsibilities by civil society and its involvement in public policy design. Civic or community participation starts the process toward a more open, inclusive, and transparent society, and it strengthens democratic institutions (Gonzalez de Asis & Acuna-Alfaro, 2002). Involving the public in a variety of administrative and policy-making processes is referred to as public participation. This typically involves deciding on the level (number and quality) of public services, budget concerns, and other matters that may have an impact on the community's welfare. In this sense, public participation promotes and can be regarded as prerequisite for local democracy (Freysen, 1998:249).

According to Bekker's (1996:41) citation of Brynard, public participation is a method that brings together those who were previously excluded from the decision-making

process with those who were previously the only participants. Brynard's understanding of public participation is consistent with the current situation in South Africa, where opportunities for public participation have been broadened to include members of society who were previously excluded from taking part in political decision making.

Local members of society will, in general, have a better knowledge of their community than public officials who might not be locals. According to Napier (2008:163), public engagement is a collaborative fact exchange between the general public and the decision makers. The in-depth environmental knowledge of locals is crucial in the creation of local plans, projects or policies. To ensure that the "will of the people is done" public engagement is utilised since it provides decision makers with insight into the public's preferences for public programmes and projects (Innes & Booher, 2000:6).

The right of societies to participate in the democratic processes of their government is stated by Mafunisa and Xaba (2008:453). The development of local democracy is aided by vibrant public engagement, which also satisfies legal obligations. Castillo (2013:5) makes the implication that public engagement benefits democracy since it encourages local government to fulfil its developmental responsibilities.

Observers such as Masango (2002) and Nzimakwe and Reddy (2008) contend that democracy in South Africa is strongly informed by public participation. Section 152(1)(b) of the Constitution supports this opinion by stipulating that local government exists, amongst other things, "to provide services to communities in a sustainable manner". The objectives of local government are set out in Section 57(1)(b) of the Constitution, namely "to deliver democratic and accountable local government for resident communities and to inspire the participation of communities in matters of local governance". Municipalities must encourage the participation of communities in municipal matters. Citizen participation is hence a decisive element for building local democracy (Stiefel & Wolfe, 1994; Fung & Wright, 2001).

A democratic system must be sustained through public participation. Lack of public involvement suggests a government cannot be regarded as democratic (Nzimakwe & Reddy, 2008:671). Communities have a right to participate in the democratic processes in their district, and local government legislation directs municipalities to do

so. One of the tools at hand for enabling local communities to take part in municipal issues is the ward committee. Therefore, local democracy provides an opportunity for all residents, especially those who are marginalised, to seek redress and improve their living conditions by intervening in development programmes. According to Camay and Gordon (2004:17), “good governance is participatory, transparent, and accountable”; it depends on ongoing public participation in formulating and carrying out governmental policies. Several forms of public participation will be briefly examined below.

2.5.1 Typologies of participation

Typologies are a beneficial starting point for differentiating levels of participation. Most typologies convey the implicit normative expectations that locate these forms of participation along an axis of “effective” to “deficient”. Numerous typologies and “ladders” of participation created emphasises the intentionality, and related approach, of those who commence participation.

Arnstein’s (1969:216) “ladder” of participation (Figure 2.1) was initially developed in the late 1960s and maintains contemporary relevance. “Citizen control” occurs at the top of the ladder and a classification of “non-participation” at the bottom, in which therapy and manipulation are placed. Arnstein’s endeavour is the citizen on the receiving end of programmes. She portrays a discrepancy between “citizen power”, which includes citizen control, delegated power and partnership, and “tokenism”, in which she includes consultation, informing and placation. Public participation, according to Arnstein (1969:216), is “a structure of power and the distribution of power that permits the ‘have-not’ citizens – currently excluded from the political and economic processes – to be intentionally included in the future.” There are many variations of the ladder frameworks available in scholarly literature.

Prieto-Martín (as cited in Manca, 2018:41-44), maintains that there has been an evolution of the participation categories originally proposed by Arnstein (see Figure 2.1). In 1999, the International Association for Public Participation (IAP2) developed the “Spectrum of public participation” (2000), a shortened version of Arnstein’s scale. It consists of five levels of participation, namely informing, consulting, involving, cooperating and empowering. This simplification perceived the elimination of both

ends of the scale, and the notion of citizens taking full control as a valid form of participation was omitted. The non-participation category at the lower end of the scale was also abolished.

The OECD published the “Government-citizen relations model” in 2001 which is a simplification of the IAP2 model. It disregards the two upper levels of the spectrum, proposing that participation be reduced to just three levels, namely information, consultation and active participation (Gramberger, 2001:15-16). According to Prieto-Martín (cited in Manca, 2018), the extreme simplification of participation proposed by the OECD seemingly regards citizen power as “an unattainable ideal”, hence its removal. In response, he offers a comparative view of Arnstein’s Ladder of Citizen Participation, the IAP2’s Spectrum of Public Participation and the OECD’s Active Participation Framework. The comparison, as reflected in Figure 2.1, highlights the importance of the transfer of power and control. Martín contends that the “vicious cycle of participation” is a result of ignoring the role and location of power.

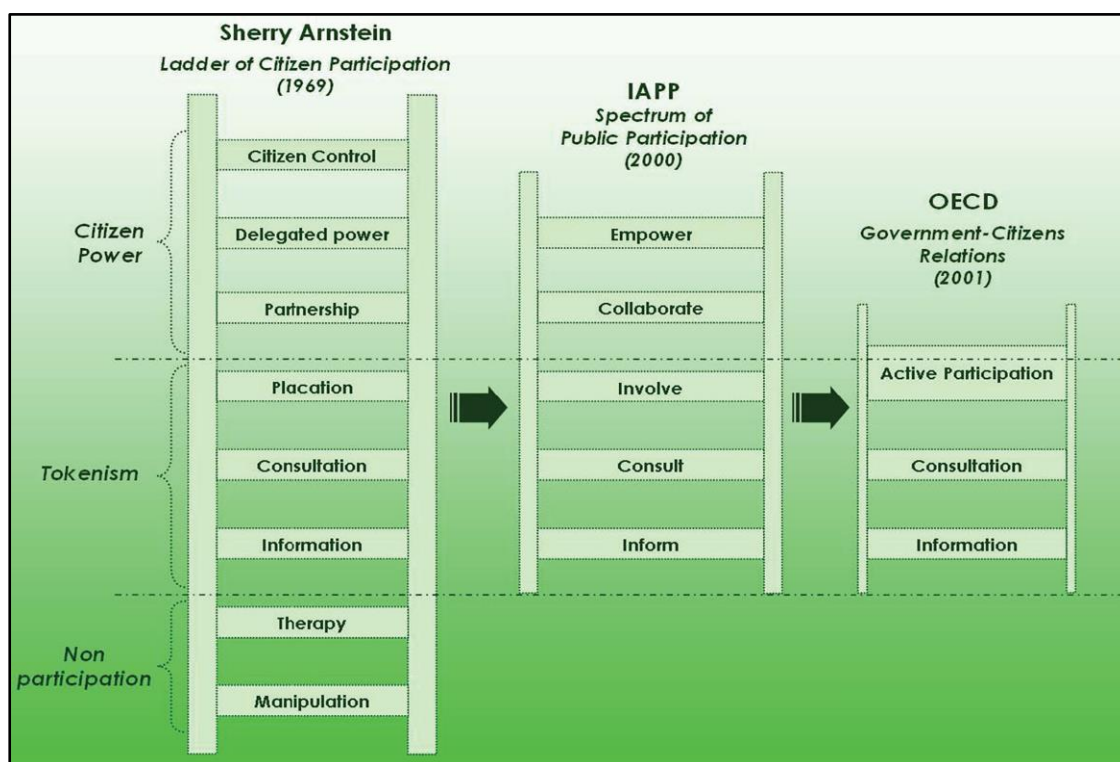


Figure 2.1: Comparison between Arnstein’s Ladder of Citizen Participation, the IAPP’s Spectrum of Public Participation and the OECD’s Government-Citizens Relations

Source: Prieto (2010)

A typology of participation is probably a combination of these elements and a synergy between these three models. It should be noted that the digital revolution has fundamentally altered the nature and modalities of public participation. As a result, terms such as e-democracy, e-participation and e-government are applied in the public administrative field. In this respect, e-participation is regarded as the utilisation of technology to foster the active participation of citizens in public decision-making processes. This incorporates associated benefits for public consultation, local representation and self-organisation among organised groups. Synergy of the three proposed models should thus make provision for the application of technology to enhance public participation. In this regard, Kingston (2002:4), published his “Ladder of e-participation” (Figure 2.2). This model accommodates the utilisation of information and communication technology (ICT) and comprises of seven steps in ascending order. The initial two steps perceive interaction as being a one-way (directional) process, while the subsequent five, in increasing order, postulate a two-way (omnidirectional) interaction, and hence more effective participation. This model displays the change of course established by the use of ICTs and gave new impetus to the prospect of involving citizens in decision making.

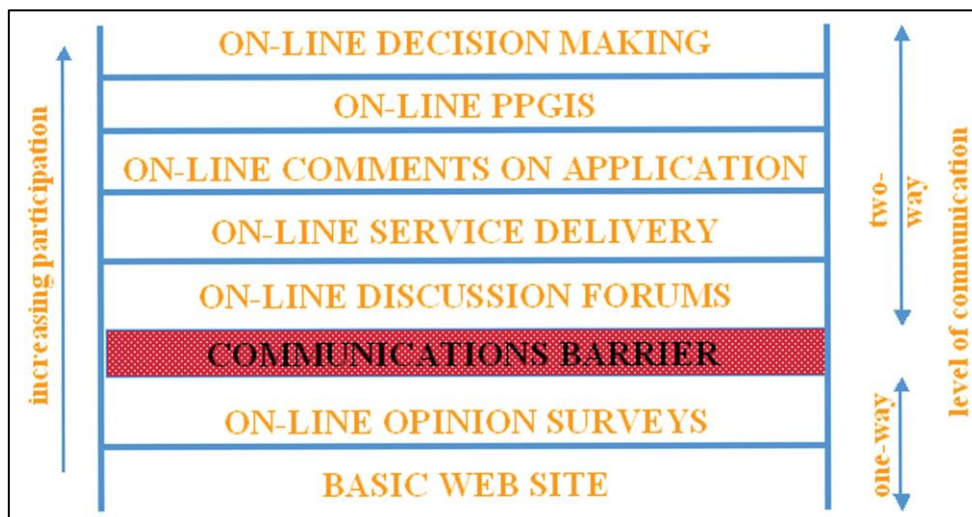


Figure 2.2: E-participation ladder

Source: Kingston (2002)

The model commences with a basic website to convey information as the first step of the ladder. The second last step of the ladder refers to web-based public participation geographical information systems (PPGIS). A geographical information system (GIS)

refers to a computerised geographical mapping and database system for spatially referenced data. GIS is commonly used in the field of environmental planning as a decision-support tool. The model is particularly useful for municipalities since it makes provision for “on-line service delivery” as the fourth last step. As such, this e-participation ladder adds significant value to existing models of participation and may contribute meaningfully to support community involvement in municipal integrated development planning processes. The introduction of the so-called “digital society” where society wants to engage local government on a 24/7 basis, makes the utilisation of ICTs in public participation inevitable (Gaventa, 2006:25; Twala & Lues, 2017:117).

2.5.1.1 Types of participation

Whereas Arnstein’s ladder observes participation from the perception of those on the receiving end, Pretty’s (1995:1247) typology of participation speaks more to the user of participatory approaches. His typology is correspondingly normative: moving from “poor” systems of participation – the presence of token representatives with no real power, which he portrays as manipulative participation, and passive participation consequent to resolutions that have already been taken – to “improved” systems, such as participation by consultation and for substantial incentives. “Functional participation” encapsulates the systems of participation that is most often coupled with efficiency arguments: people contribute to meet project objectives more efficiently and to decrease costs, after the key decisions have been made by external representatives. This is conceivably the most commonly found kind of participation in development (Rudqvist & Woodford-Berger, 1996).

Pretty’s latter categories suggest some of the perceived goals of those who uphold and use participatory methods in community development. “Interactive participation” is defined as a “learning process” whereby local groups take control over resolutions, thereby acquiring involvement in maintaining structures and resources. The last classification is labelled “self-mobilisation”, where persons take the initiative autonomously of external groups, developing contacts for assets and technical aid, but maintaining control over these resources. Arnstein’s and Pretty’s typologies define a spectrum outlined by a change from control by authorities to control by the citizens. However, the end points are rather diverse. Citizen power goes much further than self-

mobilisation. Pretty (1995: 1247) remarks, “self-initiated mobilisation may or may not challenge existing distributions of wealth and power”. Pretty’s typology clarifies the motivations of those who implement and practise participatory approaches as a significant factor in determining interventions.

Kingston’s ladder of e-participation (2002) posits that digital technologies are a fundamental part of the composition of modern society and are undertaking an active role in the “digital development” of their municipalities. Technology is one of the most imperative tools for transformation. It can enhance the life chances of socially excluded people by fostering opportunities to intervene and tackle emerging problems (Department for Communities and Local Government, 2006:139). Electronic participation (e-participation) was classified within the field of e-democracy, including the use of mobile, web-based technology and social media to engage community members. According to Macintosh (2004:17), it supports “democratic decision-making processes and strengthen representative democracy” in local government.

2.5.1.1.1 Passive participation

The communities are not actively participating in the decision-making process when there is passive participation. Communities are only informed about decisions taken by their elected candidates. Only external authorities are the custodians of the information being provided (Pretty, 1995:1247). The challenge with this type of participation is community members that trust the judgment of their leaders which results in corruption and personal agendas.

2.5.1.1.2 Functional participation

Functional participation depicts the practice of participation that is most often related with efficiency arguments: people participate to meet the envisaged objectives more efficiently and to reduce costs, after the key decisions have been made by external agents. This is conceivably the most recurrently type of participation in development (Rudqvist & Woodford-Berger, 1996). This involvement may be shared and involve shared decision making, but inclines to occur only after foremost decisions have previously been made by external agents. Usually, local community members are only co-opted to aid external goals.

2.5.1.1.3 *Interactive participation*

The public and the government interact to participate in interactive participation. It is defined as a “learning process” where local groups take control over decisions, thereby attaining a stake in upholding structures and resources. Participation is perceived as a right, not merely the means to achieve development goals. The process encompasses interdisciplinary methodologies that pursue various perspectives and utilise systemic and structured learning processes. Groups take control over local decisions and regulate how available resources are used, and therefore have interest in upholding structures or practices (Pretty, 1995:1247).

2.5.1.1.4 *Participation by consultation*

Participation by consultation implies information gathering and consultation of citizens, however, the final choice is made afterwards and may not always be beneficial to the community. This style of participation can result in positive outcomes on certain issues, for example name change of a city or municipality. External agents outline problems and information-gathering processes, and subsequently control analysis. This type of consultative process does not acknowledge any share in decision making, and professionals are under no obligation to take on board people’s views (Pretty, 1995:1247).

2.5.1.1.5 *Self-mobilisation*

With self-mobilisation the government becomes a stakeholder as citizens take their own resourcefulness to participate. Government monitors and supports the project, but it is owned by the citizens. Self-mobilisation can extend if government and NGOs afford an empowering framework of support. Undeniably, local self-mobilisation may be upheld by the state and international agencies as part of effectiveness goals that are entirely consistent with a neoliberal approach to development (Pretty, 1995:1247).

2.5.1.1.6 *Electronic participation (e-participation)*

The rapid development of information and communications technology (ICT) has led to an upsurge in participatory democracy. E-participation is described as the use of ICTs to obtain and address community concerns, needs and ideals in government decision making (Alsaghier *et al.*, 2009). Grounded on Creighton's (2005) definition of public participation, e-participation neatly fits within the e-government landscape.

Scholars generally regard Government-to-Citizen (G2C) and Citizen-to-Government (C2G) engagements as consisting of electronic information dissemination and governance-related service transactions (Alsaghier *et al.*, 2009). Web-based applications, social media, internet portals and other media have significantly aided the dissemination of local governance-related information. It also facilitates the expression of community perceptions, opinions and frustration. As such, it aids broad community participation and collaboration (Ae Chun & Cho, 2012). Motsie (2015:51) strongly argues that local government can utilise social media to promote transparency in decision making, to enhance collaboration and to foster community participation in local governance.

2.5.1.2 Levels of participation

Ababio (2004:273) distinguishes between the subsequent five levels of participation. The first level is called “inform” and entails informing the community members to empower them to comprehend both the problem and resolutions. The second level, namely “consult” encompasses recognising community concerns and furnishing responses on these concerns. “Involve”, as third level refers to the intension to work directly with the community throughout the process to ensure that community issues and concerns are understood and considered at an early stage. Fourthly, “collaborate” entails involving the members of the community in all decision-making phases. Lastly, “empower” intends to give the ultimate decision-making power to the community to guarantee that the community view these decisions as authentic (Ababio, 2004:273). These five levels may act as instrument to gauge the quality and extent of public participation in local government affairs.

This concludes an exposition of participation and the general application of democratic principles in a local government setting. In the next section focus shifts to the contextualisation of public participation in South African municipalities in particular.

2.6 CONTEXTUALISING PUBLIC PARTICIPATION IN SOUTH AFRICAN LOCAL GOVERNMENT

In the previous section it was established that public participation should be viewed from a particular system of government and more particularly within the framework of a developmental state. Democracy and public participation are complimentary

elements of a democratic developmental state and good governance. This recognition is imbedded in national legislation (Nkuna, 2011:629; Fourie & Reutener, 2012:82). Jakoet-Salie *et al.* (2016:118) maintain that community participation in local government affairs "indicates an endeavour by community members to achieve self-determined goals to accomplish community development". Local government officials should foster this ideal and foster a more people-centred administration.

Since democratisation in 1994, the government has established an extensive range of statutes and policies to promote civil society engagement in municipal affairs. Section B of the White Paper on Local Government (1998), for example, instituted developmental local government with community involvement as focal point. This specifies that community participation is not an end itself but is utilised to deepen democracy and to achieve an improved quality of life for the society. Subsequent to this, the Constitution of South Africa (1996) makes provision for the establishment of different categories of municipalities, namely Category A (metropolitan municipalities), Category B (local municipalities) and Category C (district municipalities). It also specifies the mandate and obligations of these municipalities (Sections 151 and 152).

Municipalities must, in accordance with Section 152(1) of the South African Constitution (1996), "provide democratic and accountable local government for local communities; provide sustainable service delivery to communities; promote social and economic development; promote a safe and healthy environment; and encourage community participation in local government issues".

Apart from the service delivery dimension of municipalities, it must promote the active involvement of civil society in matters that affect them. In this regard, Dassah (2011:593) argues that the type, scope and quality of municipal services must address the specific needs of local communities. Of particular importance in this respect is the capacity of municipalities to design and implement IDPs. In order to fulfil the IDP mandate, municipalities must "be committed to work with citizens and groups within the community to find sustainable ways to meet their social, economic, and material needs in order to improve the quality of their lives," according to the Department of Provincial and Local Government, (1998:8). The IDP process promotes a people-centred, bottom-up approach by confirming that communities ultimately have the right to influence service delivery decisions (Mwesigma & Mubangizi, 2015:16). Hence,

municipalities should function as true “public” entities where a customer-oriented government is expressed.

A more detailed exposition of participation in local government processes, notably its IDP processes, will follow in the next chapter. To conclude the operationalisation of the primary research objectives of this chapter, it is next necessary to outline the theoretical framework of local democracy and public participation. This theoretical framework underpins the conceptual framework established for the key constructs and concepts of this study to serve as valuable normative foundation to gauge local democracy and public participation praxis in municipalities.

2.7 A THEORETICAL FRAMEWORK OF LOCAL DEMOCRACY AND PUBLIC PARTICIPATION

According to Van der Waldt (2010:1), theories are essential in the context of local democracy for the investigation, synthesis and comparison of topics like the efficacy of participatory processes. For purposes of this study, the Social Exchange Theory (SET) will serve as philosophical foundation and the General Systems Theory (GST) will be used as macro-theoretical framework to analyse the input, processing, output and feedback dimensions of public participation in municipalities as an open system.

2.7.1 Social Exchange Theory

The Social Exchange Theory (SET) is amid the most persuasive theoretical models for realising social relationships. The SET is based on the premise that in interpersonal relationships the fulfilment of both parties’ self-interests is the most important aspect. As a result, it argues that the theory predicts that a citizen will decide to end a relationship when the costs of the connection surpass the advantages (Van der Waldt, 2010:8). In local government, this implies that citizens will not participate in the democratic processes if they feel that the process is not beneficial to them. Emerson (1976:335) states that SET proposes that the relationships people choose to create and maintain are the ones that maximise their rewards and minimise their costs. SET holds that people are rational when making choices. They typically base their choices on the potential for advantages or rewards (Molm *et al.*, 2000:1398).

The phrase "theory of social exchange" is credited to Blau (1968) as being the first to express social interaction as an exchange process (Chadwick-Jones, 1976:1).

Thibaut and Kelley (1959:49) add that this theory neatly enhance comprehension of interpersonal relationships and group dynamics. SET is “one of the oldest theories of social behaviour to study the interaction between humans in an exchange of resources,” according to Homans (1958:597). The basic premise of the theory is that parties generally maintain and enter relationships to gain certain rewards.

SET can be viewed as “a bundle of explanations, propositions, and hypotheses, containing expectations about social behaviour,” according to Chadwick-Jones (1976:1-2). This theory's fundamental tenet is that relationships develop into committed relationships of trust and dependability. Parties must adhere to certain “rules” of exchange to do so. In this regard, Emerson (1976:351) argues that such rules of exchange create “a normative definition of the situation that forms among or is adopted by the participants in an exchange relation”. However, power disparities cause exchange relationships to be unbalanced.

Lambe *et al.* (2001:21) found in their study that trust is significantly correlated to “commitment, support, functional conflict, communication, and collective values”. Commitment is perceived by Morgan and Hunt (1994:23) as “an exchange partner believing that an ongoing relationship with another is so important as to warrant maximum efforts at maintaining it; that is, the committed party believes the relationship is worth working on to ensure that it endures indefinitely”. Social capital similarly highlights empowerment, trust, reciprocity and cohesion. This is created through network governance as well as social networks, aiding to bond groups or communities together; encouraging a collective identity (Coopey as cited in Zeka, 2008:122).

2.7.1.1 The relevance of the Social Exchange Theory to local democracy and public participation

SET is reliant on the interdependence of relationships between parties, contends McDonald (1981:834). In this relationship trust is central since it promotes commitment to the relationship. The interface between trust and commitment results in mutual benefit. As such, SET proposes that trust-building commences with incremental smaller engagements. As the number and quality of these

engagements increase, trust typically increases. The assumption thus is that social relations, exchanges and engagements are facilitated by public participation and that participation eventually leads to trust and mutually beneficial relations.

2.7.2 General Systems Theory

Bertalanffy (1968:30) defines systems as “sets of elements standing in interrelation.” He believes the General System Theory is a beneficial tool providing, on the one hand, models that can be utilised in, and relocated to, different fields, and safeguarding, on the other hand, from indefinite analogies which often have flawed the advancement in these fields. The objective of the General Systems Theory is to establish generalised system theories that include concepts for system dynamics, historical evolution, hierarchical structure, goal-directed behaviour and control processes (Skyttner, 2005:40).

The General Systems Theory is appropriate to present more in-depth insight into the development of democracy and public participation due to the way it was created. Throughout history, various disciplines, including psychology, sociology, public administration and development studies, have had an impact on democracy and public participation. Systems theory's cross-cutting nature will enable the classification of generic system properties in the aforementioned disciplines through the classification of isomorphism (Bertalanffy, 1973:33; Skyttner, 2005:40). It will be feasible to investigate the potential impact that the key ideas may have had on the evolution of participatory democracy by identifying the isomorphism present in these many fields.

Participatory democracy can be observed as an open system. Being an open system, this idea may prove particularly helpful in revealing the reasons why many organisations with different theoretical orientations have developed public involvement phases that are tailored to their individual requirements. An excellent research tool for describing the foundation of the public engagement phases is the idea of feedback arrangements.

The pragmatic knowledge that people can control a future that is always changing by developing, or re-designing, systems to ensure a developed and reliable environment for humanity, is at the core of the concept of design and redesign (Skyttner, 2005:43).

The manifestation of different design and re-design types may provide insight into the origins and justifications of the public participation cycle as well as the numerous modifications that have been made to it.

2.8 CONCLUSION

The purpose of this chapter was to establish a sound conceptual and theoretical framework to serve as meta-underpinning of the study. For this purpose, the development fundamentals of democracy were analysed, with particular reference to the normative principles and ideals like participation, respect for the law and freedom and equality, which serve as the foundations of the democratic theory. Various definitions and characteristics of democracy in modern practice were highlighted, with emphasis on development democracies as a form of government. The principles of the Social Exchange Theory as an ethical basis of democratic ideology form a continuous theme in the study and are directly linked to voter confidence. The alternative interpretations given to democracy by more radical theorists, in which representative democracy rethinks, question the apathy of citizens in this context and where the idea of mistrust, conflict, difference and deviation is articulated, not as danger signs for democracy, but actually as part of its core. It gives new meaning to the significance of popular sovereignty. Therefore, this study is interested in the possibilities that this understanding of democracy offers.

Secondly, the significance of the people in their relationship with the government in the term “democracy” has been clearly specified which can be linked to popular sovereignty. The role of local government in democracy was analysed. Legitimacy and accountability as ethical requirements for a successful state are paramount. Theories surrounding reasons for the transition to a democratic order were part of the exposition. Phases in the consolidation of the democratic state were highlighted and the criteria for failed states were established. Ethical aspects of governance and political leadership, institutional trust, as well as interpersonal aspects of trust were identified as factors that have an important role to play in voters’ decision-making processes. The view is taken that the successful implementation of the “social contract” between government and voters is largely dependent on the confidence that the electorate has in government and political leaders in the implementation of government policy and process.

Thirdly, it seems that the idea of representative democracy in response to the search for popular sovereignty has become the dominant discourse embodied in liberal democracy. The chapter also deliberated on public participation as a characteristic of local democracy and developmental local government. Public participation indicates a process that affords individuals the opportunity to guide over public decisions as it is an element of a democratic decision-making process.

The drive for a democratic and developmental state that will promote growth and development is concentrated on the capability of the local sphere of government to successfully exonerate its responsibilities. By bringing local government nearer to citizens, decentralisation permits people to participate more efficiently in local affairs, such as the identification of community priorities.

In the next chapter the theoretical and regulatory frameworks for integrated development planning in the South African local government sector will be explored.

CHAPTER 3

DEVELOPMENT PLANNING: META-PERSPECTIVES AND PRAXIS

3.1 INTRODUCTION

This chapter provides a detailed analysis of the meta-perspectives as well as theoretical and contextual foundations of development planning. Firstly, the analysis will focus on the prevailing scholarly discourse regarding the developmental role of government and trace the chronicles of this discourse over time. Emphasis is placed on the developmental dimensions to contextualise the origins and nature of current government planning interventions in development in South Africa. Secondly, an assessment of scholarly paradigms to assess the nature and scope of development is provided. Thirdly, the chapter will establish how both the broader developmental role and planning function of government have transpired leading to existing national development planning frameworks. For this purpose, a contextual analysis of planning frameworks at international, continental and national levels will be conducted. This will provide scholarly insight into the nature, scope and purpose of integrated development planning in the sphere of local governance. Finally, this section intends to ascertain the significance of public participation and civil society engagement in development planning in selected developed and developing countries. This international perspective is important to extract best practice and explore lessons learnt from both developed and developing contexts.

3.2 META-PERSPECTIVES TO DEVELOPMENT PLANNING IN GOVERNMENT

Since the establishment of governments, classical, neo-classical and contemporary political philosophers through the ages debated the normative and moral position of government agencies in society. This normative perspective to the role and functions of government magnified the significance of a positive relationship between government institutions and civil society. This relationship is especially fundamental in democratic settings (Willis, 2005; Kukathas, 2008; Manda, 2013). Liberal democratic theorists such as Edigheji (2010:5), for example, hold that government should act as an “impartial arbitrator” among opposing aspirations and interests of different groupings in society. Contemporary theorists such as Willis (2005) and Ajei (2007) reason that government should also fulfil a more interventionist role in society in general and the economy in particular. They argue

that interventionism is especially significant in developing contexts to steer and direct the economy in a particular direction.

Scholars such as Kingsbury *et al.* (2004) and Willis (2005) assert that development fundamentally is about the need for certain changes in society. Such changes should, however, be constructive in nature and involves directives from government, the participation of broader civil society organisations, and a broader framework for change (Ajei, 2007). Such a development framework should guide all stakeholders and actors involved towards positive outcomes (Bellú, 2011). A development framework should also make provision for short, medium and longer-term plans. Development planning is crucial to set targets, outline development intend, and set parameters for citizen participation (Theron, 2008:7,41). Additionally, authors such as Levinsohn (2014) and Manda (2013) content that development planning is especially imperative in the local sphere of government where societal needs such as job creation, community well-being and essential services should be addressed to attend to collective, broader societal issues such as poverty, political volatility, inequality and unemployment.

It is evident that the involvement of government in development has become progressively paramount. Confirmation of such involvement is the substantial increase in the number of so-called “developmental states” as a model that encompasses socio-economic strategies to prioritise development (Tshishonga & De Vries, 2011:59). The involvement of government in a developmental state generally alternates between two extremes; on the one extreme a country divulges a fragile, deficient, erratic or incompetent character or, on the other extreme, displays “strong” or “hard” state characteristics (Fukuyama, 2004:ix). It is evident that developing nations, particularly in developmental states, are reliant on the specific socio-economic conditions and political circumstances in a country. Challenges confronting a developing country typically comprise slow economic growth, poverty, disparity and unemployment (Horn & Lloyd, 2001:59; Mathebula, 2016:47).

In light of this context, it is essential to trace the chronicles of development thought to make sense of current development imperatives of government. Such an analysis will include classical, new-classical and contemporary thought as well as an

assessment of the influence of political ideologies on the dominant opinion of the role of government in development in particular contexts. Ideological perspectives will further assist to ascertain the nature of the dominant development paradigm currently in South African local government as the locus of this study.

3.2.1 Classical, neo-classical and contemporary perspectives

Liberal democracy is perceived as the most beneficial system of government in that it warrants both ruling of the citizens and freedom of the state (Schmitter & Karl, 1991:75, Ranney & Kendall, 1951:431). In locating the historical understanding of liberal democracy one can classify Aristotle's influence by means of the centrality of rule of law as well as constitutionalism for democratic durability, and the moralities of liberty and equality. In explaining democracy, Aristotle disputed that while there is a predisposition to equate democracy with the majority rule, this is inaccurate, and he theorises democracy as where the free rule (Eagleton, 1991:4). Hence, fundamental to the conceptualisation of democracy is a deep-rooted relationship between the concepts of freedom and equality.

Emerging from an extensive period of kingships during the classical period, the 17th and 18th century saw the rise of a "democratic renaissance" with new conceptions of governance values such as political equality, liberty and individuality (Held, 1995:42-44). These new conceptions especially characterised the development of Western philosophies regarding the role of the state in society. Held (1995:42-44) further maintains that the main contributions of this period to conceptions of governance include democratic and liberal rule as well as possibilities of self-government (rule by the people for the people) revolving around warranting citizens' certain freedoms and rights. This gave rise to democratic ideas of "majoritarianism" or majority rule (Held, 1995:42-44). Rousseau (as cited in Held, 1995:44-45; Held, 2006:62) also maintains that government by the people is only truly possible in a representative democracy that is embedded in a liberal social contract between society and the state. Held (2006:62) argues that such a social contract, as envisaged by John Locke, requires that certain principles and procedures are firmly established in the doctrine of constitutionalism.

Hobbes (as cited in Held, 2006:61) argues that the classical Greek philosophies of Aristotle regarding state and society are still imbedded in more contemporary notions of the role of government in society. A fundamental principle is that the public must be willing to relinquish some freedoms and rights to the collective (i.e. government) in order to foster equality and freedom for all. Institutions of the state (i.e. government) become essential to guarantee broad-based civic virtue (Schmitter & Karl, 1991:76). This premise is fundamentally based on the notion of the establishment of a political community where government safeguards civil rights, powers and sovereignties of the community.

During the 18th century, the political philosophy of Montesquieu mainly centred around the division or separation of state power and the idea of checks and balances in government functions. Qualter (1960:883) argues that Montesquieu's ideas safeguard against the threat of tyranny of the majority. These ideas ultimately led to a shift away from strong central government and expands the notion of constitutional government that differentiates between judicial, legislative and executive powers as separate institutions with distinct powers (Held, 2006:69).

The 19th and 20th centuries are characterised by the rise of more liberal philosophies regarding the role of the state in society (Cohen, 2008:1). Scholars such as Freedman (1996), Vincent (2004) and Losurdo (2014) confirm that liberal democracy globally assumed a prominent role as seemingly the most beneficial form of government. This is mainly because sovereignty is entrusted in citizens thereby rendering the polity in control of their own future. It is also perceived to be beneficial for direct participation of civil society in government affairs and to promote political equality.

Classical, neo-classical and contemporary perspectives to the role of government in society in general and the role of participation in development decisions in particular are affected significantly by the country's dominant political ideology. It is thus imperative to comprehend the influence of ideology on dominant political thought regarding the role of government in development and ultimately the significance that public participation assumes in this regard.

3.2.2 Political ideological perspectives to government's role in development

Scholars such as Vincent (2004), Cohen (2008) and Moazzam (2017) contend that

major events such as the French and American revolutions guided political ideological traditions in the Western world. Similarly, trends and events in the Middle and Far East placed governments on a different socio-political and development trajectory. An exposition of the role of government in development is thus case sensitive, implying that the particular socio-economic and political dynamics (e.g. dominant political ideology and system of government) and the history of a particular country (e.g. colonialism and wars) should be considered to make sense of current events and trends.

Freeden (1996:132), Vincent (2004:73) and Cohen (2008:1) insist that ideological perspectives are significant to make sense of political thinking and systems of government. However, they concur that ideological perspectives are complex and cannot be easily categorised or distinguished from other political ideas. Selinger (1976:14) defines an ideology as “a set of ideas by which men posit, explain and justify the ends and means of an organised social action irrespective of whether such action aims to preserve, amend, uproot or rebuild a given social order.” In simpler terms, Harrison and Boyd (2003:139) hold that an ideology is “a simplified, nonetheless accommodative, way of viewing the world we live in”.

The significance of ideology in the scope of this research, is that political theory is shaping systems of government, development policies and trends, and perceptions about the importance of public participation in government affairs. Some of the most prominent ideologies pertaining to government’s role in development, namely liberalism, capitalism, communism and socialism, will be briefly assessed in the subsections below.

3.2.2.1 Liberalism and neo-liberalism

Liberalism in general emphasises the significance of an individual in society and that all social provisions should aid all individuals (Losurdo, 2014:1). It encompasses living in freedom without any intervention from government (Freeden, 2015:1). It may also be described as “the right of the individual to shape his own destiny, regardless of any authority, which seeks to limit his impossibilities” (Laski, 1936:14). Hobhouse and Hobhouse (1994: xviii) are of the view that liberalism, when observing society, “is a self-directive power of personality”. This specific doctrine emphasises unrestrained

government domination in order to encourage “individual independence, rationality, and reason within a community of like-minded individuals composing a liberal society”. Liberalism, thus, mandates all individuals to value each other’s freedom (Brown, 2014:82; Hicks, 2015:109). Liberalism has several forms, such as classical liberalism grounded on the tenet of the minimal state: a self-regulating market with slight government intervention and a great extent of freedom for the individual (Heywood, 2013:14).

The most significant attempt to align the principles of liberalism with politics and development was undertaken by Rawls (cited in Nagel, 2005:62). He supports a democratic view that comprises of the welfare of “underprivileged communities in a system grounded on the principles of justice and fairness” (Nagel, 2005:68). This argument is consistent with the fundamental values of democracy in addition to more contemporary notions of development.

By aligning democratic principles of democracy and development with the role of government, Harrison and Boyd (2003:200) argue that governments should promote social order, prosperity and well-being. Decisions and actions for order, prosperity, and well-being of citizens should, however, be taken in conjunction with the opinions of citizens. Thus, although liberalism argues for certain freedoms, citizens should be committed to engage with government decision makers to ensure that their rights and freedoms are safeguarded.

Neo-liberalism emerged from the fundamental premises of liberalism as should be interpreted at the backdrop of a free market-economy. Liberalists generally regard capitalism as an appropriate system of governance and supports a certain amount of state intervention in the economy. Neo-liberalism goes further by propagating stronger state interventionism to bring about socio-economic reforms. Mechanisms such as privatisation, deregulation and globalisation are seen as vehicles for a more constructivist approach to state interventions (Pickard, 2007:121).

Thomas and Potter (1992:134) accentuate the normative dimensions of neo-liberalism and argue that the economic characteristics of the neo-liberalism are mostly underpinned by psychological opinions about values, goals and the motivation of persons. They (Thomas and Potter) further argue that the market offers equal

opportunities for all and that capitalistic entrepreneurs act as drivers for socio-economic development. Entrepreneurship ultimately leads to modernisation, and modernisation can be regarded as prerequisite for state development and neo-liberal conceptions of democracy (Thomas & Potter, 1992:135). In this regard, neo-liberalist ideology propagates minimal government intervention in society; just enough to maintain political order and guaranteeing a free-market economy.

As political and economic ideology, both liberalism and neo-liberalism are fundamental for this study since a degree of state intervention is regarded as imperative for addressing issues such as unemployment and poverty that typically affect developing countries like South Africa. Limited government intervention by promoting developmentalism and fostering democratic principles by facilitating public participation in development imperatives are key foci of this study.

3.2.2.2 Capitalism

Capitalism can be regarded as a broad-based ideology strongly informing politics and economies of countries and are commonly regarded as the antithesis of socialistic dispensations (Scott, 2011:11). According to Koehler (2015:4) and Eagleton-Pierce (2016:19), the roots of capitalism can be traced to the early 19th century and is primarily linked to philosophers such as Adam Smith, Karl Marx and Max Weber. In his 1776 book, *An Inquiry into the Nature and Causes of the Wealth of Nations*, Adam Smith proposed a doctrine of economic thought that eventually laid the theoretical foundations for free-market capitalism. He coined the notion of the "invisible hand" whereby society as a whole benefit from the entrepreneurship of individuals in a free-market economy. The socio-economic system in Europe should be examined against the context of capitalism, comprising growth of private wealth utilised to produce and dispense wealth in society (Scott, 2011:12). It should be regarded as a system encompassing trade between goods and services with the intent of making a profit in a free market (Smith & Woods, 2005). Scott (2006:4) describes capitalism as "an indirect system of governing an economy wherein various economic actors are allowed to compete to serve the needs of the consumer according to a set of laws and rules and where the ensuing competition serves to induce the mobilisation of human energy and talent as well as other resources for the benefit of society, as well as the economic actors themselves".

Criticism against capitalism mainly centres on the profit motive and the perceived exploitation of the worker class. In this regard, Reisman (1998) argues that individuals in a capitalistic dispensation are primarily concerned with self-enrichment and is generally not interested in the distribution of their wealth in society. This statement is in line with the fundamental denigration of the communist philosopher Karl Marx that capitalism encourages financial crises by aiming at generating a profit and neglecting the minority (Mozhaev, 2013:17). However, protagonists of capitalism such as Chavance and Magnin (2000) maintain that components that make up the structure of capitalism, namely private ownership, a free market and entrepreneurship, facilitate society's prosperity and well-being by promoting efficiency and prudence.

South Africa is commonly regarded as a capitalist state although socialistic perspectives influence economic and fiscal policies (Hart & Padayachee, 2013). This study depicts the prioritisation of people's needs in relation to government's involvement in development and employment creation. Concerning this research, ideological perspectives to capitalism aid analysis of the need of socio-economic development in general and the nature of the relationship between government and citizens. Government should promote the prosperity and well-being of citizens and establish a supportive environment in which citizens can participate freely in economic activities and in decisions affecting their quality of life.

3.2.2.3 Socialism

According to Chavance (1999:1), the economic and social dynamics brought about by the Industrial Revolution during the 19th century primarily established the political thought recognised as socialism. Kotz (2006:1) argues that this political ideology emerged in reaction to the socio-economic outcomes of capitalism such as disparity, unemployment and poverty (Cockshott & Zachariah, 2012:11). Philosophers Karl Marx and Friedrich Engels developed a corpus of ideas which came to be known as socialism, more commonly called Marxism (Sabry, 2017). The core tenet of Marxism is that the community as a whole should own or control the means of economic production, exchange and distribution. Socialism is thus generally regarded as a system in which people work collectively towards a better society (Stephens, 1979:7). Equally, Kotz (2006:1) and Von Mises (1981:56) confirm that socialism is about transferring the means of production from private ownership to the state. In the same

disposition, Ghent (1916:5) outlines socialism as the “collective ownership and democratic management of social means of production of the common good.” Socialism is not only upheld by revolutionary Marxists but also comprised of evolutionary socialists, Christian socialists and anarchists (Kotz, 2006:1) denoting that socialism is not a unitary ideology but has numerous variants.

Socialistic perspectives aid analysis of government’s role in development and the role of participation of communities in development planning in that, although it propagates for collectivism and state interventionism, it undervalues the significance of promoting the freedom of choice for individuals. However, the need for collective action in advancing developing countries towards socio-economic prosperity is a central pillar of socialism, an idea that this study underscores. In this regard, scholars such as Kotz (2006:4) content that a democratic state is vital for developing countries such as South Africa because it is through freedom of choice that citizens can voice their needs and aspirations and government can take the required actions to promote socio-economic growth.

3.2.2.4 Communism

Communism can be regarded as a political ideology proposed by Karl Marx around the 19th century in response to the perceived harm of capitalism (Brucan, 1998:201). Brown (2009:10) holds that communism rapidly spread around the globe and became “an important political force dominating international political movements”.

Marxists are generally of the opinion that for communism to be accepted, drastic action comprising of a socio-political revolution was required (Brown, 2009:26). However, the nature and scope of such revolutions are not specified. This led to different forms of communistic applications such as Marxian communism and Stalin’s communism (Roosevelt, 1957:79). These diverse forms of communism also led to highly divergent opinions of the application thereof. On the one extreme of the spectrum proponents of communism perceive it as the ideal form of statehood and as beacon of hope for the future. They usually argue that communism is the answer to the ills of capitalism such as class inequality, poverty and unemployment. Critics, on the other hand, perceive it to be highly detrimental to prosperity and socio-economic development. Also in

political terms, communism was (and still is) long regarded as the “enemy” for capitalistic, free-market systems (Brown, 2009:10).

These meta-perspectives to development, the role of government in society, and the notions of public participation, inform the analysis of the application of these constructs in developing countries like South Africa. It is evident that ideologies display dynamic evolvement of development thought frameworks. These thought frameworks or paradigms are ultimately imbedded in the development policies and strategies of the countries. As far as communism is concerned, it should be noted that there is still significant influence from the South African Communist Party (SACP) and major labour and trade unions regarding the macro-economic policy of the country as well as macro strategic frameworks guiding development initiatives. These ideological-philosophical perspectives to the role of government in development will inform the empirical investigation into public participation during the IDP cycle. The theoretical perspectives to development that are derived from these ideologies are analysed in the next section.

3.3 THEORETICAL PERSPECTIVES TO DEVELOPMENT PLANNING

As was established in the previous section, development thinking has strong ideological underpinnings and generally aims to promote the quality of life and the general well-being of society. A scholarly investigation into the nature, scope and aims of development planning should consider the influence and contributions of various development theories. As confirmed by theorists such as Davids *et al.* (2005), theoretical underpinnings aid scholarly inquiry by firstly considering the perceived problem it attempts to address, and secondly, that theory illuminates the premises upon which development policies and strategies are founded.

Davids *et al.* (2005:16) reason that planning frameworks for socio-economic development are characterised by divergent philosophical and ideological arguments. These arguments are represented by a multitude of development theories. Some of these theories are highly prescriptive in nature while others offer more generalised macro solutions to a country’s development challenges. For purposes of this study, it is essential to ascertain the significance of development theory to make sense of the peculiarities of development planning in the South African government. With this purpose in mind the following subsections will explore social contract theory,

modernisation theory, dependency theory, human development theory, growth and catch-up theory, and world systems theory. A robust literature review revealed that these theories can be regarded as representative of major development thought frameworks and that they are prominently applied in both developing and developed contexts.

3.3.1 Social Contract Theory

In the global development discourse social contract theory features prominently since it outlines the fundamental relationship between government and society (Neidleman, 2012). Both Socrates and Plato accentuated the significance of a contractual agreement between citizens and the state, as well as the legal and moral principles that should inform this agreement. According to Rieder (2019:27), citizens' obedience, loyalty to and respect for the state validate mutual trust. Social contract theory experienced a surge during the 19th century and encompasses the view that people's moral and political accountability depends on a contract or agreement between the different people or parties in the community in which they live (Rieder, 2019:27). Classical proponents of a social contract such as Jean-Jacques Rousseau, Thomas Hobbes and John Locke perceived this contract as a “covenant, namely the transfer of individual privileges to a sovereign authority which then guards the community against a miserable state of discord and war” (Held, 2006:63). Locke's theory is the outcome of the people's concurrence and therefore the authority of government is vested in the wishes and aspirations of the people (Nyamaka, 2011:6). According to Fieser and Dowden (2017:71), a “political community” is consequently established as a result of a compromise between individual freedoms and the broader interests of society such as safety, health and education. In Western democratic practice, the social contract is primarily based on government's mandate and obligations to protect civil rights and to address the needs and aspirations of society.

More contemporary approaches to the social contract, like those of Rawls and Kant (Rieder & Van der Elst, 2020), embrace a doctrine of the “state based on law”. The “state” is regarded as an association of people (i.e. citizens of a country) and the social contract is thus based on the principle of the rule of law and its adherence to the obligations, rights and duties of the state as outlined by law. The social contract is an ethical agreement of trust between the state and society. This is confirmed by Gauthier

(cited by Fieser & Dowden, 2017:112) who argues that the social contract is established based on mutual trust and a positive relationship between state actors. It can thus be considered as a “contract of trust” (Fieser & Dowden, 2017:112). Neidleman (2012) cautions, however, that a contract of trust is not deemed valid unless all parties willingly consent and act accordingly.

In adherence to the principles of the social contract, government institutions should ensure that the trust voters placed in it is not destroyed by ill-considered policy decisions. Government’s political and administrative representatives should therefore act as “trust holders” of the voters (Fiezer & Dowdon, 2017:112).

According to Girardin (2012:47), a constitution acts as broader social contract between the state and society. It serves as ethical framework against which democratic government is measured by the formalisation of institutional rules, laws and policy objectives. It is also expected that government institutions serve in the best interest of society and that ethical principles are reflecting in their conduct (Girardin, 2012:47). The Constitution also acts as framework for the establishment of a relationship of trust in government institutions by ensuring that it addresses the needs and aspirations of citizens. It is also expected that socio-economic inequalities, poverty, unemployment and other societal challenges are adequately addressed and that the necessary mechanisms are established to ensure that people can fully participate in decisions affecting their livelihoods.

3.3.2 Modernisation Theory

Theorists such as Giddens (1986:137-138) and Smith (2003:44) argue that the central theoretical premise of socio-economic development is based on modernisation theory. Development per definition implies growth and modernisation. Consequently, one can associate modernisation with development thought that originated in the classical period (Giddens, 1986:137; Smith, 2003). Development theorists contemplated a model that less-developed countries should pursue in order to become more developed and modern. They premised modernisation thus on the growth trajectories and lessons learnt from developed countries. Also, De Beer and Swanepoel (2000:31) confirm that modernisation theory is based on the notion that development occurs in a linear line from a pre-modern or traditional state to modernity or development. This

linear growth trajectory is dependent on the modernisation of the economy through the adoption of technological advancements, contemporary labour practices, and competitive means of industrial production. In this regard, Inkeles and Smith (1974) assert that modernisation is a necessary prerequisite for development. They deem the individual as a crucial element in this development process and believe that a state will not be entirely developed unless all its citizens are integrated into development processes. Similarly, Eisenstadt (2010:1) and Matunhu (2011:65) argue that modernisation theory has its roots in capitalism in that the prosperity of individuals eventually leads to prosperity of the entire society.

Lerner (1958) and Inkeles and Smith (1974) accentuate the behavioural dimensions of modernity and propose that modernity should be regarded as a state of mind. This state of mind should accommodate empathy with those less fortunate. The mind-set should also accommodate a willingness to change and make adjustments required to make progress.

Scholars of development such as Huntington (1968), Nash (1984), Martinussen (1997) and Kingsbury *et al.* (2004:45-67) in turn focus on the economic dimensions of modernisation. They regard modernisation as a process that places the economy of a country on a growth trajectory. This subsequently leads to prosperity of citizens and improved living conditions. They question, however, the strong Eurocentric nature of modernity as well as the emphasis placed on inequalities within or between states instead of recognising different cultures, values and governance systems held by different nation states. In this regard, Martinussen (1997:66) argues that countries on the African continent generally have unique traditions, cultures and values, which complicate the adoption of Western modernisation theoretical models. Also, Rudolph and Rudolph (1967) forewarned that “modernisation does not have to take a predetermined path recapitulating the Western model, but could be aligned with the indigenous cultural traditions of a nation state”. Hodge (2009:489) argues that notwithstanding modernisation being regarded as constructive for both developed and developing countries, a developing country such as South Africa maintains to encounter high levels of unemployment and poverty, which hamper local development. Martinussen (1997:41) and Haque (1999:72) further maintain that non-western countries are generally sceptical of western notions of modernisation given

the history of colonisation and the ills of capitalism. They usually resist political pressure to reform their economies towards western-style modernisation.

3.3.3 Dependency Theory

Dependency theory emerged in the 1950's as a response to challenges emanating from fundamental premises of modernisation theory (Matunhu, 2011:68; Herath 2008:820). Fair (1982:20) expounds how scholars of structuralism, commonly regarded as the predecessor of dependency theory, pursued the classification of underdeveloped countries. Scholars of dependency theory depict the world as comprising a "core" or dominant nations and "dependent" countries in the periphery.

This view implies that so-called developing third-world countries are heavily reliant on developed countries due to their lack of capacity and failure to control productive processes. They are thus dependent (and are actively kept dependent) on so-called developed, first-world or core countries. In this regard, Santos (1970:231) contends that dependency theory expounds the inequalities faced by developing countries. The dominant, core countries expand and are self-sustaining, while dependent countries can do this only in response to that expansion. Such expansion can have either a positive or a negative effect on their domestic development. Scholars such as Webster (1989) and Randall and Theobald (1998:120), however, only accentuate the negative consequences by arguing that third-world countries remain underdeveloped and poor as a consequence of exploitation from first-world countries. Rodney (1972:2005) affirms this argument by maintaining that, "the operation of the imperialist system bears major responsibility from African economic retardation by draining African wealth and making it impossible to develop more rapidly. The resources of the continent and secondly, the emergence of an elite class in the third world known as "compradors", who benefit from the exploitation of the third world, have compounded the development crises of satellites".

The basic foundations of dependency theory vary significantly from those of modernisation theory (De Beer & Swanepoel, 2000:41). Rather than perceiving development as an original state, underdevelopment is regarded as something generated within a pre-capitalist society that begins to encounter certain kinds of economic and political relations with some capitalist societies. Underdevelopment is,

consequently, not an outcome of internal deficiencies, as modernisation theorists lean towards, but rather a process or a state that develops not so much from the lack of something, but instead as the presence of something. In its most basic version, dependency thinking merely substitutes countries for classes, for capitalism not to be so much a system of class exploitation, as one of exploitation of third-world countries by the first world (Thomas & Potter, 1992:136).

Dependency conveyed complexity into development dialogue by entrenching the concept of global interdependence in development thinking. It can be maintained that dependency theory empowered countries and people who had been adversely defined by the modernisation theory to redefine themselves and reverse the responsibility for the absence of development (Webster, 1984:91-92). These interpretations argued by protagonists of the dependency theory, together with the opposing outcomes and discrepancies in the relevance of modern liberalism, supported the rise of a new thinking in the development concept and practice which compelled theorists and practitioners to look beyond current paradigms of development. Dependency theory emphasises the disparities that continue to influence developing countries such as South Africa. Without rapid economic growth governments do not have the required means to address development challenges such as poverty and equality.

3.3.4 Human Development Theory

Anand and Sen (2000) established the term “human development” firmly in the global development discourse. They maintain that human choice, or the ability of citizens to choose the lives they want, should be the decisive measure of social progress. Notions of human development go beyond modernisation theory in having “a wider scope and a sharper focus” (Welzel *et al.*, 2003:346). Typically, theories cannot exploit scope and focus at the same time, but human development does in the sense that it is comprehensive, incorporating broad notions of socio-economic development structure, but at the same time is focused on one central idea, namely the growth or deterioration of human choice (Welzel *et al.*, 2003:346).

Welzel (2002) claims that socio-economic development, increasing emancipative values and efficient democratic praxis should be aligned to uphold human choice. According to Welzel *et al.* (2003:346), progress in any of these areas improves

people's ability to make use of their individual potential and choices. Human development theory does not suggest that all three areas should necessarily be well developed. Society may, for example, move in both directions: progressing or regressing. Nonetheless, it does indicate that people's resources, motivations and rights tend to progress towards freedom to choose.

One of the three human development domains, namely democratic practices, is regarded as a prerequisite for human choice. It is strongly associated with individual rights to choose among alternatives (Macpherson, 1977:44). Democratic practices usually promote the right to human choice (Welzel *et al.*, 2003:345). Welzel *et al.* (2003:345) caution, however, that states may be regarded as democratic, but do not necessarily promote human development. They opine that even a democracy can be governed by corrupt elites who deny their citizens of some rights. In undeveloped societies most citizens have neither the assets nor the motivation to put effective popular pressure on the government elites to respect citizens' rights. It may be argued that communities in especially deep rural areas in South Africa also do not have the necessary means and political will to exert pressure on local authorities to comply with fundamental developmental obligations and mandates.

3.3.5 Growth and Catch-up Theory

Growth and catch-up theory emanate from general modernisation thinking by arguing that developing countries should grow (socio-economical) to "catch-up" with the economies of developed countries. According to Reyes (2001:2), Rostow's five stages of development made a significant contribution by depicting a country's development growth trajectory in five stages. These stages are a "traditional society" (i.e. pre-development); "preconditions for take-off" (e.g. certain socio-economic and political conditions to establish a conducive environment for development); "take-off" (i.e. launching initiatives aimed at broad-based socio-economic growth); "the road to maturity" (e.g. establishing pathways towards a globally-competitive economy); and "the age of mass consumption" (e.g. broad-based development and prosperity in society) (Roemer, 1986:1002-1037).

Growth and catch-up theory quests to establish a model for economic growth based on the successes of developed countries such as those in the West. Protagonists of

this theory reason that such a model should be copied by developing countries to catch-up to the global economy. Such a model should primarily be based on modernisation and capitalistic principles by arguing that for any change to transpire in society there is a need for adequate capital to enhance the living conditions of people (Crafts, 1996:45). It also emphasises the importance of human capital in aiding economic growth through fostering productivity by strengthening the labour force (Martin & Sunley, 1998:209).

Growth and catch-up theory aids comprehension of local development by emphasising conditions for growth. It also facilitates scholarly inquiry into the role of government in local economic development and development planning. The theory is premised on the idea that government has a vital role to play in relation to growth and advancing development in a specific locality. The role that government fulfils has a direct influence on the direction of development and the scope of socio-economic growth in local communities.

3.3.6 World Systems Theory

The sociologist, Immanuel Wallerstein, developed the world systems theory as a particular perspective to the history of the world history, social change and the economy. In line with dependency theory, Wallerstein (1979) asserts that the world's economic system is characterised by some countries that benefit while others are exploited. As such, the theory accentuates global inequality. Also, scholars such as Szymanski (1982) and Onyemelukwe (2005) maintain that the world system is characterised by an immoral social structure that leads to impoverishment of some countries. Reyes (2001:1) differentiates between dependency and world systems theory and accentuates the fact that the latter differs from dependency theory in the sense that geopolitics and international relations should be understood as dynamics between three categories of country, namely "core, semi-periphery and periphery countries". Reyes (2001:6) holds that development grounded on this theory mainly originated through international trade interactions between these different categories of countries.

Some developing countries like South Africa may pursue practices and systems from developed nations to promote internal change. However, such change may have

negative consequences for developing countries. In an African context, Southall and Melber (2009) content that developed countries managed to gain access to the natural resources of African countries by persuading them to implement neoliberal economic policies. Such policies generally aid Western countries and promote free-trade and open markets. Therefore, theorists like Frank (1984) and Amin (1991), insist that developing countries need to detach themselves from the world system in order to execute development policies that are suitable and applicable to their societies.

It can be argued that the world systems theory aids comprehension of the role of government in development in two ways. The first is that it accentuates the dynamic interaction between a particular country and other countries in a global economy. The nature of this interaction informs foreign policy and foreign direct investment. The second way is that the theory highlights the interdependency of a variety of factors in domestic development. These factors include the economy, societal circumstances, ecological conditions, and political matters in an integrated and all-inclusive manner. Developing countries like South Africa have to align the plight of citizens in their development plans (Andreasson, 2001:213).

This concludes a brief overview of some of the most significant theories of development. It is evident that these theories provide contextual underpinnings of development imperatives as well as the role of government in development. The next section will explore government frameworks for development planning. It should be noted that these frameworks emerged from particular development thinking (i.e. theories) that are dominant in a country.

3.4 GOVERNMENT FRAMEWORKS FOR DEVELOPMENT PLANNING

The realisation that a global framework is required to direct governmental decisions and development planning projects spread throughout the world. As a result, global frameworks and development protocols such as the Rio Declaration, Agenda 21, Millennium Development Goals and UN-HABITAT Agenda were designed. These development frameworks make provision for sustainable development indicators that are useful to measure progress made in addressing societal challenges. These frameworks also accentuate the role of governments in realising development goals and highlight the particular role that local authorities should play in operationalising

national frameworks through integrated development planning. For the purpose of this study, it is thus imperative to establish how global, continental, regional and national development frameworks informed (and still inform) a local government's role in integrated development planning.

3.4.1 International development frameworks

The global discourse on sustainable development gained momentum during the Stockholm Conference (1972) which was held as an outcome of the United Nations resolution appealing for the protection of the environment (Boer, 1995:307). This conference paved the way for the United Nations Conference on Environment and Development (UNCED), held in Rio de Janeiro in 1992. Delegates from participating countries concurred that sustainable development should have global priority status (Verschuuren, 2003:20). UNCED was mainly tasked with the identification of priority concerns and the confirmation of suitable government programmes through which sustainable development goals should be pursued. Arguably the most prominent international frameworks that were outlined in this regard are the Rio Declaration, Agenda 21, the post-2015 Sustainable Development Goals (replacing the original Millennium Development Goals), and the UN-HABITAT's New Urban Agenda.

3.4.1.1 Rio Declaration

The United Nations convened a Conference on Environment and Development in Rio de Janeiro in 1992 with the goal of instituting a new and equitable global partnership. It was envisaged that such partnerships should be established to facilitate mutual levels of aid among states and key sectors of society (Vierros, 2006). Ultimately the Rio Declaration was approved unanimously by representatives of 175 countries.

The Rio Declaration, originally envisioned as an "Earth Charter" (Nanda & Pring, 2012:92), had as primary goal balancing economic development with the protection of the environment. This declaration matched Principle 21 of the original Stockholm Declaration stipulating that "the right to development and the eradication of poverty are essential to the achievement of sustainable development" (Nanda & Pring, 2012:92).

The twenty-seven principles encompassed in the Rio Declaration established a broad framework for governments' development goals and targets. The declaration

stipulated a clear mandate for sustainable development as the foundation for global, national and local engagement. In addition, it promoted global partnerships between countries and outlined various guiding principles such as intergenerational equity, financial and technological responsibilities, and the contributions of women, the youth, and local communities in attaining sustainable development goals (Nanda & Pring, 2012:96). For purposes of this study, it should be noted that the Rio Declaration reinforced the role of broader citizen participation in national and local development planning (Hoelting, 1995:128-129).

Participating countries did not only adopt the Rio Declaration at the Rio Conference but also an additional so-called “soft-law” instrument labelled as Agenda 21. Agenda 21 is commonly regarded as a blueprint for sustainable development (Boer, 1995:307).

3.4.1.2 Agenda 21

Agenda 21, an action plan and proposal for sustainable development in every part where human activity influences the environment, was adopted at the Conference on Environment and Development in Rio de Janeiro in 1992 (DEAT, 1998). Agenda 21 acknowledges that frequently economic, social and environmental factors are deemed separately when decisions are made and that this has a profound effect on how society's many spheres – government, business and individuals – act.

Agenda 21 highlights the need to integrate economic, social and environmental deliberations in addressing the disputes we face today and acting on the needs of future generations (DEAT, 1998). Policies, strategies, programmes and procedures for national governments to fulfil the Rio Declaration principles are encompassed in Agenda 21 and during its discussion it was defined as “a high-level political commitment rather than a legally binding text” (Nanda & Pring, 2021:102). Agenda 21 will be applied as a yardstick and this is a way to determine whether a government is doing all it can to encourage and achieve sustainable development (Thornberg, 2001:957). Hence, the Rio documents amalgamate environmental protection and economic development in the notion of sustainable development. The Rio and Stockholm Conferences and Declarations are mutually triumphs in the development of international environmental law and certain principles – like the public participation principle, the preceding assessment of environmental impacts, precautionary

principle, notification of emergencies and former information, and consultation on projects possibly affecting the environment of states – have been incorporated in several binding and non-binding international instruments (Kiss, 2003).

3.4.1.3 The post-2015 Sustainable Development Goals

The MDGs and the current initiatives have to be aligned for the post-2015 timeframe. The Millennium Development Goals (MDGs) will still be relevant and significant after 2015, according to the United Nations Economic Commission for Africa (2015:3), because “Africa is off track in reaching most of the targets”. The greater part of African governments portrayed the Sustainable Development Goals 2030 into their national development plans. Hajer *et al.* (2015:1) opine that “the SDGs have a potential to become a powerful political vision that can support the urgently needed global transition to a shared and lasting prosperity. Each government should prioritise the execution of the seventeen goals on an annual basis”. The Sustainable Development Goals (SDGs) vary from the MDGs in principle, perception and politics. The SDGs address a number of the fundamental shortcomings of the MDGs and combine a broader and more transformative programme that more sufficiently reflects the multifaceted challenges of the 21st century, and the prerequisite for structural reforms in the international economy.

Sustainable Development Goal 11 is dedicated to sustainable cities and communities and the goal for the future is to “make cities and human settlements all-encompassing, safe, strong and sustainable” corresponding to the United Nations Development Programme (2015:5). According to Du Plessis (2017:241), the general vision of SDG 11 reverberates in many ways the vision that was established for the municipalities of South Africa after the end of apartheid. She states that SDG 11 now assists as an international torch light creating additional light on the course that the country set out to follow. In South Africa, the “legal” features of local government transformed significantly with the implementation of the Constitution in 1996. The Constitution unambiguously declared a new dispensation where local government would have independence and a place in the government system far more authoritative than previously. Developmental local government was observed as one of the decisive features of the new democratic dispensation. According to the White Paper on Local Government's definition of “developmental local government” (1998), this type of local

government system focuses on collaborating with the community to create sustainable human settlements that provide a respectable standard of living and integrate the social, economic and material needs of communities in a way that is inclusive to all (Du Plessis, 2017:241). In this structure of developmental local government municipalities have all-encompassing, and mostly sovereign, legislative and executive authority. Additionally, local government operates in a system of cooperative governance where it is expected of all officials in all three spheres of government to provide effective, accountable, transparent and understandable government in a way that does not jeopardise the geographic, institutional, or functional dependability of another organ of the state. (Abrahams, 2016).

3.4.1.4 The UN-HABITAT's New Urban Agenda

A sustainable human settlement is defined by the UN-HABITAT Agenda as one “where all have enough accommodation, a healthy and protected environment, basic services, and productive and freely chosen employment” and was first introduced during the Habitat II conference in Istanbul, Turkey on 14 June 1996. (Habitat, 2006:7). Furthermore, it states that "many local governments in developing countries face the virtually impossible task of funding the infrastructure and services needed to meet the fundamental needs of growing urban populations, while forward-looking capital investments are not feasible for financial reasons" (UN-HABITAT, 2015:4).

According to the UN-HABITAT Agenda, prospects for revenue production are typically constrained by insufficient legislative frameworks or unfavourable political structures, and local financial management regularly deteriorates as a result of a lack of technological infrastructure and skill (UN-HABITAT, 2015:8). Setting up an integrated strategy that achieves the right balance between stakeholder participation and budgetary sustainability is the main challenge facing local governments.

3.4.2 Continental (African) development planning frameworks

African development planning frameworks were developed with the expectation to mould African incorporation into the governing international forces and consequently secure a higher level of involvement in international political and financial activities.

3.4.2.1 NEPAD

For many people, the New Partnership for Africa's Development (NEPAD) has diverse meanings. With a higher level of involvement in international political and economic activities, the NEPAD programme aims to shape African integration into the governing global forces (Melber, 2004:2). The main goal of NEPAD is to create an environment that is favourable for commerce and long-term investment in Africa. In light of this, the programme promotes problems including “trade liberalization, market reform for financial and other commodities, the operation of international institutions, development assistance, and resource transfers from rich to poor countries” (Landsberg, 2008:214). Additionally, NEPAD establishes a clear connection between governance, security, and development. It was founded on the concept that “progress cannot occur without peace, security, good governance, stability and growth of the global economy” (Landsberg, 2008:208).

African nations typically believe that although poor governance promotes conflict, which impedes development, peace upholds prosperity. According to NEPAD, access to money, strong governance, sound public services, and international trade all contribute to political stability and prosperity (Herbert & Gruzd, 2008). The promotion of peace and security, according to Venter and Neuland (2007:232), has been NEPAD's prime objective because violence and insecurity have impeded and destroyed the development of the African continent as well as the improvement of the lives of African people. Additionally, NEPAD supports African efforts to advance the agendas of democracy and good governance. Democracy, as it is understood in developed nations, is not only the cornerstone of peace and security but also a requirement for cooperative trade and investment. Democracy should “reduce the scope for conflict and make good government more likely” (Chabal, 2002:447). Additionally, “good government” should result in the political stability, institutional consolidation and application of the rule of law that is universally regarded as the foundational elements of investment.

3.4.2.2 Agenda 2063

The year 2015 marked the end of the Millennium Development Goals, which was crucial for the discussion of global development (MDGs). Additionally, it signalled the start of a new agenda, the post-2015 Sustainable Development Goals, which would

set the course for future global development (SDGs). The realisation of such international obligations depends heavily on governments and their constituents. Therefore, it is crucial to continue developing regional governance approaches in order to identify collective representation and focused engagement in the global political economy (Union, 2001).

The African people via the African Union initiated an African Agenda 2063 as part of lessons learnt from the assessment of past Pan-African plans. In Agenda 2063, the AU appeals for recruitment of the people and their ownership of continental programmes. In this agenda, Africa realigns itself to the long-term Pan African vision of “an integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the international arena (Airhihenbuwa, 2006; James, 2012). In the context of Africa, it is well recognised that Africa is pursuing a strategic role in the global political economy. Therefore, the instituting of civic driven transformation is the focal point of the appeal for people and their tenure of development programmes in the continent. Civil society continues to be organisations at grassroots in which African states can established the agenda for an integrated successful and peaceful Africa (Shivji, 2006a; Ellis, 2007; Posner & Young, 2007; Glasius, 2010). The significance of civil society is gradually recognised in international communities. Civil society resumes to play a diplomatic part in conflict resolution and aid with other civil society across the globe. The focal point of Agenda 2063 is seven aspirations, which the continent is dedicated to act together and achieve (AU, 2015:2).

African states must create a favourable environment that allows free flow of relations between actors in order to participate in Agenda 2063. Establishing connections with civil society organisations that support the ideals of good governance will assist in achieving this (Brinkerhoff, 2011). By influencing and monitoring the state, civil society may advance democracy and protect human rights. To aid African states fulfil their development responsibilities, the promotion of a vibrant and competent civil society requires established funding and support (Devarajan *et al.*, 2011; Grindle, 2012; Van Rooy, 2013). It is crucial to create legal frameworks that govern how civil society interacts with the public and private sectors.

3.4.3 Regional frameworks

Regional frameworks resulted in the increase of regional integration and the need for the progression to be people centred. This can be associated with the Africa Agenda 2063 that declares a necessity for Africa to do things differently and to allow enhanced stakeholder participation in its developmental programmes. This will aid the achievement of the AU's concept of an integrated, prosperous and peaceful Africa, compelled by its own citizens and signifying a dynamic force in the worldwide arena.

3.4.3.1 SADC development planning protocols

In August 1992, subsequent to the onset of the process of transition in South Africa, the previously known Southern African Development Co-ordination Conference (SADCC) was converted into the Southern African Development Community (SADC). From its commencement, SADC member states have planned, ratified and endorsed a number of protocols and instituted it as objectives (Williams, 2002:1). The following protocols were endorsed:

- The achievement of development and economic growth and the alleviation of poverty to enhance the standard and quality of life of the people of Southern Africa.
- The evolution of common political values, systems and institutions.
- The strengthening and consolidating of the historical, social and cultural affinities amongst the people of the region.
- The achievement of collective self-reliance with a high degree of harmonisation and rationalisation between member states.

Oosthuizen (2006) believes that the major operational policy documents of SADC are the Regional Indicative Strategic Development Plan (RISDP) and the Strategic Indicative Plan for the Organ on Defence, Politics and Security (SIPO). They establish the pillars and structure for SADC regional integration and also provide SADC's member states with a constant and inclusive programme of long-term economic and social policies, while at the same time imparting the SADC Secretariat and other institutions with insights on SADC-approved economic and social policies and priorities. The RISDP endorses the commitment of SADC's member states to effective political, economic and corporate governance embedded in a culture of democracy,

complete participation by civil society, lucidity and respect for the rule of law. In this framework, the AU's New Partnership for Africa's Development (NEPAD) is encompassed as a credible and significant continental framework, and the RISDP as SADC's regional manifestation of and vehicle for attaining the ideals contained therein. The RISDP underscores that good political, economic and corporate governance are fundamentals for sustainable socio-economic development and in SADC's pursuit for poverty abolition and deeper integration levels.

SADC, being an interstate association, pursues to be liable to its citizens to uphold developmental initiatives that can change their lives for the better. The framework for accountability is distinct in Article 23 of the SADC Treaty. Moyo (2007) perceives this as even more significant now, given the upsurge of regional integration and the necessity for the process to be people centred. This is linked to the Africa Agenda 2063 that speaks of a prerequisite for Africa to do things differently and to permit increased stakeholder participation in its developmental initiatives. This will assist to achieve the AU's vision of an integrated, prosperous and peaceful Africa, compelled by its own citizens and signifying a dynamic force in the global arena.

3.4.4 National planning frameworks

National planning frameworks generally aims to guide broad-based socio-economic development with integrated, cross-cutting strategies. In South Africa these strategies are annually revised to confront so-called "apex" development priorities in the country. The basic intention of these frameworks is to give effect to the national policy vision, goals and objectives of national development and to guide development planning initiatives.

According to Heller (2001:133), South Africa's transition to democracy has been "one of the most comprehensive of its kind". In posing the question "Are they closer to the people?" he is of the opinion that transformation has undoubtedly occurred in the South African state (Heller, 2001:132). The South African labour movement, according to Adler and Webster (1995:25), is essential to the democratic transition process and a "policy of radical reform".

The Reconstruction and Development Programme (RDP) of the Republic of South Africa is described as a socio-economic policy framework implemented by the ANC

government in 1994. The RDP's primary goal is to concentrate on significant socio-economic interactions hereditary from the apartheid system (Gumede & Dikene, 2009:4). The RDP's three main goals are economic growth, infrastructure programmes and poverty reduction.

A literature review revealed that South Africa has both a top-down and bottom-up approach to development planning. As far as the top-down planning design is concerned, the president outlines apex priorities in his annual State of the Nation Address. Shortly thereafter the Minister of Finance adds a cost dimension to these priorities and presents the national budget. The next process is for the premiers of the respective provinces to deliver their State of the Province Addresses and to present their provincial growth and development strategies. It is then expected that metropolitan, district and local municipalities in the provinces operationalise these strategies through their respective integrated development plans (Van der Waldt, 2011:11).

As far as the bottom-up approach to development planning is concerned, it is expected that communities are adequately consulted regarding their development needs, priority concerns and aspirations. These needs should be accommodated in the integrated development plans of municipalities and submitted to the MEC for local government in the province to, in turn, inform the provincial growth and development strategies (Van der Waldt, 2015:38). Based on the input provided by provinces, the respective cabinet clusters should ensure that national government adequately addresses these development needs and concerns in their respective sectoral strategic plans. In order to promote sustainable democracy, the Integrated Development Planning agenda and Community-Based Planning programme warrant developmental planning from the bottom up.

The overarching national framework as far as development planning is concerned is the National Development Plan. The nature and scope of this plan as well as other national development planning documents are explored in the subsections below.

3.4.4.1 National Development Plan: Vision 2030

The National Planning Commission (NPC) created the National Development Plan (NDP), which was released in August 2012. The NDP pronounces itself as "a plan for

the country to eliminate poverty and reduce inequality by 2030 through uniting South Africans, unleashing the energies of its citizens, growing an inclusive economy, building capabilities, enhancing the capability of the state and the leaders working together to solve complex problems” (South Africa, 2012:1). Intrinsicly, the NDP aims to obtain economic development as well as human development in South Africa by constructing a robust and equipped state. The plan also states that “faster progress, more action and better implementation are mandatory for building such a state” (South Africa, 2012:1).

The NDP delivers a strategic framework for the South African economy and shapes various goals that, if achieved, will assist the achievement of Vision 2030 (National Planning Commission, 2011). South Africa’s NDP has anticipated several economic growth and employment policy programmes that aim to enhance economic growth, increase the number of jobs from 13 million in 2010 to 24 million in 2030 and decrease poverty and inequality in South Africa as a measure to overhaul the economy and realise “Vision 2030” (National Planning Commission, 2011). The NDP is confident about the external aspects that have guided the formulation of the NDP and why South Africa needs such a plan to advance with a particular type of development locally, regionally and internationally. The NDP advocates that the South African economy should be reconstructed to withstand financial disasters in future by intensifying the “role of government” and for the government to “regulate” economic activity (South Africa, 2012:79). The NDP also declares that emerging economies “are becoming key areas of growth in consumption, production and in some cases, innovation” thus using the new opportunities obtainable by globalisation to increase a foothold in global markets (South Africa, 2012:82).

One of the NDP’s focal proposals for building a capable and developmental state are primarily, to “stabilise the political-administrative interface” which denotes a series of measures that should permit the public administration to sustain the service needs of the country while not being apprehensive about political interference or utilising political motive and power when carrying out its duties (South Africa, 2012:411). The added proposals include creating a more attractive public service career choice through a “formal graduate recruitment scheme” whilst also aiming at increasing and sharpening the skills of existing staff; developing the “technical and specialist

professional skills” within the public administration; enhancing the “delegation, accountability and oversight” capabilities of the public administration; and affording local government greater scope and control (South Africa, 2012:426-435). The National Planning Commission (2013:365) declares that “if we [citizens of the country] are to address the twin challenges of poverty and inequality, a state is needed that is capable of playing a developmental role. That requires well-run and effectively coordinated state institutions – staffed by skilled public servants who are committed to the public, good and capable of delivering consistently high-quality services for all South Africans while prioritising the nation’s developmental objectives. These objectives give people confidence in the state, which in turn will reinforce the state’s effectiveness.”

It is evident that the NDP established a comprehensive framework for national development and confirms the role that government should play in building a capable state. The role of local government in this regard is also specified. It is further clear that public participation in development planning should be promoted.

3.4.4.2 Provincial Growth and Development Plans (PGDP)

Provincial Growth and Development Plans (PGDP) as strategic frameworks for provincial development planning was introduced in 2003. The main purpose of these plans is to serve as a socio-economic planning framework for provinces. It is expected that these plans are fully aligned with national policy frameworks. A PGDP generally comprises a 10-year vision for provincial development, growth targets, and specific programmes for job creation, economic growth, and the eradication of poverty. The PGDP greatly assist as a mechanism for development coordination and alignment of to distribute government resources to priority areas and to address emerging issues. In this regard, Mbanga (2012:132) contents that these plans support the implementation of development interventions in targeted areas and to prioritise certain national development programmes. Padarath (2006:4) remarks that, although PGDP are not a legislative requirement, all provinces have firmly established them to maintain synergy in development planning between national (e.g. NDP), provincial (e.g. PGDP) and local (e.g. IDP) spheres.

3.4.4.3 Spatial Development Framework

In the early 2000s, the government's top priorities were to accelerate economic growth and advance social inclusion. The National Spatial Development Perspective (NSDP) was introduced by the Presidency in 2006 as a tool for reconstructing spatial realities created by apartheid and for carrying out the constitutional requirements to provide basic services, alleviate poverty, and address social inequality.

In 2004, the National Cabinet identified the need to standardise strategic planning tools across the many domains of government as a critical challenge. The Presidency created the Framework for Harmonising and Aligning IDPs, PGDP with NSDPs (2004), which offered a number of attainable measures for making this goal a reality. The NSDP act as framework for development with particular mention to spatial planning and infrastructure development. It is further expected that the NSDP is operationalised in provinces by means of Provincial Spatial Development Frameworks. These frameworks are instrumental in the preparation of the PGDP as well as for the strategic plans of provincial departments.

Based on the NSDP and Provincial Spatial Development Frameworks, municipalities are expected to develop Spatial Development Frameworks (SDFs). The primary purpose of an SDF is to support sustainable development functions of municipalities and foster integrated human settlements as well as improve resource efficiency (Department of Rural Development and Land Reform, 2011). Additionally, this framework aims to direct the full spatial distribution of existing and ideal land usages within a municipality with the goal of putting the goals, vision and objectives of the municipal IDP into action (Department of Rural Development and Land Reform, 2011:7). The Spatial Development Framework should promote sustainability of the municipality and specify areas where private partnerships should be pursued. The SDF should further guide all existing and upcoming land-related decisions in conjunction with affected communities (Department of Rural Development and Land Reform, 2011:7). A spatial development framework seeks to advance resource efficiency, sustainable, functional, and integrated human settlements, as well as regional identity and place-specific character (Afesis Corplan, 2013).

Section 26 of the Local Government: Municipality Systems Act 32 of 2000 stipulates that municipal IDPs should include a SDF containing guidelines for a comprehensive land-use management system. Thus, the IDP utilises the SDF as a framework for improvement of land use in different geographical areas. The Municipal Systems Act furthermore in Chapter 4 strongly accentuates the obligations of municipalities to engage local communities in local development planning.

3.4.4.4 Municipal integrated development planning

According to Pretorius and Schurink (2007), post-apartheid South Africa faces notable challenges in ensuring that municipalities deliver the best possible services to communities. From 1995, integrated development planning within the new co-operative system of government system became the *de facto* planning instrument for municipalities (Binns & Nel, 2002:921). The IDP is the principal strategic planning tool which directs and informs planning, budgeting, management and decision making in a municipality (Maphunye & Mafunisa, 2008:462). South African municipalities have consequently become the “development driver”, through service delivery, poverty alleviation, infrastructure and economic development (Amis, 1999; Vatala, 2005; Patterson, 2008).

The primary law governing the activities and operations of municipalities across the nation is the Municipal Systems Act. According to Section 25 of the Act, “each municipality shall create a single, inclusive strategic plan for the development of the municipality within a stipulated period after the commencement of its elected term”. The IDP should furthermore provide a strategic framework according to which municipalities must adhere to its constitutional developmental mandate and obligations (Manyaka & Madzivhandila, 2013:461). It is anticipated that the IDP serve as a tool to synchronise the nation’s integrated development planning procedures (Binns & Nel, 2002:921; Van der Waldt, 2016:148). Sikander (2015:175) asserts that integrated development planning is grounded on the “theory of decentralised governance”. It extends community choice and encourages local decision making regarding development needs and priorities. Sikander (2015:175) continues to argue that decentralised development planning empowers people to participate in local governance processes and can give power to people previously excluded from decision making. By permitting local communities to participate in their own affairs and

by facilitating closer contact between national and local authorities, decentralisation aid a responsive administration to local needs. This foster legitimacy of council decisions and facilitates a sense of ownership for development programmes. It also empowers communities to actively embark on self-help initiatives (Sikander, 2015:174). Within the framework of decentralised and cooperative governance, the IDP promotes representative democracy in addition to development at local level (Vatala, 2005:71). This statement confirms the statutory obligations of developmental local government to “work with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives” (South Africa, 1998:23).

It can be deduced from the above deliberations that the role of local government has evolved to incorporate a strong developmental and local democracy focus. Both of these foci are supposed to be accommodated in the IDPs of municipalities. The IDP should serve as strategic development planning instrument and be designed after consultation with local communities. As focus of this study, it is evident that local development planning should be conducted in an integrated and inclusive manner.

3.4.4.5 Community-based planning

It can be maintained that the decentralisation process in South Africa has generated opportunities for local government to work directly with community and community-based groups considering planning and implementation of development plans. In this regard, community-based planning (CBP) can be regarded as the final building block in government’s development strategy architecture.

The Department of Cooperative Governance and Traditional Affairs (COGTA) adopted CBP in 2009 as an approach aimed at empowering local government to deepen local democracy. This should be done by permitting citizens to fully participate in the IDP processes and annual municipal budgeting processes (Van der Waldt & Theron, 2015:120). It is envisaged that CBP will result in a more responsive council that are capable of fulfilling the communities’ top development needs. In this regard, Moyo and Madlopha (2016:102) argue that CBP is one of the mechanisms that can improve the goals of developmental local government.

To enhance the quality of development plans, the level of service, and societal control

over development, CBP has been encouraged in local government (International Institute for Environment and Development Report, 2004:44). According to Moyo and Madlopha (2016:102), the CBP has the following benefits:

- Underpinning ownership of planning process and outcomes.
- Revealing stakeholder value and support for development initiatives.
- Expanding transparency and accountability for local development procedures.
- Expanding investment growth within local authority itself.

According to Moyo and Madlopha (2016:108), the necessity for continuous mobilisation and public participation in CBP processes, particularly at municipal ward level, should be highlighted. In all council meetings, issues presented by communities through ward committees should be deliberated and feedback be supplied to ward councillors as feedback to wards. Authors such as Gumede and Dikene (2009), and Van der Waldt and Theron (2015) furthermore reason that municipalities should promote CBP through a multitude of instruments, inclusive of communication platforms such as local radio stations, social media, community newspapers and information letters to residents. They continue to propose that, where viable, door-to-door campaigns and road shows should be utilised as instruments to increase community engagement in development priorities and to serve as feedback mechanisms regarding municipal service delivery accomplishments. Moyo and Madlopha (2016:108) assert that municipalities should support the notion of “no development for us without us” expressed by local communities.

The following section will focus on the role of participation in local government development planning in developed and developing countries. Lessons learnt from these countries can serve as best practice framework for community participation in local development planning. It is therefore very important for the purposes of this analysis.

3.5 PARTICIPATORY CITIZENSHIP IN DEVELOPMENT PLANNING: LESSONS FROM THE INTERNATIONAL EXPERIENCE

Participation in development is observed as a significant component of the democratisation process. Notions of public participation have evolved in the global development discourse. In this regard, Hickey and Mohan (2004) traced the

paradigmatic changes of participation since the colonial era when community development was instituted as a method of “reigning in the colonised”. As new schools of thought and institutional agendas emerged, ideological and normative principles of public participation materialised and were open for interpretation and application by different countries. Changes in notions and interpretations of participation guided what is observed as a shift from deeming participants as beneficiaries to interpretation that regard participants as “makers and shapers” (Gaventa, 2004b:29). In addition, the concept “community participation” was gradually being replaced by “participatory citizenship” which, according to Gaventa (2004a:29), combines participation in the political, social and community spheres. In this progression, participation became entrenched as a democratic right. In addition, Martin (2010) argues that the application of ICT in development planning and community participation (e-participation) has brought about a significant shift in the conventional role and responsibilities of governments. Especially in developing countries, e-participation may add significant value. Domestic and international development trends and events are rapidly shared and best practice can be extracted from international cases.

The following section assesses the interpretation and application of public participation or participatory citizenship in local government in the development planning processes of both developed and developing countries. This assessment serves three purposes:

- To ascertain international best practice that may serve as lessons to be learnt by development practitioners in South African local government.
- To perform a *variance analysis* between current developmental planning praxis in South Africa and other countries.
- To absorb best practices and address identified gaps in the proposed model for fostering public presentation in the integrated development cycle of local government in the last chapter.

Five cases (i.e. developing and developed countries) were selected for this purpose. To aid comparative analysis, two dimensions will be utilised in all cases, namely (a) development planning status, and (b) community participation practices.

3.5.1 Case 1: South Korea

South Korea, within a span of only fifty years, made the conversion from economic underdevelopment to membership in the club of developed nations. Therefore, valuable lessons for South African development planning initiatives can be acquired from this experience. South Korea is commonly regarded as one of the so-called Four Tigers of East Asia and has attained a remarkable record of socio-economic growth and integration into the global economy (Adelman, 2014).

3.5.1.1 Development planning status

One of the most notable post-World War II developing states ever recognised in the world economics records is South Korea, according to Johnson (1982:7). Adelman (2014) holds that Korea's development is characterised by equity in development with the rapid reduction of poverty. Adelman (2014) continues to argue that one of the most significant lessons that can be learnt from the country is that rapid socio-economic development is possible. In addition, the development process should entail frequent, coordinated changes in the economy, society and politics. Adelman (2014) also emphasises the significance of political leaders' commitment to broader socio-economic development imperatives. Leadership is significant to harness energy and to design and champion development programmes. Coupled to this, is the need for social capital comprising the quality of human capacity and competency, social unity, social trust, interpersonal networks and social resilience. Adelman (2014) also emphasises supplementary practices to support overall development such as conducive policies to enhance capital accrual, technological advancement, and international trade. It is further evident that Korea's experience implies that the government has a fundamental role to play in the advancement of socio-economic development and that a sound economy requires sound state apparatus. It is also clear that public institutions must be capable to drive development and be flexible enough to accommodate unexpected change. Adelman (2014) further highlights the fact that national development initiatives should be aligned with global economic and political institutions. Without such alignment, international trade, foreign direct investment and cooperation are generally jeopardised.

South Korea's development is regarded as unique because the country has progressed by promoting industrial transformation while inculcating a "can-do-spirit"

into its citizens and thereby enticing them to act as change agents for development (Park, 2019:71). Park (2019) classifies the core of the South Korean model of economic development in his book, *Reinventing Africa's Development: Linking Africa to the Korean Development Model* (2019) into two key elements, namely efficient social mobilisation for change and constricted economic growth. Coupled to these key elements, Park (2019) identified four central cornerstones upon which economic growth and effective social mobilisation are achieved, namely land reform, citizen empowerment, reforms in education, and restructuring in government. Park (2019) singles out empowerment of people through participation as essential component for growth and prosperity.

3.5.1.2 Community participation practices

Particular community participation practices that a country like South Africa can seize from South Korea's socio-economic model can be categorised into empowerment of citizens, accelerated rural development, incentivising growth through diversity, and enhancing coordination and implementation of policies and development plans.

As far as the empowerment of citizens is concerned, Park (2019:72) holds that "it is not our resources that fuelled our growth, but the work of people". He argues that this aspect is a key lesson to learn for a developing country like South Africa. South Korea does not have ample natural resources to depend on for wealth creation like South Africa, but instead it has mobilised people capital and inculcated a "can-do-spirit" among its citizens (Park, 2019:73). Park further asserts that "it is up to people to make use of what they have, to work hard and to be entrepreneurial". Without the commitment of citizens to fully participate in development efforts, governments will find it hard to succeed in meeting growth and development targets. Citizen empowerment does not, however, negate the essential role that government should play in designing and driving socio-economic development policies, strategies and programmes.

As far as acceleration of rural development is concerned, it should be noted that South Africa endeavours to improve the lives of rural communities and to restore rural economies (Statistics South Africa, 2015). In this regard, it is important to establish to what extent South Korea succeeded to address poverty and rural development.

Scholars such as Hwang *et al.* (2018) hold that prior to rapid industrialisation, South Korea was confronted with a widening urban-rural gap. However, through a focused rural development programme, this gap was largely reversed and average income in rural areas even surpassed those in the cities. South Korea's effective land reform programme and the introduction of *Saemaul Undong* – a community-based integrated rural development programme – added to limiting the economic gap between urban and rural communities. This programme prompted locals to work voluntarily to produce resources and to generate income. It may be argued that there are similarities between the values of *Saemaul Undong* and the African philosophy of *Ubuntu* and President Ramaphosa's *Thuma Mina* campaign. This campaign aims to activate communities to volunteer their services and to become actively involved in community self-help projects. Similar to the philosophy of *Ubuntu* and the *Thuma Mina* campaign, *Saemaul Undong* sought to foster community involvement and responsibility. It also utilised rural and traditional leaders to involve people more directly. The enhanced focus on rural development could also attend to problems that are related to South Africa's dual economy, with a small, high-skilled, high-productivity economy on the one side and a large, low-skilled, low-productivity economy on the other (Park, 2019).

Incentivising growth through diversity as the third category element of the South Korea's development model, offers enticements for economic achievers. Such enticements fostered business and government cooperation to transform the economy (Park, 2019). In this regard, South Africa can learn various lessons since the country is faced with severe imbalances and deep-rooted historical disparities. Observers such as Aron and Ajam (2007:745) therefore propose that, similar to the South Korean experience, the country should develop a system of rewards or endorsements for organisations or individuals participating in development. Aron and Ajam (2007:745) caution, however, that issues such as incompetence and corruption in government and the private sector should be addressed since it may significantly influence positive outcomes expected from incentivising development excellence.

As far as enhancing coordination and implementation of development policies and plans are concerned, Park (2019) appeals to developing countries to enhance their capacities and capabilities for successful implementation. It is often argued that South Africa has some of the best policies, but the challenge remains the successful

implementation of these policies. South Korea successfully implemented seven consecutive five-year economic development plans between 1962 and 1996. A country like South Africa should thus consider the internal capacity and capabilities that South Korea developed to effectively implement these policies and plans.

The successes of the Korean e-government praxis are acknowledged in international e-government awards. Some of the initiatives that received UN public service awards are the Information Network Village (INVIL) project (2011) that was awarded with the first place in the category of fostering participation in public policy-making decisions and the 24-hour e-services for the public (Minwon24) that won the second place in the category of enhancing the delivery of public services. In addition, other e-government systems such as the “e-people” website for online participation of citizens, was nominated as one of the top 10 services for online politics by the World e-Government Forum. The outcomes of Korea’s e-government services are often selected as best practice and their merit is being acknowledged by other countries (Chung, 2015:107).

3.5.2 Case 2: Indonesia

Indonesia as a developing country can be regarded as a multifaceted nation with 17 508 islands, 583 different languages and dialects and 336 ethnic identities (Drakeley, 2005). Ananta *et al.* (2005:1) explain that Indonesia declared itself a full democracy in 1945 and is characterised by relative free and fair elections. As such, a country like South Africa can extract best practices from Indonesia since it is also characterised by a highly heterogeneous society and a relatively young democracy.

3.5.2.1 Development planning status

According to Tambunan (2012:224), during the so-called “New Order” era (1966-1998), Indonesia went through rapid economic development with annual growth rates between six and eight percent. The government largely succeeded to address chronic poverty through rural economic development programmes founded on modernisation (mainly in agriculture) and industrialisation. With this realisation, Indonesia is often regarded as an upcoming “Asian Tiger”, together with Malaysia and Thailand (Ananta *et al.*, 2005:2).

Directed by a five-year economic plan, known as *Repelita*, economic development primarily focused on industrial and agricultural advancement. *Repelita* comprised five

national development agendas, namely “economic development and increased welfare of the people (Agenda I), enhancement of good governance (Agenda II), strengthening of the pillars of democracy (Agenda III), enforcement of the law and eradication of corruption (Agenda IV), and development that is inclusive and just (Agenda V)” (Tambunan, 2012:213). These agendas propelled the country and it experienced swift structural changes from a mainly agriculture-based economy toward a broader industry-based economy. Coupled to this, the country launched the so-called “Green Revolution” that concentrated (and still does) on modernisation and intensification (Tambunan, 2012:213).

It should be noted that the processes associated with economic development in Indonesia has not been free from political turmoil and economic dynamics. As a result, the Indonesian economy experienced major economic crises (Tambunan, 2012:21). Although not beneficial for the country, other countries can learn lessons from the political and economic upheavals and put systems and processes in place to curb similar dynamics.

3.5.2.2 Community participation practices

Community participation practices that countries like South Africa can mirror from Indonesia can be categorised into inclusive development strategies, accomplishing long-term planning goals, and decentralised government planning.

As far as inclusive development strategies are concerned, Rauniyar and Kanbur (2009) content that notions of inclusivity emerged after the introduction of the former Millennium Development Goals (MDGs). Indonesia established mechanisms to foster inclusivity during its reform era (*reformasi*) whereby government’s attention has shifted towards community-based development (Drakeley, 2005). Rauniyar and Kanbur (2009) assert that inclusive development entails that all members of society participate equally in development efforts. To succeed in this, Tambunan (2012:230) maintains that key issues such as poverty, cooperation, and networking are essential success factors.

Accomplishing long-term planning goals, as the second category, entails putting adequate support and capacity-building mechanisms in place to successfully convert long-term goals into operational development programmes and projects (Roemer,

1986). In this regard, the government of Indonesia launched the Development Mission in 2010 to operationalise the country's longer term planning goals. The Development Mission is primarily directed at attaining a more "prosperous, protected, and democratic" country and identified a number of development imperatives in this regard (Tambunan, 2012:230).

As far as the utilisation of ICT is concerned, the government of Indonesia has been experiencing some problems in the implementation of e-government programmes. There is currently no dedicated e-participation system to promote citizen participation in development planning and also no system to assist government decision makers in obtaining citizen input (Setyono *et al.*, 2019:288-293).

Development in Indonesia is primarily based on decentralised government development planning (Ananta *et al.*, 2005:1). Decentralised government planning generally empowers communities to participate more directly in governance activities and enables marginalised communities, formerly excluded from decision-making processes, to actively engage decision makers. Decentralised development planning generally changes the attitude of society to become more actively involved in defining development needs, concerns and priorities (Umanillo *et al.*, 2019:1883).

3.5.3 Case 3: France

As a developed nation, France serves as an excellent case to investigate the emergence of democratic practice in the affairs of government. The country faced serious turmoil during the French Revolution and gave rise to the core tenets of modern democracies and basic human rights. According to Gardesse and Zetlaoui-Léger (2016), public participation especially came to the fore in the French urban planning landscape during the 1960s when residents protested against centralised development planning. The institutionalisation of local participation in French development programmes can be perceived as a response to what Müller (as cited in Gardesse & Zetlaoui-Léger, 2016) refers to as the "crisis in the French public policy model". The broader ideological assumptions on which public policy were modelled saw rapid transformation due to changing attitudes of government officials and development agencies regarding the importance of local participation in urban planning. It should, however, also be acknowledged that pressure in favour of greater

community participation came from external sources such as the growing apprehension about the nature of sustainable community development in the international community. This ultimately culminated in the International Conference on Environment and Development in Rio in 1992 (Bourdin *et al.*, 2006).

3.5.3.1 Development planning status

According to Foucault (1979), planning in France has constantly been a centralised state affair. A territorial administration originated in the 17th century to execute the rational organisation of space in centralised infrastructure as the foundation of the new-born nation state. In the late 20th century, regardless of a shift towards decentralisation that perceived private actors occupying a central role in urban planning, things stayed fundamentally unchanged. This hierarchical system persists to deeply structure the mechanisms governing urban development regardless of the changing “rules of the urban game” (Bourdin *et al.*, 2006). The changes occurring encompassed the following: The need for better horizontal cooperation between all actors, the significance of public-private partnerships in project organisation, and the compulsory advancement of the principle of citizen participation in metropolitan design and infrastructure projects. Another significant change is the new role rendered to residents during specific phases of the urban planning process and political forms emerging in which citizen participation is integrated into public action in the sphere of urban development (Gardesse & Zetlaoui-Léger, 2016:1).

3.5.3.2 Community participation practices

Up until the 2000s the participation of communities in development planning in France, was characterised by “bottom-up urban struggles” and “a sequence of regulatory and administrative requirements that aimed to postulate a framework for citizen participation but resulted in circumscribing it” (Gardesse & Zetlaoui-Léger, 2016:3).

European directives combining sustainable development and citizen participation have strengthened regulations on participation in urban development. In this regard, France promulgated incentive-based legislation to promote urban planning by fostering community involvement in every stage of the design of development projects that affects their living environment. The legislative framework in combination with the establishment of local democratic structures as well as intervention mechanisms

between government and civil society significantly promoted a community-based approach to development planning (Gardesse & Zetlaoui-Léger, 2016:3).

Secondly, Gardesse and Zetlaoui-Léger (2016:9) claim that the regulatory framework in France established over the last three decades was primarily designed to resolve conflict with civil society regarding development needs and priorities. The prevention and resolution of conflict, as second characteristic of community participation practices, was especially deemed important to decrease the likelihood of communities blocking certain development projects. French government officials generally acknowledge that while conflict might be an expected outcome of diverse interest group deliberations and engagement, it can be overcome by a well-designed framework for collaboration and cooperation. Such a framework was subsequently designed and adds significant value in the areas of natural habitat, transport and social development programmes.

A third practice that characterises French community participation praxis is what Gardesse and Grudet (2015) revealed as early involvement of communities in development planning exercises. The authors maintain that the benefits of community planning tools have been acknowledged by government officials and urban planning professionals. Early involvement of communities in urban development projects generally ensure a more transparent, legitimate and appropriate response to their development needs and priorities. Early involvement further ensures that initial community concerns do not derail development projects by obstructive behaviour and protests. Instead, early involvement typically leads to constructive proposals to government and development agencies how to address local conditions and respond to unique community development concerns.

A fourth characteristic of French community participation practices is the long-term engagement of communities in development programmes. The French experience has shown that participative processes are challenging to maintain in the absence of committed communities. Communities should remain active participants with local government, urban planners and private developers in the improvement of their well-being and overall prosperity. The success of long-term participation, however, also depends on political commitment to community collaboration, the required resources to support development initiatives, and the willingness of developers and contractors

to cooperate with community representatives on development issues. It also requires dedicated public officials who are competent and equipped to address community concerns and issues (Gardesse & Grudet, 2015).

According to Gardesse and Zetlaoui-Léger (2016:2), the notion “common good” and *capacitation citoyenne* (the French term for empowerment) only appeared prominently in urban planning practices since 2000. This is mainly due to the efforts of citizen participation activists who advocated for community-development practices to be more aligned with international best practice. A fifth characteristic of community development in France is the remodelling of practices in favour of expectations concerning community participation. It is increasingly expected that public officials and developers work closely with residents to guarantee the suitability, relevance and viability of their projects. Community input is regarded as vital, especially given the acknowledged benefit of empowerment and the *bien commun territorial* (common territorial good) (Gardesse & Zetlaoui-Léger, 2016:2).

The significance of the deployment of e-government in France is to provide e-services to the public and business through the support of the internet. An example of this is “Internet Cities”, a network of elected officials, local civil servants and voluntary stakeholders, intended at supporting the sharing of experiences and best practice for internet-based services in local government (Nixon & Koutrakou, 2007:75). A further example is the “Internet Citizen” that offers a geolocation mapping portal that lists and presents the services offered by local authorities (Nixon & Koutrakou, 2007:75).

3.5.4 Case 4: Rwanda

Since the 1994 genocide, the government of Rwanda has closely safeguarded its political stability. This was mainly done by promoting economic growth to improve people’s standards of living. This, for example, led to a two-thirds decline in child mortality and near-universal primary school admission (World Bank, 2021). Rwanda now aims to reach Middle Income Country status by 2035 and High-Income Country status by 2050. This objective will be operationalised by means of a succession of seven-year National Strategies for Transformation (NST1), supported by detailed sectoral strategies that are directed towards achievement of the Sustainable Development Goals. A sound focus on local policies and initiatives has added to major

improvement in access to services and human development indicators (World Bank, 2021). As such, the country serves as valuable comparative case to gauge community participation practices in South Africa.

3.5.4.1 Development planning status

In Rwanda, participatory planning commenced in 1999 and was pursued by an effort to find mutual ground between the government's vision and the apprehensions of the population under a model of consultation (Bugingo, 2002). As stated, the country can be regarded as one of the success stories as far as socio-economic development on the African continent is concerned. During the last two decades the nation made significant progress as far as infrastructure development, community-based development and social empowerment are concerned. Modern planning theories and principles are applied, and it is indisputable that government fully recognises the value of community participation in development processes. Government acts as facilitator to guide society towards certain objectives based on perceived apex priorities.

In realising its vision for development, Rwanda designed its Rwanda Vision 2020 planning document in 2000 (Kaberuka, 2000). This vision set out to strategically position the country within the global economy and to fulfil a developmental role in a geo-political context. In response to this challenge and to put the country on a path of sustainable development, Rwanda Vision 2020 is the official pro-poor strategic document that focuses government's attention on key challenges. Some of these challenges, according to Kaberuka (2000), which require a dedicated strategic, tactical and operational planning response, include the following:

- Rapid population growth
- Economic growth and transforming Rwanda's economy from an agrarian, subsistence agriculture economy to a knowledge-based economy
- Reducing the country's dependence on external aid
- Uniting the country into a modern and strong nation and establish social cohesion
- Fostering political stability
- Reducing poverty

Rwanda Vision 2020 was replaced by Rwanda Vision 2050 that sets a new development pathway towards prosperity.

3.5.4.2 Community participation practices

The colonial history of Rwanda left its administration with a highly centralised system characterised by top-down development planning practices. Citizens were largely deprived of any role in decisions that directly affected them. This system caused significant inefficiencies in services and created a passive attitude to civic responsibilities among citizens.

The social, economic and political impacts of the 1994 genocide and the inappropriate nature of the public governing structures have led the Rwandan government to embark on a new direction for managing public affairs. It is in that context that the National Decentralisation Policy, officially adopted in 2000, set out a new course in which citizens, through elected organs at the local level, gain access to decisions that affect their lives and participate in civic affairs.

Hasselskog and Schierenbeck (2015) postulate that the National Decentralisation Policy was approved in 2001 as a mechanism to achieve good governance principles (through improved participation, promotion of transparency and accountability, and setting up responsive decentralised structures), enhance local economic development (through efficiency and effectiveness in implementation of development programmes) and bringing quality and accessible services closer to the citizens. Rwanda's decentralisation policy has five specific objectives (Ministry of Local Government of Rwanda, 2009):

- To enable and reactivate local peoples' participation in initiating, making, implementing and monitoring decisions and plans that concern them.
- To strengthen accountability and transparency in Rwanda by making local leaders directly accountable to the communities.
- To enhance the sensitivity and responsiveness of public administration to the local environment by placing the planning, financing, management and control of service provision at the point where services are provided.
- To develop sustainable capacity for economic planning and management at local levels.

- To enhance effectiveness and efficiency in the planning, monitoring and delivery of services.

Since its inception, the policy is being implemented by phases. From 2001 to 2005, a first phase was implemented, aiming at establishing democratically elected and community development structures at the local government. A second phase (2006 to 2010) was defined after a territorial restructuring in 2005, and aimed at consolidating progress on national priorities, such as Vision 2020, and deepen the decentralisation process by enhancing effectiveness in service delivery to communities. The second phase (2006 to 2010) was conceived after a territorial restructuring in 2005, which considerably reduced the number of administrative entities (from 11 to 4 provinces, 106 to 30 districts, 1 545 to 416 sectors, and 9 165 to 2 148 cells), and aimed at consolidating progress on national priorities, such as Vision 2020, and deepen the decentralisation process by enhancing effectiveness in service delivery to communities. The 2nd phase of decentralisation also focused on trying to build capacities (human and financial) at local levels, and to boost local development. This, however, has been rather piecemeal and a slow process. Enhanced upward accountability, particularly after introduction of the process of performance contracts “*Imihigo*”, has led to significant achievements in terms of governance, social and economic development, and has reinforced synergies, coordination and harmonisation of interventions in local government (Jain, 2011).

According to Ndahiriwe, (2021) the executive authority in Rwanda is largely decentralised in accordance with the Constitution (Article 167). Districts, municipalities, towns and the City of Kigali are decentralised entities with legal status and administrative and financial planning autonomy. Through collective and joint planning efforts these entities should promote social, economic and community development in their respective areas of jurisdiction. Provinces, for example, serve as a coordinating arm of the central government to ensure the efficiency and effectiveness in the central government’s planning, execution, and supervision of the decentralised services. As deconcentrated bodies, the provinces are not identified as local governments. The central government retains a strong degree of authority over the provinces and decision making is closely coordinated between both levels. The districts have their own elected councils and mayors and prepare their own budgets. This autonomy implies that districts have their own taxing powers, in addition to

receiving transfers from higher levels of government. The cells and sectors serve as constituencies within districts and hence provide an important vehicle for the citizens' voice (Ndahiriwe, 2021).

The districts were originally created as the focus of the decentralised delivery of services. The sector is the next level of administration where people participate through their elected representatives. Within the context of the ongoing local government reform, the government of Rwanda intends to provide this level with more fiscal and service-delivery responsibilities. Finally, the cell (*Akagali*) and village (*Umudugudu*) are the smallest political and administrative units of the country, village being the lowest level (Marcel & Nuwatuhaire, 2020:201). Their main responsibility is community mobilisation.

Rwanda, like most other developing countries, typically utilises traditional methods of citizen engagement such as official written letters. However, the Rwandan Parliament has a website and a Twitter account. The utilisation of these media is limited and there are no other broad-based e-government systems in place whereby citizens can engage with government decision makers (Kabalisa *et al.*, 2016:2-5). Rwanda has various mechanisms in place to encourage community participation in local decision making. Some of these mechanisms include, but are not limited to:

- Community assemblies (*Inteko z'Abaturage*) that convene monthly to discuss governance matters.
- Policies and programmes to resolve domestic disputes that may be present in the community. There are also local mediators (*Abunzi*) who convene to resolve disputes in the cells.
- The last Saturday of each month, citizens participate in community work known as *Umuganda* to develop their communities.
- The *Vision 2020 Umerenge Programme* (VUP) is part of Rwanda's poverty reduction strategy and a mechanism through which communities in targeted sectors can participate in public service.

Community assemblies at the village level originally established in 2010, respecting ministerial instruction and community work, are types of direct community participation. At cell, sector and district levels, community participation is structured

through indirect citizen participation procedures of elected local councils, known as “*Inama Njyanama*”, which also governs the organisation and operation of decentralised administrative entities. Through these councils, citizens take part in decision-making and policy-making processes at all local levels (Marcel & Nuwatuhaire, 2020:202).

3.5.5 Case 5: Botswana

Botswana obtained independence from the United Kingdom in 1966 and implemented a multiparty democracy. The country has effectively held free and fair elections successively every five years subsequent to their independence and is well placed to be a regional and international advocate of democracy on the continent. An established democracy and effective economic policies positioned Botswana favourably in regional context. Botswana also pioneered the establishment of the Southern African Development Community. As such, it serves as a valuable African case for purposes of comparative analyses.

3.5.5.1 Development planning status

The participatory character of development planning processes in Botswana is a rather disputed matter. While state publications and official records portray participation as an all-encompassing principle in development planning, scholars such as Tsie (1998), and Nthomang (2007) question the scope and quality of participatory practices in development initiatives. The National Development Plan of Botswana as cited in Molebatsi, (2013:9) argues that development as participatory in nature generally refer to local government structures that are “designed to facilitate people’s participation in development” which, it is further asserted, “reflects the long tradition of democratic consultation and devolved decision making.” In addition, Botswana’s *District Planning Handbook* as cited in Molebatsi (2013:9) affirms that one of the aims of community (district) development is to guarantee that people are involved in development and that sustainable development is achievable through participatory community-based planning. Participatory planning principles are also manifested in the country’s rural development strategy. This strategy, called the *Community-Based Rural Development Strategy* (CBRD), is considered as introducing “a more effective and sustainable approach to rural development by substantially increasing the role of community participation and community leadership structure in identifying their own action plans”

and it describes participation as “involvement of communities and individuals in the various stages of development activities...” (Molebatsi, 2013:9). Another official document that upholds the significance of public participation in development planning is the *Physical Planning Handbook* that recommends a template for participatory plan making (Molebatsi, 2013:9).

Criticisers of the development planning process in Botswana oppose that, despite widespread advocacy of public participation, Botswana’s planning system continues to be centralised and fundamentally non-participatory in nature. In this regard, authors such as Tsie (1998:9) defines policy formulation and implementation in Botswana as “technocratic, permitting hardly any participation by citizens”. Also, Nthomang (2007:188) analysed cases in which especially the San community criticised government planners for the lack of consultation in the preparation and implementation of programmes and projects directly influencing them.

3.5.5.2 Community participation practices

Botswana’s planning system has primarily been based on the principle of community-based, bottom-up planning (Mogae, 1996:3). Local authorities have the responsibility to develop grassroots planning praxis and to make it even more efficient and participatory in nature.

The first distinct feature of community participation practices in Botswana is the *kgotla*, which is a Tswana tradition of consultation and engagement. A *kgotla* can be regarded as a forum where problems concerning the community are openly deliberated (Odell, 1985:62). Every village dweller is required to attend *kgotla* meetings and all members of the community are encouraged to speak without any restrictions (Phirinyane, 2016:6). The *kgotla* is still recognised as the official consultation and development forum of villages and has relative high levels of legitimacy among community members. Resolutions of the *kgotla* are regarded as binding on all members of the community (Good, 1992:70). In modern-day Botswana, ministers and public officials continue to hold *kgotla* meetings to consult citizens on matters of public policy and public affairs in general, but these meetings are integrated with new forms of e-governance. This integrated approach sees the blending of traditional and modern elements (e.g. the use of ICTs) of governance (Phirinyane, 2016:6).

The second characteristic of community participation in Botswana is the use of radio phone-in programmes to promote engagement. According to Kaunda *et al.* (2008), organised civil society in Botswana has remained ineffectual. However, radio phone-in programmes aided citizen participation considerably. Government and privately-owned radio stations both have regular phone-in programmes whereby citizens can interact with policy makers and service providers (Phirinyane, 2016:7).

A third defining characteristic of community participation in Botswana is the comprehensive National e-Government Strategy of the country. This strategy depicts e-government as a significant tool for the socio-economic development of the country. It is directed at enhancing the public sector service quality, permitting citizens to access government information and services continuously, and for decreasing travel costs for citizens and queues at government offices. The strategy further enabled the establishment of the Government Gateway (web-based platform) through which public services, economic development and consultation are promoted (Phirinyane, 2016:9).

3.5.6 Key lessons learnt

For comparative analysis purposes, Table 3.1 depicts a synopsis of key lessons learnt from each of the countries outlined above regarding community participation in development planning, as well as best practices that can be extracted for consideration by countries such as South Africa. The content of this table acts as synopsis of the chapter and also serves as “gap” analysis to gauge the nature of community participation practices in South Africa. These gaps will be verified in the empirical survey (Chapter 5) and subsequently be absorbed in a proposed model for fostering public participation in integrated development planning in local government with particular reference to the case of the City of Matlosana (Chapter 6).

Table 3.1: Synopsis of key lessons and best practices extracted from selected countries

Country	Key lessons	Best practices
South Korea	Acceleration of rural development	<ul style="list-style-type: none"> • Follow a community-based, integrated rural development programme
	Empowerment of people	<ul style="list-style-type: none"> • Community empowerment
	Incentivising growth through diversity	<ul style="list-style-type: none"> • Develop a system of rewards for organisations or individuals
	Enhancing coordination and implementation of plans	<ul style="list-style-type: none"> • Community-focused mind set • Action-oriented community engagement
	E-participation	<ul style="list-style-type: none"> • Fostering participation in public policy-making decisions • Enhancing the delivery of public services • Website for online participation of citizens
Indonesia	Accomplishing long-term planning goals	<ul style="list-style-type: none"> • Ensure that the vision of the plan is accomplished through long-term strategic planning
	Decentralisation	<ul style="list-style-type: none"> • Community empowerment • Participation of marginalised groups and individuals
France	Involvement of residents in development planning	<ul style="list-style-type: none"> • Involvement in the design of development projects
	Conflict resolution	<ul style="list-style-type: none"> • Resolve conflicts with communities to prevent the blocking of projects
	Early involvement of community	<ul style="list-style-type: none"> • Effective community involvement at an early stage to ensure less opposition later in the planning process
	Long-term citizen participation	<ul style="list-style-type: none"> • Transform and jointly represent planning throughout all development phases

Country	Key lessons	Best practices
	E-participation	<ul style="list-style-type: none"> • Provide e-services to the public and business • Geolocation mapping portal presents services offered by local actors
Rwanda	Planning and management of development activities	<ul style="list-style-type: none"> • Community involvement in all stages of the planning process
	Mechanisms for enhancing community participation	<ul style="list-style-type: none"> • Direct and indirect participation to enhancing community participation • Community assemblies (<i>Inteko z'Abaturage</i>) • Local mediators (<i>Abunzi</i>) • Citizens participate in community work known as <i>Umuganda</i> to develop their communities. • Vision 2020 <i>Umerenge</i> Programme (VUP) as mechanism through which communities in targeted sectors can participate in public service.
Botswana	<i>Kgotla</i> meetings	<ul style="list-style-type: none"> • Community involvement for all members
	Radio phone-in programmes	<ul style="list-style-type: none"> • Direct interaction with policy-makers • Engagement with external service providers
	The National e-government strategy	<ul style="list-style-type: none"> • Accessible government information • Sharing of development-related information • Utilise indigenous knowledge systems

Source: Researcher's own

3.6 CONCLUSION

The purpose of this chapter was to provide a detailed analysis of the meta-perspectives as well as theoretical and contextual foundations of development planning. The analysis focused on the prevailing paradigmatic thought of the developmental role of government and how it changed over the ages. Emphasis was placed on the development aspect to contextualise the origin and nature of current government planning interventions in development. An analysis of scholarly paradigms to assess the nature and scope of development was furthermore presented. The chapter also established how the development planning role of government has developed through time leading to existing planning frameworks. In this regard, a contextual study of planning frameworks at international, continental and national level was conducted. Finally, the chapter ascertained the significance of public participation and civil society engagement in development planning in selected developed and developing countries. This international perspective is important to extract best practice and explore lessons learnt from both developing and developed contexts.

The next chapter will focus on the theoretical analysis of the effectiveness in planning and functioning of Integrated Development Plans (IDPs) in South African developmental local governments and the factors influencing the effectiveness in planning and implementation of IDPs.

CHAPTER 4

INTEGRATED DEVELOPMENT PLANNING IN SOUTH AFRICA

4.1 INTRODUCTION

As reflected in Chapter 2, the legacy of apartheid produced historical challenges in South Africa. These historical challenges especially were spatial disintegration, unequal distribution of resources, and expanding backlogs on service delivery. Traditionally, local government was mandated to implement development plans that were created by provincial and national government. After the 1994 democratic transition, an urgent need developed for the fundamental transformation of local authority. Local government became a vital role-player in South Africa's development as a result of the transformation process that followed.

According to Harrison (2008), the notion of IDP was first introduced in South Africa during 1996 when the national government altered its focus from national and provincial reconstruction to the instituting of a new system of local government throughout the country. The rationale of introducing IDP in the country was mainly to furnish newly established local authorities with a generic planning tool to enhance their performance in coordinated, strategic, developmentally- and fiscally responsible manner.

The core focus of this chapter is an analysis of the adoption and application of integrated development planning praxis in South Africa's local sphere of government. This adoption and application are formalised through the design and implementation of integrated development plans (IDPs) in municipalities. The chapter intends to explore the implementation framework and factors influencing the effectiveness of the design and execution of IDPs with the purpose to locate the significance of public participation within the process. The chapter begins with the development of IDPs and describes the legal and administrative framework governing their use in local government. This is followed by an exposition of IDP methodology and the operationalisation of the IDPs by means of its generic cycle. The interrelationship between public participation and the IDP is highlighted by an in-depth investigation into the structures and mechanisms for public participation during the IDP cycle. The chapter concludes by reflecting on how a public participation deficit may negatively impact on the success of the entire IDP process.

4.2 ORIGINS OF INTEGRATED DEVELOPMENT PLANNING

As was established in Chapter 2, the evolution of the notion of development planning can be traced to the late eighties. Since then, government agencies in various parts of the world have been outlining and using various planning techniques to realise their developmental mandate and obligations. As a result, several types of development planning approaches and models emerged. These approaches and models differ based on the particular socio-economic conditions of a country and the policy and strategic frameworks that govern the application thereof.

South Africa adopted a formalised multidimensional and integrated approach to development planning and is regarded as an important planning tool for local, district and metropolitan municipalities to realise their developmental mandate. It is a statutory requirement that municipalities in South Africa must adopt and practice integrated development planning processes and work in close collaboration with other organs of state (South Africa, 2000). The following section aims to trace the chronicles of the adoption and application of IDP praxis in South Africa.

4.2.1 Tracing the chronicles of IDP in South Africa

In Chapter 3, the chronicles of development were traced to make sense of current development planning imperatives of government. This analysis included classical, new-classical and contemporary thought as well as an assessment of the influence of political ideologies on the dominant opinion of the role of government in development in particular contexts. Ideological perspectives assisted to ascertain the nature of the dominant development paradigm currently in South African local government as the locus of this study. In this Chapter, the focus will intensify to trace the chronicles of Integrated Development Planning (IDP) in the South African context.

When municipal planning was introduced in South Africa in the 1930s, local sphere planning was generally executed on “a racially-segregated basis and within a top-down apartheid superstructure” (Department of Provincial and Local Government, 2000b:12). Scholars such as Gumede (2009) and Hofisi (2014) maintain that municipal planning in the past was mainly directed by modernisation, underdevelopment and dependency theories. Conventional development planning, however, encouraged centralised government planning with inadequate local

implementation modalities. The decision-making authority was seldom delegated to local authorities which led to the marginalisation and exclusion of civil society. Fortunately, the system of governance has evolved to accommodate a more decentralised and co-operative model. In this regard, Fitzgerald *et al.* (1997) and Gumede (2009) argue that between the 1990 and 1994 elections, a distinctive viewpoint about the post-apartheid development route was perceived. In the transitional phase from the early 1990s, the concept of integrated development planning began to develop. This developing concept of integrated development planning was rooted in traditions within more contemporary planning theory and in the New Public Management paradigm (Department of Provincial and Local Government, 2000b:13). Development planning thus became more decentralised and gained a local democracy focus. The 1992 publication of *The ANC Policy Guidelines for a Democratic South Africa* embodied these qualities in a new method of planning. According to this document, municipal planning must adhere to the following (African National Congress, 1992:3):

- Warrant maximum involvement of all communities and stakeholders.
- Be focused on those in greatest need.
- Attempt to overcome apartheid privilege, institutional structures and characteristics.
- Aspire to ensure integrated and sustainable development.
- Be directed at service delivery.

This document is commonly regarded as the primary development-oriented policy of the ANC. The ANC-led alliance pronounced its unanimity on the “ideal” development path for the country by means of the Reconstruction and Development Programme (RDP) of 1994.

According to Fitzgerald *et al.* (cited by Motingoe, 2011), the RDP proposed an “integrated” strategy to solve South Africa’s development needs. Robinson and White (1998:316) believe that the RDP was not a comprehensive operational plan with objectives, implementation modalities and costing structures. It was rather “a declaration of a vision, in which development implied, first and foremost, the fulfilment of basic needs” (Robinson & White, 1998:316). In support, Human (2007:2) argues that the former Department of Provincial and Local Government saw the

implementation of the integrated development planning process and the reform of local government as a way to encourage more inclusive planning in municipalities. Such inclusive community-based planning was thus regarded as a key instrument to promote the developmental mandate of municipalities.

Van der Waldt *et al.* (2007:52) emphasise the necessity for municipalities to collaborate with local communities in order to identify more sustainable means of meeting their needs and improving the quality of their lives. In this respect, integrated development plans embody a broadening of scope and a more inclusive approach to local planning. This shift is characterised by the movement from the conventional “master planning” tradition of control and forecasting to a more multidimensional, strategic planning approach in response to local development concerns (Odendaal, 2007:68). This more inclusive approach to development planning led to the broader conceptualisation of integrated development planning by the Forum for Effective Planning and Development (1995:194) as a “participatory approach to integrated economic, sectoral, spatial, social, institutional, environmental and the fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and the marginalised”. This definition comprises key elements of local development, namely “participation” and “integration”. It can thus be argued that both community participation and the integration of key developmental domains are essential elements in decision-making processes involving socio-economic development. It can also be argued that the inclusive nature of integrated development plans generally improves community ownership of developmental priorities and interventions. Hence, meaningful participation of communities should be promoted in all phases of municipal IDPs. In this regard, Madzivhandila and Asha (2012) contend that communities should especially participate in the identification and prioritisation of development needs, the design of initiatives (e.g. projects) to address these needs, as well as in the monitoring and evaluation of these initiatives. As focus of this study, it is evident that local development planning should be conducted in an integrated and inclusive manner.

4.2.2 National, provincial and local development planning alignment

As alluded to earlier, the integrated nature of development planning intends to align the interests of all stakeholders that have substantial influence upon the outcome of a particular developmental goal. It is rooted in a multi-dimensional context characterised by planning processes in local, provincial, national and even international spheres, and involves the following dimensions (University of Johannesburg, 2018:15):

- The inter-jurisdictional dimension entailing the alignment of planning by all stakeholders whose decision mandates and authority influence the result in any significant way.
- The inter-disciplinary dimension involving the integration of perspectives of diverse professional disciplines on societal problems and challenges.
- The sustainability dimension involving the stabilising of economic, social and environmental factors in search of a sustainably planned future.

In accordance with Van der Waldt *et al.* (2007:175), integrated development planning is multifaceted and requires the close collaboration of stakeholders and the effective alignment of planning in all spheres of government. Such alignment should be fostered by means of a national planning framework. In the case of South Africa, the National Planning Framework intends to accommodate these dimensions by incorporating and aligning all planning dimensions. The National Planning Framework (NPF) is a product of the National Planning Commission in the Presidency. Cabinet approved the NPF in 2001 to guarantee integrated planning and more effective implementation. It has manifested in a malfunction between local sphere planning and sectoral departments at national and provincial level, consequently having a direct impact on local communities. It outlines cycles of policy strategising, budgeting, monitoring and evaluation, development of programmes and public announcement of programmes (University of Johannesburg, 2018:20). The obligation of the NPF is to address deficits in the former national planning framework by addressing the following (University of Johannesburg, 2018:21):

- An agreed vision about the country's direction and an ideal objective or "end state", with mechanisms to ensure the country stays on track.

- The tendency towards voluntarism and “short-termism” that has marked activities of government, state entities, the business community and civil society.
- The lack of coherence in the various strategies and plans, frameworks, perspectives and white papers that need to speak to one another and that should be informed by a central national strategic development plan.
- Serious challenges in intergovernmental co-ordination that should be prioritised in systems of accountability.
- The need for an agency that can authoritatively and forcefully drive planning, monitoring and evaluation and institutional improvements.
- Clear mechanisms for weighing options and making hard choices where policies are contested and fiscal limitations exist.

In addition to the NPF, the role of the National Planning Commission is to promote unity and to aid closer planning alignment between the different spheres within the framework of cooperative governance and sound intergovernmental relations. In this regard, the National Planning Commission in the Presidency established the National Development Plan: Vision 2030 (NDP). The NDP is regarded as the *de facto* overarching development planning framework for the country. Alignment and coordination between all spheres, tiers and levels of government is essential to maintain the notion of “integrated” development planning. The Minister for Performance Monitoring and Evaluation is responsible to monitor the implementation of different development plans by means of sectoral programmes executed in the respective sectoral departments.

According to Van der Waldt (2019:6), Chapter 13 of the NDP entitled “Building a Capable State” has particular significance for municipalities as the decentralised agencies of the state to operationalise development plans. Municipalities are responsible for the localisation of national development plans by incorporating it in their IDPs, inclusive of spatial planning, infrastructure development and the provisioning of basic services. This role is complicated by the fact that IDPs must also reflect local needs and priorities. IDPs should thus be characterised by both top-down (i.e. national and provincial planning) as well as bottom-up, grassroots planning.

As far as top-down planning alignment with national and provincial development plans is concerned, each year in February, the President of South Africa delivers his State of the Nation Address (SONA) to explain the government's vision for the subsequent financial year. Based on the SONA, the Government's Programme of Action (GPoA) is established to determine the so-called "apex" priorities for the year. The Minister of Finance must then add a cost structure to these priorities which is eventually formalised in national budget and the Budget Speech. It is then the task of the respective clusters of cabinet to hold strategic planning sessions (*Lekgotla*) to determine the nature, scope and implementation responsibilities of identified development priorities (University of Johannesburg, 2018:19). Both the Medium-Term Strategic Framework (MTSF) and the Medium-Term Expenditure Framework (MTEF) afford a further framework for the planning and execution of development programmes and projects within sectoral departments.

The alignment of provincial development planning and municipal IDPs commences with the respective State of Province Addresses (SOPA) shortly after the annual SONA. In the SOPA the respective premiers must outline their development vision and priorities for the province. As provincial equivalent of the national GPoA, the Provincial Growth and Development Strategies (PGDS) are derived from the SOPA and serve as broad strategic framework within which all metropolitan, district and local municipalities must design their respective IDPs. The MEC (Member of Executive Committee) responsible for local government must ensure that there is sufficient alignment between the respective IDPs of municipalities and the respective Provincial Growth and Development Strategies (University of Johannesburg, 2018:19).

A significant component of the PGDS is the Spatial Development Framework. This Framework intends to operationalise the stipulations of the initial Development Facilitation Act 67 of 1995 and the Spatial Planning and Land Use Management Act 16 of 2013 and offers a spatial context for provincial and municipal development objectives. In this regard, Van der Waldt (2019:6) argues that municipal development planners should consider the spatial realities in their areas of jurisdiction by concentrating on new urban development, development of infrastructure, residential areas and economic growth points.

For planning to be truly integrated, it must be integrated in both the vertical dimension across the various branches of government (national, provincial and local) and across jurisdictions in the horizontal dimension. From grassroots, bottom-up vantage point, municipal IDPs need to be aligned with district municipalities which should in turn align with provincial plans. District municipalities have definite responsibilities with regard to co-ordination and alignment, and also to the distribution of basic planning information to warrant the orientation of local municipalities' IDPs. Horizontal co-operation within the local government sphere amongst neighbouring municipalities and in particular between municipalities whose activities are interdependent is essential (Sarker, 2006; Rydin, 2012; University of Johannesburg, 2018). The IDPs can thus be regarded as strategic planning frameworks within municipalities realising their developmental mandate in close consultation with local communities. This framework also serves as a means to integrate municipal development plans with provincial and national plans as well as broader international development frameworks. The IDP and the local economic development (LED) plan have to be aligned, giving added impetus to the design of a top-layer Service Delivery and Budget Implementation Plan (SDBIP). This more detailed operational plan is the underpinning for community-based planning to guide municipal-development projects (Van der Waldt, 2019:6).

4.2.3 Alignment of sector plans with the IDP

As a multi-sectoral framework, the IDP necessitates input from various stakeholders representing multiple sectors throughout its design and implementation processes. Intrinsicly, the IDP is the outcome of a comprehensive participatory planning process where different sector plans are synthesised.

Local economic development (LED), spatial development, and financial sector plans must be included in the IDP in accordance with Section 26 of the Municipal Systems Act 32 of 2000 (as amended). Additionally, performance management system (PMS) plans are mandated by Section 41 of the Municipal Systems Act 32 of 2000, and water services development plans are required by Section 12 of the Water Services Act 108 of 1997 (as amended). Additionally, in accordance with Section 11(4)(a)(ii) of the National Environmental Management Act 107 of 1998

(NEMA) and the National Environmental Management Waste Act 59 of 2008, the IDP must be in line with integrated waste management plans. In accordance with Section 53 of the Disaster Management Act 53 of 2005 regulations, it is also anticipated that disaster management plans will be integrated with the IDP. According to Section 36 of the National Land Transport Act 5 of 2009, Section 9 of the Housing Act 107 of 1997, and the White Paper on the Energy Policy of the Republic of SA (1998), respectively, integrated transport plans, housing strategic plans, and electricity service delivery plans are additional requirements.

Supplementary plans to take into consideration in the design and execution of municipal IDPs are the National Development Plan (NDP), the Urban Development Framework (UDF), and the Rural Development Framework (RDF). As indicated above, the NDP provides a long-term development perspective, outlining a desired outcome and differentiating between the tasks of various societal sectors. The Urban Development Framework (UDF) and the Rural Development Framework (RDF) must be supported by IDPs. The Urban Development Framework pursues growth and job creation while the Rural Development Framework (RDF) affirms a poverty alleviation focus. It outlines the responsibilities of government to work in close collaboration with rural communities in an attempt to stimulate economic activity and promote job creation.

It is evident that IDPs are truly integrated in nature through the alignment of a wide range of sectoral plans. The vertical and horizontal alignment of national, provincial and local development plans further leads to the multidimensional nature of the design and execution of municipal IDPs. IDP decision makers thus have to ensure that the development plans are adequately aligned with national planning imperatives, that it truly reflects the needs and desires of local communities, and that it addresses the sector-specific planning requirements. An additional element to consider is the particular stipulations of various statutory and regulatory frameworks governing the design and implementation of IDPs. This aspect will receive attention in the next section.

4.3 STATUTORY AND REGULATORY FRAMEWORKS GOVERNING THE DESIGN AND IMPLEMENTATION OF THE IDP

Municipalities are guided by legislation and must act within the precincts of it to provide basic services and perform their administrative obligations in an efficient and structured manner. These obligations include the responsibility to continuously involve communities in their decisions and to disseminate municipal information in a transparent and open manner. Various legislation (Acts of Parliament constituting the statutory framework) outlines these obligations of municipalities. Some of the most significant legislation is analysed in chronological order below. Focus is particularly placed on the obligations of municipalities to involve communities in the design and implementation of IDPs.

4.3.1 Local Government Transition Act 209 of 1993 (LGTA)

The Local Government Transition Act (LGTA) 209 of 1993 (as repealed by the Local Government Laws Amendment Act 19 of 2008) was the first piece of legislation that was promulgated to make provisions for the restructuring of local government (South Africa, 1993). Part IV of the Act made provision for abolishing racially-based local authorities in urban areas and replacing them with non-racial Transitional Local Councils. In the interest of effecting transformation to local government, some of the provisions made by the Act comprise of the “establishment of forums for negotiating such restructuring of local government” and the “establishment of appointed transitional councils in the pre-interim phase” (South Africa, 1993). The LGTA proposed that membership in the forum must uphold “the principle of inclusivity and representativity”. Schedule 1 of the Act necessitated representation from main community sectors in the negotiating forums. It advises that members of institutions such as the local chamber of commerce and industry may request observer status in these forums.

4.3.2 Development Facilitation Act 67 of 1995

One of the goals of the Development Facilitation Act, as outlined in Section 3, is to establish “general principles governing land development throughout the Republic”. Section 3(d) encourages participation of “all sectors of the economy (government and non-government) to land development so as to maximise the Republic’s capacity to

undertake land development”. This Act not only obligates the participation and involvement of “members of communities affected by land development”, but furthermore promotes capacity building for the “underprivileged members” of the community that are influenced by land development (Section 3(d) and (e)). To permit public participation by those concerned, Section 3(1)(g) of the Act compels access to procedures by communities that may be affected by the development of land. This section (3) also requires that these procedures must be distinct and should present information to those people influenced by land development.

4.3.3 The Constitution of the Republic of South Africa, 1996

Although the Constitution of 1996 in terms of the Citation of Constitutional Laws Act 5 of 2005 is not an Act of Parliament, it is the highest authority in the country and serves as overarching framework for all legislation. In terms of Section 153 of the Constitution, municipalities are assigned with major developmental responsibilities to warrant the improvement of the standard of living of its residents.

The provision of fundamental services like the creation of jobs, and the abolition of poverty fall under the accountability of local government. According to the Constitution, municipalities are given two different types of development responsibilities. First and foremost, they must organise and manage their administration, budget, and strategise in a way that prioritises the fundamental needs of the communities, and support the socio-economic development of those communities. Second, under the spirit of cooperative governance, municipalities are expected to participate in both national and provincial development programmes (Ismail & Mphaisha cited in Venter, 2007).

As far as community participation is concerned, Section 152 of the Constitution insists that the fundamental aim of local government is to foster the involvement of communities in the matters of municipalities. This obligation goes beyond the mere consultation of communities but should entail true participation in local decisions. In this regard, Mogale (2005:136) suggests that this mandate entails a “cooperative approach and effective partnership” whereby municipalities have to provide effective leadership.

One of the democratic objectives and principles incorporated, according to Section 195(1)(c) of the Constitution, is that public administration must be development oriented. In accordance with Section 156(2) of the Constitution, each municipal council is also permitted to “create and administer by-laws for the administration of the affairs, which it has the right to administer” (i.e. matters listed in Part B of Schedule 4 [functions of concurrent national and provincial legislative competence] and Part B of Schedule 5 [functions of exclusive provincial legislative competence] of the Constitution). These principles guarantee that municipal officials aid community participation as an important democratic right of citizens to be part of decisions and activities that affect their lives. Hence, local government has to warrant effective engagement of the community in the IDP process.

4.3.4 The White Paper on Local Government, 1998

The White Paper on Local Government, 1998 asserts that municipalities must encourage active community participation in both the planning and implementation phases of municipal policies as part of the regulatory framework for local government. One of the requirements for a municipality is that it “constitute and manage its administration, budgeting and planning course of action to give primacy to the basic needs of the community, and to foster the social and economic growth of the community” (South Africa, 1998:19). IDPs serve as instruments to provide services in an integrated and coordinated manner.

The prerequisite for municipal councils to become more inclusive and developmental in focus is the White Paper’s main focus. Municipal councils, by means of their ward councillors are obligated to jointly work with communities to identify their development needs and priorities and then to be responsive to it. Thus, community participation in municipal matters should be fostered to ensure that the principles and characteristics of developmental local government are operationalised.

4.3.5 Local Government: Municipal Structures Act 117 of 1998

The Local Government: Municipal Structures Act (MSTA) 117 of 1998 accentuates the significance of community participation by declaring that the duties of municipal executive committees are to promote local democracy by enhancing community involvement in municipal affairs. In terms of Section 19 of the MSTA,

municipalities are compelled to make every effort to achieve the objectives set out in Section 152 of the Constitution. In terms of Section 73 of the MSTA the establishment of ward committees is obligatory as one of the central mechanisms to enhance participatory democracy in local government. In addition, Section 16(4) of the Act stipulates that local communities must be involved in the functioning of the municipality, including the design of the IDP, the municipal budget, the identification of service delivery projects, and the monitoring and evaluation of all its initiatives.

4.3.6 Local Government: Municipal Systems Act 32 of 2000

The objectives of the Local Government: Municipal Systems Act (MSA) are to present the core principles, mechanisms and processes that are required to enable municipalities to move increasingly towards the social and economic upliftment of local communities. The act encourages councillors, officials of the municipality and the community to establish a close partnership relationship and to utilise all available avenues to jointly participate in local decision making. In terms of Section 29 of the MSA, municipalities must seek ways in which they can continuously consult communities on their needs and aspirations.

Municipalities must also adopt a “single, inclusive strategic plan” for the development of the municipality and its community in accordance with Section 25(1) of the MSA. The “inclusive” nature of such a plan further underscores the need for engagement, consultation and active participation. Section 26(a)-(i) defines the core components of IDPs as framework for strategic plans. In Sections 27-34 of the act, the process to be followed for planning, developing, adopting, and reviewing IDPs is outlined. According to its depiction, the IDP is “a participatory planning process intended at integrating central strategies, to aid in the optimal allocation of scarce resources between sectors, NGOs, geographical areas, and throughout the population, in a way that promotes sustainable growth, parity, and the empowerment of the poor and marginalized” (Naude & Van Rensburg, 2007:399). In this regard, Marais (2007:8) asserts that the MSA necessitates joint decision making and as a result the IDP process must actively involve communities and other key stakeholders. This requirement underscores the need for community empowerment and capacity building to meaningfully provide input

on matters concerning their general well-being and future prosperity. It also implies the need to allocate adequate municipal resources for community participation structures and mechanisms.

4.3.7 Local Government: Municipal Finance Management Act 56 of 2003 (MFMA)

To enable good and sustainable management of the financial affairs of municipalities and other organisations in the local sphere of government, the Local Government: Municipal Finance Management Act (MFMA) was promulgated. In order to improve municipalities' capability for service delivery, it aims to modernise budget and financial management procedures. The MFMA, Section 21 reflects a strong link between municipal budgeting and the IDP. Similar to the MSTA and the MSA, Section 2(7.2) of the MFMA stipulates that stakeholder involvement in the creation, development, and implementation of the IDP process should be significant. In addition, the MFMA encourages the participation of the public in sound financial practices in municipalities. In this regard, Khan *et al.* (2013) suggest that the MFMA serves as guiding instrument for municipalities to effectively consult communities on financial matters in general and the budget in particular. Also, Raga and Taylor (2005) reason that the MFMA accentuates the fundamental principles of local democracy, sound financial management, council accountability, and the responsiveness of municipal administrations to act in the best interest of communities.

4.3.8 Traditional Leadership and Governance Framework Amendment Act 41 of 2003

A significant portion of South Africa's population, according to Mojapelo (2007:48), lives in rural areas that are traditionally ruled by traditional leaders. Ensuring that these communities are adequately represented in municipal affairs, it is necessary to engage traditional leaders in local decision making. Such engagement is especially important during the formulation and implementation of the IDP since traditional leaders should act as representatives of local communities and adequately communicate their needs, priorities and concerns. Traditional leaders should also be afforded the opportunity to review municipal initiatives aimed at addressing developmental matters. In this regard, the Traditional Leadership and Governance Framework Amendment Act 41 of 2003 aims to promote effective contribution of traditional leadership in the preparation and

the execution of the IDP. In order to accomplish this, Section 4 of the TLGF Act provides for the creation of traditional councils that should “support municipalities in identifying community needs, facilitate the traditional community’s participation in the development or amendment of a municipality’s Integrated Development Plan (IDP), take part in the creation of local policy and legislation, and promote the principles of cooperative governance, integrated development planning, sustainable development and service delivery to advance indigenous knowledge system”.

4.3.9 Intergovernmental Relations Framework Act 13 of 2005 (IGR)

A support mechanism for the IDP process is provided by the Intergovernmental Relations Framework Act 13 of 2005, which also allows for all levels of government to perform their own planning with due consideration of municipal IDPs. The IDP Skills Programme Learner Guide (Department of Provincial and Local Government, 2006:33) states that municipal IDP implementation realisation depends on the competency and capacity, the investment of resources, and the financial expenditure of other spheres of government. IDPs should thus be supported by national grants, provincial resource allocations, monitoring and oversight. The act encourages co-operation between the various spheres of government through a system of assistance, sharing of information, communication and co-ordination of tasks. Therefore, ensuring coherence in government, effective service delivery and the accomplishment of national aims are the main goals.

This completes a concise summary of the legal and regulatory framework that regulates the creation and application of IDPs. The significance of inclusive design processes characterised by local democratic praxis, co-operation, partnership, trust and transparency were accentuated. It is fundamental that local government should act as an instrument for identification of local needs and the agents of the state to address local concerns, needs and aspirations. Furthermore, it is evident that a thorough policy framework is in place to address almost all issues associated with the creation of IDPs and the promotion of participation of communities in the process. In the next section, focus will shift to the nature and scope of municipal IDPs to particularly isolate the areas in which participation should be fostered.

4.4 NATURE AND SCOPE OF A MUNICIPAL IDP

It is clear from the previous section that municipalities must have the capacity to foster community participation through various IDP support structures. According to Binns and Nel (2002), municipalities should establish various mechanisms to engage stakeholders in compliance with its legislative obligations. In an endeavour to pinpoint particular participation focal points it is imperative to explore the nature and scope of a municipal IDP with particular reference to its purpose and rationale, the IDP phases, and its design and review processes. The nexus between the IDP and public participation will then be outlined.

4.4.1 Purpose and rationale for the IDP

Thornhill and Cloete, as cited in Adonis (2018), describe an IDP “as consisting of a process through which individual municipalities must obtain a Strategic Development Plan (SDP) for a five-year period”. The IDP is “a development planning instrument and a product of an integrated development planning process,” according to Nzimakwe (2012:142). The IDP guides planning, budgeting, management and decision making of a municipality. It thus serves as a coordination and alignment instrument (Nzimakwe, 2012:143). The IDP “has to be informed and be in line with the main fundamentals of development planning” in order to be effective and credible (Davids *et al.*, 2005:136).

Todes (2002:844) remarks that IDPs can be regarded as “holistic multi-sectoral plans, which direct the future development of the locality, giving focus to both the municipality and other spheres of government operating in the area”. IDPs also serve as five-year strategic development instruments to promote intergovernmental co-ordination (Reddy *et al.*, 2003:72) They are reviewed annually in conjunction with communities and stakeholders. It seeks to promote integration by “balancing social and economic pillars of sustainability, without compromising the institutional capacity required in the implementation, and by coordinating actions across sectors and spheres of government” (Reddy *et al.*, 2003:73).

It is evident that the core function of an IDP is to deliver a strategic framework for democratic municipal governance and to set out the vision, needs, priorities, goals and strategies of a municipal council during its five-year term of office. Mogale (2003:232)

confirms that the IDP is the central planning instrument which local government utilise to realise its developmental and regulatory responsibilities. IDPs therefore reflect a multi-sectoral dimension and are bottom-up, integrated approaches to local development (Todes, 2002:849).

4.4.2 Integration dimensions in IDPs

Integrated planning entails various actors and sectors working together under a commonly designed development agenda (Gueli *et al.*, 2007:92-93). Gueli *et al.* (2007:93) maintain that the “integrated” aspect of IDPs is associated with adequately aligned and coordinated planning. Also, Holden (2012:305) confirms that integration brings together several planning dimensions and concerns. The resulting assembly of these dimensions and concerns add significant value that did not exist before. One such dimension is policy.

Policy integration is defined as “the management of cross-cutting issues that exceed the bounds of established policy sectors and do not correspond to the institutional responsibilities of separate government departments” (Shannon & Schmidt, 2002:17). From a policy perspective, Stead and Meijers (2009:317) maintain that there should be at least two dimensions of policy integration, namely horizontal policy integration (among policy domains within organisations) and vertical policy integration (amid policy actors, organisations and spheres of governance). Both horizontal and vertical policy integration are necessary to facilitate the ideas of “holistic” government (Oosthuizen, 2006:29). Holistic government implies that some complex governance issues cannot be resolved by individual responses but demand a coordinated response from multiple actors.

A second key dimension of IDPs is social and economic development. Social development mainly concerns the well-being and improvement of living standards of communities, while economic development refers to the general prosperity of communities through job creation, poverty alleviation, entrepreneurship and local investment. In South African municipalities these two aspects are usually aligned by means of local economic development (LED) plans and strategies (Nzimakwe, 2012:144). Consequently, integrated socio-economic planning encapsulates various stakeholders and sectors working collectively under a commonly designed

development agenda by focusing on development objectives and targets (Gueli *et al.*, 2007:92-93).

A significant aspect of integration is the application of the most suitable approaches to facilitate alignment and coordination. In this regard, Gueli *et al.* (2007:104) list three primary methods for promoting integration. These strategies include targeted interventions, coordinated use of various planning tools, and structured and methodical interaction. The first approach, namely structured and systematic interaction, entails that external actors participate directly and frequently with municipal officials and councillors to jointly consider key service delivery concerns and issues. It further entails that all parties and stakeholders take ownership and joint responsibility for the successes and failures of integrated development planning. As far as the second approach is concerned, at least three intergovernmental planning instruments should be aligned to warrant unity, namely “(a) planning processes, (b) monitoring, evaluation and oversight mechanisms, and (c) budgeting cycles. In terms of targeted interventions, integration entails that high potential growth areas should serve as focal points to facilitate multi-sectoral planning and budgeting between the respective spheres and sectors of government” (Gueli *et al.*, 2007:104).

4.4.3 IDP cycle and phases

Venter (2014:108) argues that IDPs should be analysed as both a chronological and iterative strategic process. As such, its development follows a cycle (iterative) and logically comprise consecutive phases. In this regard, Van der Walldt *et al.* (2007:103) maintain that the respective phases of the IDP aid analysis, but that these phases should be viewed as highly interrelated and interdependent. The interrelated and interdependent nature of IDP phases imply that any change in any one phase will in all likelihood also affect subsequent phases. For scholarly inquiry purposes it thus makes logical sense to analyse these phases as part of a larger dynamic process. Finally, the interrelated and interdependent nature of phases implies that all phases should effectively be executed to bring municipalities closer to development objectives and targets (Department of Provincial and Local Government, 2006:152).

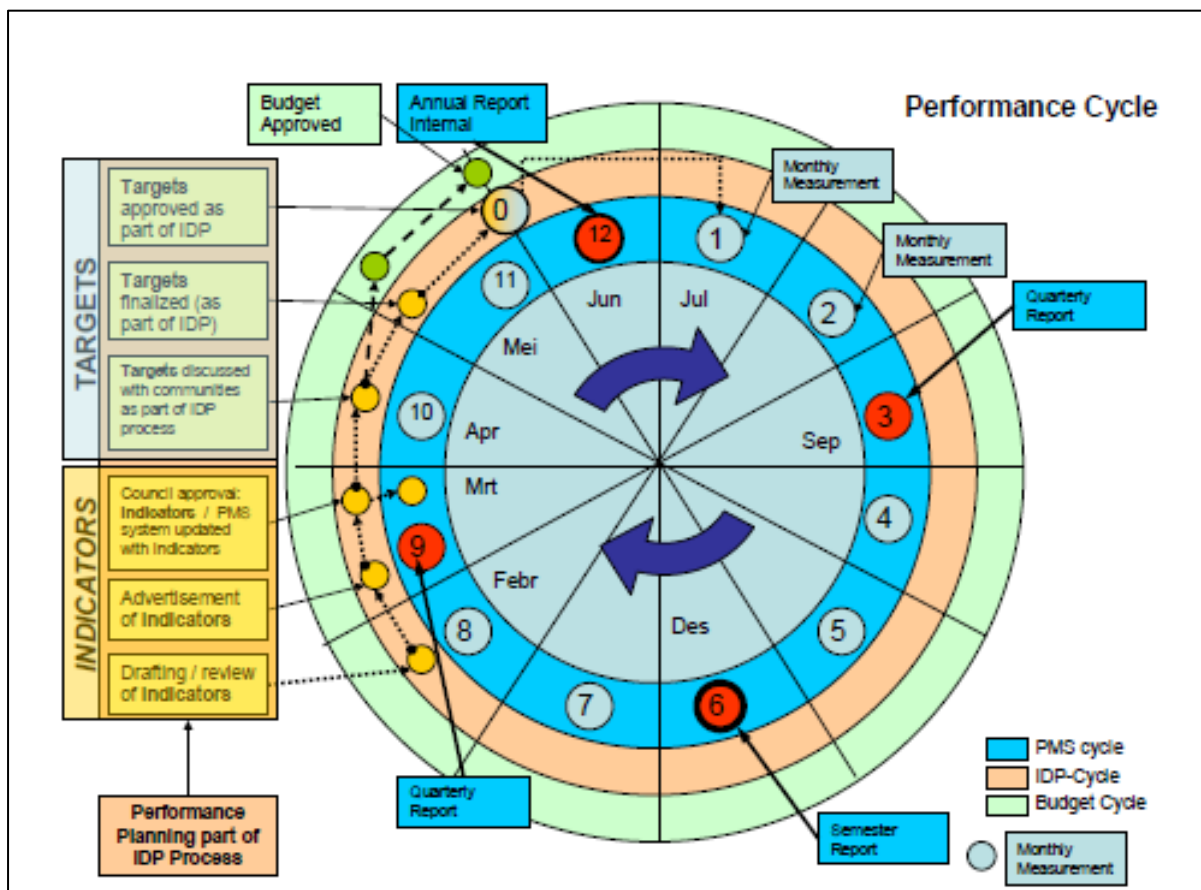


Figure 4.1: Example of a typical IDP cycle

Source: Swellendam Municipality (2016)

Figure 4.1 reflects the integrated nature of the IDP cycle (indicated in blue) within the performance management and budget cycles of a municipality. Each phase in the IDP cycle is briefly outlined below.

Phase 1: Analysis

According to Venter (2014:113), the analysis phase of the IDP primarily focuses on the existing situation within a municipal area. Such a situational study includes the internal (organisational) as well as external environments. Political, social, economic, legal, and technological issues are considered in the analysis of the external environment, and the internal environment takes into account factors like a municipality’s structures, management style, resources, and leadership (Van der Waldt & Knipe, 2002:17). Rogerson (2006) and Van der Waldt *et al.* (2007) argue that a situation analysis can produce a large amount of information that is not always relevant to strategy formulation. Therefore, to make information more suitable, it is

beneficial to categorise internal (institutional) factors as strengths and weaknesses and external factors as opportunities and threats. Van der Walddt and Knipe (2002:18) warn that it is crucial to consider all facets of the public management function, including organising, policymaking, controlling, planning, leading and evaluating during the analysis phase.

Phase 2: Strategies

Phase two comprises the formulation of the municipal vision to aid the purpose of development planning and the particular identity of the municipality (Thompson & Strickland, 1998:4). The vision can be regarded as a roadmap of a municipality's development outlook or the future position it anticipates. Particular strategies should then be advised to operationalise the vision.

Scholars such as Levy and Fukuyama (2010:82) and Venter (2014:113), maintain that the strategy phase should include the formulation of strategic objectives. Such objectives should be specific, measurable, realistic and achievable (Van der Walddt & Knipe, 2002:182). Strategic goals are statements of what a municipality hopes to achieve in the medium to long term to address the specific problems highlighted in Phase 1.

Once the strategic objectives have been determined, it is important that IDP planners formulate specific strategies. According to Roussouw *et al.* (2003:99), strategic objectives can be regarded as the end results (outcomes) that a municipality wants to realise, while strategies are the methods and means by which it wants to achieve these objectives. It is only when strategies are sufficiently formulated that municipal officials can obtain a clear picture of the nature of particular projects that should be executed to implement these strategies.

Phase 3: Projects

Phase 3 involves finding and creating initiatives that will help to put the techniques developed in phase 2 into practice. It also includes the design of particular specifications of projects for implementation (Venter, 2014:113). These projects should be clearly aligned with priority issues (Phase 1) and strategic objectives (Phase 2). Projects need to be distinct in the following areas, according to Venter (2014:113): "Target group (beneficiaries), the area of the project, the dates of start

and completion, the people responsible for managing the project, the project budget, and the funding sources.” Additionally, the Department of Provincial and Local Government (2001:12) maintains that it is essential that particular performance targets and indicators are formulated to assess both the performance and impact of municipal IDP projects.

Phase 4: Integration

Once the projects have been identified, categorised and prioritised, the municipality must confirm that they are adequately integrated with the development vision statement, strategic objectives and strategies. Projects also need to be aligned with institutional realities such as staff capacity, the availability of adequate resources and political commitment of councillors. Projects furthermore need to be scheduled in a logical way to ensure that their timing correspond with priority needs. To create a well-coordinated and integrated development plan of action, projects must also be coordinated in terms of their contents and locations (Department of Provincial and Local Government, 2000a:17).

Phase 5: Approval

The final phase entails the approval and adoption of the final IDP by the municipal council. It is important that all stakeholders and concerned parties, inclusive of other spheres of government, are afforded the opportunity to provide input to the draft plan. This ensures transparency and a sound basis of legitimacy, support and relevance (Rauch, 2002:12). Similar to this, Gueli *et al.* (2007:104) claim that all actors must “engage directly and regularly with local representatives to deliberate issues on service delivery, develop a shared understanding on which development objectives to focus on, and to determine the best strategies to reach those objectives” in order for integrated planning to be successful in South Africa.

Once the council has approved and adopted the final IDP, a copy thereof together with the process plan should be forwarded within 10 days of adoption to the Member of Executive Council (MEC) for local government in the provincial executive to review. It is the duty of the MEC to assess whether the IDP complies with the requirements of relevant legislation and is aligned with the provincial growth and development plan.

4.4.4 IDP design and review processes

Apart from the phases in the IDP cycle, the design and review processes deserve special scholarly inquiry since it is essential to pinpoint certain responsibilities as far as public participation in the IDP process is concerned. In this regard it is again important to note that the IDP encompasses the notions of both strategic thinking and managerial dimensions (Nzimakwe, 2012:143; Thornhill & Cloete, 2014:90). The latter mainly concerns the practical design and review processes.

As a broad consultative process, an IDP necessitates the establishment of suitable forums where local citizens, government representatives, non-governmental organisations (NGOs), civil society and other stakeholders can assess challenges affecting service delivery. Such forums should further serve the purpose of prioritising development concerns in their order of urgency and long-term significance and to design a shared vision and collective strategic framework among all stakeholders (Van der Waldt, 2007:100). As accentuated by Pauw *et al.* (2009:280-281), IDPs are not planned and budgeted for in seclusion, but form an integral part of the performance and budget cycles of a municipality (see Figure 4.1). It should also be aligned with sector plans and planning conducted in other spheres of government. In this regard, the managerial dimensions of the design and review processes are significant to pinpoint particular roles and responsibilities.

According to the Process Plan of the City of Matlosana (2021:3), councillors and senior municipal officials play a significant role in the design and review of the IDP. These roles and responsibilities of the council and municipal officials are briefly highlighted below.

Municipal council (represented by the Executive Mayor)

The municipal council is responsible to prepare, decide on and adopt an IDP process plan. This plan must outline the overall management responsibilities and the co-ordination of the planning process. These management responsibilities typically include ensuring that all relevant role-players and stakeholders are informed about their particular obligations and that mechanisms are in place to involve them throughout the process. The formal IDP Process Plan must furthermore outline the

procedures to be followed for community consultation and continuous participation in the process. A further important responsibility of council is to ensure that sector planning requirements are satisfied before the approval and adoption of the IDP. They must also see to it that the IDP is adjusted in accordance with the feedback of the MEC for local government. Finally, the municipal council must ensure that the annual business plans, budget, and land-use management decisions are adequately aligned with the IDP.

Ward councillors

Ward councillors are commonly regarded as the major link between the municipality and the community. As such, their roles are to align IDP planning processes to their particular wards (i.e. constituencies) and to regularly conduct consultation and participation sessions to obtain input and to provide feedback on progress made. Ward council members may be seen as the guardians of local democracy because they are at the forefront of citizen involvement.

Municipal managers

As accounting officers, municipal managers have to manage and co-ordinate the IDP process. This includes the preparation of the formal IDP Process Plan, the overall management and co-ordination of the planning process, and the involvement of all relevant actors in the process. A further managerial responsibility of municipal managers is to delegate particular duties to officials and to ensure that they have the required capacity, competency and resources to execute their duties. It should be noted that municipal managers, just like municipal councils, must ensure that the planning process is participatory, strategic and implementation orientated and that it is adequately aligned with sector plans. In this regard, both horizontal alignment (within the municipal structures) and vertical alignment (with other spheres of government) are essential. In cases of dual responsibilities, like these, it is important that specific duties and responsibilities be allocated in writing. In addition, municipal managers must respond to feedback and comments on the draft IDP from the public and adjust the IDP in accordance with the MEC for local government's feedback. They must also see to it that the entire process is supported by adequate administrative systems such as the proper documentation and archiving of official documents.

Strategic executives

As the officials in charge of implementing IDP projects, senior managers in the respective municipal departments must provide expert technical advice, financial information (e.g. departmental operational and capital budgets), and analyses of priority concerns. Senior managers as strategic executives are also responsible for the preparation of project proposals, the integration of projects with departmental programmes and cross-municipal co-operation and coordination. In addition, senior managers have to ensure that their respective departmental budgets and the allocation of resources are fully aligned with the IDP.

External service providers

The expertise and technical proficiencies of external service providers are frequently sought to support the design and implementation of the IDP. They are typically engaged during planning workshops and through special impact studies or other product-related contributions. It is important that heads of department document these contributions due to their financial and potential legal implications.

Civil society

The IDP is fundamentally aimed at improving the general well-being and overall prosperity of the municipal community. This community generally comprises civil society actors typically represented by ratepayers' associations, local businesses, taxi associations, religious communities, traditional leaders, community development workers, marginalised groupings and other community-based organisations. As emphasised by the statutory and regulatory requirements, it is essential that the interests of these groupings are adequately represented in the IDP process. Local knowledge and indigenous systems should be harnessed to truly localise the IDP. The participation of civil society is mainly facilitated by the IDP Representative Forum (refer to section 4.5.1.2) (Radnor & McGuire, 2004:40). It especially is in this forum that civil society can make submissions and monitor and review the implementation of the IDP.

Other spheres of government

According to the IDP Guide Pack (Department of Provincial and Local Government, 2000a:17), the IDP should be an inter-governmental system of planning which necessitates the involvement of all three spheres of government and certain

contributions from provincial and national government are required to assist municipal planning. In this regard, Van der Waldt (2019:20) maintains that the IDP Implementation Toolkit designed by the Department of Social Development (2009:16), makes a significant contribution to facilitate cooperation and coordination between the respective spheres of government and build positive partnerships.

As far as horizontal integration is concerned, a local municipality must liaise with neighbouring local municipalities as well as the district municipalities on issues such as coordination, local economic development, infrastructure development and maintenance, and other areas of concern.

On a vertical level, municipalities should engage provincial government departments to foster alignment between sectoral programmes and its IDPs. Typically, the following provincial departments make a significant contribution to municipal IDPs:

- The Department of Agriculture regarding community resilience and household food security.
- The Department of Economic Development and Environmental Affairs regarding local economic development and environmental waste management issues.
- The Department of Health regarding local clinics, ambulance services and general health services.
- The Department of Public Works regarding the responsibilities of municipalities in the implementation of the Expanded Public Works Programme.

As far as national government integration is concerned, municipalities should in particular engage the following national departments:

- The Department of Water Affairs and Forestry regarding water conservation matters.
- The Department of Education regarding local schools, general human capacity-building initiatives and skills development.
- The Department of Safety and Security regarding community safety and security concerns.

It is evident that provincial and national government are responsible for municipal oversight and the delivery of various government services in the local sphere such as clinics, police stations and schools. It is of utmost importance that municipalities align their IDPs with the programmes and policies of these departments. The provincial and national departments should contribute to the IDP process of municipalities so that they can be directed on how to use their resources to address local needs. It may also be necessary to engage other government actors such as state-owned enterprises, parastatals and agencies such as Eskom, the South African Social Security Agency and the National Development Agency.

This concludes an exposition of IDP phases and the roles that particular actors play in the design and review of the IDP. The latter perspective is significant since it exposes particular managerial and operational dimensions of the implementation of the IDP and also highlights the role that individuals play in the successful execution thereof. In this regard, it is for purposes of this study to ascertain the nexus or critical interface between the IDP and public participation. The managerial and operational dimensions assist to pinpoint particular stages of intervention required to ensure that the community is adequately involved.

4.5 THE IDP AND PUBLIC PARTICIPATION: THE NEXUS

The legacy of apartheid has produced historical governance challenges in South Africa. These historical challenges, in particular, were spatial disintegration, imbalanced distribution of resources, and increasing backlogs on service delivery. In order to rectify the situation, the national government has been promoting the development role of local governments by means of an integrated development planning approach. Smith and Vawda (2003:28) assert that the IDP is not only a developmental local government instrument but also a “community-participation promoting programme”.

As was established in Chapter 2, public participation allows ordinary community members to become involved in the local government decision-making processes since they are regarded as the primary customers of local government. Scholars such as Gaventa and Valderrama (1999:4), Du Toit *et al.* (1998:124) and Freysen (1998:249) argue that public participation is essential for communities to influence

municipal decisions. It thus builds civil society partnerships and raises awareness of development concerns. It also promotes an open, inclusive and transparent society through the strengthening of government institutions (Gonzalez de Asis & Acuna-Alfaro, 2002).

4.5.1 Structures and mechanisms for IDP participation

Public participation is one of the means of local government to guarantee that there is democratic governance and accountability. Hence, it is important for municipalities to have a structured approach to engage with their communities. According to the Revised IDP Framework for municipalities (Cooperative Governance and Traditional Affairs, 2012:42), it is vital for a municipality to have a stakeholder engagement strategy or public participation strategy. Such a strategy should, inter alia, separate various stakeholders in the municipality according to areas of interest and specify how they will be engaged. By utilising the institutions of local democracy, such as ward committees and public meetings, participation enables the public's voice to be heard in issues of local administration. Therefore, participation commences when the local community ascertains their needs and acquire an approach of addressing their needs (Mubangizi, 2010:153).

With the COVID-19 pandemic and other realities such as unsafe public spaces due to growing public unrest in municipalities, it is expected of IDP planners to design alternative modes of community engagement. Face-to-face, in-person meetings had to make room for new forms of engagement and consultation. Public participation structures and mechanisms need to adapt to the so-called "new normal" in the local governance environment.

According to Enwereji and Uwizeyimana (2022), studies from a number of scholars revealed that electronic media is the most efficient communication method to be utilised in public participation during the COVID-19 pandemic. It can be successfully used in virtually any location and occasion where face-to-face meetings are not possible. Studies like these suggest that municipalities should apply a mix-mode of participation by utilising a variety of engagement methods for local democracy. These methods may include Short Message Services (SMS), WhatsApp group messages, Facebook messages, electronic mail (e-mail), and virtual Zoom presentations.

As was established in Chapter 2 and 3, digitising the public participation process (i.e. e-participation) holds significant potential to enhance citizen engagement. According to Kraft, as cited in Apolitical (2022), digital engagement offers substantial advantages such as costs savings, immediacy of information, greater citizen reach, increased communication regularity, and prepares both governments and citizens for the unavoidable shift towards smart cities and digital societies. In this regard, Kraft proposes alternative measures to modernise engagement efforts. These measures include a more user-centred digital government process whereby online platforms and other forms of ICTs assist to engage society as well as better interfaces between public participation and government decision making. It is proposed that governments should develop and promote a formal process whereby communities can track the extent to which their input was eventually imbedded in government decisions. Such a formal process should also enable communities to monitor the ways in which government responded to their queries and improved service delivery. Kraft cautions, however, that there are some disadvantages in utilising e-participation. Probably one of the biggest disadvantages is the potential for exclusion of some segments of society. Not all community members have equal access to ICTs and other forms of engagement. This may increase inequality and unfairness in public participation processes. Kraft proposes that governments should utilise tools that can promote inclusivity and embark on programmes that support equal access to ICT and cultivate digital awareness among citizens. Other limitations as far as e-participation is concerned include unreliable and limited broadband width, restricted access to certain technologies, different communication preferences and capabilities, and relative low levels of public trust in government officials. This implies that government may not reach all their target audiences via online engagement. Especially in rural municipalities, government will have to address the digital divide to guarantee that communities are not excluded from public engagement processes. E-participation processes should thus be supplemented with more traditional means of engagement. Community and traditional leaders may assist in this regard.

In the tables below (Tables 4.1-4.5), the theoretical, philosophical (i.e. normative/ethical) and managerial dimensions of public participation are aligned with the IDP phases. These tables serve as synopsis of the content that emanated from Chapters 2, 3 and 4 and propose ways in which communities should be involved in

the IDP process. Three types of participation are identified, namely internal, external and remote public participation. Remote participation simply refers to engagement and consultation by means of alternative (distant, impersonal) modes made possible by the utilisation of ICT applications and social media.

Table 4.1: Alignment of public participation with the IDP phases

PHASE I: ANALYSIS

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
1.1 Compilation of existing information of Council	Situational analysis of both internal and external environments.	Internal: Municipal manager Manager Town Planning Managers Civil and Electrical Chief Financial Officer Strategic executives Manager: Legal	Internal participation: IDP Steering Committee meeting	2 Weeks 1-14 August	Internal: Identified strengths and weaknesses in the municipal structure, management, resources and leadership.	Key Performance Area (KPA): Municipal institutional development and transformation. Annual performance target: - Conducting 1 Steering Committee meeting by 14 August. - Compiling situational analysis of the municipality.
1.2 Community and stakeholder level analysis	Needs of the community are analysed via	External actors: Executive mayor Ward councillors	External participation: Ward meetings	4 Weeks 1 – 31 August	External: Overall picture of community	Key Performance Area (KPA):

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
	public participation meetings.	Ward committees Civil society Other spheres of government (sector departments)	Remote participation: Radio call-in shows for communities to deliberate with Council officials, WhatsApp group to directly communicate with Council, Zoom and MS Teams meetings, social media interaction via Facebook or Instagram, Internet and e-mail participation.		concerns and needs are perceived. IDP planners are now aware of all threats in the environments.	Good governance and public participation. Annual performance target: - Conducting 31 ward meetings by 31 August. - Analysing ward needs.
1.3 Reconciling existing information and	Identification of priority issues by both internal	External actors: Executive mayor Ward councillors	External participation:	2 Weeks 14-31 August	External: Priority issues of the community	Key Performance Area (KPA):

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
community/ stakeholder analysis	and external members of the community.	<p>Ward committees Civil society Other spheres of government (sector departments)</p> <p>Internal: Municipal manager Chief Financial Officer Strategic executives HOD's</p>	<p>IDP representative forum meeting.</p> <p>Internal participation: IDP Steering Committee meeting.</p> <p>Remote participation: Radio call-in shows for communities to deliberate with Council officials, WhatsApp group to directly communicate with Council, Zoom</p>		<p>are identified and will be utilised in later phases to develop projects.</p> <p>Internal: Identified community priorities are discussed internally by the Steering Committee members for top management to establish feasibility of the priorities.</p>	<p>Good governance and public participation.</p> <p>Annual Performance target: - Conducting 1 representative forum meeting by 31 August. - Conducting 1 Steering Committee meeting by 31 August.</p>

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
			and MS Teams meetings, Social media interaction via Facebook or Instagram, Internet and e-mail participation.			
1.4 Municipal-wide analysis	Analysis of the following issues: - Holistic issues - Environmental - Institutional - Economic	Internal: Municipal manager Chief Financial Officer Strategic executives Manager: LED Manager: Environmental services HOD's	Internal participation: IDP Steering Committee meeting.	2 Weeks 1-14 September	Internal: IDP planners utilise participation to analyse the existing external environment, the economic trends in the municipality and also analyse their institution.	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: - Conducting 1 Steering Committee meeting by 14 August. - Analysing municipal environment.

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
1.5 Spatial analysis	Spatial constraints, Restructuring and land reform development issues are analysed.	Internal: Municipal manager Manager: Town Planning Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	2 Weeks 1-14 September	Internal: The participation assists the IDP planners to analyse the existing spatial environment before project identification can commence.	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: - Conducting 1 Steering Committee meeting by 14 August. - Analysing spatial environment.
1.6 Socio-economic / gender differentiation	The needs of the disadvantaged are analysed and considered.	Internal: Municipal manager Manager: LED Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	2 Weeks 1-14 September	Internal: IDP planners need to analyse the existing socio-economic environment through	Key Performance Area (KPA): Municipal institutional development and Transformation. Annual Performance target:

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
					participation and consider the needs of the disadvantaged to incorporate this information in the IDP document.	<ul style="list-style-type: none"> - Conducting 1 Steering Committee meeting by 14 August. - Analysing the socio-economic environment.
1.7 Identification and analysis of municipal priority issues	Municipal-wide priorities are analysed.	Internal: Municipal manager Manager: LED Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	1 Week 7-14 September	Internal: IDP planners need to identify and analyse all priority issues within the municipal boundaries as these priorities need to be aligned later on with the	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: <ul style="list-style-type: none"> - Conducting 1 Steering Committee meeting by 14 August. - Identification and analysing of priority

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
					community priorities.	issues in the municipality.
1.8 Consolidation of priority issues: analyses of results	A summary of all analysed information is prepared.	Internal: Municipal manager Manager: LED Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	1 Week 24-30 Sept	Internal: After consultation with the IDP steering committee, planners need to consolidate and summarise all information on priority issues within the municipal boundaries.	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: - Conducting 1 Steering Committee meeting by 30 August. - Consolidating priority issue information in the municipality.

Table 4.2: PHASE II: STRATEGIES

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
2.1 Vision and mission statements	The strategic direction of the municipality should be identified.	<p>External actors: Executive mayor Ward councillors Ward committees Civil society Other spheres of government (sector departments).</p> <p>Internal: Municipal manager Chief Financial Officer Strategic executives HOD's</p>	<p>External participation: IDP representative forum meeting.</p> <p>Internal participation: IDP Steering Committee meeting.</p> <p>Remote participation: Radio call-in shows for communities to deliberate with council officials, WhatsApp group to directly communicate with Council, Zoom and MS Teams meetings,</p>	1 Week 1-7 October	<p>External: Strategic direction of the municipality is identified after consideration of community needs.</p> <p>Internal: Vision and mission statements are discussed internally by Steering Committee members.</p>	<p>Key Performance Area (KPA): Municipal institutional development and transformation.</p> <p>Annual Performance target: - Identifying the strategic direction of the municipality for the next 5-year cycle.</p>

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
			social media interaction via Facebook or Instagram, Internet and e-mail participation.			
2.2 Working objectives	All objectives per priority issue are linked with the service delivery budget implementation plan (SDBIP).	Internal: Municipal manager PMS manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	1 Day 1 October	Internal: Consultation with PMS specialists to link an objective to each priority issue identified in the analysis phase.	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: - Linking priority objectives with the SDBIP.
2.3 Strategic guidelines	The strategic guidelines of the municipality	Internal: Municipal manager	Internal participation:	1 Week 7-14 October	Internal: The strategic guidelines of the	Key Performance Area (KPA):

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
	including the spatial, poverty, institutional and all other is identified.	Chief Financial Officer Strategic executives Manager Town Planning Manager: LED. Health Environment practitioner Strategic executive	IDP Steering Committee Meeting		municipality to be structured after consultation with the IDP Steering Committee, taking into consideration the spatial and institutional plans.	Municipal institutional development and transformation. Annual Performance target: - Structuring of strategic guidelines.
2.4 Defining resource frameworks	The institutional and financial resources are identified and a framework structured.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	2 Weeks 14-30 Oct	Internal: IDP planners need to define the resource framework institutionally and consult with Finance Department to	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: - Defining the resource framework.

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
					assign a budget to the framework.	
2.5 Organising strategic workshops	Compilation of an overview of all strategic alternatives of the municipality.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's External: Executive mayor Ward councillors Strategic specialists	Internal participation: IDP Steering Committee meeting. External: Strategic workshop for all politicians and top management of the municipality conducted by an external service provider or an internal strategic specialist.	2 Weeks 1-14 Nov	Internal: IDP planners to organise a strategic planning session with both politicians and officials involved in the IDP process to consider strategic alternatives.	Key Performance Area (KPA): Municipal institutional development and transformation Annual Performance target: - Organising strategic planning workshops.
2.6 Strategy Design: Sector-specific guidelines	Projects are adjusted to local conditions requirements	Internal: Municipal manager Chief Financial Officer	Internal participation: IDP Steering Committee meeting.	1 Week 15-21 Nov	Internal: IDP planners need to adjust all projects to the	Key Performance Area (KPA):

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
		Strategic executives HOD's			local municipal requirements after the strategic planning sessions.	Municipal institutional development and transformation Annual Performance target: - Designing strategic specific guidelines for projects.
2.7 Linking district and local municipal strategies	Projects are aligned with district-wide strategies.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's External: District municipality IDP officials	Internal participation: IDP Steering Committee meeting. External: District IDP meeting.	1 Week 21-27 Nov	Internal: IDP planners of municipal and district municipality need to consult with each other to link and align their municipal strategies.	Key Performance Area (KPA): Municipal institutional development and transformation Annual Performance target: - Linking strategies of municipality with the district municipality.

Table 4.3: PHASE III: PROJECTS

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
3.1 Creating project formulation task teams.	Establishing task teams to assist with project identification.	Internal: Municipal manager Chief Financial Officer Manager: Infrastructure and Planning Project management unit Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	2 Weeks 1-14 Dec	Internal: Project task teams consisting of project specialists established to assist with the project phase in the IDP process.	Key Performance Area (KPA): Service delivery and infrastructure development. Annual Performance target: Formulation of task teams for project management.
3.2 Establishing preliminary budget allocations.	Preliminary budget for projects and operational is compiled.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting. Budget Steering Committee meeting.	2 Weeks 1-14 December	Internal: Chief Financial Officer to guide the IDP Steering Committee on the budget available for projects.	Key Performance Area (KPA): Municipal financial viability and management. Annual Performance target:

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
						Establishing budget allocations for projects.
3.3 Designing project proposals	Detailed project proposal is designed.	Internal: Strategic executives in IDP Steering Committee.	Internal participation: IDP Steering Committee meeting.	3 Weeks 1-21 December	Internal: The Project Management Unit (PMU) to assist the IDP Steering Committee with designing detailed project proposals of each identified project.	Key Performance Area (KPA): Service delivery and infrastructure development. Annual Performance target: - Designing project proposals.
3.4 Target group participation in projects planning	Project planning should be in line with community needs.	External actors: Executive mayor Ward councillors Ward committees Civil society	External participation: IDP representative forum meeting. Internal participation:	3 Weeks 1-21 December	Internal: IDP Steering committee meeting to discuss the proposed projects per department	Key Performance Area (KPA): Service delivery and infrastructure development, Annual Performance target:

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
		<p>Other spheres of government (sector departments).</p> <p>Internal: Municipal manager Chief Financial Officer Strategic executives HOD's</p>	<p>IDP Steering Committee meeting.</p> <p>Remote participation: Radio call-in shows for communities to deliberate with council officials, WhatsApp group to directly communicate with Council, Zoom and MS Teams meetings, social media interaction via Facebook or Instagram, Internet, and e-mail participation.</p>		<p>and reach consensus of priority projects.</p> <p>External: Public participation with the community members and stakeholders in the IDP process to discuss the proposed projects.</p>	<p>Public participation in project planning,</p>

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
3.5 Involvement of project partners	Alignment of sectoral policies with internal municipal policies.	<p>External actors: Other spheres of government (sector departments).</p> <p>Internal: Municipal manager Chief Financial Officer Strategic executives HOD's</p>	<p>Internal participation: IDP Steering Committee meeting.</p> <p>External: Sectoral project meeting (Technical intergovernmental relations meeting).</p>	3 Weeks 1-21 January	<p>Internal: Align internal projects with sectoral policies.</p> <p>External: Public participation with technical experts/project planners to ensure alignment of sectoral policies.</p>	<p>Key Performance Area (KPA): Service delivery and infrastructure development</p> <p>Annual Performance target: Alignment of all sectoral policies.</p>
3.6 Setting indicators for objectives	Objectives relating to quantities, localities, quality, timing,	<p>Internal: Municipal manager Chief Financial Officer Strategic executives</p>	<p>Internal participation: IDP Steering Committee meeting.</p>	3 Weeks 1-21 January	<p>Internal: Performance Management Unit to assist with the setting of</p>	<p>Key Performance Area (KPA): Municipal institutional development and transformation</p>

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
	etc. are designed.	HOD's			indicators for each objective.	Annual Performance target: Setting of indicators for each project objective.
3.7 Projects outputs/ targets/locations	Establishing how much to be provided by whom, in which year and where.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	3 Weeks 7-30 January	Internal: Performance Management Unit to assist with the setting of project outputs for each project.	Key Performance Area (KPA): Municipal institutional development and transformation Annual Performance target: Setting of project outputs.
3.8 Cost/ budget estimates/ sources of finance	The cost per unit, budget and source of finance are identified.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting. Budget Steering Committee meeting.	3 Weeks 7 – 30 January	Internal: IDP Steering committee to be guided by the CFO on the cost and budget	Key Performance Area (KPA): Municipal financial viability and management.

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
					estimate of each project and the source of funding to be determined.	Annual Performance target: Establishing cost estimates for each project.

Table 4.4: PHASE IV: INTEGRATION

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
4.1 Integrating internal and sector projects and programmes	Integration of various activities and consolidating outputs.	Internal: Municipal manager Chief Financial Officer Manager: Infrastructure Technical experts Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	2 Weeks 1-14 February	Internal: All internal and sector department projects need to be incorporated into the IDP and the outputs consolidated.	Key Performance Area (KPA): Service delivery and infrastructure development. Annual Performance target: Integrating all internal and sectoral projects and programmes.
4.2 Year financial plan	The financial management plan and strategy to be integrated into the IDP document.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	1 Weeks 15-21 February	Internal: The Chief Financial Officer to guide the IDP Steering Committee on a financial	Key Performance Area (KPA): Municipal financial viability and management. Annual Performance target:

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
					management plan and strategy.	Compiling a financial management plan and strategy.
4.3 Year capital investment programme and 5-year action plan	The IDP to inform the municipal budget and ensure inter government alignment.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	1 Week 15-21 February	Internal: Consultation with Finance Department on a capital investment programme and 5-year action plan to inform the municipal budget.	Key Performance Area (KPA): Municipal financial viability and management. Annual Performance target: Compiling a 5-year action plan and investment programme.
4.4 Integrated Spatial Development Framework Integrated Local Economic	Integration of spatial trends, locations of IDP projects, land reform and focus areas.	Internal: Municipal manager Chief Financial Officer Strategic executives	Internal participation: IDP Steering Committee meeting.	1 Week 22-28 February	Internal: Integration of all programmes and plans into the IDP document through extensive	Key Performance Area (KPA): Service delivery and infrastructure development.

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
Development Programme Integrated Poverty / Gender Equity Programme. Integrated Environmental Programme Integrated Institutional Programme for Implementation Management Integrated HIV/ Aids Programme	Integration of all strategic guidelines and local economic projects. Integration of socio-economic, gender and poverty programmes. Integration of environmental issues and envisaged projects. Integration of strategic guidelines and	HOD's of all departments			consultation with all departments in the municipality.	Annual Performance target: Integrating all programmes and frameworks with the IDP.

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
Disaster Management Plan	institutional activities. Integration of HIV/Aids problems, strategies and activities. Integration of disaster management types and contingency plans.					

Table 4.5: PHASE V: APPROVAL

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
5.1 District-level workshop for horizontal (inter municipal) coordination	Linking the IDP document with cross- boundary aspects.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's External: District municipality IDP coordinator	Internal participation: IDP Steering Committee meeting. External: Sectoral project meeting/ District IDP meeting .	1 Week 1-7 March	Internal: Alignment and linking of all aspects affecting neighbouring municipalities through workshops.	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: Conducting district workshops.
5.2 Providing opportunity for comments from the public	Obtain acceptance of the community on the IDP document and ensure their rights are not violated.	External actors: Executive mayor Ward councillors Ward committees Civil society Other spheres of government (sector departments).	External participation: IDP representative forum meeting. Remote participation: Radio call-in shows for communities to deliberate with council	1 Week 8-14 March	External: Public participation with community members to afford them the last opportunity to comment on and	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target: Advertising for public comments.

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
			officials, WhatsApp group to directly communicate with council, Zoom and MS Teams meetings, social media interaction via Facebook or Instagram, Internet, and e-mail participation.		accept the draft IDP document.	
5.3 Incorporating / responding to comments from district and some provincial / national departments	Amend the IDP document after consideration of all comments received.	Internal: Municipal manager Chief Financial Officer Strategic executives HOD's	Internal participation: IDP Steering Committee meeting.	1 Week 15-21 March	Internal: All public comments received need to be incorporated into the final IDP document.	Key Performance Area (KPA): Municipal institutional development and transformation. Annual Performance target:

Planning activity	Nature of public participation needed	Municipal actors responsible (political and managerial)	Structures and mechanisms for participation	IDP cycle	Outcome of participation	Success of participation linked with SDBIP
						Incorporating all public comments into the IDP plan.
5.4 Final adoption by municipal council	Approval of the final IDP document to obtain official and legal status.	Internal: Municipal council.	Internal participation: Council meeting.	1 Week 22-31 March	Internal: The municipal council adopts the IDP plan for the next 5 years.	Key Performance Area (KPA): Municipal institutional development and transformation Annual Performance target: Adopting the final IDP document.

4.6 POTENTIAL GAPS AND DISPARITIES IN IDP PARTICIPATION PROCESSES

Hadingham (2003) claims that the South African government has been directing development planning as a vital part of its decentralisation process. Integrated development planning is an essential strategic tool for the attainment of development-oriented decentralisation as it aids local government to alter its approach of planning and implementation of development plans at local level. It can be reasoned that the decentralisation process in South Africa has generated opportunities for local government to work directly with community and community-based organisations pertaining to planning and implementation of development proposals. The integrated development planning has been implemented as a strategic tool to support local authorities in overseeing development processes in their regions. Evidence shows that various local authorities have been generating their IDPs. However, there are several problems in terms of institutional capacity for planning and the design and implementation of the plan itself (Asha *et al.*, 2013; Reddy, 2010).

Dauids *et al.* (2009) distinguish between the following pitfalls associated with the IDP process as follows:

- The process is hierarchal, top-down, prescriptive, system-maintaining, blueprint type thinking and planning.
- IDP lacks sense of ownership at community level.
- IDP raises false expectations since it is not always realistic, holistic and suited to the size and capacity of the municipality.
- IDP does not always make provision for specific conditions and circumstances.
- There generally is a lack of political and administrative commitment and project management skills.

According to Van der Waldt (2019:1-2), gap analyses are made of municipalities' performance by official instruments such as the 2009 Local Government Turnaround Strategy for Municipalities (Cooperative Governance and Traditional Affairs, 2009), the State of Local Government in South Africa (Cooperative Governance and Traditional Affairs, 2009), the 2015 Back-to-basics campaign for local government, the

State of the Cities Report (South African Cities Network, 2016) and the General Report of the Auditor-General on the Audit Outcomes of Local Government for the financial year 2016-2017. Such analyses generally reveal those municipalities that are incapable to deliver on their constitutional developmental mandate. This typically leads to service delivery protests.

The following disparities in the IDP public participation process were emanated from a robust literature review. These issues will be empirically verified in the next chapter:

Inadequate public participation

Several studies conducted at South African municipalities have revealed the fact that public participation is inadequate in the IDP process (Maphunye & Mafunisa, 2008; Mafunisa & Xaba, 2008). Harrison (2002) confirms that municipalities are generally unable to conform to numerous prescripts in national legislation that encourages partnerships with communities. In addition, Mashamba (2008) and Pieterse *et al.* (2008) claim that municipal IDPs do not always reflect the true needs and priorities of communities. The IDP process focuses on transfer of information rather than effective community participation.

Lack of alignment

Theoretically, the IDP promotes the principles of strategic planning and implementation, but there are numerous issues that hamper this ideal in practice. One of these issues is the alignment of the IDP with sector plans. Reddy (2010) claims that lack of vertical (between spheres) and horizontal (between different sectors such as housing, transport, energy, health and safety) government alignment impedes development processes in South Africa. The lack of alignment is compounded by inadequate translation of national development policies and plans into local contexts.

Lack of institutional capacity

Another vital issue in the preparation of IDPs is the institutional, organisational and managerial capacity and competency of municipalities. Dale (2004) emphasises the need to take institutional capacity into account in the development process since weak institutional foundations, organisational deficiencies and bad management reduce the effectiveness and sustainability of development efforts. There are rising concerns

regarding the capacity of local governments (Goss & Coetzee, 2007), institutional arrangements (Mashamba, 2008), synchronisation and cooperation among sectorial departments (Pieterse *et al.*, 2008). Brinkerhoff and Crosby (2002:78) are also of the view that lack of capacity has a bearing on the “quality of participation of a given group” and Ngwenya (2002:2) highlights the fact that “uneven distribution of capacity involves uneven availability of information and means for participation”.

Deficient development initiatives

The failure of municipal development plans and projects have encouraged violent service delivery protests by communities angry at the slow pace of service delivery (Lelope, 2007; Malefane, 2009). Studies have suggested that the implementation of programmes and projects have been insufficient, time consuming, had inadequate impact on the lives of beneficiaries and in general lacks sustainability (Tshikovha, 2006; Lelope, 2007; Mashamba, 2008; Asmah-Andon, 2009). It can be maintained that development initiatives are often deficient in sustainability at local level.

Lack of monitoring and review

In general, IDPs lack proper reviewing, monitoring and evaluation procedures which lead to failures and disillusionment (Davids *et al.*, 2009). Harrison (2008) claims that the appraisal of the implementation of the IDP process in South African local governments is challenging, mainly due to the complex nature of IDPs.

Lack of understanding of governance processes

The Centre for Public Participation (2007:6), or the CPP, states that a lack of understanding of governance processes further extends the marginalisation of disadvantaged groups as they find it difficult to communicate their views. This decreases their chances of being heard.

Language barrier

Another factor that hampers the ability of the public to participate is language (Trotter, 2005:6; Ngwenya, 2002:2). If there is no translation of IDP documents or meetings, effective participation cannot take place.

Political power games

Rubenstein (as cited in Davids, 2005:28), introduced the concern that structures instituted for public participation in the policy process may cause unnecessary competition and conflict between current local structures and those launched for public participation. Trotter (2005:6) is of the view that “political power games”, which guarantee that certain people are not recognised in policy processes are challenging to public participation. The Centre for Public Participation (2007:6) adds corruption as another element of political power games that hinders public participation in governance processes.

Government officials impeding the process

Lando (1999:113) advocates that government officials can become “an inhibitor” of public participation when public officials “anticipate problems and formulate policy solutions for the public to rubber stamp”, as an alternative of engagement. He believes the perception of these officials is that it is their role to formulate “the best solution” (Lando, 1999:113). Pithouse (2006:24) deliberates that this approach to policy formulation lean towards a “technocratic engagement with state power on the terms of state power”. This in principle recommends that the state selects the type of participation, how much participation is required and how participation is going to transpire. Pithouse (2006: 25) highlights that this “technocratic” approach to policy may result in the marginalisation and demobilisation of ordinary people in policy processes.

“Gate-keeping”

Peter (1998:25) postulates that government may enforce order in public participation as an approach of preventing too much participation. Colebatch (2002:31) complements this statement by adding that in such cases, government’s main apprehension is about “making organised activity stable and predictable”, rather than deepening participation. Peter (1998:25) describes this phenomenon as “gate-keeping”. By restricting the time for participation, Peter (1998:25) considers that this would interest those engaged in the participation process to fast-track the participation process, consequently limiting the degree of public participation in decisions.

Reinforcement of current inequalities

An additional criticism of public participation is that it may underpin the current inequalities in society. Beyer *et al.* (2003:11) affirm that this may ensue where participation aids those who already have power, at the detriment of those without, by allocating “costs and benefits in accordance to the pre-existing local distribution of power”. Taylor (2003:105) reiterates this statement by expressing that even though participation may pursue to confront the existing trends of domination by some people over others, this process may be applied as a way of rooting these power inequalities. Trotter (2005:6) believes that public participation can influence marginalised members of communities. Trotter (2005:6) argues that these groups have limited resources and are also not likely to be well organised. These issues will be verified empirically in the next chapter.

4.7 CONCLUSION

In conclusion, it can be maintained that the democratic government of South Africa has been fostering a people-centred development approach with the notion to uphold decentralised systems of governance and development. To that end, the government has implemented new structures of developmental local government and integrated development planning approach through the country. The fundamental directive of the new structures of developmental local government is to uphold the socio-economic transformation at local level to restore the past imbalances and deep-rooted poverty. The IDP is anticipated to assist municipalities to realise their developmental mandates through distributing limited resources to the significant issues and recognising strategic interventions that influence sustainable development.

The IDP is the main strategic document that informs all processes of the municipality and thus, a document insightful of the needs of the people and the accurate resource base of the municipality must be established. This chapter has positioned integrated development planning within a conceptual framework by examining literature, observing and discussing the concepts of development and planning.

This chapter explored how Integrated Development Plans (IDPs) have changed over time before outlining their legal and regulatory structure and explaining why they were

created. It was proposed to provide an overview of the IDP approach and focused on the operationalisation of the IDPs within municipalities. The IDP cycle that supports the implementation of IDPs was analysed and the relationship between public participation and the IDP was highlighted by an in-depth look at the structures and mechanisms for public participation during the IDP process. The chapter concludes by elaborating on the nexus of public participation and the IDP process and by demonstrating how the public participation deficits may impact negatively on the entire IDP process.

CHAPTER 5

PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE CITY OF MATLOSANA: EMPIRICAL FINDINGS

5.1 INTRODUCTION

The research domain for this study was carefully defined from the outset by concentrating on the creation of an extensive model that will support local governments in South Africa to promote public participation in the IDP cycle. Chapter 2 addressed the normative propositions of local democracy and public participation within the situation of South Africa as a developing democracy by means of literature review, with an emphasis on the function of public participation in local government and the efficacy resulting from that within the IDP cycle. Chapter 3 determined the theoretical and regulatory frameworks for integrated development planning in the South African local government sector by means of a literature study and legislation. In Chapter 4 international and national local government best practices were uncovered with the purpose to extract lessons learnt and to facilitate effective public participation within development planning processes.

Through an empirical examination of institutional issues impeding the effective and efficient application of current public participation measures in the IDP cycle of the City of Matlosana (CoM), this chapter will identify and analyse the contribution of this study.

It discusses the research strategy, data collection techniques, outcomes and conclusions. The main goal of this analysis will be informed by these findings, namely the design of a participation model which we will be presented in the final chapter.

Semi-structured interviews with participants who had been intentionally selected for the study were used to gather the information that was later analysed in this chapter.

This chapter will embark with an outline of the profile of the case study, the research design and methodology. The profile of the participants will then be posed, followed by the participants' responses. The participants' responses are analysed by making use of codes and themes and are visualised by means of tables and charts. Dissimilar perspectives of the cohorts of participants will also be probed.

5.2 CASE STUDY ANALYSIS: CITY OF MATLOSANA

The City of Matlosana (CoM) (previously City Council of Klerksdorp) is a Category B municipality located within the central part of the Dr Kenneth Kaunda District in the North West Province. The main economic sector is mining, followed by a vast rural/commercial agricultural area, construction, manufacturing and transport. Matlosana is also situated on the N12 Treasure Corridor linking the municipal area with Gauteng Province in the east and Northern Cape in the south-west. The municipal council consists of 77 councillors whereby 39 councillors are ward councillors and the remaining 38 proportional. In the municipal elections of 2021, the African National Congress (ANC) attained a majority of 40 seats in the Matlosana council.

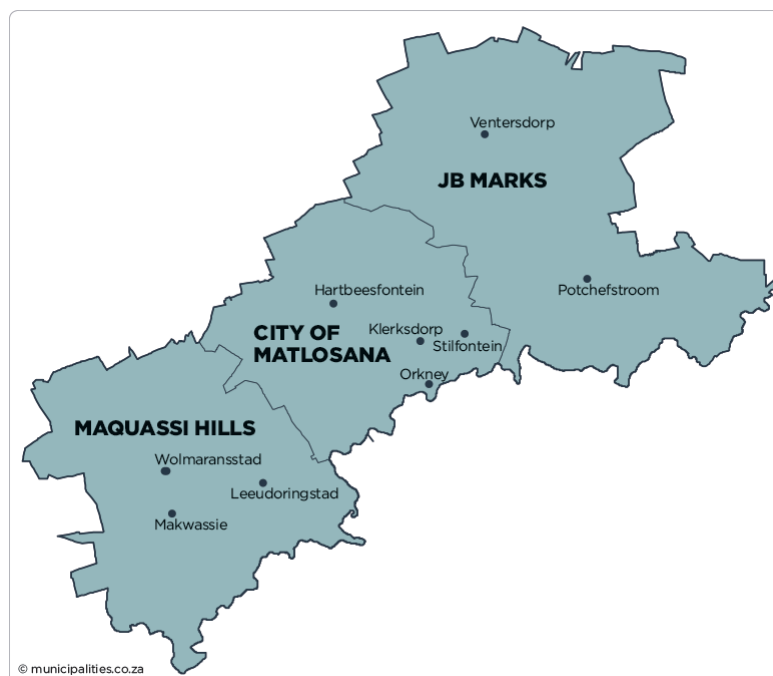


Figure 5.1: Geographic profile of Matlosana

Source: Dr. Kenneth Kaunda District Municipality, 2020

5.2.1 Geographic profile

The CoM is adjoined by the Ngaka Modiri Molema District in the north, the Free State Province in the south, JB Marks Local Municipality in the east, and Maquassi Hills Local Municipality in the west. It is the smallest of the three municipalities that constitute the Dr Kenneth Kaunda district and comprises an area of 3 602 km². It consists of the towns Hartbeesfontein, Klerksdorp, Orkney and Stilfontein.

5.2.2 Demographic profile

“Demographics” or “population characteristics” consist of an analysis of the population of a region. Distributions of values in a demographic variable, and across households, in addition to trends over time are of interest. In this section, a synopsis is provided of the demography of the CoM and all its neighbouring regions, Dr Kenneth Kaunda District Municipality, North West Province and South Africa as a whole. Population statistics is vital when evaluating an economy, as the population growth directly and indirectly influences employment and unemployment, along with other economic indicators like economic growth and per capita income.

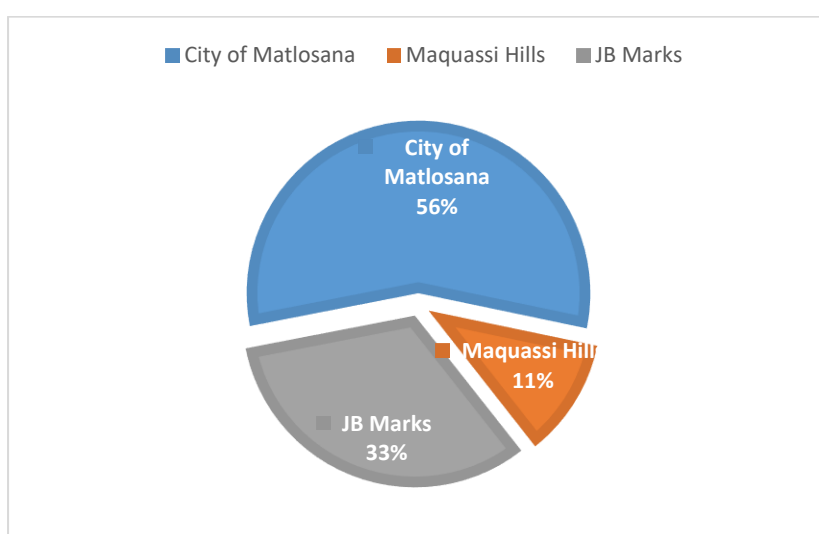


Figure 5.2: Total population of Dr Kenneth Kaunda District Municipality

Source: IHS Markit Regional Data (2022)

Table 6.1 outlines population projections and illustrate the position of the CoM in terms of district, provincial and national projections. The CoM accommodated 0,8% of South Africa’s total population in 2017 with 425 000 people. Weighed against Dr Kenneth Kaunda’s average yearly growth rate of 1,48%, the growth rate in City of Matlosana’s population at 1,11% was marginally lower than that of the district municipality.

Table 5.1: Population projections: CoM, Dr Kenneth Kaunda District Municipality, North West Province and national totals (2017-2022)

Year	City of Matlosana	Dr Kenneth Kaunda	North West	National Total	City of Matlosana as % of district municipality	City of Matlosana as % of province	City of Matlosana as % of national
2017	425 000	755 000	3 850 000	56 500 000	56,3%	11,1%	0,75%
2018	430 000	765 000	3 900 000	57 400 000	56,2%	11,0%	0,75%
2019	435 000	775 000	3 960 000	58 100 000	56,1%	11,0%	0,75%
2020	440 000	785 000	4 010 000	58 900 000	56,0%	11,0%	0,75%
2021	444 000	794 000	4 060 000	59 600 000	56,0%	10,9%	0,74%
2022	449 000	803 000	4 110 000	60 400 000	55,9%	10,9%	0,74%
Average annual population growth							
2017-2022	1,08%	1,23%	1,32%	1,32%			

Source: IHS Markit Regional Data (2022)

The population prediction of CoM displays a projected average annual growth rate of 1,1% between 2017 and 2022. The average yearly growth rate in the population over the projection period for Dr Kenneth Kaunda District Municipality, North West Province and South Africa is 1,2%, 1,3% and 1,3% correspondingly. The North West Province

is expected to have an average growth rate of 1,3% which is very comparable to that of the CoM. South Africa as an aggregate is estimated to have an average twelve-monthly growth rate of 1,3% which is in comparison with that of the CoM's projected growth rate.

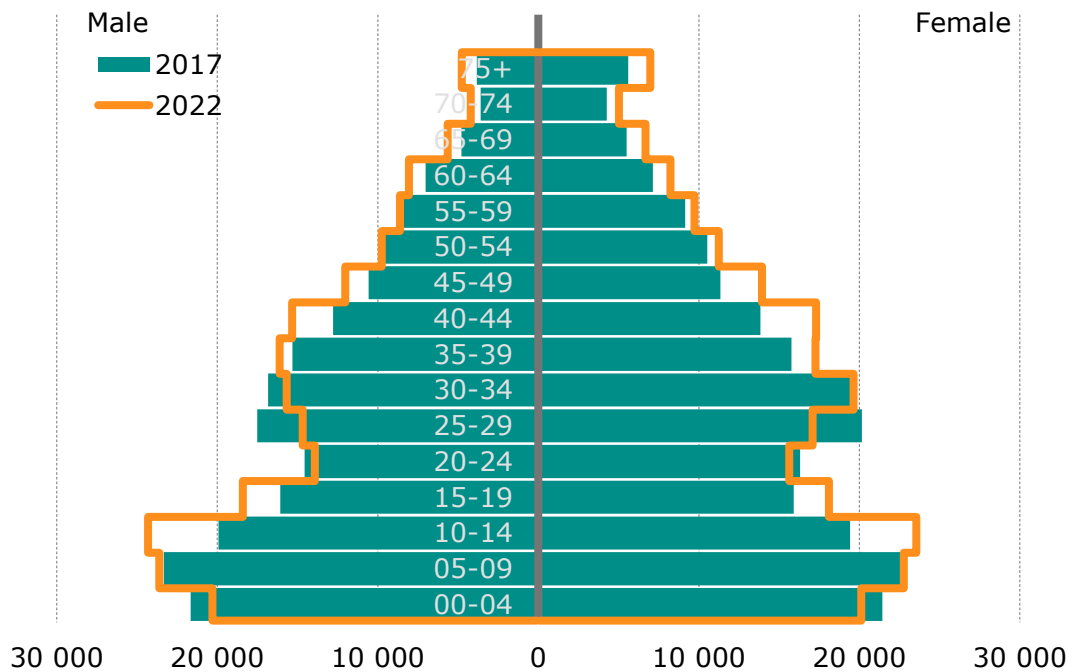


Figure 5.3: Population pyramid of the CoM (2017-2022)

Source: IHS Markit Regional Data (2022)

The population pyramid suggests a projected change in the formation of the population from 2017 and 2022. The differences can be clarified as follows:

- In 2017, there was a considerably larger share of young working age people between 20 and 34 (24,7%), compared to what was estimated for in 2022 (21,5%). This age category of young working age population will decline over time.
- The fertility rate in 2022 is estimated to be slightly higher compared to that faced in 2017.
- The segment of children between the ages of 0 and 14 years is anticipated to be slightly smaller (30,0%) in 2022 when matched to 2017 (30,2%).

With the African population group representative of 82,6% of the CoM's overall population, the inclusive population pyramid for the area will habitually reflect that of the African population group. The chart below parallels the CoM's population structure of 2017 to that of the rest of South Africa.

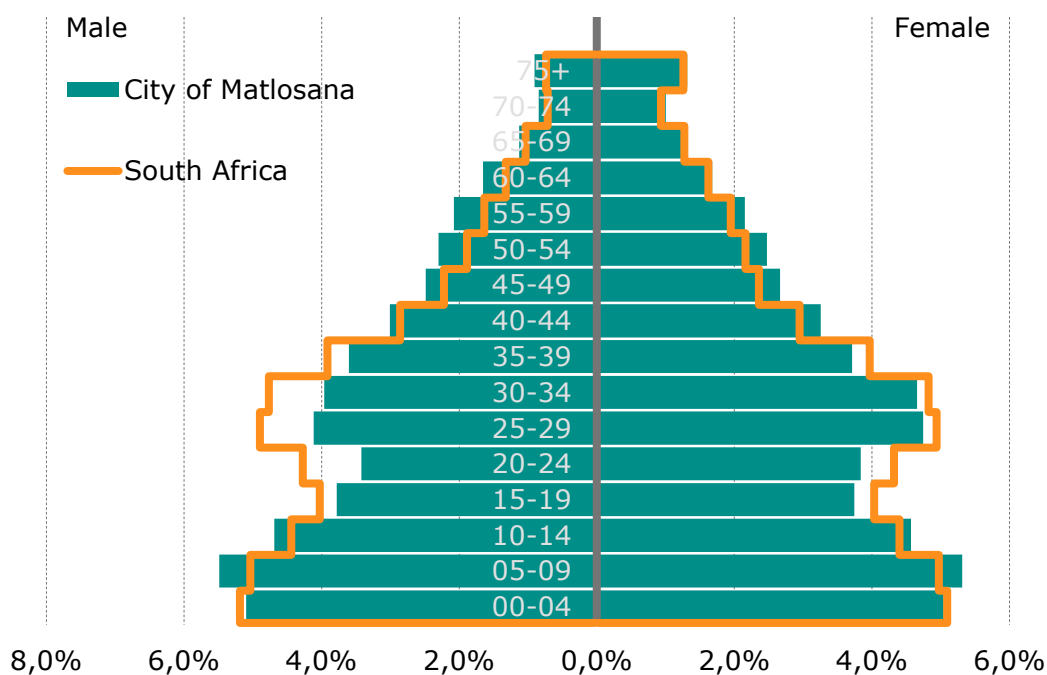


Figure 5.4: Population pyramid of the CoM in comparison with South Africa

Source: IHS Markit Regional Data (2022)

By assessing the population pyramid of the CoM with the nationwide age structure, the most noteworthy differences are:

- There is a substantial smaller segment of young working age people – aged 20 to 34 (24,7%) – in the CoM, equalled to the national representation (28,0%).
- The area appears to be a migrant sending area, with numerous people migrating to bigger cities for job opportunities.
- Fertility in the CoM is to some extent higher compared to South Africa as an aggregate.
- Spatial policies reformed since the birth of democracy in 1994.

- The segment of children between the ages of 0 and 14 years is considerably larger (30,2%) in the CoM related to South Africa (29,1%). The request for expenses on schooling as a percentage of the total budget in the CoM will thus be higher than that of South Africa.

5.2.3 Economic profile

The economic status of the CoM is assessed by comparing it on a spatial degree with its neighbouring locals, Dr Kenneth Kaunda District Municipality, North West Province and South Africa. The CoM does not function in isolation from Dr Kenneth Kaunda, North West Province, South Africa and it is vital to have dependable information on its economy for efficient planning through their Integrated Development Plan. Information is required that will enable the municipality to plan and implement policies that will boost economic growth of the people and industries in the municipality correspondingly. The CoM grew at an average annual rate of 1,19% from 2017 to 2022. The average annual growth rate in the GDP of Dr Kenneth Kaunda District Municipality and North West Province is 1,51% and 2,06% correspondingly. South Africa was predicted to grow at an average yearly growth rate of 2,02%, which is greater than that of the CoM.

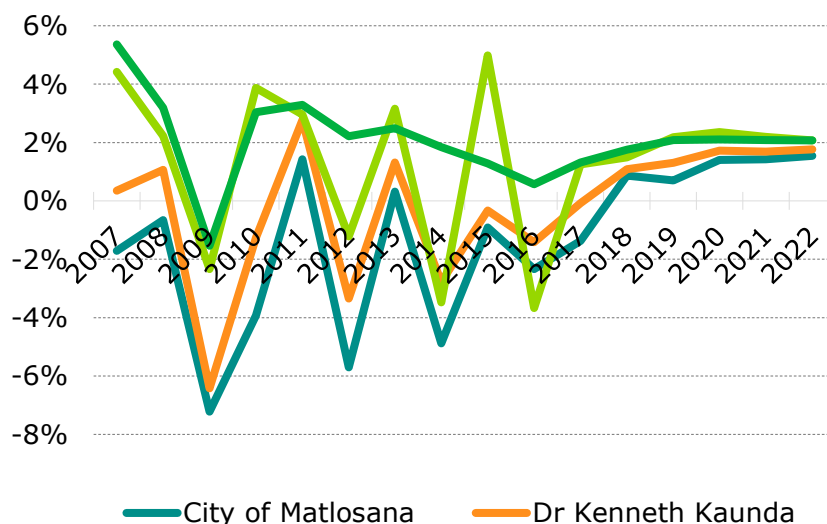


Figure 5.5: Gross Domestic Product (GDP): CoM, Dr Kenneth Kaunda, North West and national totals (2007-2022)

Source: IHS Markit Regional Data (2022)

In 2022, CoM's estimated GDP will be a projected R21 billion (constant 2010 prices) or 54,2% of the total GDP of Dr Kenneth Kaunda District Municipality. The City rated the lowest evaluated against other regional economies.

5.2.3.1 Economically Active Population (EAP)

The economically active population (EAP) is a good indicator of how many of the overall working age population are contributing to the labour market of a region. If an individual is economically active, he or she forms part of the labour force.

The CoM's EAP was 151 000 in 2017, which is 35,59% of its total population of 425 000, and approximately 57,68% of the aggregate EAP of the Dr Kenneth Kaunda District Municipality. From 2007 to 2017, the average annual reduction in the EAP in the CoM was -0,39%, which is 0,545 percentage points less than the growth in the EAP of Dr Kenneth Kaunda's for the equivalent period. This is mainly due to the closing of the mines in the area.

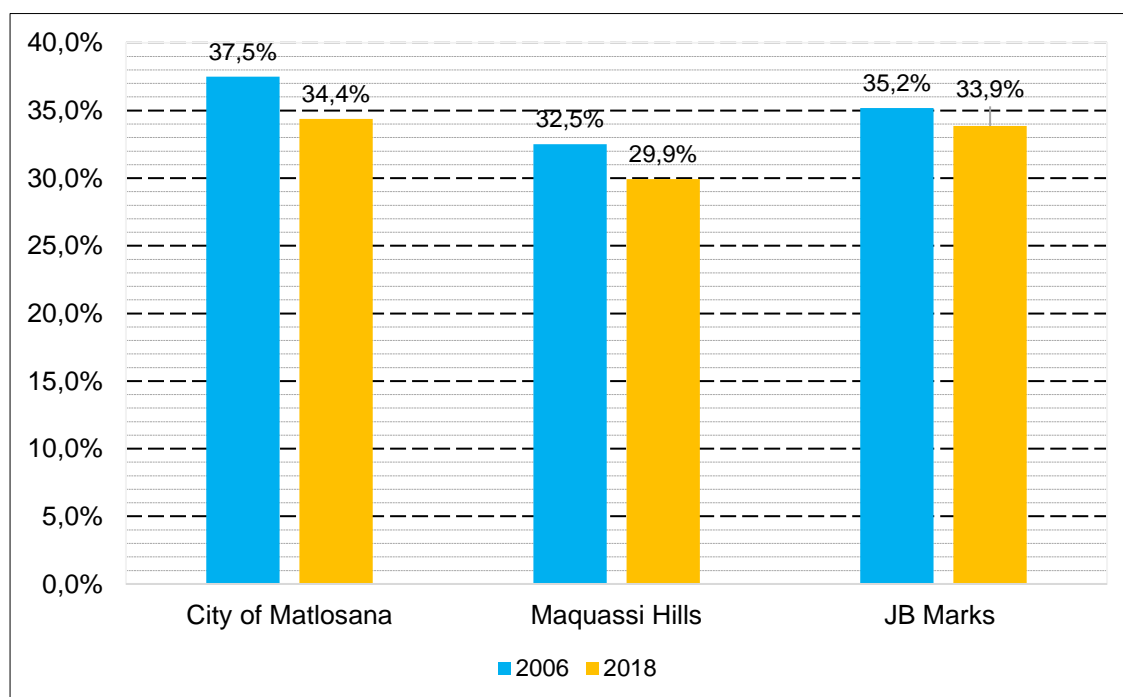


Figure 5.6: Economically active population: Dr Kenneth Kaunda District Municipality (2006-2018)

Source: IHS Markit Regional Data (2022)

The percentage of economically active population noted a decrease in all the local municipalities of Dr Kenneth Kaunda District Municipality between 2006 and 2018. The CoM had the biggest percentage of those economically active at 37,5% in 2006 and 34,4% in 2018 while Maquassi Hills Local Municipality had the minimum percentage.

5.3 RESEARCH METHODOLOGY

Through the use of scientific methods, research aims to find answers to open-ended questions. Finding the truth – which is hidden and has not yet been discovered – is the primary goal of study (Kothari, 2004:2). A research technique, according to Henning *et al.* (2013:17), questions how the researcher can go about learning whatever can be believed or known. Methods, techniques, and processes used to carry out the study design or research plan are referred to as research methodologies (Franklin, 2012:248).

This study focused on the public participation process within the IDP cycle of the CoM. A secondary focus point is to locate international and national local government best practices in facilitating effective public participation within development planning processes. Against this background a desktop survey was used to determine what methods of public participation municipalities typically utilise in the IDP cycle. Previous studies into local government public participation within the IDP cycle in South Africa have demonstrated that there is a limited amount of literature on this topic. However, the material that is currently available has demonstrated the predicament that South African municipal government is in. The analysis' findings will be utilised to create a model that would help IDP practitioners not only in the case study but also in South Africa's larger local government sector. After the study is concluded, the created recommendations will be given to many South African local authorities for their feedback. The study and suggestions will then be adjusted as needed to take these comments into account. This will be carried out to guarantee the proposals' applicability in the South African environment.

5.3.1 Research design

Babbie and Mouton (2002:74) provide a useful definition of research design as “a plan or blue print of how you intend conducting the research”. According to them the value of the case study approach is that it allows the researcher to “observe the

characteristic of an individual unit – a child, a clique, a class, a school or a community”. Sources of data, conceptualisation and critical strategies are informed by the case study design in this study. The study implemented a qualitative research design.

Developing an understanding of the meaning and experience aspects of people’s lives and social environments is a goal of qualitative research. Whether the study participants’ subjective meanings, actions, and social circumstances are clarified is essential to excellent qualitative research (Fossey *et al.*, 2002:717). “Qualitative research consists of a series of interpretive, tangible actions that make the world visible,” assert Denzin and Lincoln (2011:3). It attempts to make sense of things in terms of the meanings individuals ascribe to them and is basically interpretive in nature. This interpretive study assumed a single case study design. The CoM was selected as a case study. Case studies are helpful when focusing on new developments, according to Yin (2009:2). Therefore, this study was aimed at developing a model, which will not only assist IDP practitioners in local government in South Africa but also provide a framework for fostering public participation effectively in all the phases of the IDP cycle. Due to its “capacity to cope with a full diversity of evidence documents, artefacts, interviews, and observations,” a case study approach was chosen for this study (Yin, 1994:8). This case study approach was selected because it is receptive to the use of theory or conceptual classifications that guide the research and analysis of data (Meyer, 2001:331). The rationality of case studies, in Meyer’s opinion (2001:333), includes theoretical sampling, the goal of which is “to select cases that are predicted to replicate or extend the emerging theory or to fill theoretical categories.” As a result, this methodology enabled the researcher to conduct strategic informant interviews and document analyses.

The CoM was selected because it has not used a public participation model in their IDP process regardless of the fact that it is an emerging tool that is gaining momentum. This makes the CoM a noteworthy case study provided a public participation model for the utilisation in the IDP process will be developed in the sections below.

5.3.2 Data collection methods

Two methods for data collection were employed, namely semi-structured interviews with key informants and document analyses. Semi-structured interviews as data

collection instrument were chosen because of its flexibility in the discussion by the interviewee on the topic. Semi-structured interviews, according to Walter (2013:236), should include both closed and open-ended questions. Open-ended and closed questions derived from the literature research completed in Chapters 2 through 4 were included in the established interview schedule for this study.

The interview schedule was conducted to warrant that the formulated questions were comprehensible. A total of 13 semi-structured interviews with participants were conducted ($n=13$) to obtain rich data and thick descriptions of the constructs of this study. An interview schedule was designed due to the desktop survey and conceptual perspectives obtained in the prior chapters. To verify understanding and validity of the instrument, a smaller sample of the target population was used to pre-test (pilot) this schedule.

The schedule consisted of closed and open-ended questions. Semi-structured interviews and subsequent electronic (e-mail) follow-up interactions for clarifications allowed the researcher to obtain a comprehensive perspective of the status of participation processes. Document analysis may be used as a research tool to “gather, record, analyse or construe material from secondary sources such as periodicals, texts, news, journals and official government publications,” according to Mogalakwe (2006:221). He claims that “documents range from public through private to personal documents” and stated that “the list of public document sources includes government publications such as Acts of Parliament, policy statements, census reports, statistical bulletins, reports of commissions of inquiry, ministerial or departmental annual reports, consultancy reports, etc. Private documents often emanate from civil society organisations such as private sector businesses, trade unions and non-governmental organisations, as well as of course from private individuals. They include minutes of meetings, board resolutions, advertisements, invoices, personnel records, training manuals, interdepartmental memos and other annual reports”.

Primary literature was used as the foundation of the research. To discover the most recent advancements on this subject, literature such as books, governmental and international papers, conference proceedings and research reports were consulted. A preliminary analysis revealed that there was enough information and literature available to carry out this topic’s investigation. As many municipal authorities use the

internet as a means of communication with their constituents, a significant amount of information can be found there. The information that was gathered was evaluated.

A thorough analysis of the existing literature was done in addition to the statutes and the interviews to advance the investigation. A minimal quantity of research on this topic is accessible, according to earlier investigations into South African local government public participation within the IDP cycle. However, the material that is available has demonstrated the predicament South African municipal government finds itself in.

The findings will then be applied to the creation of a model that will empower IDP practitioners in South African local government and offer a framework for successfully promoting public participation throughout the IDP cycle. The following databases have been consulted to ascertain the availability of material for the purpose of this research:

- Catalogue of theses and dissertation of South African Universities (NEXUS)
- Catalogue of books: Ferdinand Postma Library (North-West University)
- Index to South African Periodicals (ISAP)
- EBSCO Academic Search Elite

5.3.3 Sampling

The population represents the complete set of cases from which the researcher's sample is drawn. Because researchers lack the resources and time to analyse the entire population, they use sampling techniques to decrease the number of cases (Taherdoost, 2016:18). Purposive sampling was utilised in this study. The purposeful selection of a participant is a component of the judgment sampling method, which is also known as purposive sampling. This method is non-random and does not require underlying theories or a predetermined number of participants (Etikan *et al.*, 2016:2). According to Teddlie and Yu (2007:77), purposive sampling techniques are primarily employed in qualitative investigations and can be defined as the selection of units based on specific objectives related to addressing the issues of a research study.

Dooley (2004:136) suggests that in purposive sampling, individuals are chosen based on certain criteria. The researcher "has to be clear in his or her mind what the criteria are that will be relevant to the inclusion or exclusion of respondents for the purposes of analysis and refinement" (Bryman, 2012:418).

Participants from the CoM was purposively selected based on their direct involvement and responsibility towards shaping the Integrated Development Plan and was clustered as Cohort 1. This study further includes interviews with IDP managers of surrounding municipalities in the Kenneth Kaunda District clustered as Cohort 2 and lastly interviews were extended to provincial government where interviews with officials from the IDP unit at COGTA were conducted and clustered as Cohort 3.

The inclusion of Cohort 2 and Cohort 3 in this study was due to the fact that the role players had relevance to this study and could contribute largely to the corpus of data. This inclusion of Cohort 2 and 3 was valuable in cross referencing inputs of participants. The following semi-structured interviews were conducted to enrich the depth of the data gathered in support of this study:

Cohort 1: Officials and councillors of City of Matlosana

- Executive mayor: City of Matlosana
- Speaker of council: City of Matlosana
- Municipal manager: City of Matlosana
- Senior managers: City of Matlosana

Cohort 2: IDP managers of Dr Kenneth Kaunda and Maquassi Hills

- IDP managers: Dr Kenneth Kaunda District Municipality and Maquassi Hills local municipality

Cohort 3: Officials of provincial COGTA

- Director: Development and Planning (Provincial COGTA)
- Deputy director: Development and Planning (Provincial COGTA)

Table 5.2 specifies the biographical details of the participants as attained in the consent forms and the interview schedules.

Table 5.2: Participants' profile

Participants (PS)	Biographical details
COHORT 1: Officials and councillors of Matlosana	
Participant 1 (PS1)	Executive mayor, City of Matlosana
Participant 2 (PS2)	Speaker of council, City of Matlosana
Participant 3 (PS3)	Municipal manager, City of Matlosana
Participant 4 (PS4)	Acting director: Community Services, City of Matlosana
Participant 5 (PS5)	Deputy director: Budget and Treasury, City of Matlosana
Participant 6 (PS6)	Acting director: Infrastructure, City of Matlosana
Participant 7 (PS7)	Director: Public Safety, City of Matlosana
Participant 8 (PS8)	Deputy director: Electrical Engineering, City of Matlosana
Participant 9 (PS9)	Assistant director: Internal Audit, City of Matlosana
COHORT 2: IDP managers from Dr Kenneth Kaunda and Maquassi Hills	
Participant 10 (PS10)	Integrated Development Planning manager, Dr Kenneth Kaunda District Municipality
Participant 11 (PS11)	Integrated Development Planning manager, Maquassi Hills local municipality
COHORT 3: Officials of COGTA	
Participant 12 (PS12)	Director: Development and Planning: Department of Cooperative Governance and Traditional Affairs, North West Provincial Offices
Participant 13 (PS13)	Assistant director: Development and Planning: Department of Cooperative Governance and Traditional Affairs, North West Provincial Offices

The participants' profile specifies the number and managerial positions of participants in relation to their departments, experience and highest qualification. All of the participants are managers responsible for IDP in their respective units, components and directorates. The profile also indicates the academic background of the participants as a foundation towards determining managerial competencies.

5.3.4 Data presentation and methods of analyses

Creswell (1994:153) perceives that qualitative analysis involves "sorting the information into categories, formatting the information into a story or picture and actually writing the qualitative text". Yin (1994:41) also claims that data analysis entails "examining, categorising, tabulating or recombining the evidence to address the initial propositions of a study". This study used thematic analysis as a qualitative data analysis technique.

5.3.4.1 Thematic analysis

Thematic analysis was used to submit and analyse the data that were mostly gathered from key informant interviews. Thematic analysis, as defined by Guest *et al.* (2011:10), "progresses beyond counting specific words or phrases to discover and describe implicit and explicit ideas within the data or themes". The selected themes are then represented by codes, which are subsequently applied to the raw data as summary markers for later analysis. In essence, the purpose of a thematic analysis is to discover themes, i.e. relevant or intriguing patterns in the data, and to use these themes to address the research or to say something about an issue (Maguire & Delahunt, 2017:3353).

"Thematic analysis implies that the recorded communications themselves (i.e. the texts) represent the data," according to Neuendorf (2019:212), hence, the goal is to identify themes from the relevant texts and translate the codes into a systematic code table. Most of the themes were obtained from the study questions, and some of them were used to depict recurrent thoughts and impressions of the primary informants. Thus, what Braun and Clarke (2006:84) refer to as "semantic and hidden concepts" were subjected to thematic analysis. The researcher "was not seeking for anything beyond what a participant has said or what has been written" when working at the semantic level, which included analysing data "within the explicit or surface

interpretations of the data” (Braun & Clarke, 2006:84). “Identifying or investigating the underlying concepts, assumptions, and conceptualisations – and ideologies – that are theorised as informing the semantic content of the data” was part of the latent method (Braun & Clarke, 2006:84).

5.4 ETHICAL CONSIDERATIONS

Ethical clearance was obtained from the Ethics Committee of North-West University with ethics number NWU-00244-19-A7. Permission from the gatekeepers was granted and consent was given for scheduled appointments with selected key informants. The anonymity of all participants was guaranteed. No participant will be identified by name or role in the study; rather, the findings of the interviews will be provided as a group.

5.5 LIMITATIONS OF THE STUDY

Some of the restrictions encountered during the research include the following:

- The occurrence of the COVID-19 pandemic in 2019, which continued in subsequent years, resulted in some of the face-to-face interviews being conducted virtually. This situation made the interview process to be impersonal. Unstable internet connections during the virtual interviews were also a challenge.
- Despite the interview schedule being pre-tested, several participants insisted on receiving the interview questions ahead of time so they could ensure they understood the content. In these situations, the schedule was e-mailed. It became clear throughout the face-to-face interviews that these individuals were often better equipped to provide insightful and thorough feedback.
- Due to urgent government job obligations, some participants could not participate. As an illustration, the research and the local elections were conducted simultaneously. This resulted in a delay as the newly elected politicians had to be interviewed and their schedules did not initially allow it after inauguration. However, most of the interviews were rescheduled once the situation stabilised. Although not within the anticipated time frame, a participation percentage of 100% was eventually attained with government officials.

5.6 RESEARCH FINDINGS

The conclusions presented in this section are supported by the views and assertions made by participants in semi-structured interviews. In the course of the interview, standard open-ended questions were formulated in advance. Two components made up the timetable for the key informant interviews. The participants' profiles were compiled in the first phase, which included:

- Gender
- Job title or current position
- Years of experience in the industry
- Years of experience in the present position
- Highest qualification

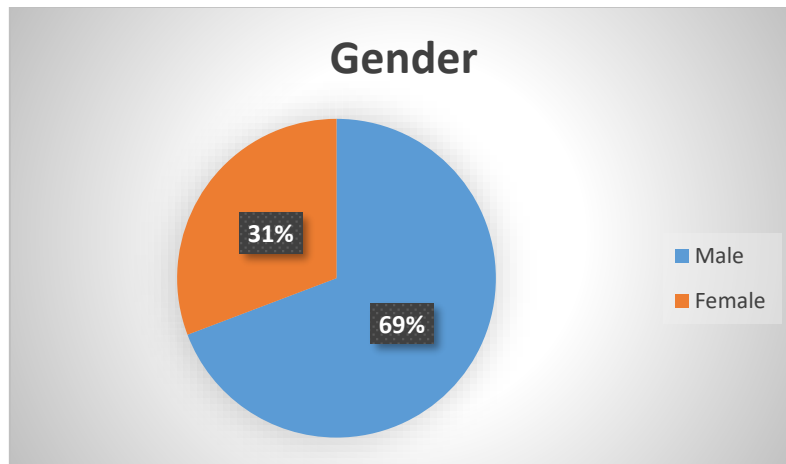


Figure 5.7: Participants' gender composition

Male = 9

Female = 4

As can be seen from Figure 5.7 men composed of approximately three quarters of the participants (69%) while women composed of nearly a quarter (31%).

Table 5.3: Years of experience of participants

	1-5 y	6-10 y	11-15 y	16-20 y	20+ y	Total
Number of years in current position	7	0	4	2	0	13
Number of years in local government	3	1	4	3	2	13

Only three of the significant informants, as previously mentioned, had between one and five years of experience in the same industry, whereas nine had more than ten years. All of the respondents who were interviewed were employed by the government. The data reveal that none of the key informants had the same experience in their current jobs, despite the fact that two of them had over 20 years of expertise in their respective industries. Table 5.3 also displays a wealth of knowledge in both theoretical and practical dimensions. In their current roles, more than half of key informants had one to five years of experience.

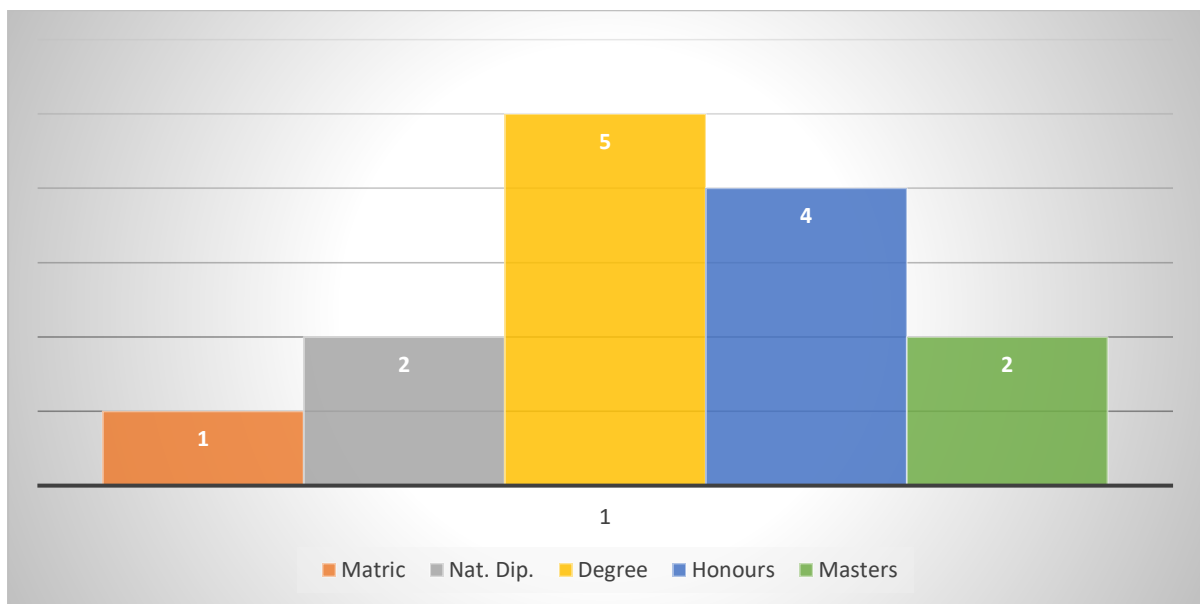


Figure 5.8: Highest qualification of participants

The qualification level of participants indicated that 12 out of 13 had post-matric qualifications which is adequate to make meaningful input into this study. All qualifications were also relevant to the study of IDP and participants provided insightful information.

5.6.1 Current public participation practices within the IDP process

The subsequent table and discussions underscore the responses of participants in relation to the first set of questions which were intended to ascertain current public participation practices within the IDP process. Tukey and Tufte (2015:1) consider the part-to-whole analysis as the categorical subdivisions in research analysis that measure the ratio to the whole (viz. a percentage out of 100%). The responses are delineated in the formula of values and percentages. Participants' opinions are documented in comparative ratios against the total number of participants who participated in the research. The percentages were analysed on the basis of the following formula:

$$\frac{\text{The participants' opinions (PO)}}{\text{The total number of participants (13)}} \times 100$$

The formula above indicates the values of the participants' opinions (PO) out of the entire number of participants ($n=13$) who participated in the research multiplied by 100 to establish the percentage as per part-to-whole analysis. An equivalent formula is utilised for the analyses of all finding categories.

The interview schedule provided for data collection regarding the managerial considerations in constructing and executing a public participation model. The subsequent examination seeks to analyse the participants' understandings on managerial considerations. The discussions will be accentuated with the use of tables and charts as a method of conveying the participants' opinions.

Q1. Public participation in the IDP process involves undertaking activities which must follow prescribed processes and procedures in accordance with the established guidelines. What guidelines do your institution follow in undertaking its public participation activities and how does the institution enforce compliance with or adherence to these guidelines?

This question intended to establish whether one of the secondary objectives of this study, namely to analyse the statutory and regulatory frameworks for integrated development planning in the South African local government sector, was considered. All participants (100%) agreed that the public participation process should follow prescribed processes and procedures. The guidelines mentioned by participants are:

- Chapter 5 of Municipal Systems Act no 32 of 2000.
- Municipal Planning and Performance Management Regulations of 2000
- Municipal Financial Management Act of 2000
- Municipal Structures Act of 1998
- IDP Process Plan established according to Sect. 28-29 of the MSA
- Non-legislated guidelines are the IDP Guide Pack of 2002.

Participants from Cohort 1 believe that there must be adherence to the IDP process plan, as well as the budget and IDP time schedule. In local government, the IDP process plan plays a vital role with regard to public participation timelines as the time schedule of all IDP stages is set out in the process plan.

Cohort 2 participants stressed enforcement of compliance. As the district municipality does not conduct public participation meetings with its community, they only oversee the local government process and ensure compliance with the above-mentioned legislation.

Cohort 3 participants explained that the Department of Cooperative Governance and Traditional Affairs enforces compliance for public participation by its locals by ensuring the IDP undergo all public participation processes during the IDP assessments. If a municipality did not ensure public participation, the Department (COGTA) will advise them to review the process and follow guidelines through the MEC comments that are legal according to the Municipal Systems Act.

Q2. What are the obstacles hindering public participation in the IDP needs analysis (stage 1) within your institution, and how does the institution ensure that the identified needs are met?

Through this question, the researcher aimed at establishing what the impediments hampering public participation are in the initial IDP stage. The importance of Stage 1 (needs analysis) in the IDP process according to the participants are:

- To get the buy in of the community in the IDP process.
- To address real needs of the stakeholders.
- To inform the community of the budget of the municipality.
- To enhance accountability and to promote participatory democracy.

Cohort 1 participants cited the lack of funds for effective public participation and the lack of political support as the obstacles hindering the public participation process in Stage 1 of the IDP process.

Cohort 2 participants mentioned the following obstacles:

- Lack of trust in the municipality.
- Lack of interest in council affairs by community members.
- Lack of understanding of the IDP process and its importance.

Cohort 3 participants felt that the needs analysis (Stage 1) is important to solicit additional funds from other stakeholders or even to involve them in the process. The needs analysis is important for COGTA as it analyses all areas of development (governance, finance, economic development and infrastructure) and is the basis upon which proposals for development can be made. It also takes into consideration the level of growth in the municipal area's revenue to establish whether the communities are able to pay for services. Whenever a municipality is financially unstable, it is the role of COGTA to assist such a municipality, therefore the keen interest of COGTA in especially this first stage of the IDP process.

Q3. Has your institution ever imposed disciplinary measures on officials who neglected their IDP responsibilities? If yes, what were those measures? If no, why were no action taken?

This question aimed at establishing whether disciplinary action was taken on officials neglecting their IDP responsibilities.

In Cohort 1, all participants agreed that no disciplinary action was ever imposed on officials neglecting their IDP responsibilities in the municipality. Furthermore, the participants highlighted the following reasons why no action were taken:

- Lack of consequence management in the municipality.
- Lack of understanding of the IDP responsibilities of officials.
- Lack of departmental ownership of the IDP process.

It is significant in these interviews that disciplinary action was only imposed in Cohort 3 participants at provincial government (COGTA) and never at local government. In the municipal sphere, the official performance agreements of directors are the only tool to hold them responsible and accountable to their IDP role and it clearly is not effective.

Q4. What structures does your institution have to ensure effective public participation in accordance with the policies? In your view, do you think such structures are effective? Please support your response.

The question was aimed at verifying whether public participation structures currently in place are effective and 84% of participants agreed that the public participation structures currently in place are ineffective. Furthermore, the other 16% of participants highlighted the following benefits of current public participation structures:

Cohort 1 participants:

- All stakeholders of the IDP process are invited to consultative meetings.
- Participation takes place twice a year with community members.
- IDP representative forum meetings are held twice a year to engage with stakeholders.

- Community outreach programmes like radio and newspapers to solicit submissions by public members are beneficial.

Cohort 2 participants:

- The district municipality established an extended Intergovernmental Relations committee (IGR) to ensure other structures of government performed their IDP duties.

Cohort 3 participants:

- Provincial government (COGTA) has a public participation directorate led by a director in charge of the establishment and operation of all 403 ward committees in the province.

Q5. The IDP is rooted in a multi-dimensional context characterised by planning processes in the district, provincial and national spheres. Has your institution ever interacted with these government authorities on matters relating to public participation in the IDP process and what were the outcomes of such interaction/s?

This question intended to establish another secondary objective of this study, namely to uncover government best practices in facilitating effective public participation within development planning processes was examined here.

In Cohort 1 77% of participants indicated that their institution interacts with government authorities on matters relating to public participation in the IDP process, whereas the other 23% of participants believe there is no interaction. The following outcomes of such interactions were mentioned:

- Improvement in understanding IDP roles of provincial government and local government managers.
- Improved assistance by government departments in IDP related issues.
- More effective two-way-communication between the government departments, local government and the community.

Cohort 2 participants considers that the district municipality regularly interacts with provincial and local government and believe that this interaction enhances public

participation, and the outcome of the interaction area projects and programmes that are jointly implemented and oversight activities from one sphere to another.

Cohort 3 participants felt that every sphere of government clearly understands their role with regard to public participation and there is no resistance to the process.

Q6. In your opinion, what challenges does your institution face in the implementation of its public participation practices and how are these addressed or how do you think they should be addressed?

This question intended to gather views from the interviewees regarding obstacles to the efficient and successful application of current public participation approaches in local government with specific reference to the IDP cycle. All of the participants (100%) agreed that there are challenges in implementing public participation practices. Table 5.4 outlines their responses.

Table 5.4: Challenges on the implementation of public participation practices in the IDP process

Interviewee	Challenges	Solutions
Interviewee 1	COVID-19 resulted in community members not being able to gather under one roof and public participation was therefore limited.	Soliciting alternative means of public participation during COVID-19 was predominant in all local municipalities and IDP officials had to explore means like newspapers, radio and social media.
Interviewee 2	There is not enough time to engage community members in all 5 stages of the IDP process.	Engage alternative means of participation that is not as time consuming as the face-to-face meetings.
Interviewee 3	The challenge of community unrests due to political instability.	There is no permanent solution to community unrest, but constant communication with community members through politicians (ward councillor) will ensure that community members are involved

Interviewee	Challenges	Solutions
		in council processes and procedures.
Interviewee 4	Safety and security at meetings pose a challenge.	Security guards and police presence has to be visible at all public meetings for community members to feel safe and participate in council affairs.
Interviewee 5	Exclusion of some parts of the community when having public participation, usually rural parts.	It is challenging in ensuring the entire community is aware of public meetings and different means of communication for different parts of the community need to be considered.
Interviewee 6	Transport to the venue	Community members usually don't have transport to the meeting if the venue is at a remote space and transport like buses need to be arranged if you want inclusion.
Interviewee 7	Lack of understanding of their role in the IDP participation process.	The IDP process is complicated to understand for the broader public and therefore community members don't understand the importance of their role in this process and are reluctant to participate. The importance of the role of the community needs to be stressed by involving community leaders like ward councillors or traditional leaders.
Interviewee 8	Lack of interest in municipal affairs	In general, the community is not interested in council affairs except for projects taking place in their ward and therefore doesn't want to participate in the IDP process. The community need to be educated to

Interviewee	Challenges	Solutions
		fully understand their role in municipal affairs.
Interviewee 9	Community members expect catering at public meetings.	Community members feel that they should be reimbursed for their time to attend council meetings and expect food and drinks at public meetings before they will attend.
Interviewee 10	Inconsistent public participation time schedule	Due to political unrest and instability, there usually are changes to the IDP time schedule that result in all meetings not taking place as advertised. This results in community members losing interest in the process, therefore consistent meeting schedules need to be a priority to council.
Interviewee 11	Advertisements of public meetings doesn't reach the entire community.	Not all community members have access to social media, therefore alternative means of advertising like loud hailing in the street is effective in the townships.
Interviewee 12	Inconsistent community consultation throughout the five stages of the IDP process	Members of the community feel that council doesn't involve them in all the stages of the IDP process and therefore meetings should be more consistent and consultation in all 5 stages should take place.
Interviewee 13	Non-attendance from sector departments	Sector departments play an important role in the IDP process and need to be held accountable to fulfil their role in the process.

Q7. What would you say are the shortcomings of your institution in relation to the implementation of its digital public participation (e-participation) practices and what measures do you think should be employed to improve such shortcomings?

This question was aimed at obtaining information relating to shortcomings faced by the CoM in undertaking its e-participation practice and seek proposals on how such weaknesses should be improved.

In Cohort 1 100% of the participants agreed that most public managers are not trained in ICTs. Therefore, the need is to first introduce ICT training programmes and then empower them in e-participation. The other input was that e-readiness in South Africa requires “brooding” or “reawakening”. Furthermore, it was indicated that the e-readiness of public managers in South Africa is generally very low.

Inclusiveness of the entire community was also a concern raised as not everyone has access to digital platforms and therefore e-participation would have to be supplemented with alternative measures of consultation to ensure that the entire community is reached.

Cohort 2 mentioned that Dr Kenneth Kaunda District Municipality initiated free Wi-Fi in this district that allows community members access to social media where participation can take place. This is of great assistance in promoting e-participation in the district but in the rural areas this is still not assisting as there is no cell phone reception.

A valid challenge raised by Cohort 3 is the fact that government institutions have no mechanism in place to register and track inputs received from community members. Therefore, not all community concerns are effectively captured and addressed in the IDP and there also is no feedback to communities. Digital communication can assist in improving feedback to communities.

Q8. Do you think the IDP unit of your institution is adequately capacitated/resourced in such a way that it is possible to ensure comprehensive public participation? (Yes/No) If “Yes” please briefly elaborate.

With this question, the researcher aimed at establishing whether the IDP unit is adequately capacitated. Cohort 1 participants agreed that the CoM’s IDP unit is under-capacitated as there is only one (1) official in this unit and comprehensive public participation can’t take place. Cohort 2 participants feel that the district IDP unit is adequately capacitated. Cohort 3 participants are confident that the provincial IDP unit is fully staffed and public participation can take place.

Q9. According to your observation and experience, does your institution implement and comply with the prescribed public participation regulations? (Yes/No). Please elaborate on your response.

This question’s intent was to gather views on the implementation and compilation with public participation regulations.

Cohort 1 participants explained there is no approved public participation policy, hence no guideline for effective participation is in place. According to the auditor general outcomes no negative findings in terms of public participation were affected, but the participants still feel that more can be done in terms of public participation in the CoM. Cohort 2 participants from the district municipality feel that they comply to prescribed regulations and the participants from Cohort 3 (provincial government) also believe that there are enough forums in the province for effective public participation that complies with regulations.

Q10. As one of the South African public participation principles, how does your institution ensure *inclusiveness* in its participation practices?

This question aimed at establishing the secondary objective of this study – to explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation – was scrutinised with this question.

In Cohort 1 62% of participants indicated that their institution ensures inclusiveness in its participation practices whereas 38% of participants believes there is no inclusivity.

Participants in local government mentioned that inclusiveness in participation practices is a challenge but through consistent methods of targeting community members all can be reached. Methods such as ward meetings, meetings at mine villages and mayoral *imbizo*'s in informal settlements were suggested. Chapter 4 of the Municipal Systems Act (32 of 2000) guides this process.

In Cohort 2 the district municipality participants feel that their intergovernmental relations meetings ensure that all stakeholders involved in the IDP process meet at a technical level to ensure inclusiveness. In Cohort 3 the provincial government participants ensure inclusiveness by involving both district and local municipalities in all activities concerning public participation and currently they have started to include ward committees as legal structures of local government through appropriate policies.

Q11. Municipalities achieve their strategic objectives through the process of consultation with all their relevant stakeholders (communities, officials, sector departments). Does your institution deliberate its needs and related financial resources, risks, targets, performance and reporting during its strategic session? (Yes/No). Are these incorporated in the organisational strategic plan?

The secondary objective of this study – to investigate existing participation strategies and mechanisms in the IDP cycle in the CoM as a case study – was investigated via this question.

All participants of Cohort 1 (100%) agreed that the CoM deliberates its needs and related financial resources, risks, targets, performance and reporting during its strategic session and that it is incorporated in the organisational strategic plan.

Currently the CoM is busy revising its strategic plan and only a draft plan is available that poses the challenge that strategic objectives can't be broken down into Key Performance Indicators to measure targets in the SDBIP. Both participants of Cohort 2 and Cohort 3 (the district municipality and provincial government) agree that their institution deliberates its needs and related financial resources, risks, targets, performance and reporting during their strategic planning sessions. Challenges

mentioned are that objectives from strategic plans are not broken down into IDPs and do not always inform projects.

Q12. In your observations, what strategic and operational challenges do your institution have and what recommendations would you make for the development of a strategic framework and operational guidelines?

This question intended to verify whether participants understand that IDP is both a strategic and an operational function and also obtain their views on aspects they regard as strategic and operational. The participants' responses are outlined in Table 5.5.

Table 5.5: Interviewees' responses: strategic and operational aspects of IDP process

Interviewees	Strategic aspects	Operational aspects
Interviewee 1	Planning, budgeting, management, decision making.	The actual IDP process, compliance and reporting.
Interviewee 2	Planning, funding, establishing and maintaining a skilled labour force guided by policies to function optimally towards the delivery of services to communities.	IDP processes, review of internal policies, manuals and reporting.
Interviewee 3	Local knowledge is combined with the knowledge of technical experts.	Facilitation of the IDP process and reporting.
Interviewee 4	Planning, deciding on priorities and resources, fostering sound and productive labour relations.	IDP processes, policies and reporting.
Interviewee 5	Planning, encouraging the involvement and collaboration of communities and stakeholders through working together to achieve good governance in an integrated manner.	Day-to-day activities, IDP processes, execution of actual public participation and reporting.

Interviewees	Strategic aspects	Operational aspects
Interviewee 6	Service delivery delays are overcome through consensus building within given time periods.	All IDP activities and functions.
Interviewee 7	Providing the tools of trade, support, enforce consequent management, modernisation of existing manual systems and ensuring data integrity in order to rely on data intelligence for planning and execution of programmes.	Day-to-day IDP activities, policies, modernising systems, people, actual public participation, processes and ensuring compliance.
Interviewee 8	All the matters that impact on the achievement of strategic objectives. Creating an enabling environment for economic growth, rural development and employment opportunities.	Day-to-day IDP functions, processes and reporting.
Interviewee 9	Most effective and efficient use is made of scarce resources.	All IDP activities and functions.
Interviewee 10	Planning and budget.	Facilitation of the IDP and budget process and reporting.
Interviewee 11	Both the underlying causes and symptoms of service delivery problems are addressed	Processes, policies, actual public participation and reporting.
Interviewee 12	IDPs are not planned and budgeted in isolation, but rather integrated from the start with other complementary sectors.	Day-to-day activities, processes, execution of actual public participation and reporting.
Interviewee 13	Targeted recruitment of human resources in line with the IDP imperatives.	Processes, the actual IDP process, compliance and reporting.

All Cohort 1 participants (100%) agreed that the CoM has strategic and operational challenges and mentioned the fact that currently no strategic plan is approved for the municipality. The following recommendations were made:

- The municipality should consult the national IDP guidelines currently being reviewed to address challenges.
- Departments have their own strategic plans that are not incorporated into the IDP.

Operational challenges are the Key Performance Indicators (KPIs) not communicated to stakeholders in time and these KPIs are then implemented without any input.

5.7 DRAFT PUBLIC PARTICIPATION MODEL: THEORETICAL FRAMEWORK

In the overarching theoretical framework, the data sets contained in all chapters are triangulated to be incorporated into the model. The primary and secondary research objectives were utilised as baseline for this model. The illustrations below reflect the rationale for the design and content of the model. Each “data set” emanating from the respective chapters was thus utilised to populate the draft model. The draft model (Figure 5.10) was presented to participants to obtain their input regarding its design and to validate its content.

Primary objective: To draft a comprehensive model which will aid local government in South Africa to foster public participation in the Integrated Development Planning cycle of local government

RO1: What are the philosophical and theoretical foundations of local democracy and public participation?

In Chapter 2 it was deliberated that the theoretical foundations of this study are the Social Exchange Theory and General Systems theory. The hypothesis of Social Exchange theory is that stakeholders institute and continue social relations and devote time in public participation on the base of their anticipations that these relations will be communally beneficial. The principles of the Social Exchange theory as an ethical basis of democratic ideology form a continuous theme in the study and are directly linked to voter confidence. General Systems theory is ideally suited to present more in-depth insight into the development of democracy and public participation.

RO2: What are the statutory and regulatory guidelines that define the foundations of local democracy and the functionality of the public participation process in terms of integrated development planning in the South African local government sector?

In Chapter 3, the chronicles of development were traced to make sense of current development planning imperatives of government. This analysis included classical, new-classical and contemporary thought as well as an assessment of the influence of political ideologies on the dominant opinion of the role of government in development in particular contexts. Ideological perspectives assisted to ascertain the nature of the dominant development paradigm currently in South African local government as the locus of this study. It was thus imperative to establish how global, continental, regional and national development frameworks informed (and still informs) local government's role in integrated development planning.

RO3: Which criteria define the role of public participation within the broader context of the local government sphere of South Africa as a democratic developmental state?

Chapter 2 addressed the normative propositions of local democracy and public participation within the context of South Africa as a democratic developmental state by means of literature review, with a particular focus on the role of public participation within the local government sphere and the effectiveness therefore within the IDP cycle. Democracy and development should supplement each other in fostering the capacity of the state. In the framework of the study, the democratic developmental state occurs to ensure that community-based participating mechanisms give effect to the socio-economic development in societies.

RO 4: What are the theoretical and regulatory guidelines that define the functionality of the integrated development planning process in the South African local government sector?

In Chapter 4 the theoretical and regulatory guidelines defining the functionality of the IDP process were discussed. Municipalities are guided by legislation and must act within the precincts of it to provide basic services and perform their administrative obligations in an efficient and structured manner. Some of the most significant legislation discussed in Chapter 4 are: Local Government Transition Act 209 of 1993 (LGTA), Development Facilitation Act 67 of 1995, The Constitution of the Republic of South Africa, 1996, The White Paper on Local Government, 1998, Local Government: Municipal Structures Act 117 of 1998, Local Government: Municipal Systems Act 32 of 2000, Local Government: Municipal Finance Management Act 56 of 2003 (MFMA), Traditional Leadership and Governance Framework Amendment Act 41 of 2003, Intergovernmental Relations Framework Act 13 of 2005 (IGR).

RO 5: What are the international and national local government best practices in facilitating effective public participation in the development planning process?

In Chapter 3 particular community participation practices that a country like South Africa can seize from international best practices are:

South Korea's socio-economic model can be categorised into empowerment of citizens, accelerated rural development, incentivising growth through diversity, and enhancing coordination and implementation of policies and development plans.

Community participation practices that countries like South Africa can mirror from Indonesia can be categorised into inclusive development strategies, accomplishing long-term planning goals, and decentralised government planning.

The significance of the deployment of e-government in France is to provide e-services to the public and business through the support of the internet.

In Rwanda, community participation is structured through indirect citizen participation procedures of elected local councils, known as "*Inama Njyanama*", which also governs the organisation and operation of decentralised administrative entities.

RO 6: What are the institutional challenges associated with the effectiveness of public participation in the IDP cycle of the CoM?

The following disparities in the IDP public participation process emanated from a robust literature review in Chapter 4:

Inadequate public participation, lack of alignment, lack of institutional capacity, deficient development initiatives, lack of monitoring and review, lack of understanding of governance processes, language barrier, political power games, government officials impeding the process, "gate-keeping", reinforcement of current inequalities.

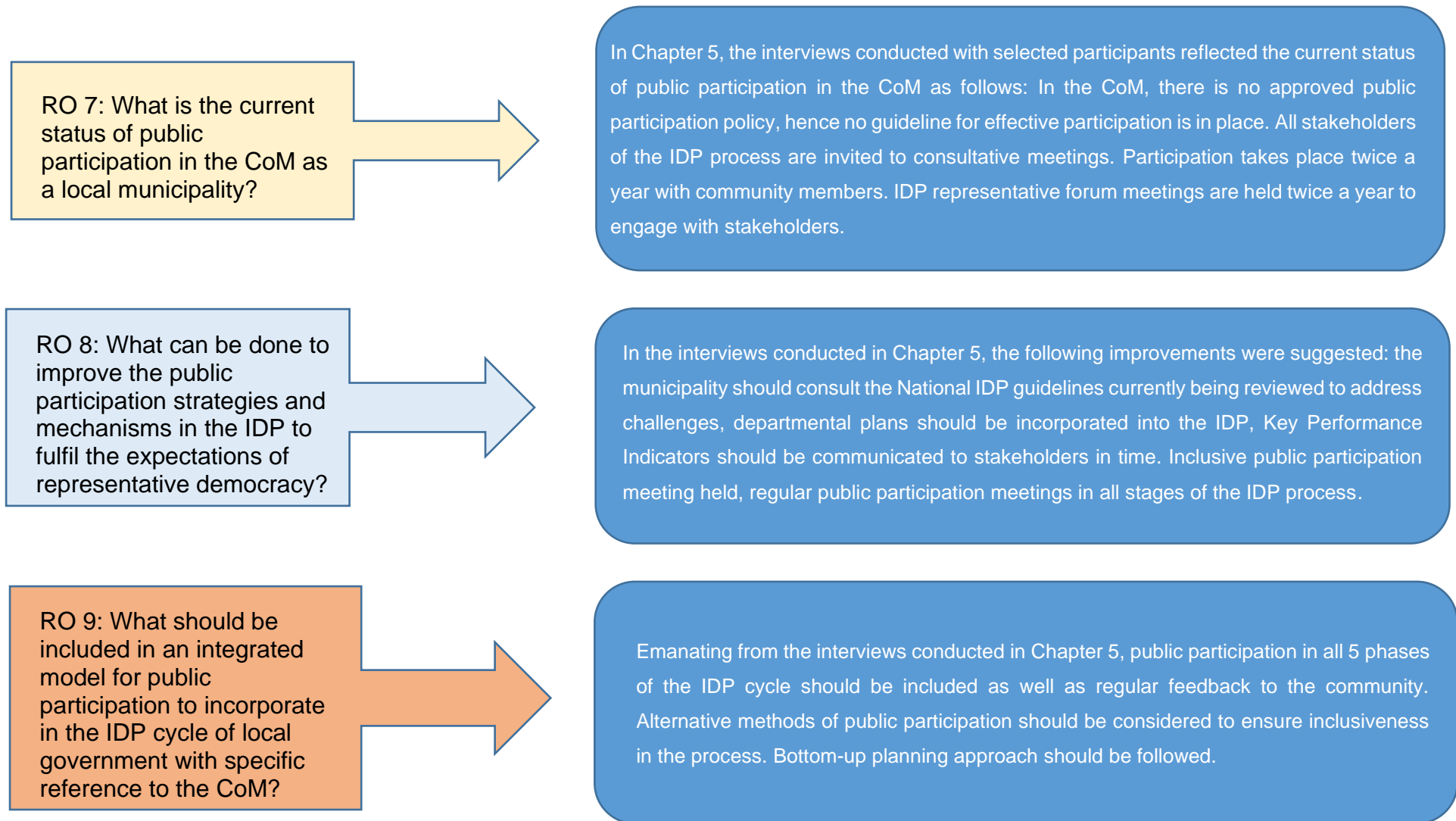


Figure 5.9: Rationale for the design and content of the model

Stemming from the above theoretical sub-frameworks, a practical model was derived to illustrate participation mechanisms and municipal actors responsible in the five IDP phases for the CoM. This model comprises five key domains representing the five phases of the IDP cycle (numbered as A to E in the model). These phases and its sub processes are briefly outlined below.

A: Analysis phase

Public participation in the analysis phase (Phase A) is of utmost importance. During this initial phase, interaction with the community is necessary to identify their needs and priority issues.

A.1 Nature of public participation

The needs of community members are analysed and prioritised according to urgency. All dimensions of the public management role, including policymaking, organising, planning, leading, controlling and evaluating, should be carefully considered throughout the analysis phase.

A.2 Structure and mechanism for participation: IDP steering committee and IDP representative forum meetings

In the analysis phase inputs from community members and municipal officials responsible for IDP are vital. Therefore, IDP representative forum meetings are conducted face-to-face or virtual to ensure all stakeholders are consulted. Internal IDP steering committee meetings are also conducted to attain inputs from IDP champions in all directorates of the municipality.

B: Strategic phase

Public participation during the strategic phase (Phase B) is necessary to inform the community of the strategic direction council intend to undertake.

B.1 Nature of public participation

The strategic direction of the municipality is identified after consideration of the community needs by means of developing strategic objectives. Strategic goals are statements of what a municipality aspires in the medium to long term to address the specific problems highlighted in Phase 1. Once the strategic objectives have

been determined, it is important that IDP planners formulate specific strategies. It is only when strategies are sufficiently formulated that municipal officials can obtain a clear picture of the nature of particular projects that should be executed to implement these strategies.

B.2 Structure and mechanism for participation: e-participation, IDP steering committee and IDP representative forum meetings

In the strategies phase (Phase B) there is very limited time for public participation and it is usually omitted. As a result of the time limit, e-participation was included in these two phases as e-participation is not as time consuming as face-to-face meetings. It should be noted that the digital revolution has fundamentally altered the nature and modalities of public participation. In this respect, e-participation is regarded as the utilisation of technology to foster the active participation of citizens in public decision-making processes.

C: Project phase

Public participation is necessary during the project phase (Phase C) to obtain inputs from the community on all project proposals.

C.1 Nature of public participation

Phase C, the third phase, entails the identification and design of projects suitable to operationalise the strategies formulated in the previous phase. Detailed project proposals are designed in line with community needs. These projects should be clearly aligned with priority issues (Phase A) and strategic objectives (Phase B).

C.2 Structure and mechanism for participation: IDP steering committee and IDP representative forum meetings

In the project phase (Phase C), inputs from community members and municipal officials responsible for IDP are vital. Therefore, IDP representative forum meetings are conducted face-to-face or virtually to ensure all stakeholders are consulted. Internal IDP steering committee meetings are also conducted to attain inputs from IDP champions in all directorates of the municipality.

D: Integration phase

Public participation in the integration phase (Phase D) is necessary to integrate internal and sectoral projects and programmes.

D.1 Nature of public participation

As soon as the projects are determined, categorised and prioritised, the municipality need to conduct public participation to confirm that they are adequately integrated with the development vision statement, strategic objectives and strategies. The financial management plan and strategy also need to be integrated into the IDP document.

D.2 Structure and mechanism for participation: e-participation, IDP steering committee and IDP representative forum meetings

In the integration phase (Phase D) there is very limited time for public participation, and usually is omitted. As a result of the time limit, e-participation was included in this phase as e-participation is not as time consuming as face-to-face meetings. It should be noted that the digital revolution has fundamentally altered the nature and modalities of public participation. In this respect, e-participation is regarded as the utilisation of technology to foster the active participation of citizens in public decision-making processes.

E: Approval phase

Public participation is necessary in this final phase (Phase E) to obtain approval of the final IDP document and also to attain official and legal status of the IDP.

E.1 Nature of public participation

The final phase entails the approval and adoption of the final IDP by the municipal council. It is important that all stakeholders and concerned parties, inclusive of other spheres of government, are afforded the opportunity to provide input to the draft plan. Council should acquire acceptance from the community on the IDP document and ensure their rights are not violated.

E.2 Structure and mechanism for participation: e-participation and council meeting

In the approval phase (Phase E), the draft and final IDP document is tabled before council for adoption. Community members are invited to attend these council meetings. Public inputs are invited for 21 days after the tabling of the draft IDP document to council at the end of May. Public participation is important to obtain official and legal status of the final IDP document.

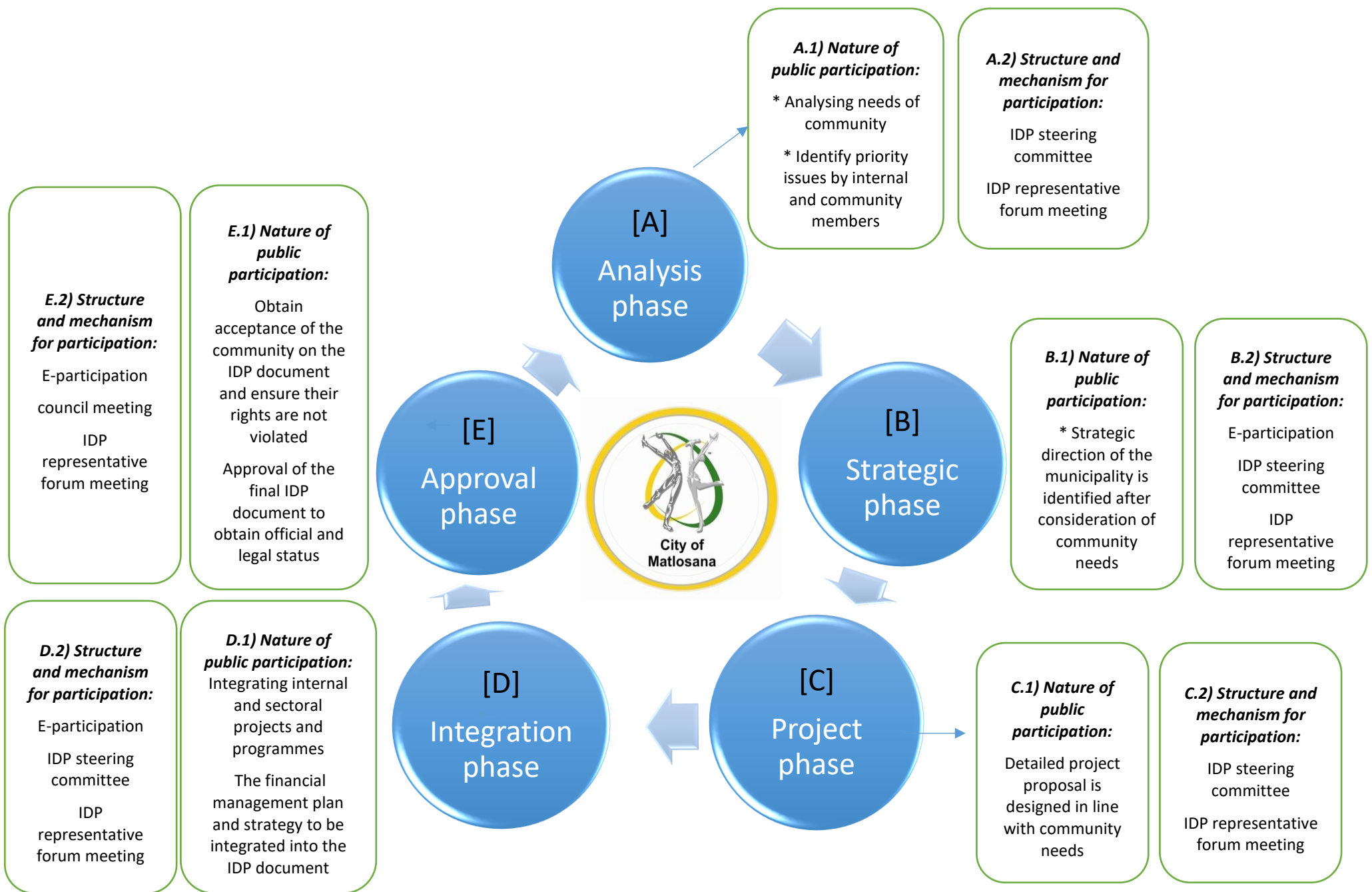


Figure 5.10: Draft model of participation mechanisms and municipal actors responsible in the 5 IDP phases

5.8 INPUT TO THE DRAFT PUBLIC PARTICIPATION MODEL

The subsequent input from the participants was attained to verify and validate the content of the draft model and to refine it. The input obtained is aligned with the specific departments and areas of responsibility of the participants. The feedback and recommendations of other aspects significant to the refinement of the model are concisely summarised in Table 5.6. The table also encompasses the researcher's reply to the participants' feedback and recommendations relating to the refinement of the model.

Table 5.6: Input relevant to the refinement of the model

Participants' input	Researcher's response
<p>Cohort 1 mentioned the probability of the single directional arrows between the various phases in the model altered to two-way-directional arrows to reveal that any phase can influence other phases in IDP participation process.</p>	<p>The model should accommodate two-way communication between all five phases of the IDP process and indicate the interrelation of the phases.</p>
<p>Cohort 3 participants considered that it is customary for national government to provide guidelines on IDP implementation, but it is imperative to appreciate the pioneering initiatives from provinces and local governments. Currently there are local governments which are progressive in e-participation, but their endeavours are not realised, because they are observed as contravening specific national standards. Hence, there should be measures of recognising these attempts as long as they uphold efficient service delivery processes.</p>	<p>The model should contain guidelines concerning to the standardised application of e-participation in local government. Current standards and guidelines do not exactly make provision for ICT training of departmental managers in the municipality.</p>
<p>Cohort 2 suggested the need to consider feedback to community members after</p>	<p>The model should consider feedback to community members after each phase of the IDP process. Currently there is no</p>

Participants' input	Researcher's response
each phase of the IDP process be done electronically to save time.	provision in the model for feedback to the community after each public participation engagement.
Cohort 1 participants proposed that due to the fundamental challenge of adherence to government policies, one has reservations whether this model will be acknowledged as this trend goes on. There is a prerequisite to create awareness and adherence to policies.	The model should include monitoring and evaluation mechanisms (SDBIP) to warrant that departments follow the statutory and regulatory framework concerning public participation in the IDP process.
Cohort 3 suggests that there is a prerequisite to warrant ICTs simply being identified and applied as numerous community members are uninformed about the ICT resources available to them. There is a suggestion that in most circumstances, ICT resources are only utilised by citizens residing in urban areas.	The model should establish ICT awareness to improve the e-readiness of the community and e-governance practices in local/provincial/national government. If government becomes more e-ready, the need for ICT training would be more. It is also imperative to ensure that technology is accessible in rural areas at reasonable prices.
Cohort 2 participants suggest that this model should only be applied in local government and not incorporate the national and provincial governments, as all levels of government have autonomy.	The model promotes interrelationship and interdependence between all three spheres of government. The model is consequently a broad overarching framework and is not department restricted. The participation of all spheres of government should be adapted since the system of intergovernmental relations and cooperative governance does not embolden a top-down approach.

In light of the recommendations made by participants in refining the model, the subsequent amendments and alterations were made to the model:

- The directional arrows were altered from one-way to two-way to specify the likelihood of each environment influencing the other.
- In the strategies phase (Phase B) and integration phase (Phase D) there are very limited time for public participation and usually is omitted. It is suggested by participants that only e-participation be utilised in these phases, as the public can still be consulted without this being time consuming for the IDP official.
- The need to consider feedback to community members after each phase of the IDP process be done electronically.
- Departmental ICT training for all departmental managers responsible for IDP activities.
- Involvement of provincial and national government in all five phases of the IDP process and not only in the last phase (approval phase) where the final IDP document is sent to the MEC's office for comments will enhance intergovernmental relations and cooperative governance.
- Community engagement and feedback in all five IDP phases be included.
- The model dimensions be extended to include political (external) and managerial (internal) role-players.

Due to the aforementioned adjustments, an improved public participation model for the CoM was developed. The ultimate design of this model will be portrayed in the next chapter.

5.9 CONCLUSION

Key informant interviews and document evaluations provided the information that was produced and analysed in this chapter. This chapter's objective was to develop and enhance the model by means of an empirical investigation in the designated cases. The chapter related on the findings obtained from participants and outlined the research objectives and methodology. To support analysis, the researcher profiled the participants' managerial backgrounds and academic status.

The researcher delineated all the inputs of participants during the research. These aided in the final refinement of the model. The following chapter aims to demonstrate the key findings of the study and pose recommendations within the context of the

analysis and findings made in this chapter. Data collected through interviews, materials analysed and observed gaps in the literature will support the recommendations. Therefore, by creating a model that can be used by the City of Matlosana, the study's main goal will be accomplished.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS: A MODEL FOR FOSTERING PUBLIC PARTICIPATION IN INTEGRATED DEVELOPMENT PLANNING IN LOCAL GOVERNMENT

6.1 INTRODUCTION

Section 152(1) of the Constitution, 1996, establishes representative democracy and participatory democracy as two objects of local government where it states that the objects of local government are, amongst others, “to provide democratic and accountable government for local communities” and “to encourage the involvement of communities and community organisations in the matters of local government” (South Africa, 1996). Therefore, the significance of public participation cannot be overemphasised.

The previous chapter outlined the findings of the empirical investigation concerning the current state of public participation in the IDP phases of the City of Matlosana inclusive of challenges and weaknesses encountered. Based on data triangulation using multiple data sets, this chapter offers a model to incorporate public participation meaningfully in the integrated development planning cycle in the South African local government sector and address the problem identified in Chapter 1, Section 2. This chapter will thus conclude the study by summarising key findings and recommending a model for fostering public participation in the IDP cycle of municipalities.

Although findings from this case study cannot be generalised to other municipalities, conformity with the prescribed legislative framework, public participation principles and further official guidelines are generic in nature and applicable to local government in general and the IDP process in particular. Consequently, recommendations made in this study may thus also be implemented by other local municipalities facing similar public participation challenges.

6.2 STUDY SYNOPSIS: RESEARCH OBJECTIVES AND QUESTIONS

In accordance with the research objectives outlined in Chapter 1, Section 3.1, the primary objective of this study was to draft a comprehensive model which will aid local government in South Africa to foster public participation in the IDP cycle of local government.

6.2.1 Research objectives

In this study, the following research goals were defined and empirically validated:

- **Research objective 1:** To explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation.
- **Research objective 2:** To conceptualise and contextualise public participation within the context of South Africa as a democratic developmental state.
- **Research objective 3:** To analyse the statutory and regulatory frameworks for integrated development planning in the South African local government sector.
- **Research objective 4:** To uncover international and national local government best practices in facilitating effective public participation within development planning processes.
- **Research objective 5:** To identify and analyse institutional challenges that impede the effective and efficient implementation of existing public participation strategies in local government with specific reference to the IDP cycle.
- **Research objective 6:** To investigate existing participation strategies and mechanisms in the IDP cycle in the City of Matlosana as a case study.
- **Research objective 7:** To design a model to foster public participation in the integrated development planning cycle of local government with specific reference to the City of Matlosana.

6.2.2 Research questions

Taking into account the study's problem statement and research objectives, the prominent research questions formulated and responded to in this study, with the aim to realise the above-mentioned research objectives, were as follows:

- **Research question 1:** What are the philosophical and theoretical foundations of local democracy and public participation?

This question was responded to in Chapter 2 by ascertaining a conceptual and theoretical framework for local democracy and public participation which provided focus to the study. In this regard, several theories relevant to public participation were identified and utilised as theoretical foundation of the study. It was deliberated that the theoretical foundations of this study are underpinned by the Social Exchange Theory and General Systems Theory. The hypothesis of Social Exchange Theory is that stakeholders institute and continue social relations and devote time in public participation on the base of their anticipations that these relations will be communally beneficial. The principles of the Social Exchange Theory as an ethical basis of democratic ideology form a continuous theme in the study and are directly linked to voter confidence. General Systems Theory is ideally suited to present more in-depth insight into the development of democracy and public participation.

- **Research question 2:** What are the statutory and regulatory guidelines that define the foundations of local democracy and the functionality of the public participation process in terms of integrated development planning in the South African local government sector?

This research question was responded to in Chapter 2 of the research by illustrating the statutory framework governing local democracy in the South African local government sector. The position taken in this study with regard to democracy and local government is normative in nature. In adherence to the respective dimensions of normativism, the chapter conceptualised key concepts and constructs associated with this study, namely democracy, local democracy and public participation. The meta-theoretical underpinnings of democracy and local democracy was explored as answer to the “what should be” question. Consistent with the dimensions of normativism, this chapter discovered the key characteristics of the respective types of democracy. Due to the developmental nature of the South African state, emphasis will be placed on development democracies as forms of government.

In Chapter 2, the chronicles of development were traced to make sense of current development planning imperatives of government. This analysis included classical, new-classical and contemporary thought, as well as an assessment of the influence of political ideologies on the dominant opinion of the role of government in development in particular contexts. Ideological perspectives assisted to ascertain the

nature of the dominant development paradigm currently in South African local government as the locus of this study.

- **Research question 3:** Which criteria define the role of public participation within the broader context of the local government sphere of South Africa as a democratic developmental state?

Chapter 3 addressed the normative propositions of local democracy and public participation within the context of South Africa as a democratic developmental state by means of literature review, with a particular focus on the role of public participation within the local government sphere and the effectiveness therefore within the IDP cycle. Development and democracy should collaborate to strengthen the state's capability. In the framework of the study, the democratic developmental state takes place to make sure that community-based participatory processes have an impact on societal socio-economic growth.

- **Research question 4:** What are the theoretical and regulatory guidelines that define the functionality of the integrated development planning process in the South African local government sector?

Chapter 3 provides a detailed analysis of the meta-perspectives as well as theoretical and contextual foundations of development planning. Emphasis is placed on the developmental dimensions to contextualise the origins and nature of current government planning interventions in development in South Africa. An assessment of scholarly paradigms to assess the nature and scope of development was provided. The chapter established how both the broader developmental role and planning function of government have transpired leading to existing national development planning frameworks.

Municipalities are guided by legislation and must act within the precincts of it to provide basic services and perform their administrative obligations in an efficient and structured manner. Some of the most significant legislation discussed in Chapter 4 are: Local Government Transition Act 209 of 1993 (LGTA), Development Facilitation Act 67 of 1995, The Constitution of the Republic of South Africa, 1996, The White Paper on Local Government, 1998, Local Government: Municipal Structures Act

117 of 1998, Local Government: Municipal Systems Act 32 of 2000, Local Government: Municipal Finance Management Act 56 of 2003 (MFMA), Traditional Leadership and Governance Framework Amendment Act 41 of 2003, Intergovernmental Relations Framework Act 13 of 2005 (IGR).

This chapter ascertained the significance of public participation and civil society engagement in development planning in selected developed and developing countries. This international perspective is important to extract best practice and explore lessons learnt from both developed and developing contexts.

- **Research question 5:** What are the international and national local government best practices in facilitating effective public participation in the development planning process?

Question 5 was answered in Chapter 4 of the study by evaluating public participation practices of various countries with the intention to reveal the international best practices regarding the public participation praxis. In Chapter 4 particular community participation practices that a country like South Africa can seize from international best practices are the following:

- South Korea's socio-economic model can be categorised into empowerment of citizens, accelerated rural development, incentivising growth through diversity, and enhancing coordination and implementation of policies and development plans.
- Community participation practices that countries like South Africa can mirror from Indonesia can be categorised into inclusive development strategies, accomplishing long-term planning goals, and decentralised government planning.
- The significance of the deployment of e-government in France is to provide e-services to the public and business through the support of the internet.
- In Rwanda, community participation is structured through indirect citizen participation procedures of elected local councils, known as "*Inama Njyanama*", which also governs the organisation and operation of decentralised administrative entities.

- Botswana's planning system has primarily been based on the principle of community-based, bottom-up planning.
- **Research question 6:** What are the institutional challenges associated with the effectiveness of public participation in the IDP cycle of the City of Matlosana?

This question was answered in Chapter 5 of the study by considering how the City of Matlosana conducts its public participation process and investigate challenges encountered. This was done by obtaining views and perceptions of officials on the manner in which public participation practices are implemented and this information was collected through the semi-structured interview questions posed and answered by participants comprising senior managers within the CoM, district and provincial government.

Chapter 5 identified and analysed this study's contribution by means of an empirical investigation into institutional barriers that make it difficult to apply current public engagement initiatives effectively and efficiently during the CoM's IDP cycle. It covered the research design, data collection methods, and results and findings. These findings were utilised to inform the main objective of this study, namely the design of a participation model which we will be presented in the final chapter.

The following disparities in the IDP public participation process emanated from a robust literature review in Chapter 5:

- Inadequate public participation
- Lack of alignment
- Lack of institutional capacity
- Deficient development initiatives
- Lack of monitoring and review
- Lack of understanding of governance processes
- Language barrier
- Political power games
- Government officials impeding the process
- "Gate-keeping"
- Reinforcement of current inequalities

- **Research question 7:** What is the current status of public participation in the City of Matlosana as a local municipality?

In Chapter 5, the interviews conducted with selected participants answered the question on the current status of public participation in the CoM as follows: In the CoM, there is no approved public participation policy, hence no guideline for effective participation is in place. All stakeholders of the IDP process are invited to consultative meetings. Participation takes place twice a year with community members. IDP representative forum meetings are held twice a year to engage with stakeholders.

- **Research question 8:** What can be done to improve the public participation strategies and mechanisms in the IDP to fulfil the expectations of representative democracy?

In the interviews conducted in Chapter 5, the following improvements to the current public participation strategies and mechanisms were suggested: The municipality should consult the National IDP guidelines currently being reviewed to address challenges, departmental plans should be incorporated into the IDP and Key Performance Indicators should be communicated to stakeholders in time. Inclusive public participation meetings must be held; regular public participation meetings in all stages of the IDP process.

- **Research question 9:** What should be included in an integrated model for public participation to incorporate in the IDP cycle of local government with specific reference to the City of Matlosana?

This question was answered after deliberations from the interviews conducted in Chapter 5. It was noted that public participation in all five phases of the IDP cycle should be included in an integrated model for public participation as well as regular feedback to the community. Alternative methods of public participation should be considered to ensure inclusiveness in the IDP process. A bottom-up planning approach should be followed in the IDP cycle of local government.

The relationship between the study's chapters, research questions and aims is outlined in Table 6.1.

Table 6.1: Research objectives and questions aligned to study chapters

Research objectives	Research questions	Chapters
To explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation.	RO1: What are the philosophical and theoretical foundations of local democracy and public participation?	Chapter 2
To explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation.	RO2: What are the statutory and regulatory guidelines that define the foundations of local democracy and the functionality of the public participation process in terms of integrated development planning in the South African local government sector?	Chapter 2
To conceptualise and contextualise public participation within the context of South Africa as a democratic developmental state.	RO3: Which criteria define the role of public participation within the broader context of the local government sphere of South Africa as a democratic developmental state?	Chapter 3
To analyse the statutory and regulatory frameworks for integrated development planning in the South African local government sector.	RO4: What are the theoretical and regulatory guidelines that define the functionality of the integrated development planning process in the South African local government sector?	Chapter 3
To uncover international and national local government best practices in facilitating effective public participation within development planning processes.	RO5: What are the international and national local government best practices in facilitating effective public participation in the development planning process?	Chapter 4
To identify and analyse institutional challenges that impede the effective and efficient implementation of existing public participation strategies in local government with specific reference to the IDP cycle.	RO6: What are the institutional challenges associated with the effectiveness of public participation in the IDP cycle of the CoM?	Chapter 5

Research objectives	Research questions	Chapters
To investigate existing participation strategies and mechanisms in the IDP cycle in the City of Matlosana as a case study.	RO7: What is the current status of public participation in the CoM as a local municipality?	Chapter 5
To investigate existing participation strategies and mechanisms in the IDP cycle in the City of Matlosana as a case study.	RO8: What can be done to improve the public participation strategies and mechanisms in the IDP to fulfil the expectations of representative democracy?	Chapter 5
To design a model to foster public participation in the integrated development planning cycle of local government with specific reference to the City of Matlosana.	RO9: What should be included in an integrated model for public participation to incorporate in the IDP cycle of local government with specific reference to the CoM?	Chapter 6

6.3 SUMMARY OF CHAPTERS

Chapter 1 introduced and orientated the purpose of this research towards fostering the concept of public participation in the integrated development planning process. The introduction and orientation will focus on the role of a democratic developmental state. Chapter 1 also outlined the primary research question as problem statement, together with related research questions and objectives that investigate the study through different chapters towards hypothetically-based assumptions. Central theoretical statements outline the grounds relevant to the study and research topic. The research design is described in the chapter as qualitative. Literature reviews as well as unstructured interviews were, in addition, applied as research instruments to improve the triangulation and analyses of data.

Chapter 2 addressed the normative propositions of local democracy and public participation within the framework of South Africa as a democratic developmental nation by means of literature review, with a particular emphasis on the role of public participation within the local government sphere and, therefore, the effectiveness within the IDP cycle.

Chapter 3 set out to determine the theoretical and regulatory frameworks for integrated development planning in the South African local government sector. This will be determined by a literature review and legal analysis. In Chapter 4 international and national local government best practices were uncovered in facilitating effective public participation within development planning processes.

Chapter 5 analysed this study's contribution with regard to institutional obstacles that impede the effective and efficient execution of existing public participation strategies in local government with specific reference to the IDP cycle.

Chapter 6 summarised and concluded the study by presenting theoretical assumptions and recommendations as to the level of public participation in the CoM and presented a model for fostering public presentation in the integrated development cycle of local government.

6.4 FINDINGS OF THE STUDY: KEY PARTICIPATION CHALLENGES

Semi-structured interviews were used as the main data collection method, and literature and document review were also performed to improve richness of data and for the intentions of triangulation. The empirical investigation exposed numerous deficits relating to the public participation process within the City of Matlosana, to which participants made suggestions to attend to them. The following are the fundamental challenges which stemmed from the interviews.

6.4.1 COVID-19 restrictions hampered public participation

The participants identified the foremost challenge as COVID-19 which resulted in community members not being able to gather under one roof and public participation was therefore limited. The lack of alternative mechanisms in public participation was a key challenge in the IDP process and soliciting alternative means of public participation during COVID-19 was predominant in all local municipalities. Participants suggested that IDP officials explore means like newspapers, radio and social media that did not require face-to-face meetings.

6.4.2 Time constraints in IDP phases

One of the challenges identified by the participants was that there is not enough time to engage community members in all five stages of the IDP process. The timeframe

for each IDP phase was mentioned in Chapter 4 and it is evident that face-to-face consultation in each phase would be impossible, especially during the strategic and approval phase which must be completed within a month. The participants suggested to engage in alternative means of participation that is not as time consuming as the face-to-face meetings like e-participation that include social media, WhatsApp messages, radio interviews and newspaper announcements.

6.4.3 Political unrest hampering face-to-face public participation

The challenge of community unrests due to political instability was an area of concern to all participants in this study. It was mentioned by the participants that the collapse of municipal projects has invigorated violent service delivery protests by communities irate at the slow pace of service delivery. There is no permanent solution to community unrest, but suggestions by participants were constant communication with community members through politicians (ward councillors) which will ensure that community members are involved in council processes and procedures.

Safety and security at IDP meetings posed another challenge and security guards and police presence have to be visible at all public meetings for community members to feel safe and participate in council affairs.

6.4.4 Community members' lack of understanding and interest in the IDP process

The participants elucidated the fact that the IDP process is complicated to understand for the broader public and therefore community members do not understand the importance of their role in this process and are reluctant to participate. The community is also not interested in council affairs except for projects taking place in their wards and therefore does not want to participate in the IDP process. Possible solutions to this problem suggested by participants were that the importance of the role of the community need to be stressed by involving community leaders like ward councillors or traditional leaders. For the community to properly grasp their participation in municipal affairs, education is also necessary.

6.4.5 Inadequate and inconsistent consultation during the IDP process

Participants reiterated that due to recurrent political instability in the City of Matlosana,

there usually are changes to the IDP time schedule that results in all meetings not taking place as advertised. This results in community members losing interest in the process, therefore the suggestion for consistent meeting schedules needs to be a priority to council. Another challenge mentioned is the fact that ensuring the entire community is aware of public meetings and different means of communication for different parts of the community need to be considered.

The participants also felt that there is inconsistent consultation with the community during the five stages of the IDP process and council does not involve them in all the stages of the IDP process. Therefore, meetings should be more consistent and consultation in all five phases should take place, not only in the first and last phases.

6.4.6 Lack of proper communication

The interviews disclosed that advertisements of public meetings do not reach the entire community because not all community members have access to social media. Therefore, it was suggested that alternative means of advertising like loud hailing in the street must be considered because such method is more effective in the townships.

6.4.7 Lack of institutional capacity

Participants emphasised the necessity to take institutional capacity into account in the IDP process. There are rising concerns regarding the capacity of local governments. The fact that there only is one official responsible for the entire IDP unit in the City of Matlosana is of grave concern as the lack of capacity has a bearing on the quality of participation.

6.5 EXPOSITION OF THE PROPOSED MODEL ON PARTICIPATION MECHANISMS AND MUNICIPAL ACTORS IN THE FIVE IDP PHASES

The main purpose of this study was to investigate the state of public participation in the IDP process of the CoM and develop a model that would aid local government in South Africa to foster public participation in the Integrated Development Planning cycle of local government.

The proposed model (Figure 6.1) and subsequent guidelines are the main outcomes of the study and serve as the focal contribution which intends to address the research

problem identified in Chapter 1. The designed model and associated operational guidelines are the results of source, method and data triangulation (content of Chapters 2 to 5).



Figure 6.1: Participation mechanisms and municipal actors in the five IDP phases

The proposed model (Figure 6.1) advocates the participation mechanisms and municipal actors in the five IDP phases necessary to foster public participation in the IDP cycle of local government.

In Chapter 4, lessons learnt from international experience were considered to promote the current level of public participation in the IDP cycles of South African municipalities. The international experiences linked to the participation guidelines emanating from the proposed model (Figure 6.1) are beneficial for effective public participation in the IDP cycle and are illustrated in the undermentioned table (Table 6.2).

Table 6.2: Participation guidelines emanating from the proposed model

IDP phase	Current level of participation in the CoM	Participation guidelines emanating from the proposed model	Lessons learnt from international experience
ANALYSIS	Ward meetings rep forum	IDP rep forum (external) community meetings (external)	Indonesia - community empowerment and participation of marginalised groups and individuals. France - effective community involvement at an early stage to ensure less opposition later in the planning process.
STRATEGIES	None	E-participation: Radio, WhatsApp groups, Zoom, social media	Indonesia - ensure that the vision of the plan is accomplished through long-term strategic planning. Botswana - The national e-government strategy France - Transform and jointly represent planning throughout all development phases.
PROJECT	Draft IDP and budget ward meetings rep forum	IDP rep forum (external) Ward meetings for project approval (external)	France - involvement in the design of development projects and resolve conflicts with communities to prevent the blocking of projects. South Korea - follow a community-based, integrated rural development programme
INTEGRATION	None	E-participation:	Rwanda - direct and indirect participation to enhancing community participation South Korea - community empowerment

IDP phase	Current level of participation in the CoM	Participation guidelines emanating from the proposed model	Lessons learnt from international experience
		Radio, WhatsApp groups, Zoom meeting, social media (remote)	
APPROVAL	Council meeting to adopt draft and final IDP document	Council meeting (external) E-participation: Radio, WhatsApp groups, Zoom meeting, social media (remote)	Botswana - community involvement for all members and direct interaction with policy makers. South Korea - enhancing coordination and implementation of plans.

Source: Researcher's own

The model in Table 6.1 is further broken down into the five IDP phases to clearly outline the mechanisms per IDP cycle phase, to identify the nature of mechanisms for and outcome of participation, and to demarcate the responsibilities of municipal actors for public participation in each phase.

Table 6.3: Public participation recommended per IDP phase

Phase	Nature of participation	Mechanism for participation	Municipal actors	Outcome of participation
Analysis [A1-5]	Political (external): situational analysis of the external environment. Needs of the community and disadvantaged are analysed via public participation.	Political (external): IDP representative forum meetings, ward meetings, mayoral <i>Imbizos</i>	Political (external): executive mayor, councillors, ward committees, community development workers, civil society and other spheres of government.	Political (external): Overall picture of community concerns and needs are perceived. Priority issues of community will be utilised to develop projects in the project phase.
	Municipal (internal): Situational	Municipal (internal):	Municipal (internal): municipal manager, chief financial officer,	Municipal (internal): IDP planners utilise participation to

Phase	Nature of participation	Mechanism for participation	Municipal actors	Outcome of participation
	analysis of the internal environment. The following are internally analysed: spatial analysis, socio-economic, holistic issues, institutional analysis, municipal wide priorities are analysed.	IDP steering committee meeting	directors, HOD's, departmental strategic officials.	analyse the existing strengths and weaknesses in the municipal structure, management and resources and leadership.
Strategies [B1-5]	Political (external): strategic guidelines of council communicated to all stakeholders and communities. Align proposed projects with district strategies.	Political (external): e-participation, radio interviews, Whatsapp groups, Zoom meetings, social media (remote)	Political (external): executive mayor, councillors, ward committees, community development workers, civil society and other spheres of government.	Political (external): strategic policy workshop for all stakeholders and community concerns and needs are perceived. Priority issues of community will be utilised to develop projects in the project phase.
	Municipal (internal): strategic direction of council is identified after community consultation in the analysis phase. Alternative strategies	Municipal (internal): IDP steering committee meeting	Municipal (internal): municipal manager, chief financial officer, directors, HOD's, departmental strategic officials.	Municipal (internal): vision and mission statements identified. Strategic plan drafted and workshopped with relevant officials.

Phase	Nature of participation	Mechanism for participation	Municipal actors	Outcome of participation
	compiles and framework structured with financial and institutional resources.			
Project [C1-5]	Political (external): Proposed projects aligned with sectoral policies and projects. Needs of community and disadvantaged are converted into projects.	Political (external): IDP representative forum meeting, ward meetings, mayoral <i>Imbizos</i>	Political (external): executive mayor, councillors, ward committees, community development workers, civil society and other spheres of government.	Political (external): technical experts to assist with project proposal and alignment of sectoral policies.
	Municipal (internal): detailed project proposal is designed by members of IDP steering committee. Project planning in line with community needs.	Municipal (internal): IDP steering committee meeting	Municipal (internal): municipal manager, chief financial officer, directors, HOD's, departmental strategic officials.	Municipal (internal): IDP planners utilise participation to derive proposed projects from community needs.
Integration [D1-5]	Political (external): integrating external and sectoral projects and programmes.	Political (external): e-participation, radio interviews, WhatsApp groups, Zoom meetings, social media (remote)	Political (external): executive mayor, councillors, ward committees, community development workers, civil society and other spheres of government.	Political (external): integration of all sectoral programmes and plans into the IDP document.

Phase	Nature of participation	Mechanism for participation	Municipal actors	Outcome of participation
	Municipal (internal): integration of various activities e.g. financial plan, spatial trends, environmental issues, socio-economic, gender, poverty, local economic projects. Consolidating outputs of these activities. The IDP to inform the budget.	Municipal (internal): IDP steering committee meeting	Municipal (internal): municipal manager, chief financial officer, directors, HOD's, departmental strategic officials.	Municipal (internal): incorporation and consolidation of internal and sectoral projects. The CFO to guide the financial management plan to be incorporated into the IDP.
Approval [E1-5]	Political (external): invite public comments for 21 days after the draft IDP tabling to council and consider the inputs.	Political (external): council meeting, e-participation: radio interviews, WhatsApp groups, Zoom meetings, social media (remote).	Political (external): executive mayor, councillors, ward committees, community development workers, civil society and other spheres of government.	Political (external): approval of the final IDP document by council.
	Municipal (internal): obtain acceptance from the community on the IDP document and ensure that their rights are not violated. Amend the IDP document after	Municipal (internal): IDP steering committee meeting	Municipal (internal): municipal manager, chief financial officer, directors, HOD's, departmental strategic officials.	Municipal (internal): incorporate all public comments received in the final IDP document.

Phase	Nature of participation	Mechanism for participation	Municipal actors	Outcome of participation
	consideration of all comments received.			

Source: Researcher's own

6.6 RECOMMENDATIONS FOR THE IMPLEMENTATION OF THE PUBLIC PARTICIPATION MODEL

Through the approval and the implementation of the recommended public participation model for municipalities with specific reference to the CoM, consultation with the entire community should be improved, thus resulting in minimal public unrest incidents. Public participation practices should be implemented in an efficient, effective and economical manner. To augment the implementation of the proposed model, the following political (council), strategic, tactical and operational recommendations can be made.

On a **political layer** it is recommended that council should inculcate a climate and culture for participation in the IDP process. The role of portfolio/standing committees of council is to adopt an IDP process plan and undertake the overall management and co-ordination of the planning process, which includes the following:

- Ensuring that all relevant actors are appropriately involved.
- Appropriate mechanisms and procedures for public consultation and participation are applied.
- Planning process is related to the real burning issues in the municipality.
- To ensure that the IDP process is a strategic and implementation-orientated process.

Council should ensure that adequate consultation and participation take place in all five phases of the IDP process, and that feedback is provided to the community after each round of consultation. Effective participation would necessitate the CoM to conduct a stakeholder analysis (e.g. demographics and community profiles) to pinpoint the most suitable methods for consultation in each ward and for each stakeholder grouping. Special care should be taken to make provision for urban and rural settings

and also to involve marginalised groupings in the community such as the elder, youth and the illiterate. In addition, a public participation policy should be designed and adopted by council to fully comply with municipal legislation and regulations. Furthermore, a communication strategy should be formulated and adopted by council to ensure effective communication with all wards. The implementation of the participation policy as well as the execution of the communication strategy should be the responsibility of senior managers.

On a **strategic layer**, senior managers responsible for the IDP process should set broad parameters and guidelines for implementation of all IDP projects and programmes. Remaining the persons in charge for implementing IDP's, the senior managers have to be fully involved in the planning process for the following reasons:

- Provide relevant technical, strategical and financial information for analysis for determining priority issues.
- Contribute their expertise in the consideration and finalisation of strategies and identification of projects.
- Provide departmental operational and capital budgetary information.
- Take responsibility for the preparation of project proposals and the integration of projects and programmes.

Structural adjustments may be required, and it is recommended that the IDP unit should be expanded to ensure effective consultation with the community and council should also appoint a public participation official responsible for setting procedural guidelines for effective participation during each phase of the IDP process.

On a **tactical level**, middle managers responsible for the IDP process should submit monthly progress reports regarding IDP projects and programmes to senior managers which should then compile departmental reports and submit these progress reports to the municipal manager. The municipal manager then ultimately consolidate all departmental reports received and table a comprehensive report to council. This monthly progress report will ensure effective feedback to communities and can be communicated to the public via councillors at their monthly ward meetings or by utilising social media like the municipal website or local newspapers. Constant feedback to the community is vital to minimise political unrest.

On an **operational layer**, specific instructions and guidelines should be set for municipal officials responsible for the IDP process to ensure that timelines are met, and relevant information is submitted to the departmental manager. These municipal officials should participate actively in the IDP process from Stage 1 to Stage 5 to ensure their comprehension and commitment to the process. It is very important for all officials involved to understand the importance of their role in the IDP process. Senior managers should ensure that all IDP guidelines are followed as non-compliance will have an adverse effect on the outcome of the IDP process.

The findings of the study, substantiating with literature, show that the utilisation of e-participation is still in its infancy stage and should further be explored in the municipal participation domain. E-participation can bridge many of the typical participation challenges encountered during the IDP cycle such as lack of transport, time constraints and financial challenges by allowing community members to provide input via electronic portals such as the municipal website and social media platforms. Security and confidentiality concerns should, however, be addressed in the use of alternative participation means. To support the use of e-participation, it is recommended that managers and officials be educated and trained in this area.

It is further recommended that the model be measurable to ensure effectiveness. The model should include monitoring and evaluation mechanisms depicted in council's Service Delivery and Budget Implementation Plan (SDBIP) to assure that departments follow the statutory and regulatory framework concerning public participation in the IDP process. The SDBIP gives effect to the IDP, and Key Performance Indicators (KPIs) and targets should be set for each phase of the IDP process. These indicators will ensure regular planning, continuous monitoring, periodically measuring and reviewing performance of the model in terms of indicators and targets for efficiency, effectiveness and impact. The performance measurement system will therefore ensure that all the councillors, managers and officials in the municipality are held accountable for their actions which should bring about improved public participation and, subsequently, improved service delivery. Recommendations for the monitoring of the different phases in the IDP participation process by means of KPIs and annual performance targets are outlined in Table 6.4.

Table 6.4: Monitoring of the IDP phases

PHASE 1 (ANALYSIS)			
IDP OBJECTIVE	KPI	ANNUAL PERFORMANCE TARGET	QUARTERLY PROJECTED TARGET
To strengthen a meaningful community participation and interaction campaigns	Improved attendance of communities to the campaigns	Facilitating the IDP public participation processes to ensure quality engagement with all stakeholders in the analysis stage by 30 September 2022	100% of public participation processes facilitated
	Number of ward meetings held in Analysis Phase	Conducting and / or co-ordinating 1 meeting per ward (39 meetings) on needs analysis per ward by 30 September 2022	39 Councillor-convened community meeting conducted / co-ordinated
	Number of sectoral departments attended the IDP representative forum meeting.	Conducting and / or co-ordinating 1 representative forum meeting for all IDP stakeholders on needs analysis in the IDP by 30 September 2022.	1 rep forum meeting conducted / co-ordinated
	Number of steering committee meetings held in analysis phase	Conducting 1 steering committee meeting for all departmental heads/officials responsible for IDP by 30 September 2022.	1 Steering committee meeting held

PHASE 2 (STRATEGIES)			
IDP OBJECTIVE	KPI	ANNUAL PERFORMANCE TARGET	QUARTERLY PROJECTED TARGET
To promote effective communication and provide feedback to the needs of the community	Number of communication strategies	Developing and adopting the communication strategy by council by 30 November 2022	1 Communication strategy to council
	Number of public participation policies	Developing and adopting the public participation policy by council by 30 November 2022	1 Public participation policy to council
	Number of operational guidelines	Compiling operational guidelines for officials and politicians on community engagement by 30 November 2022.	1 Operational guidelines report tabled to council
	Number of feedback mechanisms	Compiling quality and appropriate feedback mechanisms and tabling to council by 30 November 2022	1 Feedback mechanism report tabled to council
	Number of feedback reports	Compiling feedback on community needs analysis and tabling report to council by 30 November 2022	1 Feedback report tabled to council
	Number of strategies	Compiling strategies to involve marginalised communities compiled and tabled to council by 30 November 2022	1 Strategies report tabled to council
	Number of feedback meetings held	Conducting e-participation meetings to give feedback on the analysis phase	1 Newspaper feedback report

		consultation and discuss implementation of strategies by 30 November 2022.	1 Social media feedback report 1 Radio feedback report 39 Ward committee WhatsApp groups feedback reports 1 Email feedback report 1 Google forms feedback report 1 Virtual steering committee meeting
PHASE 3 (PROJECTS)			
IDP OBJECTIVE	KPI	ANNUAL PERFORMANCE TARGET	QUARTERLY PROJECTED TARGET
To promote effective communication on project proposals of the community	Number of meetings held	Regular communication between senior officials, office of the Speaker, councillors, ward committees, CDW's and communities about project proposals by 30 January 2023.	1 IDP steering Committee meeting conducted
	Number of public participation meetings on project proposals with community members	Improving level of trust by community with regard to project proposals by effective communication by 30 January 2023.	39 councillor-convened public participation meetings conducted / co-ordinated
	Number of violent protest incidents	Lowering incidents of violent protest by effective feedback on projects.	0 violent protest incidents

	Number of sectoral departments attended	Conducting and / or co-ordinating 1 representative forum meeting for all IDP stakeholders on project proposals in the IDP by 30 January 2023.	1 rep forum meeting conducted / co-ordinated
	Number of project proposals received	Receiving project proposals from each ward by 30 January 2023.	39 ward specific project proposals received
PHASE 4 (INTEGRATION)			
IDP OBJECTIVE	KPI	ANNUAL PERFORMANCE TARGET	QUARTERLY PROJECTED TARGET
To promote and facilitate intergovernmental relations amongst stakeholders in the municipality to ensure integration of the IDP process	Number of IGR meetings held	Facilitation of intergovernmental relation forums (MM's Forum, LED Forum, CFO Forum, communications forum, technical managers forum, disaster forum, district environmental health forum) by 28 February 2023.	1 meeting per forum
	Number of internal meetings held	Conducting a steering committee meeting to integrate all sector plans into the IDP by 28 February 2023.	1 IDP steering committee meeting conducted
	Number of stakeholders participated in the Integration Phase E-consultations	Conducting e-participation meetings to give feedback on the project phase consultation and discuss implementation of projects by 28 February 2023.	1 Newspaper feedback report 1 social media feedback report 1 radio feedback report

			39 ward committee WhatsApp groups feedback reports 1 email feedback report 1 Google forms feedback report 1 virtual steering committee meeting
	Number of sectoral department projects and programmes integrated into IDP	Integrating all sectoral department projects and programmes into the draft IDP document by 28 February 2023.	9 sectoral department plans integrated
PHASE 5 (APPROVAL)			
IDP OBJECTIVE	KPI	ANNUAL PERFORMANCE TARGET	QUARTERLY PROJECTED TARGET
To promote effective communication and provide feedback to the needs of the community before final adoption of the IDP	Number of meetings held	Facilitation of feedback meetings with communities and stakeholders in the IDP process before approval of the IDP document.	39 councillor- convened public participation meetings conducted / co- ordinated
	Number of meetings held	Conducting 1 council meeting for adoption of draft IDP	1 council meeting held

	Number of meetings held	Conducting 1 council meeting for adoption of final IDP	1 council meeting held
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Source: Researcher's own

Lastly, provision for political oversight of the IDP model should be made. Political oversight is done by the Municipal Public Accounts Committee (MPAC). MPACs support the municipal council in binding the executive and municipal administration to account, and to warrant the effectual and proficient utilisation of municipal resources. This committee scrutinise the performance-related information grounded on the functions allocated to the municipality as they are aligned to the financial information. It is recommended that the IDP model be scrutinised by MPAC and senior managers to account on the implementation thereof in the MPAC interviews regarding the annual report is conducted.

6.6.1 Recommendations for a participation value chain in the IDP process

In the IDP process, inputs from various groups of managers are necessary to ensure an effective value chain. The following inputs between politicians and officials are necessary to ensure a proficient IDP system:

- Accountability – politicians are accountable to the communities that elected them and should act on behalf of their community members by meeting their needs, and officials are accountable to their political principals.
- Transparency – politicians should strive for transparent participation that upholds fair decision making and officials should conduct council affairs in a transparent matter to eliminate any queries from politicians and communities.
- Commitment – politicians should be committed to the transformation of their communities and improving their lives and officials should support politicians in enhancing the lives of their community.
- Participatory governance – there should be an ongoing dialogue between the community and the council to ensure involvement in all council processes.
- Honesty – politicians and officials should conduct business fair and honest.
- Batho Pele principles adherence – politicians and officials should endeavour to assist their community and always treat them with dignity and respect.

To operationalise the model and make it more practical for municipal role-players and stakeholders to add value to the participation process, Table 6.5 outlines the nature of input required from politicians and officials during each of the five IDP phases. The table also reflects the nature of input required (i.e. what?) as well as the required date or time frame (i.e. when?) of the provisioning of such input. Finally, the table highlights the participation responsibilities of senior (strategic), middle (tactical) and junior (operational) managers. As such, the table adds significant value to facilitate the successful utilisation of the model. The content of this table should be juxtaposed with the content of Table 6.4 to gain insight into the assessment and measurement of the quality of the participation process as per identified key performance indicators and targets. Collectively, Tables 6.4 and 6.5 clearly outline the complete value chain in the IDP participation process and provide clear guidelines for the effective operationalisation of the proposed participation model.

Table 6.5: Input into the various IDP phases

ANALYSIS PHASE				
NATURE OF INPUT REQUIRED	POLITICAL INPUT	STRATEGIC INPUT	TACTICAL INPUT	OPERATIONAL INPUT
WHO?	All councillors	Directors/senior managers (legal, communications, corporate, Speaker)	Departmental managers (communications, IDP, Speaker, corporate admin)	Administrative officials (EM, Speaker, IDP, corporate admin)
WHAT?	Instil a culture for participation in the IDP process in their wards	Ensure public notification of meetings are according to law and council policy	Arrangement and advertisements of public participation meetings, confirmation of attendance. <i>Budget:</i> Office of the Speaker/EM	Operational requirements for IDP meetings: venue, sound, flyers, transport, programmes, food. <i>Budget:</i> Office of the Speaker

WHEN?	Commencement of the IDP process – August	1-31 August (cross ref: Table 4.1, activity 1.2)	1-31 August	1-31 August
WHO?	Executive mayor and MMC's	Directors (strategic, corporate)	Departmental managers (all)	Administrative officials (office of the city manager)
WHAT?	Undertake the overall co-ordination of the community needs analysis process	Strategic planners need to identify and analyse all priority issues received within the municipal boundaries	Provide relevant technical, strategic and financial information for analysis and determining priority community needs	Receive and record all community needs, compile a comprehensive report of the needs analysis to HOD.
WHEN?	1 August to 30 September	24-30 September (cross ref: Table 4.1, activity 1.8)	14-24 September	1-14 September
WHO?	All councillors	Directors (all)	Departmental managers (IDP, finance, all directorates)	Administrative officials (IDP, all directorates)
WHAT?	Adopt an IDP process plan by end of August	Implementation of the IDP process plan	Ensure that the IDP process plan dates and targets are met	Provide relevant information necessary to meet targets in the IDP process plan
WHEN?	31 August	1 September-31 May (ongoing process)	1 September-31 May (ongoing process)	1 September-31 May (ongoing process)
WHO?	All councillors (council)	Directors (corporate services)	Departmental managers (legal, EM, Speaker, HR)	Administrative officials (legal, researchers, office of the Speaker)

WHAT?	Adopt a public participation policy and communication strategy.	Implementation of the participation policy and execution of the communication strategy.	Ensure that the public participation and communication policy is cascaded to lower levels and implemented by all officials.	Appoint a public participation official responsible for setting procedural guidelines for effective participation during each phase of the IDP process. <i>Budget:</i> Office of the Speaker/EM
WHEN?	1 August to 30 September	1 August to 30 September	1 August to 30 September	1 August to 30 September
STRATEGIES PHASE				
NATURE OF INPUT REQUIRED	POLITICAL INPUT	STRATEGIC INPUT	TACTICAL INPUT	OPERATIONAL INPUT
WHO?	All councillors (council)	Directors (corporate)	Departmental managers (finance, HR, corporate admin)	Administrative officials (office of the city manager, corporate admin)
WHAT?	Strategic direction of the municipality is identified after consideration of community needs.	Compilation of an overview of all strategic alternatives of the municipality.	The institutional and financial resources are identified and a framework structured.	Strategic workshop for all politicians and top management of the municipality conducted.
WHEN?	14 to 30 October (cross ref: Table 4.1, activity 2.5)	7 to 14 October	1 to 7 October	1 to 7 October
WHO?	All councillors (council)	Directors (all)	Departmental managers	Administrative officials (office of the

				city manager, Speaker, corporate)
WHAT?	Vision and mission statement approved by council.	The vision and mission of the municipality to be structured after consultation with the IDP steering committee and considerations of strategic workshop held.	Vision and mission statements are discussed internally by IDP steering committee members.	Preparing the proposed vision and mission statements and strategies emanating from the strategic workshop held.
WHEN?	14-30 Nov (cross ref: Table 4.1, activity 2.1)	7-14 Nov (cross ref: Table 4.1, activity 2.3)	1-7 Nov (cross ref: Table 4.1, activity 2.1)	1-7 Nov
PROJECT PHASE				
NATURE OF INPUT REQUIRED	POLITICAL INPUT	STRATEGIC INPUT	TACTICAL INPUT	OPERATIONAL INPUT
WHO?	All councillors	Directors (infrastructure)	Departmental managers	Administrative officials (office of the city manager, Speaker, corporate)
WHAT?	Leading and directing a co-ordinated process with sufficient feedback to the community on project status	Take responsibility for the preparation of project proposals and the integration of projects and programmes.	Contribute their expertise in the consideration and finalisation of strategies and identification of projects.	Submit monthly progress reports regarding IDP projects and programmes to senior managers
WHEN?	1-21 December			

	(cross ref: Table 4.1, activity 3.3)			
WHO?	All councillors	Directors (all)	Departmental managers (EM, Speaker, IDP, corporate admin)	Administrative officials (office of the city manager, Speaker, corporate)
WHAT?	Ensure that managerial planning is in line with community needs.	Discuss the proposed projects in IDP steering committee meeting, reach consensus of priority projects, set broad parameters and guidelines for implementation of all IDP projects and programmes	Arrange and attend public participation with the community members and stakeholders in the IDP process to discuss the proposed projects	Operational requirements for IDP meetings: venue, sound, flyers, transport, programmes, food. <i>Budget:</i> Office of the Speaker
WHEN?	7-30 January (cross ref: Table 4.1, activity 3.4	7-30 January	1-21 January	1-21 January
INTEGRATION PHASE				
NATURE OF INPUT REQUIRED	POLITICAL INPUT	STRATEGIC INPUT	TACTICAL INPUT	OPERATIONAL INPUT
WHO?	All councillors	Directors (all)	Departmental managers (EM, Speaker, IDP, corporate admin)	Administrative officials (office of the city manager, Speaker, corporate)
WHAT?	Oversee integration of all projects and	Integration of all programmes and plans into the IDP document through	All internal and sectoral department projects need to	Preparing a comprehensive report on the proposed projects

	programmes in the IDP	extensive consultation with all departments in the municipality.	be incorporated into the IDP and the outputs consolidated.	from internal and sectoral departments.
WHEN?	1-28 February	15-28 February (cross ref: Table 4.1, activity 4.4)	15-21 February	1-14 February
APPROVAL PHASE				
NATURE OF INPUT REQUIRED	POLITICAL INPUT	STRATEGIC INPUT	TACTICAL INPUT	OPERATIONAL INPUT
WHO?	All councillors	Directors (all)	Departmental managers (EM, Speaker, IDP, corporate admin)	Administrative officials (office of the city manager, Speaker, corporate)
WHAT?	Undertake the overall co-ordination of final round of consultation before adoption of the IDP	Obtain acceptance of the community on the IDP document and ensure their rights are not violated.	Public participation with community to afford them the last opportunity to comment on the draft IDP document.	All public comments received need to be incorporated into the final IDP document.
WHEN?	1-31 March	8-14 March (cross ref: Table 4.1, activity 5.2)	8-14 March (cross ref: Table 4.1, activity 5.2)	1-7 March
WHO?	All councillors	Directors (all)	Departmental managers (IDP, corporate admin)	Administrative officials (office of the city manager, IDP)
WHAT?	Approval of the IDP document to obtain official and legal status.	Linking the IDP document with cross-boundary aspects before adoption	Alignment and linking of all aspects affecting neighbouring municipalities	Compiling the draft/final IDP document, ensure all inputs are captured.
WHEN?	31 March	8-14 March	8-14 March	1-7 March

Source: Researcher's own

6.7 RECOMMENDATIONS FOR FURTHER STUDY

The identification, detailed analysis and recommendation of an institutional model for the implementation of the public participation process are necessary for the IDP cycle's public participation to be effective.

The study aimed to explicitly conceptualise the public in order to enhance the body of existing public administration literature to assist them identify appropriate mechanisms for public participation within the IDP cycle by means of a model in a local government institution. Intrinsicly, it added significant value to the existing corpus of knowledge pertaining to local democracy, theoretical underpinnings of public participation, and the principles of good, developmental local governance. The study moreover contributed to the praxis of public participation with specific reference to the Integrated Development Plan cycle in local government. The study explicitly aimed to contribute by designing an appropriate model to aid and foster public participation in all five stages of the IDP cycle in the City of Matlosana.

The development of a model to ensure effectiveness of public participation in all stages of the IDP cycle will immensely improve its effect on service delivery. This will lead to minimising of service delivery protests in the City of Matlosana and will warrant that community members feel that they have contributed meaningfully in the IDP process.

The succeeding table illustrates the contribution and advantages of a public participation model and illustrates lessons that could be learnt internationally.

6.8 CONCLUSION

The problem acknowledged and considered by this study was the insufficient public participation in the Integrated Development Planning cycle of local government with the focus on the City of Matlosana local municipality.

The adoption and implementation of the proposed model is anticipated to significantly improve public participation in the IDP cycle of local government and then fundamentally fostering public participation in the IDP process of the CoM, thereby addressing the identified research problem.

The efficacious implementation of this model will not only be beneficial to the CoM but may assist as a benchmark for adoption and execution by other local government institutions facing similar public participation challenges. Furthermore, this study makes a meaningful contribution to the significance of various methods of public participation that can be utilised within the IDP process.

In this final chapter, a model that can be used by the CoM to aid public participation in the IDP process was suggested as the study's primary contribution. Ahead of that, the chapter gave an overview of the complete study. This was accomplished in two ways: first, by presenting an interpretation of the interrelatedness by means of diagrammatical presentations in tables of the research objectives, questions and chapters; and second, by producing an overview of the study's chapters. Subsequently, the researcher illustrated the various public participation mechanisms that can be used in developing the public participation model and the model was presented. The implementation of the model is supported by means of focused recommendations. In addition, the chapter also presented proposals for additional studies.

Ultimately, it is significant to remember that the study was motivated by the demand for the CoM to aid effective and efficient public participation mechanisms within their IDP process, to embrace innovative and emerging methods that would increase public participation. Hence, it was crucial to add to the expanding body of research by suggesting a paradigm for public engagement within the IDP process, contributing to the advancement of knowledge within public administration, management and governance as study domains.

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ANNEXURE A: INTERVIEW SCHEDULE

INTERVIEW SCHEDULE

Senior managers involved in the IDP process in the City of Matlosana Local Municipality, Dr. Kenneth Kaunda District Municipality and Department of Cooperative Governance and Traditional Affairs.

SECTION A: CONSENT TO PARTICIPATE IN THE STUDY

I, _____ (name and surname), agree to be interviewed as part of the research for a Doctor of Philosophy in Social Science with Public Management and Governance, titled: **“Fostering public participation in integrated development planning: The case of the City of Matlosana”**.

I give my consent to participate in the study with the following understanding:

- The purpose of the interview has been explained to me.
- My participation is voluntary.
- I may withdraw from the study at any given time.
- My anonymity is guaranteed. The results obtained from the interviews will be reported as a collective; therefore, I will not be identified by name or position in the study.
- The information I provide will be used for the purpose of this research study only and will not be made available to any third party.
- I will answer the questions honestly, based on my personal expertise, experience and views.

Interviewee:

Name: _____

Signature: _____ **Date:** _____

Researcher:

Name: _____

Signature: _____ **Date:** _____

SECTION B: BIOGRAPHICAL INFORMATION

(completed by researcher upon requesting the information from the interviewees)

Designation: _____

Salary level _____

Period of employment in current post: _____

Period of employment at the Municipality: _____

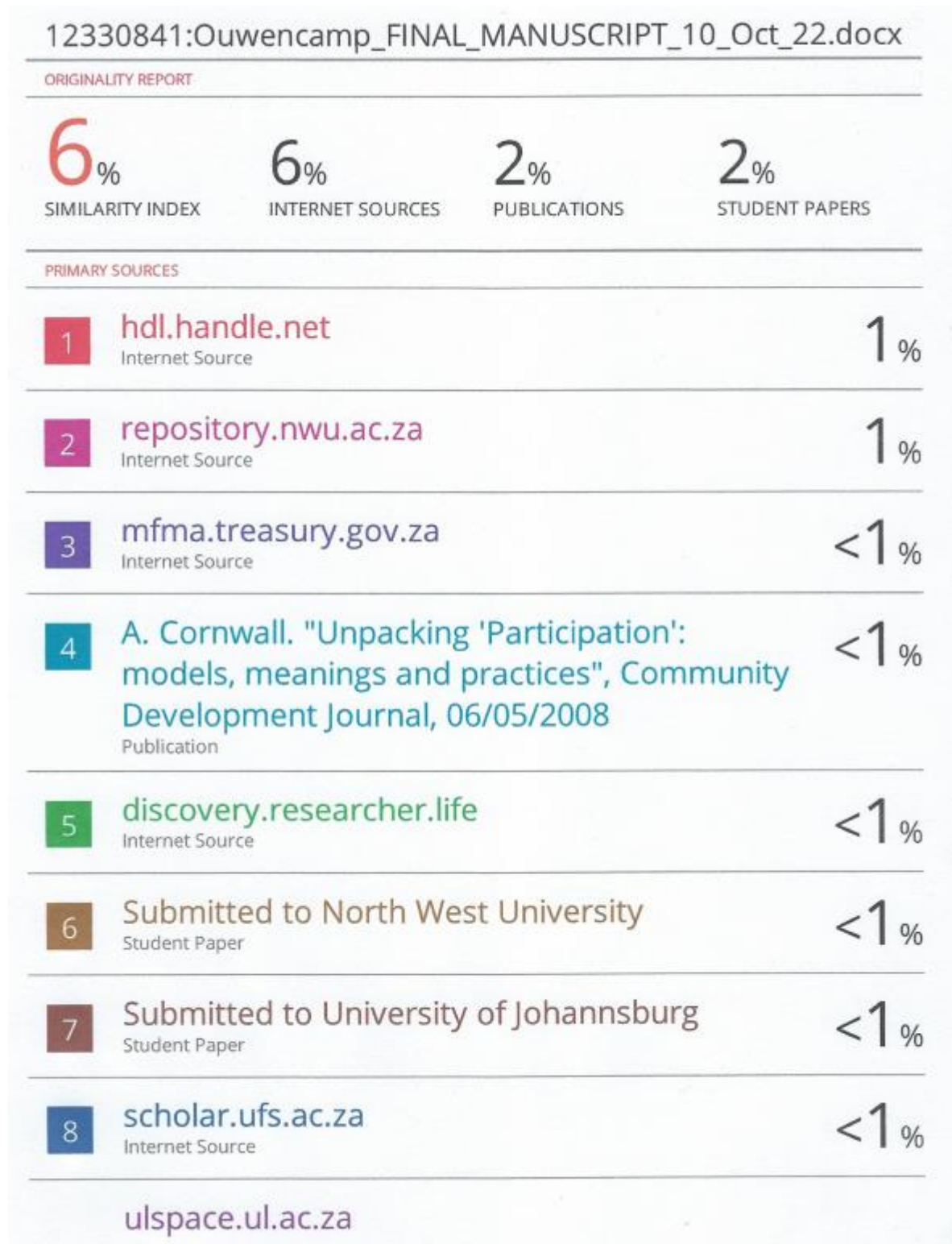
Gender	Male		Female
Age	18-35	36-49	50 and above

SECTION C: PUBLIC PARTICIPATION QUESTIONNAIRE

1. Public participation in the IDP process involves undertaking activities which must follow prescribed processes and procedures in accordance with the established guidelines. What guidelines does your institution follow in undertaking its public participation activities and how does the institution enforce compliance with or adherence to these guidelines?
2. What are the obstacles hindering public participation in the IDP needs analysis (stage 1) within your institution, and how does the institution ensure that the identified needs are met?
3. Has your institution ever imposed disciplinary measures on officials who neglected their IDP responsibilities? If yes, what were those measures and if no, why were there no actions taken?
4. What structures does your institution have to ensure effective public participation in accordance with the policies? In your view, do you think such structures are effective? Please support your response.
5. The IDP is rooted in a multi-dimensional context characterised by planning processes in the district, provincial and national spheres. Has your institution ever interacted with these government authorities on matters relating to public participation in the IDP process and what were the outcomes of such interaction/s?
6. In your opinion, what challenges does your institution face in the implementation of its public participation practices and how are these addressed or how do you think they should be addressed?

7. What would you say are the shortcomings of your institution in relation to the implementation of its digital public participation (e-participation) practices and what measures do you think should be employed to improve such shortcomings?
8. Do you think the IDP unit of your institution is adequately capacitated/resourced in such a way that it is possible to ensure comprehensive public participation? If yes, please briefly elaborate.
9. According to your observation and experience, does your institution implement and comply with the prescribed public participation regulations? Please elaborate on your response.
10. As one of the South African public participation principles, how does your institution ensure inclusiveness in its participation practices?
11. Municipalities achieve their strategic objectives through the process of consultation with all their relevant stakeholders (communities, officials, sector departments). Does your institution deliberate its needs and related financial resources, risks, targets, performance and reporting during its strategic session? Are these incorporated into the organisational strategic plan?
12. In your observation, what strategic and operational challenges does your institution have and what recommendations would you make for the development of a strategic framework and operational guidelines?

ANNEXURE B: TURNITIN REPORT



ANNEXURE C: DECLARATION OF LANGUAGE EDITING

RENTIA MYNHARDT

BCom (UNISA)



SA Translators' Institute (SATI)

Membership number: 1002605

*Cellphone: 082 7717 566 * E-mail: rentia.mynh@gmail.com*

Reference number: SO1
Date: 2022/11/08

To whom it may concern,

LANGUAGE EDITING

This letter serves as proof that the following document was submitted for language editing in November 2022:

Author: S. Ouwencamp
Document type: Thesis: Doctor of Philosophy in Public Management and Governance
Title: Fostering public participation in integrated development planning: The case of the City of Matlosana

I applied all reasonable effort to identify errors and made recommendations about spelling, grammar, style and punctuation.

I attempted to be consistent regarding language usage and presentation.

The bibliography was also checked and corrections were made where necessary.

I confirmed the content as far as possible, but cannot be held responsible for this as all facts could not be confirmed. This remains the responsibility of the author.

Thank you very much.

Kind regards.

Rentia Mynhardt

ANNEXURE D: PERMISSION TO CONDUCT RESEARCH

7 Hardekool Street
Doringkruin
Klerksdorp, 2571
08 August 2021

The Municipal Manager
City of Matlosana
41 Bram Fischer Street
Klerksdorp, 2571

PERMISSION TO CONDUCT RESEARCH WITHIN THE CITY OF MATLOSANA (CoM)

Dear Mr Nkhumise

I, Sanet Ouwencamp employed by **the City of Matlosana**, kindly seek your approval to conduct research within **the CoM**, as part of the compulsory thesis for the fulfilment of **Doctor of Philosophy in Public Management and Governance** which I am currently studying part-time with the North-West University.

The research is titled '**Fostering public participation in integrated development planning: The case of the City of Matlosana**'. The objectives of the study are:

- To explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation.
- To conceptualise and contextualise public participation within the context of South Africa as a democratic developmental state.
- To analyse the statutory and regulatory frameworks for integrated development planning in the South African local government sector.
- To uncover international and national local government best practices in facilitating effective public participation within development planning processes.
- To identify and analyse institutional challenges that impede the effective and efficient implementation of existing public participation strategies in local government with specific reference to the IDP cycle.

- To investigate existing participation strategies and mechanisms in the IDP cycle in the City of Matlosana as a case study.
- To design a model to foster public participation in the integrated development planning cycle of local government with specific reference to the City of Matlosana.

The problem acknowledged and considered by this study was insufficient public participation in the Integrated Development Planning (IDP) cycle of local government with the focus on the City of Matlosana Local Municipality. The study was inspired by the need for the City of Matlosana to aid effective and efficient public participation mechanisms within their IDP process by embracing innovative and emerging methods that would increase public participation.

The study participants will be senior managers who perform Integrated Development Planning (IDP) functions within the City of Matlosana. In conducting this study, the following research ethics will be considered:

- Participation in the study will be voluntary;
- Confidentiality and anonymity of participants will be maintained;
- Permission to record interviewees will be sought before the interview process can commence;
- Research participants will be treated with respect; and
- Information and institutional documents obtained will be used for the sole purpose of this study.

I hope that my request to conduct the above-mentioned research will receive your favourable consideration.

<p>Yours sincerely</p> <hr/>	<p>Approved/Not Approved</p> <hr/>
<p>Sanet Ouwencamp 08 August 2021</p>	<p>Mr T.S.R. Nkhumise Municipal Manager: City of Matlosana/...../2021</p>

7 Hardekool Street
Doringkruin
Klerksdorp, 2571
08 August 2021

The Municipal Manager
Dr Kenneth Kaunda District Municipality
Patmore Road
Orkney, 2620

PERMISSION TO CONDUCT RESEARCH WITHIN THE DR KENNETH KAUNDA DISTRICT MUNICIPALITY

Dear Ms Mosiane-Segotso

I, Sanet Ouwencamp employed by **the City of Matlosana**, kindly seek your approval to conduct research within **the Dr Kenneth Kaunda District Municipality**, as part of the compulsory thesis for the fulfilment of **Doctor of Philosophy in Public Management and Governance** which I am currently studying part-time with the North-West University.

The research is titled '**Fostering public participation in integrated development planning: The case of the City of Matlosana**'. The objectives of the study are:

- To explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation.
- To conceptualise and contextualise public participation within the context of South Africa as a democratic developmental state.
- To analyse the statutory and regulatory frameworks for integrated development planning in the South African local government sector.
- To uncover international and national local government best practices in facilitating effective public participation within development planning processes.
- To identify and analyse institutional challenges that impede the effective and efficient implementation of existing public participation strategies in local government with specific reference to the IDP cycle.
- To investigate existing participation strategies and mechanisms in the IDP cycle in the City of Matlosana as a case study.

- To design a model to foster public participation in the integrated development planning cycle of local government with specific reference to the City of Matlosana.

The problem acknowledged and considered by this study was insufficient public participation in the Integrated Development Planning (IDP) cycle of local government with the focus on the City of Matlosana Local Municipality. The study was inspired by the need for the City of Matlosana to aid effective and efficient public participation mechanisms within their IDP process by embracing innovative and emerging methods that would increase public participation.

The study participants will be senior managers who perform Integrated Development Planning (IDP) functions within the Dr Kenneth Kaunda District Municipality. In conducting this study, the following research ethics will be considered:

- Participation in the study will be voluntary;
- Confidentiality and anonymity of participants will be maintained;
- Permission to record interviewees will be sought before the interview process can commence;
- Research participants will be treated with respect; and
- Information and institutional documents obtained will be used for the sole purpose of this study.

I hope that my request to conduct the above-mentioned research will receive your favourable consideration.

<p>Yours sincerely</p> <hr/>	<p>Approved/Not Approved</p> <hr/>
<p>Sanet Ouwencamp 08 August 2021</p>	<p>B.E. Mosiane-Segotso Municipal Manager: Dr Kenneth Kaunda District Municipality/...../2021</p>

7 Hardekool Street
Doringkruin
Klerksdorp, 2571
08 August 2021

Chief Directorate: Development Planning
Department of Cooperative Governance and Traditional Affairs
North West Provincial Office
Directorate: Municipal Development Planning
Private Bag X2145
Mmabatho, 2735

**PERMISSION TO CONDUCT RESEARCH WITHIN THE MUNICIPAL
DEVELOPMENT PLANNING DIRECTORATE OF THE DEPARTMENT OF
COOPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS**

Dear Mr Oagile

I, Sanet Ouwencamp employed by **the City of Matlosana**, kindly seek your approval to conduct research within **the Department of Cooperative Governance and Traditional Affairs in the Directorate: Municipal Development Planning**, as part of the compulsory thesis for the fulfilment of **Doctor of Philosophy in Public Management and Governance** which I am currently studying part-time with the North-West University.

The research is titled '**Fostering public participation in integrated development planning: The case of the City of Matlosana**'. The objectives of the study are:

- To explore the philosophical and theoretical foundations, principles and approaches of local democracy and public participation.
- To conceptualise and contextualise public participation within the context of South Africa as a democratic developmental state.
- To analyse the statutory and regulatory frameworks for integrated development planning in the South African local government sector.
- To uncover international and national local government best practices in facilitating effective public participation within development planning processes.

- To identify and analyse institutional challenges that impede the effective and efficient implementation of existing public participation strategies in local government with specific reference to the IDP cycle.
- To investigate existing participation strategies and mechanisms in the IDP cycle in the City of Matlosana as a case study.
- To design a model to foster public participation in the integrated development planning cycle of local government with specific reference to the City of Matlosana.

The problem acknowledged and considered by this study was insufficient public participation in the Integrated Development Planning (IDP) cycle of local government with the focus on the City of Matlosana Local Municipality. The study was inspired by the need for the City of Matlosana to aid effective and efficient public participation mechanisms within their IDP process by embracing innovative and emerging methods that would increase public participation.

The study participants will be senior managers who perform Integrated Development Planning (IDP) functions within the Directorate of Municipal Development Planning. In conducting this study, the following research ethics will be considered:

- Participation in the study will be voluntary;
- Confidentiality and anonymity of participants will be maintained;
- Permission to record interviewees will be sought before the interview process can commence;
- Research participants will be treated with respect; and
- Information and institutional documents obtained will be used for the sole purpose of this study.

I hope that my request to conduct the above-mentioned research will receive your favourable consideration.

<p>Yours sincerely</p> <hr/> <p>Sanet Ouwencamp 08 August 2021</p>	<p>Approved/Not Approved</p> <hr/> <p>M. Oagile Director: Municipal Development Planning/...../2021</p>
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