PUBLIC PARTICIPATION IN THE POLICY MAKING AND PLANNING PROCESSES IN A SOUTH AFRICAN METROPOLITAN MUNICIPALITY

by

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DECLARATION ORIGINALITY

I, Peter Jacob Martin (student number 0521 6818) hereby declare that this dissertation titled "Public participation in the policy making and planning processes of local government with specific reference to a metropolitan municipality" is my own original work, and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

I declare that I submitted the dissertation to originality checking software and that it falls within the accepted requirements for originality.

I declare that I have not previously submitted this work, or part of it, for examination at Unisa for another qualification or at any other higher education institution.

27 NOVEMBER 2019

SIGNATURE   DATE

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DEDICATION

This dissertation is dedicated to my mother

Maria Mary Martin née Houtzamer

Who struggled and sacrificed so we can be

And

To my wife and children

And

To all the Wonderful People I met in Life

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ABSTRACT

The Constitution, 1996 requires that the public participate in policy making and planning in local government. To ensure compliance, legislation prescribes that local government needs to establish mechanisms, processes and procedures for public participation. However, neither the Constitution, 1996 nor legislation describes what public participation is, and how it should be implemented. Moreover, different people view public participation differently. There is thus a lack of definition and implementation of public participation in the policy making and planning processes of local government. To understand what public participation means, a conceptual analysis was conducted, resulting in the delivery of a working definition of public participation. The definition conveyed indicators of public participation, namely, the public, the levels of participation, the mechanisms for participation, the scope of participation and public influence in decision-making in participation. These indicators were studied qualitatively for description in a metropolitan municipality in South Africa in a single case study using multiple methods. The methods used were a survey questionnaire, a document study and analysis and an interview questionnaire. The findings indicate that the public who participated in the policy making and planning processes in the metropolitan municipality were mainly advantaged instead of disadvantaged people. They participated at the levels of informing, consulting, implementing, and reviewing. Public participation was not attained at the levels of educating, deciding and reporting back. The study established that the municipality employed various public participation mechanisms for informing and consulting the public. The scope of public participation was found to be reasonably broad. Though evidence suggests that the public participated in decisions pertaining to budget ward allocations, no evidence could be found that the public had an influence in decision-making in participation on the whole. It was found that public officials had the influence over public participation decision-making while politicians had the final say.

Keywords: Public participation; policy; policy making; planning; local government; democracy

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<u>GLOSSARY</u>

To save space and avoid repetition the following abbreviations and shortened forms are used

Shortened form	Full name/ description
Interim Constitution	Constitution of the Republic of South Africa Act 200 of 1993 (The Interim Constitution)
Constitution, 1996	Constitution of the Republic of South Africa of 1996
DPLG	Department of provincial and local government South Africa
DPSA	Department of Public Service and Administration South Africa
Municipal Finance Management Act	Local Government: Municipal Finance Management Act 56 of 2003
Municipal Structures Act	Local Government: Municipal Structures Act 117 of 1998
Municipal Systems Act	Local Government: Municipal Systems Act 32 of 2000
NCP	National Council of Provinces
Nedlac	National Economic Development and Labour Council
IDP	Integrated Development Plan
EIPP	European Institute for Public ParticipationIAP2 International Association for Public Participation
PPU	Public Participation Unit

CHAPTER ONE

BACKGROUND, RESEARCH RATIONALE AND SCIENTIFIC ORIENTATION OF THE STUDY

1.1   INTRODUCTION

This study describes public participation in the policy making and planning processes in local government in South Africa with specific reference to a metropolitan municipality. As the municipality has requested that it not be identified, the municipality is referred to as the City of South Africa or simply the municipality.

According to section 152 (1) (e) of the Constitution, 1996 local government must encourage the public to participate in the matters of local government. Giving effect to this requirement, the Municipal Systems Act in section 16 (1) (a) (i) regulates public participation in local government policy making and planning. However, the problem is that neither the Constitution, 1996 nor the Act clarifies what public participation is or how it should be executed or implemented in local government. This is the concern of this study.

This chapter discusses the background and the rationale of the study. The background comprises a brief history of South Africa's inception into democracy, an explanation of the concept democracy, the relationship between democracy and participation and the constitutional imperative for public participation. Thereafter, the motivation for undertaking the study is provided, followed by the problem statement and research questions.

The focus then shifts to the research problem and research questions, which will be formulated and stated, as well as the research purpose and objectives. The points of focus and time dimension will be clarified and the key concepts defined. Subsequently the literature review and information gathering process and the

research design receives attention. The chapter concludes with the ethical considerations and an outline of chapters that follow.

1.2   BACKGROUND AND RATIONALE OF THE STUDY

During 1993, South Africa transitioned from an undemocratic apartheid ruled state to a constitutional democracy. The Interim Constitution of 1993 put South Africa on the road to democracy by including a Bill of Rights, which made provision for the protection of a number of fundamental rights, such as in sections 16 and 21, the right of assembly, demonstration and petition as well as political rights for all South Africans. The Interim Constitution laid the foundation for the first democratic elections held on 27 April 1994 that formally established South Africa as a constitutional democracy. The Interim Constitution of 1993 was later replaced by the current Constitution of 1996 (Van der Waldt 2014: 13).

The democratisation of South Africa institutionalised formal structures for participation at the different spheres of government. For example, the National Economic Development and Labour Council (Nedlac) was established at the national sphere to promote public participation and stakeholder engagement among government, labour and business (Masango 2001: 4). On the contrary, section 17 (2) (c) of the Municipal Systems Act made provision for public meetings and public hearings in local government. This means that there should not only be participation in government during elections, but also public participation between elections.

Clapper (1996: 53) mentions that proponents of democracy differ in their understanding of democracy or how it should be implemented. Michels (2006: 323) and Blokker (2017) concur that democracy is a contested concept. Weale (2007: 24) avers that democracy is a complex phenomenon and appears in a variety of forms. Schubert, Dye and Zeigler (2014: 5) share this viewpoint. Notwithstanding the contestation and complexity of democracy, Clapper (1996: 53) asserts that anything associated with democracy ultimately relates to who participates or is able to participate in government. Similarly, Michels (2006: 323) speaks of the role that

public participation plays in a democracy. Weale (2007: 24) considers this to be the variation in the extent to which democracy presupposes participation in government decision-making. According to Weale (2007: 101), democracy can vary between minimum participation, as in elections only, to maximum participation in all aspects of government decision-making. Schubert et al. (2014: 5) posit that democracy denotes popular participation in government decision-making. Participation in government decision-making can be indirect and direct, which raises the concept of indirect and direct democracy.

Weale (2007: 31) and Hoffman (2015) indicate that in an indirect democracy, the public elect politicians to act on their behalf and to determine the content of public policy. In a direct democracy, the public act on their own by participating directly in the formulation of public policy. Indirect and direct democracies are at times referred to as representative and participatory democracies (Michels 2006: 326; Barber 2015). Michels (2006: 326) indicates that in a representative democracy, the public play a minimal role in policy making while in a participatory democracy, public participation in an essential feature of government decision-making.

The Constitution, 1996 indicates in section 46 (1) (d) that the election of the National Assembly (legislature) should "result[s], in general, in proportional representation", or representative democracy. However, chapter 10 of the Constitution, 1996 on Public Administration stipulates in section 195 (1) (e) that as a basic principle and value governing public administration, "[p]eople's needs must be responded to, and the public must be encouraged to participate in policy making". In other words, participation should not only be confined to the election of political representatives and political parties, but should extend to public participation in public policy making between elections. Concretising this principle in local government in South Africa, the Constitution, 1996 prescribes in sections 152 (1) (a) and (e) that local government should provide a democratic and accountable government for local communities and should encourage the involvement of communities and community organisations in the matters of local government. This requires public participation in local government policy making and planning.

According to Geldenhuys (1996: 17) and Van der Waldt (2014: 4), local government in South Africa consists of a system of geographical units called municipalities. Section 2 (a) (b) of the Municipal Systems Act stipulates that a municipality has legislative and executive powers and consists of the political structures and administration of the municipality and the local community. The Municipal Systems Act identifies in section 2 (b) (i) and (ii), three entities that constitute local government, namely, the political element, (public) administration and the community. The community, in this study, is a constituent of the public. This means that the public is integral to local government and should participate in policy making and planning.

1.3   MOTIVATION FOR THE RESEARCH

As the Constitution, 1996 and the Municipal Systems Act in section 16 (1) (a) prescribe public participation in policy making and planning, it is important to understand what public participation is and how it is implemented. Different people (Madumo 2014: 132; Matthias and Marshall 2011: 19) view public participation differently. Theron (2009: 115) mentions that participation differs depending on the context in which it appears. Public participation can take on many forms and interests (White 2011: 58). Like democracy, public participation is complex and there is no common understanding or consensus of how it should be implemented (Blokker 2015; Michels 2006: 323; Weale 2007: 24). Despite being a complicated concept and difficult to implement, there is a viewpoint that the effective implementation of public participation could benefit government and the public (Brynard 1996: 134). This necessitates that public participation be studied.

This research was also motivated by the fact that the Municipal Systems Act stipulates in section 16 (1) (a) (i) and (iv) that the public must participate in the IDP and annual budget processes in local government. Since local government budgeting and planning affects the lives of the public directly, it is important to understand how the public participate in these processes, and whether participation is effective. This descriptive study will provide public officials and politicians with an

understanding of how participation in local government unfolds. This description will serve as framework for improving the implementation of participation in local government. In the final chapter, recommendations in this regard are made.

In addition, this descriptive study will serve as a baseline for further studies in public participation. As a point of departure, it will be useful for empirical studies in improving participation or investigating the benefits thereof. In the final chapter, recommendations for future research will be submitted. The attention will now shift to the problem statement that was referred to previously.

1.4   PROBLEM STATEMENT

The Constitution, 1996 stipulates in section 152 (1) (e) that the public must be encouraged to participate in the matters of local government. Giving effect to this stipulation in local government, the Municipal Systems Act prescribes in section 16 (1) (a) (i) and (iv) that the public participate in the IDP and annual budget of local government.

The Municipal Systems Act directs in section 17 (1) that participation in the affairs of local government must take place through:

- local government established political structures;
- mechanisms, processes and procedures for participation in local government as provided in legislation;
- other appropriate mechanisms, processes and procedures instituted by local government;
- local elected and appointed politicians; and
- general application of provisions for participation as provided in legislation.

The Act stipulates in section 17 (2) that public participation in local government should be for the following purposes:

- the receipt, processing and consideration of petitions and complaints lodged by the public;

- notification and public comment procedure;

- public meetings and hearings by local government and other political institutions as well as elected and appointed politicians of the municipality;

- consultative sessions with recognised local organisations and traditional authorities; and

- report back to the public.

Even though the Constitution, 1996 and local government legislation obligates public participation in the policy making and planning processes in local government, neither the Constitution, 1996 nor local government legislation stipulates "what" participation is or describe "how" public participation should be executed or implemented.

According to Brynard (1996: 41), participation is difficult to determine as many decisions and acts have the potential to shape participation in some way. In other words, participation is not clear-cut. Brynard (ibid) asserts that participation can be broadly divided into two main categories, namely, the mere receipt of information by the public from authorities about proposed government actions and the sharing of information with the public to shape the final decision. Cohen and Uphoff (2011: 41) concur that participation involves numerous different activities and situations. Cohen and Uphoff (2011: 54) maintain that the word participation should not be considered on its own. Instead, it should be seen as a heading under which a number of distinct though related activities occur.

Rowe and Frewer (2004: 514) contend that participation is a complex concept of which the scope or definition is open to debate. In addition, Rowe and Frewer (2004: 515) assert that participation may involve the public in policy making and planning in a number of different ways or at a number of levels. In some instances, the public may be passive recipients of information (e.g. newspapers and notices), in other instances their input may be sought (e.g. surveys and questionnaires) and still in other instances the public may actively participate in the decision-making process itself (e.g. as members of advisory bodies or committees). Theron (2009: 115)

similarly points out that participation is difficult to define and can occur in a number of different ways.

Cornwall (2008: 269) mentions that participation is a flexible concept and can be used to mean almost anything that involves people. This means that the term can be framed to suit any situation. Cornwall submits this as the reason why many people claim to be 'doing participation' even though people dispute this. Similarly, White (2011: 58) avers that participation can take on many forms and serve many different interests. Matthias and Marshall (2011: 19) also claim that public participation has many faces.

Calise and Lowi (2010: 169) indicate that definitions of participation can vary, depending on whether the focus is on individual or collective actors, on the social or institutional arrangements, or on the means and procedures for participation. For this reason, different terms such as citizen participation, public participation and political participation have surfaced in the literature. According to Brynard (1996: 134), some scholars distinguish between the various terms whereas other scholars draw no distinction. For example, King, Feltey and Susel (2008) use the term public participation and citizen participation interchangeably while Rebori (2005: 5) uses the term public participation, citizen participation and political participation synonymously.

In view of the aforementioned, the problem statement is as follows:

There is a lack of consensus on a definition of public participation and how it should be implemented in the policy making and planning processes in local government.

To unravel the problem statement, the following subsidiary research questions have been composed:
- What is public participation?
- Who are the public who participate in the policy making and planning processes in local government?

- What are the levels of public participation in the policy making and planning processes in local government?

- What are the mechanisms, processes and procedures for public participation in the policy making and planning processes in local government?

- What is the scope of public participation in the policy making and planning processes in local government?

- What influence does the public have in decision-making in the policy making and planning processes in local government?

Since participation is a complex and contested concept (Blokker 2017; Michels 2006: 323; Weale 2007: 24) and is a Constitutional and legislative requirement for local government in South Africa, it is imperative that the concept be defined and the implementation thereof be described. Public participation is defined in Chapter 2 while the description of the implementation of public participation in local government will be provided in Chapter 5 and Chapter 6. The following section deals with the research purpose and objectives.

1.5 RESEARCH PURPOSE AND OBJECTIVES

According to Babbie (2016: 90), social research can serve many purposes of which the three common purposes are either to describe, explain or to explore a phenomenon. Descriptive research describes social reality (Babbie 2016: 19) even though it is seldom limited to description. Researchers often strive to provide some explanation for the observed phenomenon or what it implies (Babbie 2016: 91).

David and Sutton (2011: 11) highlight that description seeks to capture the what, where, when and who of a situation often in the absence of any prior explanation. Gerring (2012: 107) mentions that descriptive studies attempt to answer a *what* question (e.g., how, when, whom, or in what manner*)*. According to Punch (2014: 20), descriptive knowledge is important for the reason that explanation first requires description. David and Sutton (2011: 11) point out that exploration also involves description. The difference is that during exploration the researcher does not know

beforehand what is to be described while in description the researcher knows. This is a descriptive study of which the purpose is to describe how the public participate in the policy making and planning processes in local government with specific reference to a metropolitan municipality in South Africa.

To achieve the research purpose, the following research objectives, pertaining to the municipality where the research will be conducted, have been set:

- To analyse, demarcate and define public participation in a metropolitan municipality.
- To clarify and describe who the public are who participated in the policy making and planning processes in the municipality.
- To identify, explain and describe the levels of public participation in the policy making and planning processes in the municipality.
- To identify and describe the mechanisms, processes and procedures for public participation in the policy making and planning processes in the municipality.
- To explain and describe the scope of public participation in the policy making and planning processes in the municipality.
- To determine and describe the public's influence in decision making in the policy making and planning processes in the municipality.

In summary, thus far the background and rationale for the study have been discussed and the motivation for undertaking the research. The problem statement, research questions, and research objectives were submitted as well. The points of focus, definition of key concepts, literature review, and the information gathering process will now receive attention.

1.6   POINTS OF FOCUS, LIMITATIONS AND TIME DIMENSION

McNabb (2013: 94) suggests that researchers identify a research focus. The research focus entails identifying which part of the problem is to be studied and which parts are to be ignored. This study focuses on and describes the presence and absence of indicators of public participation in a particular metropolitan

municipality. The indicators of public participation are identified and explained in Chapter 2, section 2.5.

This study has three limitations. The first limitation is that the municipality requested anonymity. The municipality could thus not be situated within its social, economical and political context. This would have added meaning to the research results. To overcome this limitation, the municipality will be situated within the context of democratic local government in South Africa. The second limitation is that the study consists of a single case, hence the results cannot be generalised to all metropolitan municipalities. However, as this municipality typifies metropolitan municipalities within a democratic South Africa, the results have relevance for similar municipalities. Thirdly, the researcher did not possess knowledge and did not have access to all the availabe documents that speak to public participation in the municipality. This limitation will be overcome by drawing a sample of documents from the municipal documents available and accessible on the website of the municipality.

The time dimension of this study is from 18 May 2011 to 3 August 2016. The study spans the term of office of the municipal council elected on 18 May 2011 and whose term ended on 3 August 2016. According to section 25 (1) of the Municipal Systems Act, local government must, within a prescribed period after the start of its elected term, adopt a single, inclusive and strategic plan for the municipality. The plan serves as the IDP for the municipality. The Act states in section 25 (2) that the adopted IDP may be amended but remains in force until adopted by the next elected municipal council. The study spans the term of office of the elected municipal council.

This study covers five financial years (2011/2012, 2012/2013, 2013/2014, 2014/2015 and 2015/2016) of the metropolitan municipality. As the IDP forms the basis for the annual budgets (South Africa Municipal Systems Act 2000 section 21 (1) (c)), an overall view should be obtained of public participation in policy making from the perspective of the annual budget process and planning from the perspective of the IDP process in this particular municipality, over the identified period. In granting

approval for the research to be conducted in the metropolitan municipality, the municipality requested that the name of the municipality not be mentioned in the research. As such, the pseudonym for the municipality will be City of South Africa. This clarifies the points of focus, limitations and time dimension. The concepts that were operationalised in the dissertation are defined subsequently.

1.7   DEFINITIONS OF KEY CONCEPTS

The key concepts in this study are public participation, policy making, planning, local government, and democracy. Following are the definitions of the concepts.

1.7.1   Public participation

The DPSA ([Sa]) defines public participation as a voluntary process whereby people, individually or through organised groups, can exchange information, express opinions and articulate interests, and have the potential to influence decisions or the outcome of the matter at hand. In a similar vein, the DPLG (2007) defines public participation as an open, accountable process through which individuals and groups within selected communities can exchange views and influence decision-making.

In this study, public participation is defined as an open and accountable process whereby people, individuals and groups, who are affected by governmental decisions, voluntarily receive and exchange meaningful information, express opinions and articulate interests through available mechanisms, processes and procedures with the intention of influencing decision-making in public policy making and planning.

1.7.2   Policy making

Dye (2017: 1) considers public policy to be whatever governments choose to do or choose not to do. However, this definition is too broad for this study. De Coning and Wissink (2018: 7) regard public policy making as the action of drafting a public sector statement of intent, inclusive of a programme of action, which targets a perceived

public need or problem that requires government intervention. This definition is not appropriate, as it does not focus on the actions of policy actors.

For the purpose of this study, policy making is defined as a relatively stable, purposive course of action or inaction followed by an actor or set of actors for dealing with a public problem or matter of concern (Anderson 2015: 6).

1.7.3 Planning

Conyers and Hills (1984: 3) define planning as a process that involves setting future goals and deciding or choosing between alternative ways of achieving these goals within the confines of limited resources. According to Brynard (2003: 8), planning is an intellectual activity aimed at determining a future state of affairs and the steps to be taken to realise that state of affairs.

For the purpose of this study, planning is operationalised as a process which involves determining future circumstances and the identification of measures to realise them. The process includes determining alternative courses of action and deciding which course of action is the most suitable to achieve the objective and to realise the desired state. (Van der Waldt 2016: 186). The process involves specified steps to be taken to achieve plan implementation (Brynard 2003: 8).

1.7.4 Local government

Davids and Maphunye (2009: 60) define local government as a local authority within a defined geographical area that has the power to procure and render services of a local nature in order to improve the quality of life of the community within the area it serves. In this study, local government consists of municipalities that have legislative and executive powers and the right to govern in a demarcated area, subject to provincial and national legislation (South Africa Municipal Systems Act 2000 s 2A; Thornhill and Cloete 2014: 20).

1.7.5 Democracy

According to Schubert, Dye and Zeigler (2014: 5), the term democracy is derived from the Greek words *demos* and *kratos*, which translate to "people" and "rule". In the broad sense, democracy means a government ruled by the people. Weale (2007: 18) defines democracy as a system of government whereby important decisions concerning law and policy are dependent on the opinion of the public whether expressed directly or indirectly. Democracy includes the right to participate in free and fair elections, to run for government office, to vote and to organise (Christiano 2013).

For the purpose of this study, democracy is defined as a system whereby everybody has equal rights, including the right to participate directly in the policy making and planning processes of local government.

Having defined the key concepts, the literature review and information gathering process will be briefly explained.

1.8   LITERATURE REVIEW AND INFORMATION GATHERING PROCESS

To prepare for the research study, a literature review and information gathering process were conducted.

1.8.1   Literature review

Davis (2014: 13) points out that the literature review can assist with the formulation of the research question and the identification of key concepts relevant to the study. Babbie (2016: 487) suggests that a literature be built around the key concepts. This study is informed by a literature review (see Chapter 2). The following documents were consulted for the literature review:

- Constitution of the Republic of South Africa, 1996;
- South African local government legislation;

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- South African policy documents;

- Relevant local and international literature;

- Unpublished and published dissertations and theses;

- Articles from journals;

- Conference papers; and

- Official documents and records of the City of South Africa.

1.8.2 Information gathering

In addition to the literature review, this study gathered information from the municipality where the study was conducted. According to Kaniki (1999: 17), the search for information has its own rules and the aim is to find relevant information. This study accessed and searched the official website of the municipality on various occasions for relevant information. It was during one of these visits that it was discovered that the municipality has a database of groups registered with the municipality. The groups registered on the municipal database served as a means for participation (Bekker 1996: 29). In other words, they were targeted for public participation in the policy making and planning processes in the municipality. Additionally, it was established that the municipality has a Public Participation Unit (PPU) that manages the public participation processes in the municipality. Another discovery was that the official website of the municipality stored public documents relevant for a document study and analysis.

Stemming from the information gathering process, the following research decisions were taken. Firstly, to use the official database of groups registered with the municipality for the administration of the survey questionnaire. Secondly, to access public documents and records available on the official website of the municipality for the document study and analysis. Thirdly, to interview the head of the PPU in the municipality or an official in the unit.

Having clarified the points of focus and time dimension, the key concepts, literature review and information gathering process, the focus shifts to the case, units of analysis, research methods and ethical issues.

1.9   CASE STUDY RESEARCH

Even though case studies can be quantitative (Glesne 2011: 22; Marshall and Rossman 2016: 19), this case study will be qualitative. This study is qualitative as the intention of this study is not to test a theory as in quantitative research, but rather to contribute to theory building as in qualitative research (Bryman 2016: 31). This study neither investiges a causal relationship between variables as in quantitative research (Bryman 2016: 120). This study describes the qualities, characteristics and properties of public participation for better understanding (Henning, Van Rensburg and Smit 2004: 5) and meaning (David and Sutton 2011: 83). According to Marshall and Rossman (2016: 19), case studies are widely used among qualitative researchers.

McNabb (2013: 316) refers to case study as an approach whereas Yin (2014: 4) refers to the case study as a research method. However, Glesne (2010: 22) and Thomas (2016: 9) argue that the case study is not a methodological choice but rather a choice of what is to be studied or to focus on. In this instance, the focus is on public participation in the policy making and planning processes in the City of South Africa.

According to Henning et al. (2004: 15) and Glesne (2011: 15), a case is a bounded system. In other words, there are clear outlines and boundaries. Within these boundaries and outlines is a unity or totality of a system. The system may be a group of people or any social entity that can be bounded by parameters and that shows a specific dynamic and relevance (Henning et al. 2004: 32). A case study is an intensive study and could focus on an individual, family, an event, time period, decision or set of decisions, processes, programs, institutions, organisations, groups or entire communities (McNabb 2013: 317) or country (Thomas 2016: 3).

Yin (2012: 7) identifies four types of case study designs, namely, single, single embedded, multiple and multiple embedded case studies. This is a single case study. The choice of a single case is informed by the following. The single case is "exemplifying" (Bryman 2016: 57). That is to say, it typifies metropolitan municipalities in South Africa. It also presents opportunities for longitudal studies (Bryman 2016: 57). This is especially relevant in the sense that this study will make recommendations to improve public participation in the municipality. According to Glesne (2011: 22) researchers also have a choice in the selection of the type of case study and the outlines thereof. The outline of this case study is presented hereunder.

1.9.1   Outline of the case study

Section 151 of the Constitution, 1996 stipulates that the local sphere of government (or local government) consists of municipalities. The Municipal Systems Act defines a municipality in section 2A (a) as an organ of state within the local sphere of government exercising legislative and executive authority within a specific demarcated area. In other words, a municipality has a right to govern within its area of jurisdiction.

The Constitution, 1996 in section 155 identifies three categories of municipalities, namely, category A, B and C. Category A municipalities have exclusive municipal executive and legislative authority in the area under its control, and is also known as metropolitan municipalities. According to section 2 of the Municipal Structures Act, a metropolitan municipality is a city featuring, among others, areas of high population density, an intense movement of people, goods and services, extensive development, and multiple business districts and industrial areas. A municipality that does not meet the mentioned criteria is classified as category B and C municipalities. This study was conducted in a category A municipality in South Africa, otherwise known as a metropolitan municipality. As mentioned earlier, the pseudonym for this municipality will be the City of South Africa.

The Municipal Structures Act mentions in section 2 (c) that integrated development planning is desirable for metropolitan municipalities. The Municipal Systems Act explains in section 5 (1) that integrated development planning is a single, inclusive and strategic plan for the development of the municipality which links, integrates and co-ordinates plans and takes into account proposals for the municipality. It aligns the resources and capacity of the municipality with the implementation of the plan and forms the policy framework and general basis on which annual budgets must be based.

Likewise, the Municipal Systems Act stipulates in section 16 (1) (a) that the municipality must encourage, and create conditions for the local community to participate in the preparation, implementation and review of its IDP. The Municipal Finance Management Act stipulates in section 21 (2) that the municipality should consider the municipality's IDP when preparing the budget. In terms of section 21 (1) (b) (i) and (ii) (bb) and (iv)) and section 22 (a) (i) and (ii) and 23 (1) (a) of the Act, the public must participate in the preparation of the budget, during tabling in the municipal council, at the stage of approval and during the review of budget related policies. This study researched public participation in these processes in the municipality during the study period. In the subsequent section, the unit of analysis is discussed.

1.10   UNIT OF ANALYSIS

The unit of analysis refers to "what or whom" to be studied (Babbie 2016: 97). Babbie (2016: 99) identifies the common units of analysis as individuals, groups, organisations, social interactions, and social artefacts. Johnson (2014: 302) mentions that the unit of analysis is the object whose characteristics are being measured and described.

According to Henning et al. (2004: 41) and Yin (2014: 31), in case study research, the "case" is the unit of analysis. In this instance, the case is public participation within the bounded system. This study drew on three sources of data pertaining to

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public participation in the municipality, namely, the experiences of the public in the municipality, public documents in the municipality and public officials. The sources of data are also referred to as the "units of observation" (Wessels 2014:150). The sources of data informed the research methods adopted for this study. The reason for choosing this specific metropolitan municipality for this study cannot be submitted as this will compromise the identify of the municipality.   In the following section, ethical considerations are first highlighted followed by research methods.

1.11   ETHICAL CONSIDERATIONS

David and Sutton (2011: 113) and Babbie (2016: 62) indicate that in all social research there are ethical issues. The first issue is to first obtain permission to conduct research (Creswell and Clark 2011: 175; McNabb 2013: 25). This includes permission from university-based institutional review boards, head of institutions where the research will be conducted and multiple individuals. Before embarking on the research, this study first obtained permission from the municipal manager to conduct the research in the municipality.

In the letter for permission to conduct research to the municipal manager, it was clarified that the research is undertaken to obtain the Master's degree in Public Administration (M Admin) and that the purpose of the research is to describe public participation in policy making and planning from the perspectives of the annual budget and IDP processes. This request for permission included accessing the database of groups registered with the municipality. In the request for permission, it was specified how the municipality will benefit from the research project.

The request for permission letter reflected the research methods to be applied and the focus areas of the research. It was stated that participation in the research project is voluntary, that participants would remain anonymous, their responses will be confidential and that they can withdraw at any time. The municipal manager was informed that the research would not affect the day-to-day activities of public officials or the functioning of the municipality. It was also emphasised that the research would

at all times adhere to Unisa's Policy on Research Ethics. To provide more insight, the survey questionnaire was attached to the letter requesting permission to conduct research. The ethical measures taken were informed by the suggestions submitted by Glesne (2011: 163)

The municipality approved the research project on condition that the name of the municipality not be mentioned, in other words, the municipality requested anonymity. Anonymity refers to not recording personal details of a research subject (Babbie 2016: 65). On receipt of the municipal manager's approval, application was made to UNISA Research Ethics Review Committee for ethical clearance to conduct the research and collect data. After the Unisa Research Ethics Review Committee sanctioned the research, the data collection process was set in motion. The following section speaks to the research methods used in this study.

1.12 RESEARCH METHODS

David and Sutton (2011: 165-166) and Yin (2014: 121) convey that case studies may draw upon a range of methods, such as interviews and questionnaires, focus groups, observation, document and artefact collection and analysis. Yin (2014: 121) and Thomas (2016: 37) indicate that case studies can be researched with one method or more than one method. This study used survey questionnaires, document study and analysis and an interview questionnaire.

1.12.1 Survey questionnaires

A survey questionnaire requires a respondent (participant) to complete a series of questions designed by the researcher (David and Sutton 2011: 240). The respondents can be selected randomly from a specific population in the bounded system and requested to complete the questionnaire (Henning et al. 2004: 35). However, in this case study, a volunteer sample was used instead of a random sample. A volunteer sample is a sample of respondents who are easily available and willing to complete the survey questionnaire (Teddlie and Yu 2009: 77). Whereas

random sampling guarantees that each unit in the population will have an equal chance of being selected, volunteer sampling does not make that guarantee (David and Sutton 2011: 227).

Unlike random sampling, the results of volunteer sampling cannot be generalised to the population (Pascoe 2014: 137). Nevertheless, the aim of this study was not to generalise but rather to describe the case. The intention was to contribute to theory building (May and Perry 2011: 221). It is also interesting to note that in qualitative research, the observations of a sample of members can be generalised to the experiences of one or more individuals not selected for the study (Onwuegbie and Leech 2007: 107). Volunteer sampling can be useful in certain instances as volunteer sampling allows conclusions to be drawn about the volunteers and inferences can be made based on their responses (Nardi 2014: 124).

This study used a survey questionnaire that was administered to representatives of groups registered on the official database of the municipality. The questionnaire collected demographic information as well as information pertaining to respondents' experiences in terms of public participation in the policy making and planning processes in the municipality during the period of the study. The municipality's database served as the population and sampling frame for this study. The population was the total number of units from which the volunteer sample was drawn. Equally, the sampling frame contained every unit in the population from which the sample was drawn (Babbie 2016: 193, 201; David and Sutton 2011: 226). Bernard (2013: 175) indicates that 10-20 knowledgeable people in a volunteer sample are enough to uncover and understand the intricacies of a study.

This was a descriptive survey. According to McNabb (2013: 106), the purpose of a descriptive survey is to measure or observe the attitudes, behaviours or opinions of the respondents in order to describe the characteristics of the phenomenon or relationships between the phenomenon (Davis 2014: 75). The purpose of this survey was to collect information from participants on public participation.

1.12.2 Document study and analysis

Another research method that was applied in this case study was document study and analysis. According to Yin (2014: 105), documents are a valuable source of data and relevant to every case study. Yin maintains that there are different types of documents and that documentary sources are more accessible owing to the internet.

Mason (2002: 106) and May (2001: 176) point out that researchers who decide to use documents for their study usually have an ontological position which suggests that written texts, documents and records are meaningful constituents of the social world. Documents act as some form of expression or representation of some relevant elements of the social world. This means that some form of social reality can be constructed by analysing documents. This is despite the fact the documents may at times not be accurate and bias could exist (Yin 2014: 107).

Even though there are various types of documents, the distinction can be drawn between private and public documents (May 2011: 197). Private and public documents can be divided in terms of their degree of accessibility, namely, closed, restricted, open-archival and open-published (May 2011: 197). This study made use of public documents that were published on the official website of the municipality. Markham (2011: 111) and Silverman (2013: 2013) indicate that the internet can serve as a valuable source for document study and analysis. Atkinson and Coffey (2011: 78) point out that "electronic and digital resources" such as websites serve as ways in which "documentary realities are produced and consumed".

1.12.3 Interviews

Another method utilised in this study was the interview. Interviews involve asking people questions and receiving answers (David and Sutton 2011: 118; Punch 2014: 144). In this instance, an interview was conducted with an official in the PPU in the municipality. While the survey questionnaire and document study and analysis served as primary data collection methods, the interview served as a supplementary method. The purpose of the interview was to source specific information found

outstanding after processing the information collected via the survey questionnaire and the document study and analysis. Since the PPU was responsible for the public participation process in the municipality, it was deemed appropriate to interview an official (representative) in the unit that possessed knowledge and could provide answers to the formulated questions.

As specific outstanding information was sourced, the interview questions were structured. Structured, in this instance, refers to the predetermination of questions (Punch 2014: 146). According to Bernard (2013: 183), self-administered questionnaires could be considered a form of structured interviews. The advantage of applying a structured interview is that the interview can take place face-to-face or the respondent can decide to complete the interview questionnaire on his or her own.

In summary, this section provided background to the research methods employed in this study. The subsequent section provides an outline of chapters.

1. 13 PUBLIC ADMINISTRATION, SOCIAL CONTRACT THEORY AND PUBLIC PARTICIPATION

Van der Waldt (2017: 183) maintains that social science research is guided by pre-existing theories. This implies that research in social science should add value to existing theories or contribute to new theory development. Conversely, research should contribute to valid scientific statements of the object of scientific enquiry (Wessels 2014: 144). The same applies to the discipline of Public Administration.

Raadschelders (2013: 40) mentions that science is distinguished into natural, social and human sciences. According to Raadschelders, Public Administration, generally, is accepted as a social science. However, owing to its applied and interdisciplinary nature, Wessels and Thani (2014: 156) classify Public Administration as a human science. The authors specify that human science includes social, management and administrative sciences.

Raadschelders (2013: 2) indicates that the object of study in Public Administration is the structure and functions of government and its impact on society. Wessels (2014: 146) considers the object of study in Public Administration to be public administration. In this respect, Wessels (2014: 146) agrees with Pauw and Louw (2014: 16) that public administration is the "organised, non-political, executive functions of the state". Functions include services, institutions, activities and people. This study borrows this definition.

Due to the interdisciplinary nature of Public Administration, various theories exist for studies in public administration. Van der Waldt (2017: 192), for example, identifies history, organisational theory, social theory and political theory. Dong (2015: 14), on the other hand, lists various theories associated with the historical development of Public Administration. According to Van der Waldt (2017: 185), theories are generally based on systematic observation and are predictive, logical and testable. Being testable, theories can be rejected, modified or adjusted within broader theories. The basic aim of theories is to describe, explain, predict and control phenomena in different contexts (Van der Waldt 2017: 185). This study in Public Administration describes public participation in the context of social contract theory.

According to Friend ([Sa]), social contract theory is viewed from various perspectives. The fundamental principle underlying social contract theory is the fact that government does not derive from itself. Instead, people collectively agree to form a society and establish a government. Accordingly, government acquires its legitimacy and authority to perform functions and provide services, from the people. The people should have the prerogative to decide which functions and services government should provide. This means that the people should participate in important policy and planning decisions in the best interest of the society. Social contract theory foresees an equal and just society through public participation (Madumo 2014: 139). This ideal is underscored in the preamble of the Constitution, 1996, which states that the goal of South Africa is to establish a democratic, just and equal society. This study in Public Administration is premised on social contract theory and describes public participation in local government.

1.14   OUTLINE OF CHAPTERS

In this section, a brief description will be provided of each of the chapters.

Chapter one serves as the introductory chapter. The chapter commenced with the background and rationale for the study as well as the motivation for the research. The background provided a brief history of South Africa's transition to democracy, the relationship between democracy and participation, and the constitutional imperative and legislative requirements for public participation in South Africa. By linking the constitutional imperative and legislative requirements for public participation, the problem statement, research questions, research purpose, and objectives were formulated and stated. Thereafter, the points of focus and time dimension and the definitions of key concepts followed. Insight was provided into the literature review and information gathering process. The design of the case study was then dealt with, namely, the units of analysis, ethical considerations and research methods. This was followed by the inter-connectness of Public Administration, social contract theory and public participation. An outline of subsequent chapters and conclusion concludes this chapter.

Chapter two discusses the literature reviewed in this study. Even though a literature review may serve many purposes, the main purposes of this literature review were to situate the current study within the ambit of previous studies, to execute a conceptual analysis and to develop a theoretical framework for the empirical study. To achieve these aims, some international studies and local studies in participation were firstly reviewed. Thereafter, the concept public participation was analysed, demarcated and defined. This resulted in the delivery of a working definition of public participation. The working definition conveyed the indicators of participation to be studied. Meaning for the indicators was provided to facilitate the empirical investigation. This was followed by an explanation of the relationship between democracy, participation and local government and the conclusion.

The purpose of the **third chapter** is to contextualise public participation in policy making in local government for the study. To execute this purpose, policy making will

be defined in relation to public participation. A brief explanation will be given of the different types, levels and instruments of public policy. Thereafter, the relationship between policy making, public participation and democracy will be discussed. The attention will then shift to public budgeting as a type of policy and instrument. The policy making process will be dissected and explained relative to public participation in the annual budget process in local government in South Africa. The actors in policy making in local government will also receive attention. To understand and describe policy making in local government, four descriptive models of policy making will be presented. Thereafter follows the conclusion.

Chapter four contextualises public participation in planning in local government in South Africa for the empirical study. To realise this aim, planning will be defined in relation to public participation. Since this study is situated within the realms of democracy, the relationship between democracy, public participation and planning will be explained. Furthermore, an overview will be provided of the constitutional and legislative requirements for public participation in planning. Thereafter, the IDP process in relation to public participation will be dissected and explained. The participants in local government planning will receive attention. After this, three participatory styles that are relevant for this study will be presented. As local government should encourage participation in planning, strategies that support this objective will be submitted. The conclusion follows thereafter.

Chapter five presents the findings of the study of public participation in policy making in local government from the perspective of the public annual budget process. Before the analysis and presentation of results, a brief background will be given of the chief method applied to this component of the research, namely, the survey questionnaire. The findings, analysis and results will then be presented according to each indicator of public participation. A conclusion will also be drawn.

Similar to Chapter five, **Chapter six** presents the findings of the investigation into public participation in planning in local government from the perspective of the IDP process. A brief background of the chief method, namely, the document study and analysis, utilised for this component of the result, precedes the presentation of the

results. Thereafter, the findings, analysis and results follow according to each indicator of public participation.

The **final chapter** is the synthesis and recommendations. This chapter summarises and synthesises the findings and results of the research. The point of departure for this chapter is the problem statement, research questions and research objectives. The overall findings and results are presented according to the research questions, objectives and indicators of participation. Emanating from the research findings, recommendations are made to improve public participation in the municipality. Suggestions for future research projects are also submitted.

1.15   CONCLUSION

This chapter provided the background and rationale for this study. The background indicated that South Africa emerged from an undemocratic state and transitioned into a constitutional democracy. It was pointed out that democracy and public participation are inseparable, and that provision is made in the Constitution, 1996 for public participation in policy making and planning. This provision is legislatively entrenched in local government. Local government is required to encourage participation and to provide for the establishment of mechanisms, processes and procedures for public participation in policy making and planning. However, neither the Constitution, 1996 nor legislation explains what public participation is or how the public should participate. Moreover, literature indicates that there is no consensus about what public participation is or how it should be implemented. This informed the problem statement.

Having formulated the problem statement and research questions, the research objectives were stated. The problem statement was to define and describe the implementation of public participation in local government. To achieve this purpose, six research questions and objectives were formulated. The focus and time span of the study were clarified as well.

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To provide understanding, the key concepts public participation, policy making, planning, local government, and democracy were defined for this study. After the definition of the key concepts, the research methodology was detailed inter alia the type of study, unit of analysis and research methods. It was specified that this is a qualitative case study, that the unit of analysis is public participation in the municipality and that the research methods employed were a survey questionnaire, a document study and analysis and interview. In addition, it was communicated that this study is preceded by a literature review and information gathering process.

Some ethical considerations were raised, which included first obtaining permission from the metropolitan municipality to conduct research in the municipality and obtaining ethical clearance from the Unisa Ethics Review Committee. The research methods were then presented. This study concludes with the relationship between Public Administration, social contract theory and public participation, and an outline of subsequent chapters.

CHAPTER TWO

CONCEPTUAL AND THEORETICAL UNDERPINNINGS OF PUBLIC PARTICIPATION

2.1 INTRODUCTION

Marshall and Rossman (2011: 84) point out that a literature review can serve many purposes. In the case of this study, the purposes were to position the study within the ambit of similar studies and to develop a conceptual and theoretical framework for this study. To achieve the former, some international and local studies in public participation were reviewed. To achieve the latter purpose, the concept public participation was analysed, demarcated and defined for the purpose of this study. The intention was to develop and submit a working definition of public participation, which could serve as a tool for the empirical investigation. It was anticipated that the working definition would convey the characteristics or indicators of public participation that could be identified, observed and described. The indicators of public participation, as identified, were subjected to further scrutiny for the purpose of establishing meaning and understanding for this study. The expectation was that this would facilitate the empirical study and description of the phenomenon public participation. Since this study in public participation is situated within the ambit of democratic local government, the relationship between democracy, public participation and local government was also reviewed.

2.2 REVIEW OF INTERNATIONAL AND LOCAL STUDIES

Johnson (2014: 36) asserts that the purpose of the literature review is to learn from others in terms of research questions, research approaches, measurements and strategies, data collection techniques and analysis options. Additionally, completed studies in the same field can provide background information and set the context for current studies. Henning et al. (2004: 34) and McNabb (2013: 411) point out that

prior studies can serve as a point of reference when discussing and interpreting the findings of the current research project. Besides, a studies review situates the current study within similar fields of study. Consequently, some international and local studies in public participation were perused.

2.2.1 International studies reviewed

Horn (2018: iv) explored the impact of using a governance structure such as a neighbourhood council to increase public participation in policy making in the Los Angeles metropolitan area. The study defines public participation as any practice (e.g. deliberation, voting, advocacy) whereby members of the public attempt to influence government decision-making by ensuring that government carefully consider proposals in support and opposed to public policy (Horn 2018: 19). Horn supplements that public participation includes all stakeholders irrespective of citizenship. The study investigated different levels of public participation in the neighbourhood council by making use of the International Association of Public Participation's (IAP2) theoretical framework of levels of participation. The IAP2 regards public participation as spectrum consisting of five levels of participation namely, disseminating information, consulting, involving, deliberation, and final decision (Horn 2018: 19).

The study was a multiple case design. Four cases of community issues in the local neighbourhood council were observed to determine the levels of public participation. The observation examined the influence the neighbourhood council had on participation outcomes while also considering other factors, including demographics, issue saliency, and capacity (Horn 2018: iv). According to Horn (2018: iv), the findings suggest that public participation is more strongly associated with resident demographics when compared with the saliency of the policy proposal or the individual or collective capacity of the neighbourhood council. The overall finding suggests that people with higher incomes and education tend to participate more (Horn 2018: 146).

Another study is that of Tseng (2018: 1), which mentions that in recent years there has been much opposition to government policy decisions and implementation, which signifies a growing distrust in governments worldwide. To counter and restore trust, governments have implemented various public participation strategies (Tseng 2018: 1). However, according to Tseng, these strategies have not improved public satisfaction and trust levels. Since public administrators are responsible for the implementation of public participation, Tseng (2018: 1) argues that their attitude could have an influence on participation. To investigate this, Tseng conducted a study in public administrators' attitude towards citizen participation. The research objective was to determine whether public administrators' attitude toward participation influenced decision-making and the quality of participation, as well as administrative performance and outcomes, and trust levels.

The study entailed a qualitative case study research design and investigated long-term citizen participation in the water projects operated by a water resource agency in Taiwan (Tseng 2018: xii, 58). The primary research method utilised was face-to-face interviews. Interviews were conducted with 31 persons, consisting of administrators and members of the public who participated in the projects. The researcher's experiences and direct observation as well as online government archival records supplemented the interviews. According to Tseng (2018: xii), the study indicated that there is a causal relationship between public administrators' attitude and participation. It was found that a positive attitude contributes to authentic participation and regains public trust in government (Tseng 2018: 59). Tseng's study indicates that multiple research methods can be applied in a single case study of participation.

Another study of interest is that of Magee (2012), which claims that there is insufficient evidence that concretely links the benefits of public participation in local government to urban planning and decision-making processes. For this reason, Magee (2012: 9) qualitatively investigated the benefits or effects resulting from engaging the public in collaboration with government. For the purpose of the study, Magee (2012: 16) uses the terms citizen or civic participation and engagement and

public participation interchangeably. Magee (2012: 16) maintains that a person can be a member of the public without having legal citizenship or nationality.

To investigate the matter, use was made of the Delphi method of research and analysis. According to Magee (2012: 13), the Delphi is a repetitive process which allows participants to check and re-check data results to achieve consensus. The sample of participants was purposively selected based on the position they hold or their knowledge about public participation in the community. Twenty-three persons were interviewed, namely, two government and two public representatives each from five selected jurisdictions. Those who were unwilling to participate in the interviews were requested to refer alternate persons. A trial set of interviews was also conducted to test protocol and appropriateness of questions (Magee 2012: 16).

Magee (2012: 170) indicates that the research findings support the theory of civic engagement, which argues that public participation contributes to effective decision making in local government. Research participants also indicated that public participation has positive effects such as creating vision and informing government priorities. However, a prevailing negative finding was that input received is not comprehensive or representative of the perspectives of the people in general.

In summary, the international studies reviewed are instructive for the following reasons. Horn's (2018: 19) study includes political activities under the concept of public participation whereas the current study draws a distinction between political participation and public participation. Similar to Horn (2018: 19) and Magee (2012: 16), the current study does not draw a distinction between citizens and non-citizens as public participants. Magee's (2012: 16) point of view that the public includes different nationalities is the stance taken in this study. However, Magee (2012: 16) draws no distinction between citizen participation and public participation, whereas the present study does.

Horn made use of levels of participation for the study, which Horn borrowed from the IAP2 (Horn 2018: 19-20). Likewise, the present study makes use of levels of participation. However, this model was developed from the literature, the

Constitution, 1996 and South African local government legislation. The finding that public participation is more strongly associated with resident demographics (income, education) (Horn 2018: 146), is a factor considered during the analysis of research findings of the current study. Tseng's (2018: xii, 58) study is significant as it demonstrates that multiple research methods can be applied in one case study. Equally, this study applies multiple research methods. Equally, the current study describes the scope of participation, which may be impacted by the attitude of public officials (Tseng 2018: 1). In the following section is the review of local studies.

2.2.2 Local studies reviewed

Nkuntse (2016: iv) examined public participation as a contributor to good governance from a local government perspective. The main objective of the study was to analyse the existing processes and arrangements for public participation in the municipality and to determine whether the public influence decision-making in participation. To execute this, Nkuntse utilised quantitative and qualitative methodologies. The quantitative method utilised was a survey questionnaire while the qualitative method employed was interviews (ibid).

The study was limited to two wards and the respondents included two members selected from the mayoral committee, two ward councillors (one from each ward) and 14 ward committee members (seven from each ward) (Nkuntse 2016: 64). Nkuntse explains that the candidates were chosen because of their knowledge and experience of the problem. Semi-structured face-to-face interviews were conducted with the mayoral committee members and ward councillors while the questionnaires with open-ended and closed-ended questions were administered to ward committee members.

According to Nkuntse (2016: 112), the research findings indicated a disconnection between the public and the metropolitan municipality largely owing to communication problems. The results suggested that public participation was mainly undertaken to ensure compliance, and that public participation mechanisms were not utilised effectively.

In another study, Goosen (2015: ii) critically analysed the effectiveness of public participation in planning. This entailed determining the outcome of public participation in planning applications and evaluating the effectiveness of public participation against the legislative framework for participation. For the purpose of the study, Goosen (2015: 60) borrowed the definition of the IAP2, which states that participation means to involve people who are affected by a decision in the decision-making process. Goosen (2015: ii) points out that even though public participation is a constitutional right and enforced by legislation in South Africa, there is still contention and debate around the nature and success of participation in development planning.

To perform the analysis, Goosen (2015: ii) adopted a quantitative approach. This entailed an in-depth study of statutory town planning applications in Tlokwe Local Municipality over a period of 16 years. The time frame included periods before and after the democratisation of South Africa. A database was compiled that detailed all applications and the measure of public participation involved. To organise and summarise the raw data, a descriptive statistical analysis was executed. The statistical analysis included the type of application, location, legislation involved, public participation involved, objections, rebuttals on objections, and the outcome of the application (Goosen 2015: ii).

By using objections as an indication of the effectiveness of public participation, Goosen (2005) found that the public's view that their contributions through objections were not effective was negated. Only 6.3% of planning applications had objections. Objections served as a measure of efficacy to influence decisions (Goosen 2015: ii). According to Goosen (2005), this study provided a first step towards better understanding the effectiveness of public participation in planning.

Raubenheimer (2014: iii) equally departs from the view that the South African legislation supports public participation in planning, but few practical guidelines exist how public participation should be implemented proactively in planning. Consequently, Raubenheimer (2014) set out to describe public participation in

planning in two communities, namely, Stilfontein and Khuma in the North West Province of South Africa.

For the purpose of the research, Raubenheimer (2014: 81) adopted a qualitative approach, which included an analysis of primary and secondary data. The primary data consisted of a study conducted by the Northwest University Potchefstroom Campus in 2011 in the Khuma and Stilfontein communities. The secondary data analysis involved using the primary data for a different research aim and focus (Raubenheimer 2015: 86, 92). The objectives of the research were to describe public participation and to explore the roles of various role players in the process. According to Raubenheimer (2014: 15), the results indicated that pro-active public participation is possible. However, consideration should be given to the fact that communities differ and as a result, public participation communications need to be more effective and dynamic.

Ndlovu (2013: i) was concerned that despite various legislation, prescripts, policies and programmes to enhance the well-being of communities in South Africa, service delivery protests continue. Ndlovu (2013) set out to investigate this matter by critically analysing the implementation of public participation policy as a legislative core value for local government, with specific reference to the Mbomlela Local Municipality in Mpumalanga Province. The study explored the extent of the involvement of the public in strategic decision-making, the development of the IDP, performance management and in service delivery processes (ibid).

For the study, Ndlovu (ibid) adopted a qualitative approach, which relied mainly on written sources of data which reported on public participation and public administration. Structured face-to-face and telephonic interviews were also conducted with municipal officials, members of ward committees, community development workers, and the public.

The research findings indicated that the local municipality primarily made use of ward committees, ward-based meetings and speakers outreach as mechanisms to facilitate participation (Ndlovu 2013: ii). Even though the municipality has established

a public participation unit, there were still low levels of public participation. In addition, Ndlovu (ibid) found that some of the ward committees were not appropriately functional owing to various reasons. Ndlovu concluded that this was owing to the municipality not effectively implementing local government legislation pertaining to public participation.

In summary, the following is observed from the local studies review. Goosen (2015: ii) and Raubenheimer (2014: iii) depart from the point that the Constitution and legislation provide for participation but no description of participation is provided. This serves as impetus for the current descriptive study in participation. Akin to Nkuntse (2016: iv), the current study intended to describe the mechanisms for participation and public influence in decision--making. Similarly, use is made of both quantitative and qualitative research methods. The finding that communication problems could affect participation (Nkuntse 2016: 112; Raubenheimer 2014: 15) is relevant for the current study as it describes information sharing in participation. Goosen (2015: ii) raises the point of effectiveness in participation and submits criteria for determining effectiveness in participation. The current study raises the identical point and submits criteria for determining effectiveness in the study. In a similar vein to Ndlovu (2013: ii), the present study provides a description of the levels of participation. This concludes the review of local studies. The following section focuses on the development of a conceptual and theoretical framework for the study.

2.3   DEMARCATING PUBLIC PARTICIPATION

According to Brynard (1996: 134), some scholars use the terms "citizen participation", "political participation" and "public participation" synonymously. For example, King et al. (2008: 319) use the term public participation and citizen participation interchangeably while Rebori (2005: 1, 13) uses the term public participation, citizen participation and political participation interchangeably. Moreover, Rowe and Frewer (2004) and Dean (2016: 2) draw no distinction between the terms "public participation" and "participation".

Cohen (2015: 9) highlights that public participation is not clearly defined in the literature. According to Cohen (2015), public participation can take many forms and shapes and may include all facets of democratic behaviour such as voting, expressing opinion, interest group activity and demonstrations. Horn (2018: 41) holds a similar view. However, Weitz-Shapiro and Winters (2008: 4) consider some of these activities, for example voting and demonstrations, exclusively as political participation. Wastchak (2013: 8) mentions that public participation can be one of two forms, either voting in elections or participating directly in the governing process, through public meetings or other forms of direct participation. Rebori (2005: 1), though, includes these activities under the term citizen participation. Horn (2018: 42) points out that many scholars use the term public participation and citizen participation interchangeably.

Brynard (1996: 134), however, explains that citizen participation is distinctive from political participation and public participation as citizen participation lays emphasis on the person rather than the state in the participatory relationship. This implies that political participation and public participation focus on the state in the participatory relationship. In the same vein, Michels (2006: 326) affirms that citizen participation accentuates the citizen in participation. Since participation varies depending on the focus thereof (Brynard 1996: 134; Calise and Lowi 2010: 169), public participation and citizen participation, for the purpose of this study, are different as they have different focus points.

In terms of political participation, Shanin (2016: 138) mentions that there is a lack of consensus on definition, indicators and parameters. This being the case, some scholars limit the concept to power and influence in the formal institutions of government while others extend it beyond the formal institutions of government, for example, participation in elections. Çukurçayır (2016: 130) explains that in the narrow sense, political participation refers to participating in elections whereas in the broad sense, political participation refers to participating at every stage of the bureaucracy and political decision-making process. Aarts (1991: 29) affirms that political participation could embrace both views. From this point of view, political participation overlaps with citizen participation and public participation.

However, Milbrath and Goel (1977: 12), Weale (1999: 87) and Weitz-Shapiro and Winters (2008: 4) view political participation as distinctive. These scholars consider political participation to be activities such as voting, party campaigning, membership and activity in interest groups, contacting or communicating with public officials and taking part in protests and demonstrations. Similarly, Wani and Pandey (2018: 821) consider political participation as voting and other electoral and political activities. Weale (2007: 104) indicates that these activities are forms of indirect participation. From this point, public participation refers to direct participation in the administrative decision-making processes of government (Creighton 2005: 7; Tigan 2005: 31; Wastchak 2013: 7).

Even though both public participation and citizen participation can involve direct participation in government functions and processes, they are not the same. In the first instance, they have different focus points. Citizen participation focuses on the individual (Brynard 1996: 134; Michels 2006: 326) whereas public participation focuses on the collective actions of persons and their relationship with the state (Brynard 1996: 134; Theron 2009: 116). Secondly, public participation is a wider concept than citizen participation. Public participation includes all people irrespective of whether they have the rights and obligations of citizenship or not (Brynard 1996: 134; Magee 2012: 16; Horn 2018: 19). Citizenship refers to the formal relationship between citizens and the state embodied in a series of rights and responsibilities (Brynard 1996: 134; Ghose 2005: 6; Van der Waldt 2014: 27). According to Quick and Bryson (2016: 159), the term "citizen participation" can exclude many participants who are not formally recognised as citizens. For this reason, the term "citizen participation" is currently replaced by the term "public participation" (Quick and Bryson 2016: 2, Wastchak 2013: 7). Therefore, in this study, public participation is distinctive from citizen participation and political participation.

In summary, public participation is different from political participation. Public participation refers exclusively to the direct participation in the administrative decision-making processes of government whereas political participation refers to a form of indirect participation in government decision-making by means of the electoral process and other related political activities. Public participation is also

different from citizen participation as it is a broader concept that may include citizen participation. Unlike citizen participation that focuses on the behaviour of the person and could involve indirect participation, public participation focuses on the direct participation of the persons as a collective in relation to the state. Moreover, the concept of citizenship in citizen participation may exclude people from participation while the term "public participation" includes all people.

In the following section, some definitions of public participation will be analysed. The aim is to establish a working definition of public participation for the purpose of this study. Babbie (2016: 132) specifies that a working definition includes those characteristics of a phenomenon that will be investigated during the study; in other words, the indicators of public participation (Mouton 1996: 189). The indicators of public participation will be the focus of the description.

2.4   DEFINING PUBLIC PARTICIPATION

Public participation can be defined as the practice of consulting and involving the public in policy agenda setting, formulation and decision-making (Rowe and Frewer 2004: 512). From this perspective, public participation requires consulting and involving the public. There is no obligation to consider or accept the input of the public. As decision-making is a central issue in public participation (Creighton 2005: 27; Theron 2009: 114), this definition does not suffice. Nonetheless, this definition associates public participation with governmental processes.

Pring and Noe (2002: 15) define public participation as an all-encompassing label used to describe the various mechanisms that individuals and groups may use to communicate their views on a public issue. This definition indicates that public participation concerns public issues and that there are public participants and participation mechanisms involved. The shortcoming is that it does not refer to decision-making while restricting public participation to communication only.

The South African DPLG (2007: 15) defines public participation as an open, accountable process through which individuals and groups within selected communities can exchange views and influence decision-making. This definition specifies that public participants consist of individuals and groups, and indicates that public participation is more than communication. This definition introduces the aspect of decision-making and denotes that public participation is an open process. However, no reference is made to public participation mechanisms.

In a similar vein, the South African DPSA ([Sa]: 10) considers public participation to be a voluntary process whereby people, individually or through organised groups, can exchange information, express opinions and articulate interests, and have the potential to influence decisions or the outcome of the matter at hand.

According to the IAP2 (2018), public participation means the involvement of those who are affected by a decision in the decision-making process by providing participants with meaningful information and communicating to participants how their participation affected the final decision. This definition signifies that public participation should involve those persons or groups who are affected by a decision and that information sharing should be meaningful while there should be feedback. Still, this definition does not include the other elements specified.

Analysing the aforementioned definitions to arrive at a definition for this study, the following are noted. Firstly, public participation concerns public issues. Secondly, people participate as individuals and/ or groups. Thirdly, the people that should participate should be affected by the decision. Fourthly, there should be mechanisms available for public participation. Fifthly, public participation involves the sharing and exchange of meaningful information. Sixthly, the intention of public participation is to influence decisions. Seventhly, public participation is linked to administrative governmental processes. Finally, public participation provides feedback.

Taking these elements into account, the following definition of public participation is submitted for this study:

Public participation is an open and accountable process whereby people, as individuals and/ or groups, who are affected by a governmental decision, voluntarily receive and exchange meaningful information, express opinions and articulate interests through available mechanisms, processes and procedures with the intention of influencing decision-making in public policy making and planning.

This definition denotes the indicators of public participation that can be investigated, observed and described. Having demarcated and defined public participation, the term "public participation" will be used interchangeably with the term "participation" throughout this study. In the following section, meanings are provided for the indicators of public participation conveyed in the definition.

2.5 INDICATORS OF PUBLIC PARTICIPATION

According to Babbie (2010: 131), the process of specifying exact meaning for a concept involves describing the indicators that will be used for investigating, observing and describing the concept. Babbie (2010) explains that an indicator is a sign of the presence or absence of the concept. In this study, the indicators for public participation are the public (individuals and groups), the levels of public participation, the mechanisms for public participation, scope of public participation, and public influence in public participation decision-making. Meanings for the indicators will now be provided.

2.5.1 Understanding "the public" in public participation

According to Price (1992: 7), the word "public" originates from the Latin phrase *publicus,* which is derived from *poplicus* or *populus* meaning "the people". Price (1992) points out that there were two distinct reflections of "the people" present in the early usage of the term public. The first usage refers to the common people. The second usage refers to the people's concern with government office and the state.

Hannay (2005: 10) mentions as well that the word "public" is related to the Latin terms *populus* and *publicu*s. Hannay (2005) specifies that *populus* is a political term

and is closely linked to nationhood and refers to *a people or the people* within the bounds of a nation. According to Hannay (2005), the term developed to refer to the common people's participation in government concerning the maintenance and welfare of the state.

Similarly, Calhoun (2005: 282) indicates that the philosophical roots of the word *public* lie in the Latin term *poplicus*, or the people, and that it changed to *publicus*. Calhoun (2005) is of the opinion that the change to *publicus* was owing to the restriction of *pubes*, adult males, to be rightful members of polities. According to Calhoun (2005), the shift to *publicus* has more to do with who is entitled to be members of *the* public. It is about who must participate.

The foregoing designates that the public refers to the people, especially the common people, who are concerned about governmental issues and the state. The South African DPSA ([Sa]: 10) expounds on the concept of the public and mentions that it is a diverse group of people or stakeholders who may be formally organised or not, and who are affected or have an interest in a government decision and therefore must be given an opportunity to participate in decision-making. The public constitutes individuals, households, groups, organisations, stakeholders (DPSA [Sa]: 10-11) and communities (DPLG 2007: 17; DPSA [Sa]: 11; Theron 2009: 113). Even though the public is a diverse group of people, they can broadly be categorised as individuals and groups.

2.5.1.1   Individuals as "the public"

Parekh (2005: 183) signifies that the word "individual" is derived from the Latin word *individuum,* meaning that which is indivisible and cannot be broken up further. Applied to the person it means "one that is separate from others" (Parekh 2005: 183). The latter author mentions that even though social status mattered much for the individual and defined part of their identity, individuals saw themselves as unique persons. This view was later embodied in Roman law in a system of *individual rights* (Parekh 2005:183). Still later, modernity marked the emergence of *free and self-determining individuals* who wished to make their own choices, shape their own lives

and form their own relationship with others and government (Popper in Parekh 2005: 183).

Patton (2005: 253) points out that many individuals participate in public life. Patton cites that they participate in fossil fuel reduction, recycling or in charity work. They participate with government face-to-face or by attending public meetings and special hearings. Moreover, at times they identify with the common good even though they do not belong to public benefit organisations or groups. According to Patton (2005: 253), it is this sense of the common good that readies individuals to act on behalf of the whole. Therefore, individuals are not necessarily self-interested as some critics profess (Parekh 2005: 184). Anderson (2015: 70) and Cloete (2018: 140) maintain that individuals can influence government decision-making.

Individuals differ in terms of sex, income, educational level, home ownership, and other socio economic issues. Subsequently, it is important to consider this in the analysis of individual participation (Cohen and Uphoff 2011: 48). The reason is that public participation should include the disadvantaged in the process (Arnstein 1969: 216; Brynard 1996: 40; Cohen and Uphoff 2011: 48) as they seldom participate (Brynard 1996: 48; Clapper 1996: 72; Rebori 2005: i; Arceneaux and Butler 2015: 131; Van der Waldt 2014: 44). The concept of participation is derived from the term democracy, which in the original sense referred to the participation of the disadvantaged people in government decision-making (Hannay 2005: 10; Price 1992: 7; Van der Waldt 2014: 24).

2.5.1.2   Groups as "the public"

According to Dye (2017: 16), individuals with common interests join or form groups. Whenever they advocate for policy change or put pressure on government for such change, they become known as advocacy or pressure groups (Cloete 2018: 141). Anderson (2015: 63) categorises groups into public interest and pressure groups. Public interest groups pursue the public interest. For example, the protection of the environment while pressure groups serve the interest of their members, for example, workers organisations that defends members' benefits.

Cloete (2018: 141) mentions that though groups can start with few resources, they can became influential and become a source of information for government decision makers. According to Cloete, the strength of interest groups lies in their collective membership and their capacity to mobilise at short notice. Anderson (2015: 63) conveys that group influence over public policy and planning is determined by the size of their membership, monetary and other resources, cohesiveness, skill of leadership, social status, and the presence or absence of competing groups in the policy area. Their influence is also determined by their closeness or support for government. This means that groups that lack these qualities are disadvantaged.

Groups can serve as the bridge between the individual and government (Dye 2017: 16) and could be considered a means of participation (Bekker 1996: 29) or as "participatory vehicles" (Jordan and Maloney 2007: 29). South African local government is constitutionally bound to involve groups in public participation (Van der Waldt 2014: 45; Thornhill and Cloete 2014: 21). This means that provision must be made for the participation of all groups, including the unorganised disadvantaged, in policy making and planning.

In summary, "the public" and "the people" are synonymous terms and can be used interchangeably. The public refer to those people who are affected and/ or concerned about government decision-making. Even though the public is a homogenous group of people, they can broadly be categorised as individuals and groups. Individuals vary socio-economically while groups vary in strength, numbers, cohesion, skill, wealth, and other factors. Owing to these variations, some individuals and groups are advantaged while others are disadvantaged. Since public participation endeavours to bring the disadvantaged into the process, it is important to determine who participates in governmental processes (Cohen and Uphoff 2011: 48). In the subsequent section, the levels of participation will be identified and explained.

2.5.2 Levels of public participation

Some consider public participation to be two exclusive categories, namely, information sharing and power in decision-making (Brynard 1996: 41). Others regard public participation as a continuum or spectrum (Creighton 2005: 8; Theron 2009: 117) while still others consider public participation to be a process (Saxena 2011: 31; White 2011: 63). In this study, public participation is considered to be a process with different levels of participation. Even though public participation cannot be broken into neat self-contained stages, the levels are useful for analytical purposes (Arnstein 2011: 4; Kopetzky 2009: 9).

Arnstein (1969: 216) invented and developed the concept of levels of participation. According to Arnstein's (1969) conception, participation could be considered a ladder with eight levels of public participation. The eight levels range from no control to full control in decision-making. In ascending order, the levels are manipulation, therapy, informing, consultation, placation, partnership, delegated power, and citizen control. Arnstein (1969) avers that different situations may yield different ladders.

Since the submission of Arnstein's (1969) conceptual ladder of participation, various ladders of participation have been developed mainly for studying and analysing public participation. Kopetzky (2009: 48), for example, identifies four subsequent ladders as well as other models for analysing public participation. Kopetzky (2009: 182) even developed a revised ladder (informing the public, educating, consultation, defining interests and setting the agenda, joint planning, making the final decision and partnership) to investigate participation in programme planning, development and implementation. Van der Waldt (2014: 34) identifies two ladders of participation with different levels that are useful for understanding local government in South Africa. Accordingly, levels of participation are a useful instrument for studying public participation.

The literature review conducted for this study yielded that the required levels of participation in local government in South Africa should be informing the public, educating the public, consulting the public, deciding with the public, implementing

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with the public, reviewing with the public and reporting back to the public. This is explained in the following sections.

2.5.2.1 Informing the public

Even though some commentators are doubtful whether information sharing is public participation (Brynard 1996: 41), others consider informing the public of their rights, responsibilities and options as a necessary step of participation (Arnstein 1969: 219; Clapper 1996: 73; EIPP 2009: 5). Cornwall (2008: 270) points out that the World Bank views information sharing as participation and equates the provision of information with "empowerment". Van der Waldt (2014: 26) maintains that accurate information sharing is integral to participation. Thornhill and Cloete (2014: 92) mention that sufficient information is needed for participation.

The Municipal Systems Act in section 18 (1) (2) requires that local government informs the public of their right and duties in terms of public participation as well as the available mechanisms, procedures and processes and the matters of participation. This means that informing the public, though a form of passive participation (EIPP 2009: 9), is a required step of public participation in local government. Though public participation involves many acts and decisions (Brynard 1996: 41; Saxena 2011: 31), informing the public should not be confused with the communication of decisions already taken.

2.5.2.2 Educating the public

Innes and Booher (2000) maintain that participation education is an important step for both the public and public officials and a prerequisite for meaningful participation. Thomas (2014) echoes the same viewpoint and emphasises that an educated and informed public is a necessary pillar of public participation. According to Michels and De Graaf (2010: 480), participation education should take into account civic duties and responsibilities in terms of participation. In the same vein, Van der Waldt (2014: 29) asserts that participation should educate the people to participate effectively in government. This should include sharing knowledge about the production of public

goods and spending, governmental processes and negotiation, conflict management and interpersonal skills (Van der Waldt 2014: 26). The requirement to capacitate and educate the public for participation is written in local government legislation (Davids and Maphunye 2009: 62; Van der Waldt 2014: 66).

It is only when accurate and sufficient information has been provided and the public have been properly educated in participation, should participation proceed to the level of consultation.

2.5.2.3   Consulting the public

Theron's (2009: 116) viewpoint is that consultation implies that government defines the problems and solutions and that the public have no say in decision-making. Mompati and Prinsen (2011: 228) accentuate that consultation is a process whereby decision makers solicit the views and opinions of the public on whose behalf they will ultimately decide. There is no obligation on the consulting party to take the views of those consulted in account in decision-making. According to Arnstein (2011: 4), the public may or may not influence decision-making at the level of consultation.

However, the EIPP (2009: 6) asserts that the aim of consultation is to include the interests of affected persons and groups in the decision-making process. This means that consideration should be given to the views and opinions expressed by the public. According to section 17 (2) (a) of the Municipal Systems Act, local government must put measures in place for the receipt, processing and consideration of petitions and complaints lodged by the public. In addition, the Municipal Finance Management Act stipulates in section 23 (1) that during consultations on the budget, the municipal council must consider the views of the public. The use of the word "consideration" and the phrase "must consider" in legislation implies that careful thought should be given to the input of the public. This means that local government must have good reasons when they do not take into account the consulted public views and opinions in participation. Consultation is therefore a legitimate step of participation (Arnstein 2011: 9). Consultation should transcend to deciding with the public.

2.5.2.4   Deciding with the public

Public participation always involves decision-making (Creighton 2005: 27; Cohen and Uphoff 2011: 43; Theron 2009: 114). Saxena (2011: 31) emphasises that decision-making is an essential and central component of participation. The intention of public participation is to influence decision-making in participation (Brynard 1996: 136; Theron 2009: 114).

Since the intention of public participation is to influence decision-making in the process, it necessitates that the decision-making process be clearly defined (Creighton 2005: 38). According to Creighton, if the decision-making process is not clearly defined, the public may question participation. The process of making decisions refers to the formal stages or steps to be taken to arrive at a decision (Creighton 2005: 38). Brynard and Cloete (2011: 121) specify that the process involves identifying the problem, developing alternatives, analysing the alternatives and choosing the best option. Authentic participation requires that the public participate in decision-making (King et al. 2008: 319; Theron 2009: 114).

There are two views on public participation in decision-making. The one view argues that public participation should influence decision-making (DPLG 2007: 15; DPSA [Sa]: 10), while the other view argues that public participation should control decision-making (Arnstein 2011: 3; Theron 2009: 119). For public participation to be authentic, those affected by the decision should at least be able to influence the decision (Theron 2009: 117). This necessitates that they participate directly in the decision-making process. Once a decision has been taken, the decision should be implemented.

2.5.2.5   Implementing with the public

Implementation could be regarded as the conversion of decisions pertaining to physical and financial resources into mainly concrete service delivery outputs. The outputs could be in the form of facilities and services or other outputs aimed at achieving policy objectives (De Coning, Cloete & Burger 2018: 197). In public

participation, the facilities and services or other concrete outputs are designed to address the needs of the target population (Brynard and De Coning 2006: 183).

The Constitution, 1996 stipulates in section 53 that local government should be developmental. Developmental local government requires that the public participate in the design and implementation of development initiatives (Van der Waldt 2014: 21). The Municipal Systems Act in section 16 (1) (a) (i) requires public participation in the implementation of the IDP. Consequently, implementing with the public is a required step of participation in local government in South Africa.

De Coning, Koster and Leputu (2018: 263) recommend the following guidelines for public participation in the implementation:

- Government encourages and assists the beneficiaries of the project to participate actively in the project and to take ownership, as far as possible, of the asset created.
- The activity or project is used to alleviate poverty at local level.
- The activity or project serves as a vehicle for training and capacity building.
- The activity or project serves as an opportunity for the creation of jobs.

Cohen and Uphoff (2011: 46) point out that public participation at this level could include project administration and co-ordination. In this instance, local people could be hired as employees or elected to project decision-making boards or advisory committees. Voluntary organisations could also be used to co-ordinate their activities with that of the project. Cohen and Uphoff highlight that public participation in implementation ensures support for the project and contribute to building local capacity. Following implementation is reviewing with the public.

2.5.2.6   Reviewing with the public

The Municipal Finance Management Act mandates in section 21 (1) (b) (ii) (bb) (iv)) that the public must participate in the review of budget-related policies. Local government rates policy, tariff policy, banking and investment policy, fixed asset management policy, indigent management policy and policy on free basic services

are examples of budget-related policies (Fourie, Opperman & Kumar 2015: 204-206). Budget-related policies are annually reviewed.

Besides, the Municipal Systems Act in section 16 (1) (a) (i) requires that the public participate in the review of the IDP. According to section 34 of the Act, the review must be conducted annually and entails assessing the municipality's performances and taking into account environmental changes. The review could be seen as an assessment process (Fourie et al. 2015: 357) or evaluation process (Rabie and Cloete 2018: 273).

The purpose of reviewing is to determine, firstly, whether the link between priorities, objectives and performance indicators are established and, secondly, whether performance targets have been met (Fourie et al. 2015: 356). Moreover, the Municipal Systems Act provides in section 42 that the public participate in the establishment of mechanisms, processes and procedures for measuring and assessing local government's performance, and to participate in setting appropriate key performance indicators and performance targets for local government. Review is therefore an integral of public participation in local government. Reporting back to the public is the last level of participation in local government.

2.5.2.7   Reporting back to the public

The Municipal System Act specifies in section 17 (2) that local government should establish appropriate mechanisms, processes and procedures to report back on public participation. This means that local government must report on how the public participation process unfolded and how decisions were arrived at in the process (Creighton 2005: 38; Theron 2009: 114; IAP 2018). Democracy requires accountability, transparency and responsiveness (Van der Waldt 2014: 26). This means that report back mechanisms should provide for public participation.

This section revealed that there should be seven levels of public participation in local government in South Africa, namely, informing, educating, consulting, decision-making, implementing, reviewing and reporting back. This requires that local

government provides mechanisms, procedures and processes for participation (Van der Waldt 2014: 65; Venter 2014: 92). Appropriate mechanisms, processes and procedures for participation are identified and dealt with in the following section.

2.5.3 Mechanisms, processes and procedures for public participation

Some people use the term "public participation methods" (Berner 2004: 412), others use the term "public participation techniques" (Creighton 2005: 102) while still others use the term "public participation strategies" (Theron 2009: 128). This study will use the terms mechanisms, processes and procedures for public participation.

There are various public participation mechanisms. Van der Waldt (2014: 44) identifies local newspapers, local government newsletters, complaints register, and suggestion boxes, forums, opinion polls, interest groups, public meetings and hearings, public panels, issue forums, shared interest forums, consensus conferences, deliberative polling, public advisory committees, community planning, notifications, distribution and solicitation of comments, public relations officers and focus groups.

Legislation mandates the establishment of ward committees in local government, procedures for the receipt, processing and consideration of petitions and complaints, notification and comment procedure, public meetings and hearings, consultative sessions and report back (Van der Waldt 2014: 66). In addition, the Municipal Structures Act provides in section 62 for the institution of sub councils as a mechanism for public participation.

Since local government legislation places emphasis on consultative methods as opposed to deliberative methods, consultative methods will be reviewed in this study. This does not imply that public participation in local government is restricted to the level of consultation. Some mechanisms can be used on different levels of participation and serve different purposes (Arnstein 2011: 6). For example, a public meeting can be used for informing, educating, consulting, deciding, implementing, or reporting back to the public.

2.5.3.1   Mechanisms for informing and educating the public

Common mechanisms for informing and educating the public are legal notices, advertisements, magazines, newsletters and media, websites and information communication technology and public meetings (Theron 2009: 128).

2.5.3.1.1   Legal notices

Public participation requires legal notices to be displayed (Theron 2009: 128). For example, local government must give notice to the public of the integrated development plan (IDP) participation process it intends to follow (Craythorne 2006: 148). Local government must also give notice to the public of all ordinary and special meetings of the municipal council (Van der Waldt 2014: 66). The Municipal Systems Act states in section 21(1) (2) (3)) that legal notices should be issued via local and area newspapers and radio broadcast and should be displayed at public places such as municipal offices.

2.5.3.1.2   Advertisements

This refers to paid advertisements in national and local community papers and on radio and television. Advertisements can be used to inform the public and to market public participation (Theron 2009: 128). It can also be used to encourage public participation as is required in legislation (Venter 2014: 91).

2.5.3.1.3   Magazines, newsletters and media

Magazines, newsletters and media are suitable for informing the public (Cloete 2018: 147). They can also be used for public participation education. Magazine and newsletters as well as television and radio talk shows can be used to explain government processes. The institution's magazine or newsletter could serve as a method for both informing and educating the public (Theron 2009: 128). Venter (2014: 97) points out that government can use media statements and briefings as a means to clarify public issues.

2.5.3.1.4   Websites and information communications technology

The website can serve as a storage space for public documents, which can be accessed by the public to learn about participation (Theron 2009: 128). Creighton (2005: 119) asserts that the Internet is a powerful tool for informing the public and that it has great potential as an interactive tool. Email and electronic short message service (SMS) can bring public issues directly to the attention of individuals. Halbert (2015) indicates that information and communication technology (ICT) makes government information more accessible to the public and promotes accountability.

2.5.3.1.5   Public meetings

According to Theron (2009: 129), public meetings are usually well planned and advertised. The meeting is often opened by a programme director and addressed by the municipal manager or project manager. Thereafter, an open discussion and a question and answer session follows (Theron 2009: 129). Ebdon and Franklin (2006: 440) mention that public meetings are not well attended unless a "hot issue" is discussed. Despite this factor, it serves as a suitable means for sharing information and presenting educational topics.

2.5.3.1.6   Other mechanisms

Other mechanisms to inform the public could include constructing a public kiosk, printing newsletters, posting flyers (Berner 2004: 422), city walks, field trips and open houses (Creighton 2005: 102).

2.5.3.2   Mechanisms for consulting the public

Mechanisms in local government for consulting the public include metropolitan sub-councils, ward committees, IDP representative forums, public hearings, notification and public comment procedure, surveys and polls, visits to neighbourhoods and electronic democracy.

2.5.3.2.1   Metropolitan sub-councils

Metropolitan sub-councils are established in terms of law after a process of public participation (Craythorne 2006: 64; Thornhill and Cloete 2014: 68). Though legislation does not explicitly state that metropolitan sub-councils are a means of participation, it can serve this purpose. Any person or group has the right to petition the metropolitan sub-council on any matter affecting its area of jurisdiction.

In the process of establishing sub councils, local government must determine the number of sub-councils to be established for the area. Each sub-council in the metropolitan area is provided with a number of adjoining wards. Even though only elected political representatives serve on the sub-council, it has duties in terms of public participation. The main duty is to encourage public participation in its area of jurisdiction (Craythorne 2006: 114; Van der Waldt 2014: 65; Venter 2014: 91). Sub-councils can make recommendations to local government on any issue affecting the area (Craythorne 2006: 115; Thornhill and Cloete 2014: 69; Van der Walt 2014: 63).

2.5.3.2.2   Ward committees

Ward committees are legally instituted means of participation (Masango, Mfene & Henna 2013: 92) and consist of the elected political representative of the ward (area) and not more than ten elected persons from the specific ward. The elected political representative serves as chairperson of the ward committee. The committee must be equitably representative of women and represent a diversity of interests in the ward (Thornhill and Cloete 2014: 75).

According to Masango et al. (2013: 92), ward committees have two main functions, namely, to make recommendations on any matter affecting the ward and to perform municipal council delegated duties and functions. The broad mandate is to keep the community informed and to encourage participation in the matters of local government. Specific functions include needs identification, identifying and initiating local developmental projects, municipal performance monitoring, awareness campaigns and supporting the ward councillor with conflict resolution, public

meetings and information dissemination (Masango et al. 2013: 92). Furthermore, Venter (2014: 95) points out that ward committees exist as a co-operative partnership between the public and local government. Ward committees also play a role in the IDP process, municipal budgeting process, municipal performance management and other matters of local government (Masango et al. 2013: 92).

2.5.3.2.3   IDP representative forum

According to the DPLG (2007: 61), apart from ward committees and sub-council meetings, the IDP representative forum is the most common structure for participation in local government. The chief purpose of the IDP representative forum is to involve the public in the development and review of the IDP. The forum represents political heads, government officials, traditional leaders, organised and unorganised groups, resource persons, community representatives, and community development workers. The functions of the IDP representative forum is to represent the interests of their different constituencies, to provide an organisational structure for discussion, negotiation and decision making between the public and local government, to ensure communication between the various parties and to monitor the performance of the planning and implementation processes (Venter 2014: 114).

2.5.3.2.4   Public hearings

Theron (2009: 129) mentions that public hearings are similar to structured public meetings. According to Ebdon and Franklin (2006: 440), most democratic governments allow one open public budget hearing. For this reason, public budget hearings are the most common method. Innes and Booher (2000) explain that public hearings take place under the watch of public officials and are normally in the form of a presentation. After the presentation, members in the audience are given a time limit to respond to the presentation.

Berner (2004: 424) found in a study that public hearings in the budgeting process are perceived by public administrators as the most common method, yet the least

effective. It is the most common method as it is legally mandated, and most ineffective, as hearings take place after the budget has been compiled.

2.5.3.2.5   Notification and public comment procedures

According to Innes and Booher (2000), public comment is a formal procedure that usually follows the issue of regulations or the potential impacts of a planning project that is detailed in a report. Public comment procedure sometimes takes the form of public hearings. The public may comment in writing or verbally. In other words, provision is made for people who cannot read or write. This requirement is written into section 17 (3) (2) of the Municipal Systems which state that local government should take into account the special needs of people who cannot read or write during participation.

According to Innes and Booher (2000), a major criticism of the comment and review procedure is that public agencies take considerable time to respond to the comments. On occasions it happens that the agency proceeds with the project even though well-informed opposition exists, which alienates government and the public.

2.5.3.2.6   Surveys and polls

According to Brynard (1996: 139), surveys are convenient for gauging the views of large populations. Ebdon and Franklin (2006: 440) concur that surveys can be useful for determining the sincere preferences and needs of the public. Theron (2009: 129) argues that scientifically developed surveys can yield results that are representative of the community at large. Surveys do provide policy makers and planners with valuable information (Brynard 1996: 140; Ebdon and Franklin 2006: 440). Surveys may involve written questionnaires or verbal responses and can be completed electronically or manually.

However, Brynard (1996: 139) mentions that surveys require a considerable amount of time and money to complete. In addition, there may be language gaps and cultural differences to contend with. Ebdon and Franklin (2006: 440) mention that the

wording of questionnaires could be a problem as all the public are not educated. Brynard (1996: 47) points out that bias could be introduced in the choice of questions and alternative responses.

2.5.3.2.7 Visits to neighbourhoods

Another participation mechanism is visits to civic groups and neighbourhood associations (Brynard 1996: 138). These visits could be for the purpose of informing, educating or consulting the public. In terms of the former, the public could be informed and educated about planning issues. In terms of the latter, the needs of the public could be identified. Neighbourhood visits can be used to garner support for plans and policies. Visits can also promote interaction and dialogue between local government and the public (Theron 2009: 130).

2.5.3.2.8 Electronic democracy

Anstead (2015) refers to electronic or e-democracy as internet democracy while Halbert (2015) refers to e-democracy as digital democracy. According to Halbert (2015), e-democracy describes a range of possible participative relationships between the public and government by means of ICT. These relationships include the following. Firstly, ICT can streamline government functions and makes it more transparent and accessible to the public. As government becomes accessible and transparent, lines of communication are opened between government and the public. ICT empowers the public to execute routine administrative functions online and to access public information online. Secondly, ICT enhances direct democracy and promotes active participation. For example, the public can email government directly on any matter. Weale (2007: 120) points out that ICT can increase the scope of public participation.

2.5.3.2.9   Other mechanisms

Other mechanisms for consultation include (and is not limited to) open days and open houses, briefings, field officers or information centres, interviews or focus group discussions, telephone hotlines and complaints register (Theron 2009: 129).

To conclude, in this section, common available public participation mechanisms in local government were identified. Even though participation mechanisms can be applied in different situations for different purposes, it was, for the purpose of this study, divided into two categories, namely, informing and consulting the public. Cognisance was taken that some mechanisms originate from a legislative mandate and others emanate from administrative practises. Note was also taken that some mechanisms operate by electronic means while others require personal interaction. The scope of participation is now brought into focus.

2.5.4   Scope of public participation

The scope of participation refers to the number of individuals or groups that are actively involved at a specific level of participation (Brynard 1996: 136). According to Brynard, public participation requires a broad scope of participation at the beginning stage. This ensures support for participation objectives and creates legitimacy for the process (Michels and de Graaf 2010: 480). Ebdon and Franklin (2006: 438) deem it important to make the public aware of government processes and fiscal challenges right at the beginning of the process.

According to Brynard (1996: 136), the focus of participation can influence the scope of participation. If the focus is on the development of a local area, it is more likely that the public in that area will participate. If the focus of development is broader than a local area, it is more likely that more people will participate. The issue being focused on can also influence the scope of participation. If it is a hot issue, it is more likely that more people will participate (Ebdon & Franklin 2006: 440).

Tigan (2005: 38) mentions that the stance of public officials could have an influence on the scope of participation. Should public officials consider public participation to be a benefit, participation will be increased. When public officials see public participation as a disadvantage, participation will be discouraged. On the other hand, public participation may be encouraged to justify irregular projects (Tigan 2005: 38). Tseng (2018: xii) found in a study that there is a causal relationship between public administrators' attitude and the scope of participation.

Weale (2007: 120) indicates that the scope of participation can be increased in three ways. In the first instance, more people can be encouraged to make use of existing public participation mechanisms. Secondly, participatory devices on a wide range of issues can be utilised more frequently. Thirdly, new forms of electronic participation can supplement existing participatory measures. The ultimate purpose should be to achieve a broad scope of participation, especially at the beginning of the process.

In summary, this section identified and provided an explanation of the indicators of public participation. The indicators of public participation are the public, the levels of participation, the mechanisms for participation, and the scope of participation. It was highlighted that public participation in decision-making in participation is fundamental, and should form part of this study. Having defined public participation for this study, and having identified and explained the indicators of participation, the foundation for the empirical study has been laid. To provide broader context to the study, the relationship between democracy, participation and local government will be explained in the subsequent sections.

2.6   DEMOCRACY AND PUBLIC PARTICIPATION

Democracy means rule of government by the people. According to Weale (2007: 37) and Raaflaub (2007: 3), the concept of democracy originated in the Greek city-state of Athens. In its original sense, democracy referred to the direct participation of the public in governmental decision-making processes as opposed to electing political representatives to participate on their behalf (Schubert et al. 2014: 5). Participation

can therefore be considered to be the cornerstone of democracy (Roberts 2004: 315; Van der Waldt 2014: 26).

According to Van der Waldt (2014: 26), the success of a democracy depends on the effectiveness of participation. This implies that democracy and participation are irrevocably linked. However, democracy can provide for indirect participation through political activities (Hoffman 2015) and for direct participation in government administrative decision-making processes (Smith 2015). Van der Waldt (2014: 26) posits that public participation empowers people to participate directly in their self-development. Schubert et al. (2014: 5) concur that public participation provides an opportunity for individual self-development. Public participation ensures that the public designs and implement public policies that are in the best interest of the public (Weale 2007: 35). More importantly, public participation pursues the common good, promotes good government and legitimises public decisions (Michels and de Graaf 2010: 480).

Even though democracy and participation are inseparable, there is concern that owing to the vastness of the modern state, public participation is not always practical (Mill 1991: 80; Roberts 2004: 326; Weale 2007: 31). This challenge has given rise to the establishment of local government (Pratchett 2004: 259; Van der Waldt 2014: 53).

2.7   PUBLIC PARTICIPATION IN LOCAL GOVERNMENT

Van der Waldt (2014: 3) asserts that local government is an institution established in terms of national legislation and has legislative and executive authority within a demarcated area. It is autonomous within the boundaries of the constitution of a country and national legislation. Local government sphere in South Africa consists of municipalities (Van der Waldt 2014: 53). As local government is a decentralised representative institution, it is the government closest to the people (Theron 2009: 130; Van der Waldt 2014: 53).

The reason for the establishment of local government is twofold. Firstly, local government was established to provide basic services to the local people, and secondly, to foster local democracy (Nealer 2014: 162-163; Van der Waldt 2014: 3; Van der Waldt 2014: 55). Van der Waldt (2014: 3) mentions that local government was or is established to provide services and goods to the local people owing to the inability of central government to provide these services and goods. Local government was established to provide effective and efficient services to the people (Nealer 2014: 162). Local government is constitutionally bound to provide services and goods to the public (Nealer 2014: 164; Van der Waldt 2014: 55).

To cater for the needs of the people, local government must be responsive to their needs (Van der Waldt 2014: 55). This means that local government must provide the public with opportunities to articulate their needs. In this respect, the Constitution, 1996 requires that local government put participation measures in place that encourage public participation (Thornhill and Cloete 2014: 20-21; Van der Waldt 2014: 55). This means that the purpose of local government includes fostering democracy, seeking and serving the public interest and creating a better life for all (Schooley 2008: 244; Van der Waldt 2014: 23-26). Democracy, public participation and local government are therefore inseparable.

2.8   CONCLUSION

Two overriding purposes of this chapter were to situate this study within the ambit of similar studies and to develop a conceptual and theoretical framework for the empirical investigation. To achieve these purposes, some international and local studies as well as topical literature were reviewed. The studies reviewed indicated that there are various concerns with participation and that various methodologies and approaches can be used to investigate these concerns. One concern is the effectiveness of public participation.

The literature review revealed that the terms "public participation", "citizen participation" and "political participation" are sometimes used interchangeably and at

times distinctively. Public participation was distinctively defined as an open and accountable process whereby people or the public affected by a governmental decision, voluntarily receive and exchange meaningful information, express opinions and articulate interests through available participation mechanisms with the intention of influencing decision-making in policy making and planning. This working definition encapsulates the indicators of participation that can be empirically studied, namely, the public, the levels of participation, the mechanisms for participation, the scope of participation, and public influence in participation.

To establish meaning and understanding, indicators of participation were elucidated. It was ascertained that the terms "the public" and "the people" have a similar meaning and can be used synonymously. The public signifies a broad concept that includes both individuals and groups. Respectively, individuals and groups vary socio-economically and in numbers, wealth and status. It was disclosed that owing to these variations, some individuals and groups are advantaged while others are disadvantaged. Since participation strives to include the disadvantaged in the process, it is important in this study to determine and describe who participates.

The review revealed different levels of participation. It was established that the levels of participation in local government in South Africa should be informing the public, educating the public, consulting the public, deciding with the public, implementing with the public, reviewing with the public and reporting back to the public. Various participation mechanisms, processes and procedures that could be used at different levels of participation and for different reasons were identified. The levels and mechanisms are descriptively relevant.

The scope of participation was found to be the number of individuals or groups participating at a specific level of public participation. It was divulged that the scope of participation can be influenced by the motives of public officials or the participatory devices used. Moreover, it was determined that a broad scope of participation at the beginning of the process creates support and legitimacy for the process. This necessitates that the scope of participation be studied and described.

It was ascertained that decision-making in participation is central. This requires that decision-making in the process be properly defined and that opportunity be given to the public to participate in decision making. Since the intention of participation is to influence the decision-making process, it is important to determine and describe the influence the public have in the decision-making process.

Having demarcated and defined public participation and established meaning for this study, the relationship between democracy, public participation and local government was explicated. The explication revealed that democracy and participation are inseparable, and that local government was established to provide services and goods to the people and to promote public participation. This chapter serves as the theoretical and conceptual framework for this descriptive study in public participation. In the ensuing chapters, public participation in policy making and planning in local government will be contextualised for more understanding.

CHAPTER THREE

CONTEXTUALISING PUBLIC PARTICIPATION IN THE POLICY MAKING PROCESS IN LOCAL GOVERNMENT IN SOUTH AFRICA

3.1   INTRODUCTION

In the preceding chapter, the conceptual and theoretical framework for this descriptive study in public participation was presented. This section contextualises public participation in the policy making process in local government in South Africa. To accomplish this, policy making will first be defined. Providing context, an explanation will be given of the different types, levels and instruments of public policy. Given that this study is situated within democratic local government, the relationship between democracy, public participation and policy making will be explained. Thereafter, the focus will shift to public budgeting as a type of policy and policy instrument. This will be followed by different stages of the policy making process relative to public participation in budgeting in local government in South Africa. Providing more insight into public participation in policy making, the actors in policy making will be identified and their roles explained. To conclude, four descriptive models for analysing public participation in policy making, relevant for this study, will be reviewed.

3.2   DEFINING PUBLIC POLICY MAKING

Even though Smith and Larimer (2013: 4) and De Coning and Wissink (2018: 6) state that there is no universally accepted definition of public policy, Kraft and Furlong (2013: 3) and Dye (2017: 1-2) broadly define public policy making as what governments choose to do or choose not to do. According to Dye (2017: 1), governments regulate behaviour, organise public institutions, distribute resources, and extract taxes from the people. This definition of policy making, however, is too broad for the purpose of this study.

De Coning and Wissink (2018: 7) consider public policy to be a statement of intent, which could include a programme of action for dealing with a public problem in society and to bring about the necessary change. This definition, however, does not refer to the policy role players who are central in policy making. In view of the aforementioned, for the purpose of this study, policy making is defined as a relatively stable, purposive course of action or inaction followed by an actor or set of actors for dealing with a public problem or matter of concern (Anderson 2015: 6). This definition indicates that policy making is not an overnight decision, but a process that extends over time, and that various actors participate in the process with the intention of resolving a public problem. Providing more context, policy levels, types and instruments will be explained.

3.3 POLICY TYPES, LEVELS AND INSTRUMENTS

De Coning and Wissink (2018: 16-17) specify that there are different levels, types and instruments of public policy. Policy levels could be political, executive and administrative or international, national, provincial, and local. The type of policy can be defined by the context where it operates, or with the characteristics of the policy. Contextually, policy types can be defined as public policy, non-governmental policy and private policy. Characteristically, the type of policy could be political policy, executive policy and administrative policy. The type of policy can also be distinguished according to function, for example, allocative or redistributive policy (e.g. public budgets), regulatory policy (e.g. building requirements) and symbolic policies (e.g. public holidays that promotes nation building).

Another policy distinction is policy instruments or tools. Policy instruments or tools refer to the different policy approaches for dealing with public problems and issues (De Coning and Wissink 2018: 17). For example, public budgets as an instrument or tool can be used to reduce the problem of inequality in a society. This study focuses on public participation in the public budgeting (as a policy type, level and instrument) process in local government. Hence, insight will be provided into public budgeting as policy making.

3.4 PUBLIC BUDGETING AS POLICY MAKING

Pauw, Woods, Van der Linde, Fourie and Visser (2009: 58) point out that the public budget can serve as a planning process and/ or as a policy formulating and declaration instrument. This indicates some relationship between policy making and planning (De Coning and Wissink 2018: 11). As a policy formulating instrument, public budgets prioritise the services and goods to be delivered with the available public funds and declares the financial implications of the financial year's policy (Pauw et al. 2009: 58).

Bandy (2015: 44) indicates that policy making entails decisions surrounding reducing and increasing tax and other income, and distributing or redistributing resources to competing priorities. These, and issues of fairness and social justice are considered during budgeting. Kraft and Furlong (2013: 4) point out that public policies reflect society's most important values and conflict between values, and are authoritatively allocated and enforced. Public budgets expressed these values in monetary terms, and is policy making.

Pauw et al. (2009: 74) accept that the budget policy making process consists of four phases, namely, preparation, approval, execution, and control. Bandy (2015: 42) submits that the budgeting process entails preparation, submission and approval, implementation, review and reporting. According to sections 21 (1), 22 (a) and 23 (1) of the Municipal Finance Management Act, public participation should occur during preparation of the budget, during tabling in the municipal council, at the stage of approval and during the review of budget related policies. As Bandy's (2015: 42) budgetary stages of preparation, submission, approval, implementation, review and reporting bear resemblance to the stages specified in the Municipal Finance Management Act, Bandy's version of the budget process will be considered. However, as this study is situated within democratic local government, the relationship between democracy, public participation and policy making will first be explained.

3.5 DEMOCRACY, PUBLIC PARTICIPATION AND POLICY MAKING

Weale (2007: 18) asserts that any system of government which intends to qualify as a democracy, must provide for the public to participate in policy making. According to Shubert et al. (2014: 6), democracy means public participation in the policies that affect people's lives. Public participation in policy making is a right in a democratic country (Anderson 2015: 71; Van der Waldt 2014: 27).

In South Africa, the democratic right to participate in policy making is enshrined in the Bill of Rights of the Constitution, 1996. The Bill of Rights guarantees equality, freedom of expression, association, and political rights. This means that the public have the right to express their views on a policy matter and to support or oppose the intended form of action. According to Schubert et al. (2014: 6), these rights are fundamental for democracy and participation. Over and above, the Constitution, 1996 stipulates in section 195 (1) (e) that the public's needs must be responded to, and that the public must be encouraged to participate in policy making.

Entrenching the right to participate in policy making in local government, the Constitution, 1996 stipulates in sections 152 (1) (a) and (e) respectively, that local government must provide democratic and accountable government to the people and encourage the participation of people in the matters of local government. South African local government legislation stipulates that local government must create conditions for public participation, specifically in the budgeting process. Local government is required to put mechanisms, processes and procedures in place for such participation (Fourie, Opperman & Kumar 2015: 198). This means that public participation in policy making is required.

Democracy does not only encourage participation in policy making but requires that government be responsive to the needs of the people. Democracy in essence means government by the people and for the people (Schubert et al. 2014: 5). This means that people's needs and aspirations should guide the policy making process (Pauw et al. 2009: 272). Pauw et al. (ibid) maintain that the public is one of the most important role players in policy making in a democracy. Democracy, participation and

policy making is thus inextricably linked. In the following section, background to the policy making process will be provided and the stages of the process explained.

3.6   BACKGROUND TO THE POLICY MAKING PROCESS

According to Dye (2017: 3), the policy making process is considered to be a series of activities or processes, which seldom occurs in a neat, step-by-step sequence. The stages often collapse into each other while different actors could be involved at different stages at the same time (Dye 2017: 3). Despite this factor, Dye (2017: 26) finds it useful to break the policy making process into components for study purposes. Likewise, Smith and Larimer (2013: 30) find it practical to disaggregate the policy process and to describe the actions of different actors at different stages of the process.

There are different types of policy (De Coning and Wissink 2018: 16) and different versions of the stages of policy making (Cloete and De Coning 2018: 33). According to Wilson (2006: 36), the simplest version of policy making is the three stage process which entails policy making, policy implementation and policy impact measurement. Dye (2017: 26) submits a more elaborate version that consists of problem identification, agenda setting, policy formulation, policy legitimation, policy implementation, and policy evaluation. This study focuses on the public budget in local government as a type of policy. As mentioned earlier, the stages for the purpose of this study are preparation, submission and approval, implementation, and review and reporting (Bandy 2015: 42). These stages will be explained relative to public participation in the budgeting process in local government in South Africa.

3.6.1   Budget preparation

The Constitution, 1996 in section 152 (1) (e) stipulates that local government must encourage public participation in the matters of local government. Participation is specifically required in the preparation of the budget (Fourie et al. 2015: 198). To enable participation in the preparation of the budget, local government must put

mechanisms, processes and procedures in place for participation. This includes participation mechanisms for people who cannot read or write, people who are physically challenged and other disadvantaged groups (Fourie et al. 2015: 198).

To prepare the public for actual participation in the budget, the Municipal Systems Act in section 18 (1) prescribes that local government inform the public about their right to participate, the mechanisms for participation and the matter for participation. Van der Waldt (2014: 26) indicates that the public should also be informed on how municipalities work. This information must be communicated in the language of the local people and in local newspapers circulating in the area (South Africa Municipal Systems Act 2000 s18 (2); Fourie and Opperman 2015: 198). Van der Waldt (2014: 6) points out that information during participation should be accurate (Van der Waldt 2014: 26) while Thornhill and Cloete (2014: 92) indicate that it must also be sufficient.

Local government is also required to capacitate the public for participation in the public budgeting process (Fourie et al. 2015: 198). The Municipal Systems Act, for example, stipulates in section 16 (1) (c) that local government should put resources aside for capacitating the public for participation. This implies that local government should educate the public on the budgeting process, the allocation problem and prioritising in budgeting (Pauw et al. 2009: 51-54) and their civic responsibilities (Michels and De Graaf 2010: 480). Therefore, participation education is an essential step for preparing the public for participation in the budgeting process.

Subsequent to informing and educating the public, public needs should be established. The Constitution, 1996 mandates, in section 153 (a), that local government structure its budgeting and planning processes in a manner that gives priority to the needs of the public. Kraft and Furlong (2013: 514) mention that in a democracy public policy should be consistent with the preferences and needs of the public. Government is established to respond to the needs of the public. Therefore, the public must be given an opportunity to express their needs. Cloete (2018: 137) mentions that government or any individual or interest group in society, including business and labour, can initiate the identification of policy needs. In the case of

government, public support for policy needs must still be garnered through public participation. Should this not be the case, the policy could be rendered illegitimate and without public support (Anderson 2015: 134; Kraft and Furlong 2013: 95).

Khalo (2014: 204) and Bandy (2015: 44) point out that public needs always exceed the available monetary or financial resources in local government. Public budget funding is limited while public needs are unlimited. This means that public needs must be prioritised. Prioritising entails comparing different needs with each other and deciding which need or needs should receive preference during budget allocations (Pauw et al. 2009: 53). Since the public are the receivers of public goods and services, and they are directly affected by decisions in the budget, they should participate in the prioritising process. The completion of the budget preparation stage results in the compilation of the budget for submission and approval.

3.6.2 Budget submission and approval

Following needs identification and prioritising, the draft budget is compiled for approval by the municipal council (Fourie et al. 2015: 170). The compilation of the budget is the responsibility of public officials. Pauw et al. (2009: 102) explain that the compilation of the municipal budget should proceed from the main functions as set out in the mission statement, and the programmes that are designed to serve the institution's objectives. The objectives are prioritised in light of the needs of the public (Pauw et al. 2009: 102). This means that the outcome of public participation in public budgeting should influence the compilation of the public budget.

After compilation, the draft budget is tabled in the municipal council and published for public comment (Fourie et al. 2015: 60). The municipal council is required to consider the public comment and input received on the budget. It is only when this step has been completed that the annual budget is approved by the municipal council (Khalo 2014: 208). Budget approval is the legal adoption of a budget by a majority vote in the municipal council (Kraft and Furlong 2013: 95).

3.6.3 Budget implementation

Policy making does not end with the approval of a policy. Instead, it proceeds with policy implementation (Kraft and Furlong 2013: 98; Dye 2017: 46). De Coning, Cloete and Burger (2018: 197) define policy implementation as the conversion of mainly physical and financial resources into concrete service delivery outputs, which could be in the form of facilities and services, or other concrete outputs aimed at achieving policy objectives.

Public participation in implementation is important to ensure legitimacy and support for policy decisions taken and implemented (Anderson 2015: 134). For example, local government may have approved in its budget a set amount to achieve its objective of building 1000 houses in the financial year. Still, implementation might not succeed if the affected public do not participate in the discussions surrounding the type of houses to be built. Since policy implementation involves negotiating with the affected public (Anderson 2015: 15), the legitimate leaders of the affected public must be drawn into the process (Cloete 2018: 143). These leaders must receive a mandate from their constituency and provide regular feedback. During negotiations some provisions will be rejected, other provisions will be accepted, other provisions will be modified, differences will be narrowed, and bargains will be struck until agreement is reached (Anderson 2015: 15).

The following strategies, suggested by De Coning, Koster and Leputu (2018: 263), are appropriate for public participation in implementation:

- Government encourages and assists the beneficiaries of the project to participate and take ownership, as far as possible, of the public asset created.
- The activity or project is used to alleviate poverty in the short, medium or long term.
- The activity or project serves as a vehicle for training and building the capacity of the local people.
- The activity or project is used as an opportunity to create employment at local level.

Participation in implementation could include public participation in project administration and co-ordination. In addition, local people could be elected to project implementation committees. Voluntary organisations could also be used to co-ordinate their activities with that of the project (Cohen and Uphoff 2011: 46). After implementation, the budget review and reporting take place.

3.6.4 Budget review and reporting

The Municipal Finance Management Act states explicitly in section 21 (1) (b) (ii) (bb) (iv)) that the public must participate in the review of budget-related policies. According to Fourie et al. (2015: 204-206), examples of budget-related policies are rates policy, tariff policy, banking and investment policy, fixed asset management policy, indigent management policy, and policy on free basic services.

Local government legislation also mandates the public to participate in the establishment of mechanisms, processes and procedures for measuring and assessing local government's performance. Public participation should extend to the development, implementation and review of local government's performance management systems including the setting of appropriate performance indicators and performance targets for local government (South Africa Municipal Systems Act 2000 s 42; Van der Waldt 2014: 123).

Local government is also required to report by way of preparing and publishing an annual report. The purpose of the annual report is to provide a record of the activities of the entity, to provide a report on its performance in terms of the budget and to promote accountability to the local community for the decisions made throughout the financial year (South Africa Municipal Finance Act 2003 s 121 (3); Van der Waldt 2014: 123). This affirms that public participation is integral in the public budgeting policy process in local government.

This section clarified that there are different types of public policy and different versions of the policy making process. The focus of this study is on public participation in the public budgeting policy process. For the purpose of this study, the

stages of the process were identified as preparation, submission, approval, implementation, review, and reporting. At the stage of preparation, it was determined that local government should encourage and create mechanisms for public participation. The public must be accurately and sufficiently informed about participation and educated on the matters for participation. They must be given an opportunity to participate in the identification of public needs and the prioritisation thereof. At the stage of submission and approval, it was noted that public officials are responsible for the compilation of the draft budget. Though public officials are responsible for the compilation of the budget, it was pointed out that the budget submission should prioritise the needs of the public. Furthermore, the receipt of the budget submission in the municipal council for approval coincides with the publication of the draft budget for public comment and input. Only when public comments and inputs on the draft budget have been received and considered, is the budget approved. Cognisance was taken that at the stage of implementation, public participation is essential to ensure legitimacy and public support for the implementation of decisions. Strategies for public participation in implementation were dealt with. The final stage revealed that the public should participate in the review of budget-related policies and local government should report to the public on its performance. It was established that the public is entitled to hold local government accountable for its performance through a system of performance management, and that local government is accountable to the public for policy making.

This brings to conclusion the policy making process. To provide more insight into public participation in the policy making process, the actors in the policy making process in local government will be identified and their roles clarified.

3.7   ACTORS IN POLICY MAKING IN LOCAL GOVERNMENT

Even though this study focuses on the participation of the public, as individuals and groups, in policy making, Cloete (2018: 89-91) identifies politicians, public officials, the judiciary, civil society, business and labour interest groups, individuals, and the media as actors in policy making. At the local sphere of government in South Africa,

the actors in policy making are the municipal council, metropolitan sub-council, ward committees, politicians, public officials, interest groups, organisations, individuals, and the media. The roles of the latter players will be clarified in the following section.

3.7.1 Municipal council

The municipal council is the legislative and policy making/ formulating authority of the municipality, and is responsible for the approval of the budget and all other policies relating to financial management (Pauw et al. 2009: 262). The municipal council has an oversight role in terms of implementation and compliance with the financial management policy. Even though the municipal council is the legislative and policy making authority, the municipal council must respond to the needs of the public and encourage them to participate in policy making. Municipal council meetings are open to the public (Thornhill and Cloete 2014: 26).

3.7.2 Metropolitan sub-councils

Van der Waldt (2014: 63) indicates that provision is made for the establishment of metropolitan sub-councils at the local government sphere. The establishment thereof precedes a process of public participation (Thornhill and Cloete 2014: 68). A metropolitan sub-council comprises several adjoining wards. The members of the sub-council constitute the elected political representatives of each member ward as well as an equal number of political representatives appointed on a proportional basis. The members elect a chairperson among themselves. The sub-council may make recommendations on any issue affecting the area of the municipal council. The municipal council may also delegate certain functions to the sub-council (Thornhill and Cloete 2014: 68; Van der Waldt 2014: 63). Craythorne (2006: 115) mentions that metropolitan sub-councils are a mechanism to promote public participation in local government.

3.7.3 Ward committees

Masango et al. (2013: 9) and Venter (2014: 95) mention that the purpose of ward committees is to promote public participation. Ward committees consist of a ward councillor (elected political representative of the area) who acts as the chairperson and not more than ten persons who are elected onto the ward committee. Ward committees must be equitably represented of women and must represent a diversity of interests in the ward. Ward committees may make recommendation on any matter affecting the ward. This can be done via the ward councillor, metropolitan sub-council, executive committee or executive mayor (Thornhill and Cloete 2014: 75; Van der Waldt 2014: 64).

The ward committee is the official structure for participation in the ward. Its function is to develop a formal unbiased communication channel and to serve as a participative mechanism between the public and the municipality. The ward committee acts as a mobilising agent for public action (Venter 2014: 95). Furthermore, Masango et al. (2013: 91) point out that ward committees have the following role to play in the budget process:

- Ensure the public are informed about the budget.
- Participate and promote public participation in the budget process.
- Initiate and identify projects to improve the lives of people living in the ward.
- Assist with budget hearing preparations.
- Providing feedback on ward allocations.
- Monitor the performance of local government in terms of the budget.

3.7.4 Politicians

Cloete (2018: 140) points out that politicians are mandated to shape and give expression to public policies. This mandate includes presenting public policy views to the legislature and during policy making. Since elected politicians represent their areas, they should advance the policy views of the people living in that area. This implies that they should regularly consult their constituency on policy issues.

3.7.5 Public officials

Public officials are both the receivers and manufacturers of policy problems (Cloete 2018: 140). They work closely with politicians and consequently have an influence over policy making. Their influence also stems from the fact that they have control over public resources. As public officials are responsible for implementation, they can decide what policy decisions to support or oppose.

3.7.6 Groups

According to Dye (2017: 35), groups can influence public policy in the following ways. Firstly, groups can participate in public hearings and other participation mechanisms. Secondly, they can advocate for a policy proposal. Thirdly, groups can contact politicians directly to garner support for their policy views. Fourthly, groups can use the court system to force changes in policy. Lastly, groups can mobilise at a relatively short space of time and garner local support for a policy proposal. Anderson (2015: 63) distinguishes between public interest groups and pressure groups. The former's action revolves around public interest issues (e.g. environment) while the latter acts in the interest of its members (e.g. unions). Local government is obliged to involve groups in policy making (Thornhill and Cloete 2014: 21).

3.7.7 Organisations

Organisations are another set of actors in the policy making process that need to be considered (Anderson 2015: 67). Anderson mentions that research organisations may, through research and studies, acquire and provide basic information and data on policy issues, develop alternatives and proposals for handling problems and evaluate the effectiveness and consequences of public policy. In addition to their policy analysis activities, research organisations may also engage in policy advocacy (Anderson 2015: 67).

3.7.8 Individuals

Birkland (2011: 131) mentions that many studies of the policy process focus mainly on group behaviour and ignore the activities and preferences of individuals. This, according to Birkland (2011: 133), is a shortcoming as individuals do play a role in policy making, especially when they are threatened or feel threatened. To counter threats, individuals sometimes organise and mobilise support for government to take action. Anderson (2015: 70) and Cloete (2018: 140) maintain that individuals can effect policy change by applying their intellectual and mobilisation skills. Individuals can participate directly in policy making or establish groups to advance their policy views. Moreover, they have a right to be heard regarding decisions that affect their wellbeing and government has a duty to listen to them (Anderson 2015: 71).

3.7.9 Media

Cloete (2018: 141) indicates that the media can influence public opinion significantly, and therefore has great influence on policy making. The media include print, visual, audio, and electronic (internet and social media) forms. The media can be used to inform and educate the public on policy issues. They are both suppliers and transmitters of information and can assist public decision-making and shape the public agenda (Anderson 2015: 68). Since the media are both players and referees in policy making, they can be bias (Anderson 2015: 69; Dye 2017: 31). They report on the dynamics surrounding policy making and participate in and influence the policy making process according to their world view. Dye (2017: 31) perceives the media as an elite group competing with other policy actors for policy change.

In summary, the actors in policy making in local government in South Africa are the metropolitan sub-council, ward committees, politicians, public officials, groups, organisations, individuals, and the media. Owing to their status and role, some policy actors have greater influence over policy making than others. It is also noted that some policy actors participate in their official capacity while others do not. To shed more light on policy making, relevant models for understanding and describing public participation in policy making will be reviewed.

3.8   MODELS FOR UNDERSTANDING AND DESCRIBING POLICY MAKING

According to Dye (2017: 25), policy making is about how policies are made. It entails the activities of likely policy actors (participants) at the different stages of the process and the influence they have on the outcome of the policy. Cloete (2018: 138) avers that policy making is about who participates, how and what issues are to be addressed and what influence participants have in the process. To enable an understanding of the process, various policy making models have been developed to assist understanding and description (Cloete and De Coning 2018: 34). For the purpose of this descriptive study, the elite/mass model, group model, public choice model and social interaction model are relevant and will be explained in the subsequent sections.

3.8.1 Elite / Mass model

Dye (2017: 18) claims that it is a myth that public policy always expresses the views of the public. Instead, public policy may express the preferences of the elite. The elite/ mass model postulates that the public are ill informed about public policy and that the governing elite shape public opinion and therefore policy. In this scenario, the role of public officials are to implement policies decided on by the elite. Policy making is top down, which means that there is no public participation in the process (Dye 2017: 18).

According to Cloete and De Coning (2018: 41), the elite/ mass model contends that the public is apathetic and passive towards policy making. Policy decisions flow downward and are implemented by government. There is an assumption that the elite are firmly in power and that they share and agree on the same values. This means that public policy most likely reflects the values of the elite than the interests of the public. However, this model has limitations. Cloete and De Coning (2018: 42-43) mention, for example, that literature and experiences suggest that the public are not necessarily ill-informed and passive and that they can play a pivotal role in policy making.

This model is relevant to this study in public participation as it could demonstrate the dominant role that governmental decision makers have over public policy making as opposed to the public (Cloete 2018: 140). Cloete and De Coning (2018: 41-42) point out that studies in public administration (local government) indicate that public administrators are less seen as servants of the people and more as members of the elite.

3.8.2 Group model

Dye (2017: 16) maintains that the interaction between groups is the central feature of politics and policy making. This interaction gives credence to the development of group theory. Group theory postulates that individuals with common interests band together and place demands on government. Since many different groups with different demands are placing pressure on government at the same time for policy change, policy making in essence becomes a struggle between different groups for the attention of government. By implication, this struggle for the attention of government becomes a competition between groups. According to Dye (2017: 17), the role of government should be to manage the group conflict in several ways. Firstly, government should establish rules to regulate the group conflict. Secondly, government should facilitate processes that seek compromises between groups and balance their interests. Thirdly, government should capture these compromises in public policy. Fourthly, government should ensure adherence to these compromises. The assumption is that if all these conditions are met, public policy would represent a balance or equilibrium between the demands of different influential groups (Dye 2017: 17).

This model of policy making is relevant to this study in participation for the following reason. The Constitution, 1996 in section 152 (1) (e) prescribes that local government should involve groups in the participation of policy making. This means that local government should institutionalise participation mechanisms that encourage group participation and group conflict resolution to create equilibrium. Cloete and De Coning (2018: 44) indicate that the group model is relevant for analysing group participation in policy making in a democratic society.

3.8.3 Public choice model

Unlike the group model of policy making, which depicts the participative behaviour of groups in pursuit of group interest, public choice theory depicts the participative behaviour of self-interested individuals (Dye 2017: 19). Public choice theory is similar to economic theory that postulates that individuals strive to maximise profits in the private sector. The basic assumption is that individuals are self-interested and that they pursue what they perceive to be beneficial to them in both the private and public sector. This suggests that individuals have their own conception of what constitutes the public interest and will take decisions that support their notion (Dye 2017: 20). This means that individuals participate in policy making of their own volition and make decisions with their own interests in mind. According to Dye (2017: 20), self-interested individuals can mutually benefit through collective decision-making. The relevance of this model is that it can analyse individual participative behaviour. The public in this study constitute individuals and groups.

3.8.4 Social interaction model

Cloete and De Coning (2018: 45) indicate that the social interaction model provides for different levels and degrees of social interaction between local government, individuals and groups. This form of interaction could range from consultation to negotiation. The social interaction model can be used to describe public participation in policy making in local government. The social interaction model depicts three phases of participation, namely, persuasion, exchange and authority (Cloete and De Coning 2018: 46). For example, the first phase of persuasion involves a low degree of government control over decision-making whereas the phase of authority signifies a high degree of government control. The model depicts different levels of participation. Since public participation in this study is a process with different levels of participation, this model is relevant for this study.

In summary, this section briefly examined descriptive models that are relevant to this study. The elite/mass model demonstrates the degree of influence local government can have over policy making as opposed to the public. In the contrast, the group

model explains the relationship between competing groups and their influence on policy making. In this scenario, government should institutionalise participation mechanisms that manage group conflict and strike a balance between conflicting groups. Public choice theory allows for the participative actions of individuals to be studied. The social interaction model describes the relationship between the public and government at different levels of policy making. The group model and social choice model are especially relevant to this study, as the public in this study, constitute individuals and groups.

3.9   CONCLUSION

The aim of this chapter was to contextualise public participation in policy making within the South African local government sector. To achieve this aim, policy making was defined as a relatively stable, purposive course of action followed by an actor or set of actors whose intention is to resolve a public problem. This definition drew attention to the study of the policy actors (participants) and their actions in policy making. More perspective was provided by an explanation of the different types, levels and instruments of public policy. The public annual budget, which is the focus of this study, was identified as a type of public policy and policy making instrument.

Since this study is situated within a democratic local government, the relationship among democracy, public participation and policy making was explained. The explanation indicated that any system of government that wishes to qualify as a democracy should at the minimum provide for public participation in policy making. An explanation was also given of the constitutional and legislative imperatives for public participation in policy making in local government in South Africa.

To provide insight into public participation in policy making, the policy making process was dissected and examined relative to public participation in budgeting. Even though there are different versions of the stages of policy making, it was submitted that the stages applicable to this study are budget preparation, budget submission and approval, budget implementation, and budget review and reporting.

The requirements for public participation were pointed out at each stage as well as a demonstration of how it could occur.

Adding to this, the actors in policy making in local government were identified and their roles clarified. It was established that some policy actors, owing to their official status and role, have greater influence over policy making than others. To provide understanding, four descriptive models of policy making applicable to this study were reviewed. Firstly, the elite/ mass model posits that politicians and public officials, as elite, have control over policy making while the public have little or no influence. Secondly, the group model depicted participating groups as competing against each other for the attention of government to influence policy. In this scenario, the role of government is to mediate between competing groups and balance their needs. Thirdly, the public choice model focused on the participative behaviour of individuals in policy making. Lastly, the social interaction model explained the relationship between government and participants at different levels of policy making. Within this context, the empirical study will be conducted.

CHAPTER FOUR

CONTEXTUALISING PUBLIC PARTICIPATION IN THE PLANNING PROCESS IN LOCAL GOVERNMENT IN SOUTH AFRICA

4.1 INTRODUCTION

Similar to the preceding chapter on policy making, the aim of this chapter is to contextualise public participation in the planning process in local government in South Africa for the empirical study. To realise this aim, planning will first be defined for this study. Given that public participation operates within the realms of democracy, the relationship among democracy, public participation and planning will be explained. Furthermore, the constitutional and legislative obligations for public participation in planning will be provided. As the focus of this study is on participation in the IDP of local government, the process will be dissected and explained relative to participation. The participants in local government planning will as well be identified and their roles specified. Thereafter, three participatory planning styles, that are relevant to this study, will be presented. This chapter concludes with strategies to promote public participation in local government planning, followed by the conclusion.

4.2 DEFINING PLANNING

According to Conyers and Hills (1984: 3), the term planning is used in many different ways which creates confusion around the term. The authors mention that planning is so broad that it is difficult to identify the basic elements of planning or to distinguish it from related activities such as policy making or plan implementation. This suggests that policy making and planning could overlap. De Coning and Wissink (2018: 11) substantiate this point of view when they mention the existence of common and unique approaches in both policy making and planning.

To provide a definition for planning, Conyers and Hills (1984: 3) perused definitions in the field of development planning that conveyed the most important elements. Considering these elements, Conyers and Hills (1984: 3) define planning as a process that involves setting future goals and deciding or choosing between alternative ways of achieving these goals within the confines of limited resources. This definition considers planning to be a process involving decisions pertaining to the allocation of resources for goal achievement.

Brynard (2003: 5) similarly mentions that various meanings of planning exist owing to the presence of a variety of definitions. To avoid adopting a specific approach, Brynard (2003: 15) defines planning as an intellectual activity that is directed at the achievement of a specified goal or goals and the necessary steps to be taken to achieve the goal or goals in the future. This definition equally links planning to goal achievement but importantly specifies that planning involves different steps.

Van der Waldt (2016: 186) defines planning from a public management perspective as a process that involves determining future circumstances and the identification of measures to realise them. The process includes determining alternative courses of action and deciding which course of action is the most suitable to achieve the objective and to realise the goal. It entails the implementation of planning decisions.

Guided by the aforementioned, planning in local government, for the purpose of this study, is defined as a process consisting of different steps which entail setting an objective and determining alternative ways of achieving the objective with limited available resources in order to achieve a predetermined goal in the future. This definition is practical for this study for the following reasons: In the first instance, there is recognition that planning is a process and not an end or event. According to Fainstein and DeFilippis (2016: 7), the process approach to planning subscribes neither to means nor ends but rather focuses on the various participants who seek consensus in planning. Secondly, the process involves different steps. This allows for the behavioural study of participants pertaining to decisions and actions taken at each step of the process. Thirdly, decisions and actions involve the allocation of

limited public resources and implementation to achieve the predetermined public goal in future.

According to section 23 (1) of the Municipal Systems Act, local government should undertake developmentally oriented planning. Developmentally oriented planning encourages public participation in planning and prioritises the basic needs of the public. Section 25 (1) (b) (c) of the Act stipulates that IDP aligns local government resources with the implementation of the plan and inform budgeting in local government. This establishes the connection between policy making (public budgeting) and planning (IDP) in local government. In the following section, the relationship among democracy, public participation and planning will be explained.

4.3   DEMOCRACY, PUBLIC PARTICIPATION AND PLANNING

Weale (2007: 35) indicates that historically, democracy pursued the general will or public interest. According to Campbell (2016: 216), the public interest harmonises growth, preservation and equality. Christiano (2013) also asserts that democracy produces good outcomes. Schubert et al. (2014: 6) maintain that democracy is necessary for the full development of people.

Planning, equally, assists human development (Green 1996: 2). Brynard (2003: 2) is adamant that the aim of government planning is to promote public welfare. Likewise, Fainstein and DeFilippis (2016: 11) hold that the primary objective of planning is to serve the public interest, even though the public interest is difficult to define. This indicates that government planning and democracy pursue a common public goal.

Christiano (2013) maintains that the goal of serving the public interest is more likely to be achieved under a democratic system of government. The reason is that democracy allows for freedom of association and expression (Schubert et al. 2014: 6). Freedom of association and expression guarantee the public the right to express their views and opinions on a matter and to participate in matters of public interest. Besides, public participation holds government accountable to the pursuance of the

public interest (Van der Waldt 2014: 28). Accordingly, there is a relationship among democracy, public participation and planning. In South Africa, this relationship is constitutionally and legislatively cemented. In the following section, an overview will be provided of the constitutional and legislative obligations for public participation in the planning process.

4.4 CONSTITUTIONAL AND LEGISLATIVE OBLIGATIONS FOR PUBLIC PARTICIPATION IN PLANNING

The point of departure for public participation in planning in local government in South Africa is found in Chapter 2 of the Constitution, 1996 which encapsulates the Bill of Rights. Thornhill and Cloete (2014: 15) mention that the Bill of Rights is the "cornerstone of democracy in South Africa". Local government is obliged to promote the Bill of Rights, especially the rights to human dignity, equality and freedom (Van der Waldt 2014: 45).

The Bill of Rights guarantees freedom of expression, association and political rights. This gives leeway for public criticism of local government, for the establishment of public organisations for participation and for freedom to participate (Thornhill and Cloete 2014: 85). According to Schubert et al. (2014: 6), freedom of speech and expression, freedom to dissent from the majority view and freedom to form opposition groups are essential for meaningful participation.

Entrenching democracy in local government, the Constitution, 1996 prescribes in section 152 (1) (a) and (b) that local government should promote democratic and accountable government and encourage the participation of local people and organisations in the matters of government. The Constitution, 1996 in section 152 (1) (c) (d) obligates that local government provides services, promote social economic development and ensure the health and safety of the public. Local government services, development and health and safety issues affect the public directly, hence the public have a right to participate in decisions pertaining thereto.

To give effect to public participation in planning in local government and to ensure that local government meets it developmental duties, the Municipal Systems Act was promulgated. The Municipal Systems Act in section 23 (1) compels local government to undertake IDP and to encourage public participation in the IDP. In sections 17 (1) (2) of the Act, mechanisms for public participation in planning are identified while provision is made for the establishment of participation mechanisms not provided for in the Act. The Municipal Systems Act stipulates in section 16 (1) (a) (i) that public participation in the IDP should be during preparation, implementation and review of the IDP. Accordingly, public participation in the IDP in local government in South Africa is an obligated fact. The following section will explain the IDP process and how public participation could unfold during the process.

4.5 IDP PLANNING PROCESS

Planning is a process consisting of different steps. Conyers and Hills (1984: 71) cite different models of the planning process with different steps. Brynard (1996: 133) equally points out that the planning steps may differ from author to author. According to Brynard (2003: 36), the basic and generally accepted steps are needs determination, goal or objective setting, consideration of alternative solutions, selection of suitable plan or course of action, trial run, practical implementation, and feedback or evaluation. Though the planning steps are separately identified for practical reasons, they are interrelated and interdependent (Conyers and Hills 1984: 74; Green 1996: 3; Brynard 2003: 36).

This study focuses on participation in the IDP process. The DPLG ([Sa]: 4] indicates in its IDP Guide-Pack that the stages of IDP are needs analysis, development strategies, projects, integration, and approval. According to local government legislation, the public must participate in the preparation, implementation and review of the IDP (South Africa Municipal Systems Act 2000 s 16(1) (a) (i)). This implies that implementation and review are additional steps in the IDP process. The steps of the IDP process will now be dissected and explained in terms of public participation in local government.

4.5.1 Needs analysis

Theron (2009: 140) and Thornhill and Cloete (2014: 88-90) point out that, legislatively, the IDP must be "developmentally orientated". This requires local government to structure and manage its administration, budgeting and planning processes in such a manner that priority is given to the basic needs of the public and the promotion of socio-economic development (Thornhill and Cloete 2014: 21). Since developmental planning focuses on the establishment of people's basic needs, needs analysis should result in the identification of public needs. Brynard (2003: 36) considers public needs identification essential in planning.

Democracy requires that the public participate in the identification of their needs and in the development of possible solutions (Thornhill and Cloete 2014: 90). Government, on the other hand, must be responsive to the needs of the public (Van der Waldt 2014: 28). These requirements are written in section 195 (1) (e) of the Constitution, 1996. South African local government is obliged to put participation mechanisms, processes and procedures in place for needs analysis and identification (Van der Waldt 2014: 66; Thornhill and Cloete 2014: 92; Venter 2014: 113).

According to Brynard (2003: 32), public participation at the beginning of the process is not only necessary for needs analysis, but can aid the design of the IDP as well. Participation at the beginning of the process assists with the identification and resolution of potential problems, and prevents that the final plan will be rejected or rendered illegitimate by the public (Brynard 2003: 32). Cloete (2018: 143) equally holds that public participation at the beginning of the process creates legitimacy for planning decisions and actions and support for plan implementation. On completion of the phase of analysis, development strategies to reduce or eliminate the needs are designed.

4.5.2 Development strategies

According to the DLPG IDP Guide-Pack ([Sa]: 15), development strategies has four components, namely, visioning, setting objectives, strategies development, and project identification. The vision is the goal that the municipality would like to achieve in the long-term. Thornhill and Cloete (2014: 90-91) indicate that the vision of the municipality should be aligned with the long-term developmental and transformational needs of the public. Objective setting follows the visioning process. Objectives are milestones, which the municipality would like to achieve over medium-term to resolve the public needs identified and prioritised. This is followed by the generation of developmental projects as immediate solutions for the identified and prioritised needs or problem. This step is about problem solving (DPLG [Sa]: 15).

Brynard (2003: 37) mentions that the more alternative solutions there are to address a public need or problem, the more effective planning becomes. This means that a diversity of public views and opinions should be considered during objective setting. According to the DLPG ([Sa]: 15), public participation at this step should be in the form of public debates. Venter (2014: 112), additionally, recommends public meetings and IDP forums. The completion of development strategies result in the projects identification.

4.5.3 Projects identification

Projects that will be identified should directly align with the objectives, which are aligned with the public needs identified during analysis (Venter 2014: 113). According to De Coning et al. (2018: 262), there are two types of developmental projects. The one type focuses on outputs, for example, the facility that is constructed to bring about developmental change. In this approach, the project would be used to create jobs as a vehicle for training and capacity building and to empower the public by taking ownership of the asset created. The second type focuses on the methods employed by project leaders to create development. These methods entail mobilising people around the project and encouraging ownership.

This latter type of developmental project focuses on softer outputs such as capacity building, participation and social learning (De Coning et al. 2018: 263). At this step, legitimate leaders of local groups should participate in the identification and development of project proposals. However, before implementation, public support should be garnered for the agreed project proposals (De Coning et al. 2018: 265). The DPLG (2007: 50) recommends ward committees and stakeholder forums as appropriate participation mechanisms to participate at this stage. Masango et al. (2013: 92) indicate that ward committees could be utilised to identify developmental projects for implementation in the ward. On reaching public agreement on the projects, integration takes place.

4.5.4 Integration

This step entails ensuring that the projects identified are in line with the municipality's objectives, strategies, resource framework and legal requirements (DPLG [Sa]: 16). The projects are aligned with the long-term vision and short-term to medium-term objectives of the municipality as well as to the identified public needs. During this phase, resources will be made available to implement the projects. The connection between public budgeting and IDP becomes more evident at the step. The projects will further be harmonised in terms of contents, location and timing in order to arrive at a consolidated integrated development programme (Venter 2014: 113).

4.5.5 Approval

The Municipal Systems Act in sections 29 (1) (b) and 30 (c) designate that the draft IDP can only be submitted to the municipal council for approval after a process of public participation. The responsibility of submitting the draft IDP to the municipal council rests with the executive mayor, or executive committee. In instances where there is no executive mayor or executive committee, the municipal council should appoint a committee of councillors.

Section 25 (4) of the Municipal Systems Act specifies that after the adoption of the IDP by the municipal council, the public must be notified of the adoption of the IDP

within14 days. The municipality must publicise the IDP and make copies of the IDP available for inspection by the public. The municipal council approved IDP becomes the strategic planning document that guides and informs all planning, budgeting, management, and decision making in local government (Theron 2009: 141). The IDP is then ready for implementation.

4.5.6 Implementation

Though the DPLG ([Sa]: 15) indicates in its IDP Guide-Pack that the IDP process concludes with approval, planning does not end with the approval of a plan. Planning is a means to an end and not an end in itself (Brynard 2003: 38). This means that the approved plan must still be implemented to achieve the planning objective. The Municipal Systems Act in section 16 (1) (a) (i) conveys that the public should participate in the preparation, implementation and review of the IDP. This means that implementation and review are steps in the IDP planning process.

To assist implementation, Brynard (2003: 38) recommends that a trial run first be conducted. A trial run could be a scaled down version of the programme of action and entail putting the programme of action to the public that will be directly affected by the programme. The idea is to test the response of the public who will be affected by the intervention. Should the public approve of the programme of action, it could be implemented on a larger scale. Equally, if the public disapproves, the programme of action could be revisited and modified with public input (Brynard 2003: 38). Public participation is therefore needed for support of the plan and implementation.

Cohen and Uphoff (2011: 46) suggest that public participation in implementation should include participation in project administration and co-ordination. In addition, local people could be elected to project implementation committees while voluntary organisations could also be used to co-ordinate their activities with that of the project. Participation in implementation could also entail creating jobs for local people and building local capacity (De Coning et al. 2018: 263). After implementation, there should be a review of the IDP.

4.5.7 Review of IDP

Section 16 (1) (a) (i) of the Municipal Systems Act provides for the public to participate in the review of the IDP. The Act stipulates in section 34 that the review must be conducted annually. The review entails assessing the municipality's performances and taking into account environmental changes. Review could be seen as an assessment process (Fourie et al. 2015: 357). Furthermore, Rabie and Cloete (2018: 273) use the term assessment and evaluation interchangeably.

Fourie et al. (2015: 356) indicate that, for the purpose of review, there must be a link among priorities, objectives and performance indicators. Priorities, which are informed by the public's basic needs, are the important issues that local government must attend to, to address the public need. To create the link, the identified priorities should be appropriately placed within a key performance area. The key performance area is then translated into a set of clear and tangible objectives. From the objectives, indicators for measuring performance are developed (Fourie et al. 2015: 356). The Municipal Systems Act in section 42 stipulates that local government should establish appropriate mechanisms, processes and procedures for public participation in the determination of key indicators and in the review of the municipality's performance.

In this section, the planning process in local government was dissected and explained. Though it was determined that there are various steps of the planning process, it was established that the steps of the planning process in local government in South Africa should be analysis, development strategies, projects identification, integration, approval, implementation, and review of the IDP. It was also pointed out that public participation should occur at each step of the process. For this reason, local government must encourage public participation in planning and put mechanisms in place for such participation. Since participation mechanisms, processes and procedures were attended to in Chapter 2 section 2.5.3, the focus will now shift to the participants in local government planning and relevant participatory planning styles.

4.6   PARTICIPANTS IN LOCAL GOVERNMENT PLANNING

To gain more insight into public participation in planning, the participants in planning should be reflected upon. Thornhill and Cloete (2014: 92) identify local communities, public officials, political office bearers and provincial and national institutions as participants in local government planning. Communities, as noted in this study, are included under the concept of the public and will be referred to as such (see Chapter 2, section 2.5.1). Relevant to this study in public participation in local government are the public, public officials and politicians.

4.6.1   The public

The Municipal Systems Act in section 16 (1) (a) mandates local government to encourage and create conditions for public participation. Section 17 (2) of the Act stipulates that public participation should involve the receipt, processing and consideration of petitions and complaints, notification and public comment procedure, public meetings and hearings, consultative sessions and report back. This confirms that opportunities for public participation in policy making and planning in local government do exist.

The public comprises individuals and various groups e.g. women, men, children, the physically challenged, the aged and infirm, business undertakings, industrial and other enterprises, sports people, church groupings, educational institutions, and transport concerns. Some of these individuals and groups are organised while others are not (Thornhill and Cloete 2014: 92). Anderson (2015: 63) argues that lack of monetary resources and effective leadership contribute to individuals and groups not being formally organised. Unorganised individuals and groups are often overlooked during participation. Though some groups are not formally organised, local government must still provide mechanisms, processes and procedures that provide for their participation in the process (Thornhill and Cloete 2014: 92).

Klosterman (2016: 175) points out that minority and low-income individuals and groups residing in slum urban and rural areas are often excluded from the

participation process. The reasons are they do not have the necessary time, training, resources, leadership, information or experience to participate. As a result, they have no voice in the planning decisions. The challenge for local government is therefore to encourage and include disadvantaged individuals and groups in the planning process (Thornhill and Cloete 2014: 92). On the other hand, the duty of the public is to seize the opportunity and to participate in the IDP.

4.6.2 Public officials

In local government, the municipal manager is the head of administration and the accounting officer, and as such is responsible for the implementation of the IDP (Khalo 2014: 215). However, this responsibility does not rest solely with the municipal manager. IDP requires horizontal, environmental, vertical, time, resource, and institutional integration (Venter 2014: 108). This means that officials from all departments must participate in the compilation of the IDP (Thornhill and Cloete 2014: 93). Moreover, the IDP integrates all administrative decision-making in local government and consequently requires the participation of all officials (Theron 2009: 141). However, it should be borne in mind that public officials have control over financial resources and consequently have considerable influence over planning (Cloete 2018: 140).

4.6.3 Politicians

Elected politicians in local government are designated councillors (Thornhill and Cloete 2014: 93; Venter 2014: 96). Venter (2014: 96) mentions that councillors are responsible for identifying and prioritising the needs of the public living in the area and developing programmes and strategies to address the needs of the public. This is performed within the constraints of limited resources and necessitates participation between the public, councillors and public officials. Resources are limited and needs and demands diverse and unlimited, and councillors must strive to meet the basic needs of the public within the constraints of the budget. Councillors play an important role in the IDP (Thornhill and Cloete 2014: 93).

This section identified the participants in public participation in local government planning, namely, the public, public officials and politicians. In the ensuing section, participatory planning styles are introduced, and three participatory styles relevant for this study, are presented.

4.7   PARTICIPATORY PLANNING STYLES

Brynard (1996: 137) mentions various planning styles and approaches that can accommodate public participation in planning. According to Brynard (1996), the choice of a participatory planning style is influenced by the purpose of participation. The purpose of participation can broadly be divided into two categories, namely, arriving at decisions more efficiently or enhancing democracy. Geertman (2006: 873) mentions that planning styles are closely related to policy making models (see Chapter 3, section 3.8). Participatory planning posits that more effective planning results from the degree to which the public participate in the development and implementation of the plan. For this study, three participatory planning styles that are relevant will be presented. The first is open participation planning, the second is group planning and the third advocacy planning.

4.7.1 Open participation planning

Open participation provides for individuals to participate on their behalf (Madumo 2014: 137). In this approach, participation opportunities are open mainly to individuals but groups can also participate. As the process is open, it is less structured and biased to group representation. Only the views of those who are interested and willing to participate are considered (Brynard 1996: 47). Public hearings are an example of open opportunity participation.

Open opportunity participation allows individuals to participate directly in the planning process, instead of via group leaders (Cloete 2018: 144). According to Madumo (2014: 137), the benefit of this approach is that it can improve trust in local government and contribute to individuals' personal development. However, this

approach is not feasible at each step of the planning process, as it is time consuming and cumbersome (Brynard 1996: 140; Robbins et al. 2008: 564). Notwithstanding, open participation at the beginning of the process creates a broad scope of participation as well as support and legitimacy for planning.

Given that local government is constitutionally bound to provide democratic and accountable government for the public (Thornhill and Cloete 2014: 20; Van der Walt 2014: 55), provision must be made for open participation during the planning process.

4.7.2 Group participatory planning

Group participatory planning focuses exclusively on the participation of groups. According to Young (2016: 389), a group is defined by a set of shared personal or social attributes that constitute its identity as a group. Besides, groups can be determined by membership (Cloete 2018: 141). Dye (2017: 16) mentions that individuals with common interests establish or become members of groups. According to Anderson (2015: 63), groups can be categorised as public interest and pressure groups. Public interest groups pursue the public interest, for example, the protection of the environment while pressure groups serve the interests of their members. A case in point is worker groups. The purpose of groups is to influence public policy and planning through participation (Cloete 2018: 140).

Group participatory planning usually occurs with the participation of group leaders. Groups who represent different interests and segments of society are drawn into the planning process through their leaders who participate in objective setting and implementation. Thornhill and Cloete (2014: 21) assert that local government is constitutionally obliged to involve groups in public participation. Though there are various mechanisms to involve groups in government planning, Venter (2014: 114) supports the establishment of IDP representative forums. However, it should be borne in mind that participation is not always representative of group interests (Robbins et al. 2008: 564). This requires that group planning be supplemented by advocacy planning, which will be explained in the next section.

4.7.3 Advocacy planning

Lane (2005: 293) claims that Davidoff made the original statement on advocacy planning. According to Davidoff (2016: 431), the concept of advocacy is taken from the legal profession and argues for the inclusion of disadvantaged people and groups in the planning process. Though advocacy planning has a pluralist (group) orientation (Davidoff 2016: 433), pluralism does not guarantee social justice (Klosterman 2016: 175). Moreover, Klosterman maintains that group planning makes no guarantee that the needs of low-income individuals and groups will be taken into account. In fact, Young (2016: 389) contends that groups exclude those who do not share the group's attributes or membership.

Advocacy planning aims to bring excluded people and groups into the planning process. Thornhill and Cloete (2014: 92) point out that some groups are organised while others are not. According to Schubert et al. (2014: 159), organised groups most often do not represent or participate on behalf of the poor and uneducated. Instead, the authors maintain that membership to formal groups are often determined by social status (e.g. workers groups) and controlled by an elite. Consequently, the duty of government is to introduce participation strategies that solicit specifically the views of the disadvantaged people and groups (Thornhill and Cloete 2014: 92). This includes organising unorganised groups for participation (Thornhill and Cloete 2014: 92; Venter 2014: 114). This view is underscored by legislation which requires local government to capacitate people for public participation and to make provision for those who cannot read and write (Davids and Maphunye 2009: 62; Van der Waldt 2014: 66). Advocacy planning intends to bring about a more just and equal society, which should be the goal of a democratic government.

To provide for the inclusion of a wide spectrum of the public participation in the IDP, local government should apply open participation planning, group planning and advocacy planning. However, this does not guarantee that everybody will participate. Indications are that few participate and that they mainly comprise the advantaged (Arceneaux and Butler 2015: 131). Still, government is constitutionally and

legislatively bound to encourage participation (Thornhill and Cloete 2014: 86; Van der Waldt 2014: 55). This requires local government to develop and implement strategies to encourage public participation in planning.

4.8 STRATEGIES TO ENCOURAGE PUBLIC PARTICIPATION IN PLANNING

Democracy can only flourish when people participate. Van der Waldt (2014: 28) mentions that without public participation, democracy could be threatened by a lack of transparency and accountability. Cloete (2018: 143) avers that participation creates legitimacy for government decisions and actions. It informs government of the views and opinions of the public, which ensures government is responsive to public needs. Schubert et al. (2014: 5) highlight that participation is necessary for individual self-development and dignity.

Despite these factors, there is a lack of participation of especially the disadvantaged and marginalised (Arceneaux and Butler 2015: 131; Klosterman 2016: 175). The obligation of government is however to encourage participation in accordance with section 152 (e) of the Constitution, 1996. This means that government must develop and implement strategies to encourage participation in planning. For the purpose of encouraging participation in planning, the strategies recommended by Checkoway (1986: 138), though outdated, can still serve as a basis.

4.8.1 Identify issues

Government should identify issues proactively. Planning issues refer to specific social concerns that affect people deeply. The underlying assumption is that people who are affected by a social issue are more likely to participate (Checkoway 1986: 138). Furthermore, Cloete (2018: 143) assert that government should at times assist the public, especially the disadvantaged, in defining and articulating their problems. The purpose of this approach is to create an equal and just society. However, this approach could open government up to bias (Cloete 2018: 143).

4.8.2 Establish constituencies

Constituencies are people affected by an issue (Checkoway 1986: 138). According to Checkoway (1986), constituencies do not arise randomly but result from efforts to identify and formally establish working relationships. For example, municipalities struggle with the challenge of people living on the streets. Whenever local government intervene to overcome the challenge thereof, there is resistance. An approach could be to organise them into a constituency, and include them in finding solutions for the problem of people living on the street.

4.8.3 Educate the public

People are more likely to participate if they understand the process, the issues at stake, how they affect them, their role and the role of government (Checkoway 1986: 140; Van der Waldt 2014: 26). They should be educated on negotiation skills, interpersonal relations and on how local government works, how decisions are made, how civil society is organised and the means and mechanisms available for participation (Van der Waldt 2014: 26). The Municipal Systems Act mandates local government to educate and capacitate the people for participation (South Africa Municipal Systems Act 2000 s 16 (1) (b)).

4.8.4 Find and make leaders

Another strategy is to find individuals committed to developmental planning and groom them for leadership (Checkoway 1986: 141). These leaders should be able to develop a following and to defend participation and planning. Cloete (2018: 144) mentions that these leaders should be legitimately elected and/ or appointed and should have a mandate to negotiate. They should also provide regular feedback to their constituency.

4.8.5 Build coalitions

The purpose of coalitions is to establish working relationships in order to influence planning outcomes. Coalitions serve to mobilise individuals and groups around a common purpose and to combine resources during implementation. It allows individuals and groups to share resources, assist each another and build mutual support. Coalitions can be represented on planning committees and other statutory bodies (Checkoway 1986: 142).

4.8.6 Foster relations with influential people

Influential people can influence decisions at the local level (Checkoway 1986: 142). Cloete (2018: 144) mentions that individual opinion leaders can influence people's opinion positively. However, their opinions should be respected and highly regarded.

In summary, this section highlighted that government is constitutionally obliged to encourage the participation especially of those who are disadvantaged and excluded from participation in planning. For this purpose, government must develop and implement strategies to encourage participation in IDP, which could include identifying issues, establishing constituencies, finding and making leaders, educating the public, building coalitions, and fostering relations with influential people.

4.9 CONCLUSION

The aim of this chapter was to contextualise public participation in the planning process, especially in IDP in local government in South Africa. For this purpose, planning was defined as a mental process consisting of different steps that entail setting objectives and determining alternative ways of achieving the objectives within the constraints of limited resources for the achievement of a predetermined future goal. This definition provides for the implementation of planning decisions and ties planning to the public budget. This definition is practical for studying the behaviour of participants at each step of the process.

Given that this study is situated within South African democratic local government, the relationship among democracy, participation and planning was illustrated. The illumination clarified that democracy, participation and planning pursue a common goal, i.e. the public interest. It was found that the public interest is most likely to be arrived at in a democratic state through public participation in planning. An overview was given of the constitutional and legislative obligations for public participation in planning.

As the focus of this study is on participation in the IDP process, the process was dissected and explicated relative to public participation. The explication yielded that the IDP process consists of seven steps, namely, analysis, development strategies, projects identification, integration, approval, implementation, and review of IDP. The explication revealed that the public should participate at each step of the process and that the Constitution, 1996 and local government legislation provides for opportunities for public participation.

After dissecting and explicating the IDP process relative to public participation, public participants in planning, relevant for this study, were identified. Participants were the public, public officials and politicians. It was pointed out that some members of the public are advantaged while others are not, which deters them from participating. To encourage the inclusion of all members of the public in planning, three participatory planning styles, namely, open participation planning, group planning and advocacy planning were presented. Open participation planning encourages individual participation whereas group planning encourages participation of formally established groups. Advocacy planning, on the other hand, advocates for the organisation and inclusion of unorganised disadvantaged individuals and groups in planning. Since government is constitutionally and legislatively obliged to encourage participation in planning, and given that the disadvantaged seldom participates in planning, strategies to encourage participation in planning in local government were recommended. This concludes this chapter on planning while the results of the empirical study will be presented in chapter six.

CHAPTER FIVE

DESCRIPTION OF PUBLIC PARTICIPATION IN THE POLICY MAKING PROCESS IN LOCAL GOVERNMENT IN SOUTH AFRICA: FINDINGS, ANALYSIS AND RESULTS

5.1   INTRODUCTION

Chapter 2 provided the theoretical and conceptual framework for this study whereas Chapter 3 contextualised public participation in the policy making process in local government from the perspective of the annual budget process. This laid the foundation for the empirical study. In this chapter, the findings, analysis and results of the empirical study are presented, in other words, the description of public participation in the policy making process in local government.

To research and study public participation in policy making, descriptive indicators for participation were first identified and meanings provided (see Chapter 2, section 2.5). The indicators were the public, the levels of participation, the mechanisms for participation, the scope of participation, and public influence in participation. For the empirical study, three research methods were applied, i.e., survey questionnaire, interview questionnaire and document study and analysis. The survey questionnaire served as the main research method while the other two methods complemented the survey questionnaire. Since context is important in qualitative research for meaning and understanding, a brief background is provided of survey as research method.

5.2   SURVEY AS RESEARCH METHOD

Punch (2014: 216) mentions that the word 'survey' has different meanings and usages. Sometimes it is used to describe any research that collects data from a sample of people irrespective of whether it is qualitative or quantitative. Survey refers to a study of individual pieces of information studied one piece at a time. In this

instance, it is a 'descriptive survey' of which the purpose is mainly to describe a sample in terms of simple proportions and percentages of people who responded in certain ways to the survey questions (Punch 2014: 216). The sample is usually drawn from a sampling frame (Bernard 2013: 130), that will be dealt with in the next section.

5.2.1 Sampling frame

A sampling frame is the list of units of analysis from which a sample is drawn to administer the questionnaires. The results of the survey are usually generalised to the sampling frame (Bernard 2013: 130). In this instance, the official municipal database of groups registered with the municipality served as the sampling frame. During the document study, it was found that groups registered on the official database of the municipality were targeted for participation in the annual budget and IDP processes in the municipality during the period of study (see Chapter 6, section 6.3.3.1). The existence of this municipal database was discovered during the phase of information gathering (see Chapter 1, section 1.8.2).

There were approximately 4 000 groups registered on the municipal database. As groups registered on the official database of the municipality were regularly targeted for participation, the database served as a participation mechanism. Bekker (1996: 29) considers groups as means of participation. An official of the municipality confirmed that the database is updated annually, which renders the information relevant.

Though a sample is normally drawn from a sampling frame to generalise thereto (Bernard 2013: 130; Punch 2014: 244), in this instance it was not the case. The aim was to collect information from a sample of respondents who participated in the annual budget process in the municipality during 18 May 2011 and 3 August 2016, for the purpose of describing public participation in the municipality. For this purpose, volunteer sampling was deemed appropriate.

5.2.2 Volunteer sampling

According to Teddlie and Yu (2007: 78) and Onwuegbuzie and Leech (2007: 116), volunteer sampling is suitable when sampling units are easily available and willing to participate in a study. Though representatives of groups registered on the municipal database (sampling frame) were given an equal opportunity to participate in the survey, not everyone accepted the invitation to participate. Only 202 representatives of groups volunteered and participated in the study. It could be that the 202 respondents were active participants in the annual budget process of the municipality during the period of study. Nevertheless, it became a non-probability or non-random sample. The results of non-probability or non-random sampling cannot be generalised to the sampling frame.

Some traditional scientists view non-probability sampling as inferior (O'Leary 2004: 109). However, Argyrous (2000: 234) asserts that there is no inherent reason for viewing non-probability sampling inferior to random sampling. According to Argyrous (2000), each research question requires its own research method. Though non-probability sampling does not allow for inferences to be drawn to the sampling frame, this is not necessarily detrimental. There are other valid ways of interpreting information collected via non-probability sampling (Argyrous 2000: 234).

Onwuegbie and Leech (2007: 107) specify that the aim of qualitative research often is not to generalise to a sampling frame, but to gain insights. Besides, observations or experiences of a sample of volunteers can be generalised to the experiences of one or more individuals who did not participate in the study. On the other hand, volunteer sampling can contribute to theory building (May 2011: 99), as in this case.

Volunteer sampling allows for conclusions to be drawn about the participants, and based on their responses, inferences can be made (Nardi 2014: 124). Bernard (2013: 175) avers that 10-20 knowledgeable people in a volunteer sample are enough to uncover and understand the intricacies of a study. Moreover, Punch (2014: 243) asserts that in some instances the researcher must take whatever

sample is available and appropriate for the research context. In this instance, volunteer sampling was considered an appropriate strategy for the survey.

5.2.3 Survey questionnaire design

Use was made of a self-developed survey questionnaire. Punch (2014: 241) suggests useful frameworks for the development of survey questionnaires which includes demographic information, knowledge and behavioural information. The questionnaire designed for this study consisted of three sections (Annexure 4). The first section consisted of six questions. The questions concerned the age, sex, education, employment status, residential status, and the category of group respondents belonged to. The second section collected information on respondents' experiences pertaining to public participation in the annual budget process. This section consisted of 15 questions. The third section, similarly, consisted of 15 questions that collected information on respondents' experiences pertaining to public participation in the IDP process.

5.2.4 Survey administration

The survey questionnaire and guidelines, together with a cover letter, were distributed electronically to representatives of the approximately 4 000 groups (units) registered on the official database (sampling frame) of the municipality. Even though reminders were sent to increase the response rate as suggested by Bernard (2013: 244), only 202 group representatives completed and returned the questionnaire. The 202 responses received constitute the volunteer sample. Inferences made and conclusions drawn are based on their responses received.

5.2.5 Analytical techniques

For the analysis, frequency tables were used. Frequencies are a count of the number of responses in terms of each variable (David and Sutton 2011: 473). Punch (2014: 255) mentions that frequency tables are a useful method for summarising and understanding data. It is a count of each individual response to a specific question.

Frequency tables indicate the presence of a characteristic and the frequency thereof. In the same manner, the frequency table could indicate the absence of a characteristic. According to Argyrous (2000: 42), frequency tables are most commonly used for description. The following section presents the findings, analysis and results of public participation in the annual budget process in a metropolitan municipality in South Africa.

5.3   FINDINGS, ANALYSIS AND RESULTS

In this study, the description of public participation focuses on the public who participated, the levels of public participation, public participation mechanisms, the scope of public participation and public influence in decision-making in participation. The findings, analysis and results of the study, relevant to the City of South Africa metropolitan municipality, are presented in this order.

5.3.1 Description of the public who participated in the annual budget process

In this study, the public refers to people, particularly individuals and groups affected by a governmental decision and should be given an opportunity to participate in the decision-making process (see Chapter 2, section 2.5.1). Participation empowers the disadvantaged in government decision (Arnstein 2011: 48; Brynard 1996: 40; Saxena 2011: 48). There are, however, indications that more often socio-economically advantaged people participate instead of disadvantaged people (Arceneaux and Butler 2015: 131; Klosterman 2016: 175). Schubert et al. (2014: 5-6) point out that democracy implies majority rule while only a few elite rules. This means that the disadvantaged majority should be included in government decision-making. Consequently, it is important to determine and describe who participated in the annual budget process of the municipality during the period of study.

To determine and describe who the public were who participated in the annual budget process of the metropolitan municipality during 18 May 2011 and 3 August 2016, a survey questionnaire was administered to representatives of groups

registered on the official database of the municipality. The questionnaire collected socio-economic information pertaining to age, sex, education, employment, and residential status. The results of the questionnaire are presented in the tables below.

Table 1: Frequency of the age groups of respondents

	Frequency	Percent	Valid Percent	Cumulative Percent
18-29 years	4	2.0	2.1	2.1
30-49 years	74	36.6	38.1	40.2
50-59 years	54	26.7	27.8	68.0
60 years and older	62	30.7	32.0	100.0
Total	194	96.0	100.0	
Missing system	8	4.0		
Total	202	100.0		

Table 1 indicates that the majority of respondents were older than 50 years (26.7% + 30.7%=57.4%). This suggests that more older people participated. Only 2.0% of respondents were younger than 29 years while 36.6% were between the age of 30 and 49 years. Van der Waldt (2014: 44) points out that the aim of local government is to include young people in participation. According to the results, this did not happen during participation in the annual budget process.

Table 2: Frequency of sex of respondents

	Frequency	Percent	Valid Percent	Cumulative Percent
Male	112	55.4	58.9	58.9
Female	78	38.6	41.1	100.0
Total	190	94.1	100.0	
Missing system	12	5.9		
Total	202	100.0		

According to Table 2, there were more male (55.4%) than female (38.6%) respondents. The Municipal Structures Act stipulates in section 73 (3) (a) (i) that women should be equitably represented during participation, especially at ward level. The responses, however, indicate that this did not materialise during participation in the annual budget process in the municipality. It is a historical fact that women are under-represented in the economic sectors of society. Participation should strive for equitable representation of women in decision-making. The survey results indicate that the objective of equitable representation was not achieved in the municipality. This result corresponds with previous research, which found that public participants are predominately male (Rebori 2005: i).

Table 3: Frequency of education levels of respondents

	Frequency	Percent	Valid Percent	Cumulative Percent
Primary	1	.5	.6	.6
Secondary	56	27.7	32.9	33.5
Undergraduate	29	14.4	17.1	50.6
Graduate	43	21.3	25.3	75.9
Post graduate	41	20.3	24.1	100.0
TOTAL	170	84.2	100.0	
Missing system	32	15.8		
TOTAL	202	100.0		

Table 3 indicates that only one respondent possessed primary education. The remaining respondents completed secondary education (27.7%), some were undergraduates (14.4%), others graduates (21.3%) while still others were postgraduates (20.3%). Since education correlates with wealth (Arceneaux and Butler 2015: 131), and wealth is an advantage in society, this means that only one respondent was from the disadvantaged. Arceneaux and Butler (2015: 131) point out that less educated people tend not to have the necessary skills to participate effectively, which limit them from participation. This fact seems to be acknowledged in local government, as the Municipal Systems Act in section 16 (1) (b) (c) requires that local government set resources aside to educate and capacitate disadvantaged people for participation.

Table 4: Frequency of employment status of respondents

	Frequency	Percent	Valid Percent	Cumulative Percent
Employed for wages/ salary	84	41.6	43.8	43.8
Self employed	49	24.3	25.5	69.3
Out of work and looking for work	15	7.4	7.8	77.1
Out of work and currently not looking for work	3	1.5	1.6	78.6
Homemaker	2	1.0	1.0	79.7
Full time student	2	1.0	1.0	80.7
Retired	37	18.3	19.3	100.0
TOTAL	192	95.0	100.0	
Missing system	10	5.0		
TOTAL	202	100.0		

Table 4 indicates that the majority of participants were economically active (41.6% employed and 24.3% self-employed) whereas only 7.4% were unemployed and looking for work. In addition,18.3% of participants were retired, which could suggest that this group of respondents had a regular income. The findings indicate that the majority of respondents had a regular financial income. In comparison with the unemployed looking for work, they are advantaged. The result indicates that more financially advantaged people participated in the annual budget process in the municipality as opposed to the financially disadvantaged.

Table 5: Frequency of residential status of respondents

	Frequency	Percent	Valid Percent	Cumulative Percent
Owner of formal dwelling or brick structure	134	67.3	75.6	75.6
Owner of informal dwelling or shack	7	3.5	3.9	79.4
Rent formal dwelling or brick structure	34	16.8	18.9	98.3
Rent informal dwelling or shack	3	1.5	1.7	100.0
TOTAL	**180**	**89.1**	**100.0**	
Missing system	22	10.9		
TOTAL	**202**	**100.0**		

Table 5 indicates that 67.3% of respondents were owners of a formal dwelling or brick structure whereas only 3.5% were owners of informal dwelling or shack. The remaining 16.8% rented formal and informal dwellings. Given that ownership of a formal dwelling is an indicator of being advantaged, the finding is that the majority of respondents were homeowners and therefore advantaged.

In this regard, the conclusion is drawn that the majority of respondents who participated in the annual budget process of the metropolitan municipality during 18 May 2011 and 3 August 2016, and who voluntarily completed a survey questionnaire in this regard, can be described as older persons. They were mainly male, educated, having a regular financial income, and owners of formal dwellings. This means that the majority of respondents were advantaged instead disadvantaged. This result supports the prevailing view that the majority of people who participate are socio-economically advantaged (Arceneaux and Butler 2015: 131; Klosterman 2016: 175). Horn (2018: 146) found in a study that more people with higher incomes and education participate than disadvantaged people. This describes the public that participated in the annual budget process during the period of this study. The levels of participation will now be described.

5.3.2 Description of the levels of public participation in the annual budget process

The review of literature indicated that the levels of public participation in local government in South Africa should be informing the public, educating the public, consulting the public, deciding with the public, implementing with the public, reviewing with the public and reporting back to the public (see Chapter 2, section 2.5.2). To determine and describe the actual levels of public participation in the City of South Africa, participants were requested to complete section B of the survey questionnaire. Section B of the questionnaire sheds light on the actual levels of public participation in the annual budget process in the municipality during the period of this study. The survey results pertaining to public participation in the annual budget process in the municipality are presented below.

5.3.2.1 Description of the level of informing the public in the annual budget process

To determine whether public participation in the municipality obtained the level of informing the public in the municipality, participants were requested to respond to a number of questions. The first question enquired whether the municipality or its officials have informed participants about public participation in the annual budget process of the municipality during 18 May 2011 to 3 August 2016. Based on the responses received, frequency table 6 is presented.

Table 6: Frequency of respondents who were informed about public participation in the annual budget process

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	154	76.2	79.4	79.4
No	40	19.8	20.6	100.0
Total	194	96.0	100.0	
Missing system	8	4.0		
Total	202	100.0		

Table 6 indicates that 154 respondents (76.2%) affirmed that they have been informed about participation in the annual budget process. This is a super majority (more than two thirds) and confirms that informing the public about participation in the annual budget process occurred in the municipality during the period of study.

The persons who responded affirmatively to the previous question were requested to indicate which participation mechanism, process or procedure they accessed to be informed about participation in the annual budget process of the municipality. Respondents could indicate more than one mechanism, process or procedure. Table 7 presents the results.

Table 7: Frequency of the participation mechanisms, processes or procedures respondents accessed to be informed about participation in the annual budget process

No	Public participation mechanism the municipality or its officials used to inform the public about public participation in the annual budget process	Frequency accessed by respondents	Percentage
1	Email	120	59.4%
2	Local community newspapers	80	39.6%
3	Ward committees	40	19.8%
4	Sub council	28	13.9%
5	Mainstream newspapers	25	12.4%
6	Public meetings	23	11.4%
7	Information pamphlets or flyers	22	10.9%
8	Website of the municipality	22	10.9%
9	Bulletins of the metropolitan municipality	14	6.9%
10	Information sessions	12	5.9%
11	SMS	12	5.9%
12	Municipal council meeting	12	5.9%
13	Focus groups	9	4.5%
14	Radio broadcasts	8	4%
15	Public hearings	6	3%
16	Budget workshops	6	3%
17	Television broadcasts	4	2%
18	Postal mail	4	2%
19	Survey questionnaire	4	2%
20	Exhibitions held by the metropolitan municipality	3	1.5%
21	House visits	2	1%

22	Closed meetings		1	0.5%

Table 7 indicates that the participation mechanism most frequently accessed by respondents to be informed about participation in the annual budget process in the municipality was email (59.4%). Community newspapers (39.6%) as prescribed in sections 21 (a) and (b) of the Municipal Systems Act, and ward committees (19.8%) and sub-council meetings (13.9%) instituted in terms of sections 62 and 73 of the Municipal Structures Act, followed email.

Public hearings (3%), on the other hand, which are equally prescribed in section 17 (1) (c) of the Municipal Systems Act, and recommended for consultations in the annual budget in section 23 (3) of the Municipal Finance Management Act were one of the mechanisms least accessed by respondents. In fact, public meetings (11.4%) as prescribed in the identical section of the Municipal Systems Act as public hearings were more frequently accessed by respondents than public hearings. The result suggests that public hearings were not an effective mechanism for informing respondents about participation in the annual budget process. Berner (2004: 424) found in a study that public hearings are the least effective. The main reason is that public hearings occur after the budget has been compiled, which allow little opportunity for influencing decision-making in the annual budget.

Another observation is that mass media such as radio (4%) and television (2%) broadcasts, which could reach a wide audience and have considerable influence (Cloete 2018: 141) were not frequently accessed by respondents. This could suggest that not all mass media are effective mechanisms for informing the public about participation. The website of the municipality (10.9%) was more frequently accessed by respondents for informing than radio and television broadcasts. This is an indication that some respondents had knowledge about websites and access to the internet.

Based on the frequency accessed by respondents, email could be considered the most effective method for informing the public about participation in the annual budget process. However, it should be borne in mind that effectiveness in

participation is difficult to define (Willis 2008: 2) and is not an "obvious, unidimensional and objective quality" that can be easily defined, described and measured (Rowe and Frewer 2004: 517). The other difficulty is that effectiveness can be viewed from the perspective of the public, public officials or politicians (Berner, Amos & Morse 2011: 138). For the purpose of this study, effectiveness is determined by the frequency a participation mechanism was accessed by respondents.

The foregoing establishes that the majority of respondents have been informed about participation in the annual budget process and that email was the most effective participation mechanism accessed for this purpose. The subsequent table provides insight into participation at the legislatively specified stages of the annual budget process. According to local government legislation, the public should participate in the annual budget process of local government during preparation of the annual budget before it is tabled in the municipal council of the metropolitan municipality. They should also participate after the tabling of the annual budget in the municipal council of the metropolitan municipality and published for public comment, during implementation of the annual budget and during the review of budget related policies (see Chapter 3, section 3.4).

Table 8: **Frequency of respondents who participated at the legislatively specified stages of the annual budget process**

Legislatively specified stage	Frequency
Participation during preparation of the annual budget before it is tabled in the municipal council	98
Participation after tabling of annual budget in the municipal council of the municipality and published for comment	55
Participation during implementation of the annual budget	24
Participation during review of budget related policies	29

Table 8 conveys the following:

- 98 respondents indicated that they were informed about participation in the annual budget process of the municipality during preparation of the annual budget before it was tabled in the municipal council of the metropolitan municipality.

- 55 respondents indicated they were informed about participation in the annual budget process of the municipality after the tabling of the annual budget in the municipal council of the metropolitan municipality and published for comment

- 24 respondents indicated that they were informed about participation in the annual budget process of the municipality during implementation of the annual budget.

- 29 respondents indicated that they were informed about participation in the annual budget process of the municipality during the review of budget-related policies.

The result establishes that informing the public about participation in the annual process materialised at all the legislatively specified stages of the annual budget process during the period of review. Notably, the majority of respondents indicated that they were informed of participation in the annual budget process during preparation of the budget before it was tabled in the municipal council. This could be

an indicator that there was a broader scope of participation at the beginning of the process. This supports the notion of participatory budgeting (Brynard 1996: 135).

Informing the public about participation is required but not sufficient. The public should be informed of their right to participate, their civic duty to participate and the mechanisms available for participation as well. This is required in terms of section 18 (1) of the Municipal Systems Act (see Chapter 2, section 2.5.2.1). To determine whether this requirement has been met, three questions pertaining thereto were structured and administered to participants. Tables 9, 10 and 11 present the responses received.

Table 9:   Frequency of respondents who were informed of their right to participate in the annual budget process

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	136	67.3	70.8	85.6
No	56	27.7	29.2	100.0
Total	**192**	**95.0**	**100.0**	
Missing system	10	5.0		
Total	**202**	**100**		

According to Table 9, more than two thirds of respondents (67.3%) have been informed of their right to participate in the annual budget process of the municipality during the period of study. This validates that the public have been informed of their right to participate in the annual budget process of the municipality.

Table 10:   Frequency of respondents who were informed of their civic duty to participate in the annual budget process

	Frequency	Percent	Valid Percent	Cumulative Percent
YES	99	49.0	52.1	5.1
NO	91	45.0	47.9	100.0
Total	**190**	**94.1**	**100.0**	
Missing System	12	5.9		
Total	**202**	**100**		

Table 10 indicates that 49% of respondents were informed by the municipality that it is their civic duty to participate in the annual budget process of the municipality. The difference between those who have been informed about participation in the annual process (76.2%) at Table 6, and those who have been informed that it is their civic duty to participate (49.0%) at Table 10, is 27.3%. This is a huge difference, which could signify that the information about civic duty was not clearly communicated to respondents. This is especially relevant, as informing the public about their civic duties serves an important educative function (Michels and De Graaf 2010: 480).

Table 11:   Frequency of respondents who were informed about the mechanisms, processes or procedures available for participation in the annual budget process

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	121	59.9	63.7	63.7
No	69	34.2	36.3	100.0
Total	**190**	**94.1**	**100.0**	
Missing system	12	5.9		
Total	**202**	**100.0**		

The majority of respondents (59.9%) confirmed that the municipality or its officials have informed them about the participation mechanisms that are available for participation in the annual budget process of the municipality. This verifies that the public were informed of the available participation mechanisms.

Overall, the results indicate that the public have been informed of their right to participate, their civic duty to participate and the participation mechanisms available for participation. The survey evidence suggests that the public's civic duty to participate was not effectively communicated.

Given that informing in participation should be accurate (Van der Waldt 2014: 26) and sufficient (Thornhill and Cloete 2014: 92), respondents were requested to indicate whether they have been properly informed about participation in the annual budget process in the municipality. Table 12 presents the responses received.

Table 12: **Frequency of respondents who were properly informed about participation in the annual budget process**

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	124	61.4	65.6	65.6
No	65	32.2	34.4	100.0
Total	**189**	**93.6**	**100.0**	
Missing system	13	6.4		
Total	**202**	**100.0**		

Table 12 indicates that 61.4% of respondents were properly informed while 32.2% of respondents indicated that they were not properly informed during participation. Based on the responses received, the finding is made that the majority of respondents were properly informed about participation in the annual budget process.

As the intention of this study is to describe participation for the purpose of improving participation, respondents who indicated that they were not properly informed were requested to provide reasons for their claim. An analysis of the reasons provided by the minority of respondents for not having been properly informed suggests "communication problems" (Brynard 1996: 135). Brynard (ibid) reports that communication problems in participation entail language problems, differences in attitudes and expectations, feelings of mistrust, suspicion or resentment. The following comments of respondents who experienced that they were not properly informed are reproduced to substantiate this finding:

"I have never received any communication."

"The process followed is not pro peoples' participation from the communication point of view."

"its only right for officals to come down to community levels its everybody thats clued up with high enghlish words"

"No Proper Communication they emailed me but send me the wrong date of the wrong area…"

"There is no clear communication…"

Raubenheimer (2014: 15) and Nkuntse (2016: 112) also found in studies that communication problems impact negatively on the effectiveness of participation.

In summary, informing the public in participation occurred in the municipality. The municipality informed the public about participation in the annual budget process at the required stages. The public were informed about their right to participate, their duty to participate and the participation mechanisms available for participation. The public's duty to participate was not communicated effectively. Based on the frequency accessed by respondents, the email was found to be the most effective participation mechanism for informing respondents followed by community

newspapers, ward committees, and sub-council meetings. Though mass media such as radio and television could reach a wide audience, respondents infrequently accessed it. Similarly, public hearings, which are stipulated in legislation for participation in the annual budget process, were infrequently accessed. The majority of respondents indicated that they were properly informed about participation in the annual budget process while approximately a third of respondents indicated that they experienced communication problems. Despite this factor, the results indicate that the level of informing the public has been achieved in the municipality. The subsequent section describes the level of educating the public.

5.3.2.2 Description of the level of educating the public in the annual budget process

Educating the public in participation is essential (Thomas 2014, Innes and Booher 2000, Michels and De Graaf 2010: 480). The underlying assumption is that education can increase the scope and improve participation. There is an obligation on local government to put resources aside to educate and capacitate the public for participation (see Chapter 2, section 2.5.2.2).

Informing the public and educating the public can at times overlap. For example, to inform a person about his or her right to participate can be a form education. Van der Waldt (2014: 26) points out that the public need "information" about how local government operates, how decisions are made and how civil society is structured. This could be construed as a form of education. Interestingly, one respondent who experienced not been properly informed in participation attributed this to a lack of participation education. The comment of the respondent is reproduced below for insight.

> "No organized form of capacity building or induction that is particularly aimed at prope understanding…"

Therefore, there appears a correlation between informing the public and educating the public in participation. To draw a distinction between the two, educating the

public in participation, in this study, refers to the delivery of a formally structured education in participation programme or curriculum with specific outcomes (e.g. evaluation or examination).

To establish whether the municipality has delivered any formally structured educating programme to the public in participation, an interview questionnaire (Annexure 5) was sent to the PPU in the municipality for completion. An official in PPU completed and returned the interview questionnaire. One specific question enquired whether the municipality had any public participation capacity building exercises or interventions during 18 May 2011 and 3 August 2016 in terms of section 16 (1) (b) of the Municipal Systems Act. Section 16 (1) (b) of the Municipal Systems Act stipulates that local government must "contribute to building the capacity of the local community to enable it to participate in the affairs of the municipality". The official in the PPU responded that the municipality did not have any capacity building programme in participation in terms of this section of the Act during this period. Hence, educating the public in participation in the annual budget, as defined, did not take place in the municipality. The level of educating the public in the annual budget process was not attained in the municipality. The following section describes the level of consulting the public.

5.3.2.3   Description of the level of consulting the public in the annual budget process

Information sharing is not consultation. Arnstein (2011: 3) rates consultation as a higher step than informing. Pauw (1999: 148) avers that consultation should go hand in hand with the dissemination of meaningful information. This means that there is a difference between information sharing and consultation. Information sharing could allow for one-way flow of information and opportunities for clarification (Rowe and Frewer 2004: 515) whereas consultation in participation is two-way. Consultation in participation follows a request or invite for public input or comment and an opportunity for public response. In accordance with section 23 (1) of the Municipal Finance Management Act, local government "must consider" the views of the public during consultations on the budget. This implies that local government should have

good reasons for not taking public input and comment in the budget into account during decision-making.

To determine whether consulting the public in participation manifested in the annual budget process of the municipality during 18 May 2011 and 3 August 2016, respondents were requested to indicate whether the municipality (or its officials) has invited or requested them to submit input(s) or comment(s) on the annual budget process during 18 May 2011 and 3 August 2016. The result to this question is presented in Table 13.

Table 13:   Frequency of respondents who have been invited or requested by the municipality or its officials to submit input(s) or comment(s) on the annual budget process

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	118	58.4	63.1	63.1
No	69	34.2	36.9	100.0
Total	**187**	**92.6**	**100.0**	
Missing system	15	7.4		
Total	**202**	**100.0**		

Table 13 indicates that the majority of respondents (58.4%) were invited or requested to submit inputs or comments on the annual budget process during the period. This signals that consulting the public in participation manifested in the municipality during the period.

To establish which participation mechanism, process or procedure respondents accessed at this stage for this purpose, respondents were requested to indicate the mechanism, process or procedure they accessed. Table 14 provides insight into this.

Table 14: **Frequency of the participation mechanism, process or procedure respondents accessed at the initial phase of consulting the public in the annual budget**

No	Public participation mechanism, process and procedure accessed during consultation	Frequency accessed by respondents	Percentage
1	Email	89	44.1%
2	Local community newspapers	47	23.3%
3	Ward committee meetings	27	13.4%
4	Sub council	18	8.9%
5	Website	17	8.4%
6	Public meetings	15	7.4%
7	Information pamphlets or flyers	13	6.4%
8	Information sessions of the metropolitan municipality	12	5.9%
9	Focus groups meetings	12	5.9%
10	Mainstream newspapers	11	5.4%
11	Municipal council	8	4.0%
12	Survey questionnaire	7	3.5%
13	SMS	5	2.5%
14	Radio broadcasts	4	2.0%
15	Bulletins of the metropolitan municipality	3	1.5%
16	Budget workshops	3	1.5%
17	Exhibitions held by the metropolitan municipality	3	1.5%
18	Public hearings	2	1.0%
19	Television broadcasts	1	0.5%
20	Closed meetings	1	0.5%
21	House visits	1	0.5%
22	Postal mail	0	0.0%

23	Other		5	2.5%

Table 7 (informing the public) displayed similar results as found at Table 14 (consulting the public). The only changes are the differences in percentages of participation mechanisms accessed. The email (44.1%) remained the participation mechanism most frequently accessed by respondents at the initial phase of consulting while local community papers (23.3%), ward committees (13.4%) and sub-council meetings (8.9%) followed.

Respondents' access via public hearings (1.0%), which are recommended for consultations on the annual in term of section 23 (3) of the Municipal Finance Management Act, were low. Ebdon and Franklin (2006: 440) mention that attendance at public hearings are generally low while Innes and Booher (2000) point that public hearings are mostly attended by those who are personally affected by a decision.

The email remains the mechanism most frequently accessed by respondents. It is postulated that email (44.1%) is more frequently accessed than mass media, such as radio broadcasts (2%) and television broadcasts (0.5%) because email serve a personal invitation to participate. Radio and television broadcasts are impersonal. In this information age, there is an overload of information in the environment and people will more likely respond to information that is personally addressed and directed to them.

To establish whether participants have accepted the request or invitation to submit input or comment in the annual budget, respondents were requested to indicate whether they have submitted any input(s) or comment(s) during public participation in the annual budget process in the municipality during 18 May 2011 and 3 August 2016. Table 15 displays the responses received.

Table 15: **Frequency of respondents who submitted inputs or comments during participation in the annual budget**

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	77	38.1	40.5	40.5
No	113	55.9	59.5	100.0
Total	**190**	**94.1**	**100.0**	
Missing system	12	5.9		
Total	**202**	**100.0**		

Table 15 indicates that 38.1% of respondents have submitted inputs or comments while 55.9% of respondents did not submit any inputs or comments in the annual budget in the municipality during the period of study. Therefore, 38.1% of respondents confirmed that consulting the public in the annual budget manifested in the municipality during the period.

The subsequent step was to determine which participation mechanism, process or procedure respondents, who submitted inputs or comments on the annual budget, accessed for that purpose. Respondents were requested to indicate the participation mechanism, process or procedure accessed to submit inputs or comments in the annual budget. Table 16 provides the results.

Table 16: Frequency of participation mechanisms accessed by respondents to submit inputs or comments in the annual budget during participation

No	Public participation mechanism, process and procedure used for consultation	Frequency accessed by respondent	Percentage
1	Email	42	20.8%
2	At a ward committee meeting	18	8.9%
3	At a sub-council meeting	10	5.0%
4	Information session of the metropolitan municipality	10	5.0%
5	At a focus group meeting of the municipality	10	5.0%
6	By completing a survey questionnaire	10	5.0%
7	At a public meeting of the municipality	9	4.5%
8	Website of the municipality	6	3.0%
9	At a budget workshop	4	2.0%
10	At a municipal council meeting	3	1.5%
11	At a public hearing of the municipality	3	1.5%
12	Exhibitions held by the metropolitan municipality	2	1.0%
13	At a closed meeting of the municipality	1	0.5%
14	Postal mail	1	0.5%
15	SMS	0	0.0%
16	During a house visit of officials of the municipality	0	0.0%
17	Other	4	2.0%

Table 16 confirms that the email (20.8%) is the participation mechanism most frequently accessed by respondents, in this instance, to input and comment in the annual budget process in the municipality. The email was subsequently followed by ward committees (8.9%), sub-council meetings (5%) and information sessions of the

municipality (5%). Except for information sessions, the pattern is similar to that of Table 7 (informing the public) and Table 14 (consulting the public). The reason for community newspapers being displaced by information sessions is that community newspapers are not a mechanism to provide input in the budget. Another interesting observation is that SMS (short message service), as an electronic mechanism, was not accessed by respondents for this purpose. In all, the results confirmed that consulting the public occurred in the municipality.

This study established that consulting the public in participation occurred at the legislatively specified stages of the annual budget process as set out in Table 17 below:

Table 17:   Frequency of respondents who participated at the required stages of the annual budget process at the level of consulting

Legislatively specified stage	Frequency
Participation during preparation of the annual budget before it is tabled in the municipal council	51
Participation after tabling of annual budget in the municipal council of the municipality and published for comment	13
Participation during implementation of the annual budget	5
Participation during review of budget related policies	6

Though Table 17 indicates that the frequency of respondents at the legislatively specified stages were low; it still provides an indication that participation occurred at these stages. The inference can be drawn that the municipality extended opportunities for participation. Ultimately, the onus is on the people to accept or reject the opportunity to participate.

In summary, the results confirm that consulting the public in participation in the annual budget transpired in the municipality during the period. The majority of respondents indicated that the municipality (or its officials) has invited or requested them to submit inputs or comments in the annual budget. Various participation mechanisms were used for issuing the invitation or request of which the email

(44.1%) was the most frequently accessed by respondents. Based on the frequency accessed, the email was the most effective method for inviting or requesting respondents to give input or comments on the annual budget. The email was followed by local community newspapers (23.3%), ward committee meetings (13.4%) and sub-council meetings (8.9%). Except for the differences in percentages, these results correspond with that yielded at the level of informing. Public hearings (1.0%) and mass media, such as radio broadcasts (2%) and television broadcasts (0.5%), which could reach many people, were ineffective at this level. No respondent accessed postal mail for participation in the annual budget.

It was established that some respondents submitted inputs and comments in the annual budget, and that the participation mechanism most frequently accessed for this purpose was the email (20.8%). Ward committee meetings (8.9%), sub council meetings (5.0%) and information sessions (5.0%) followed the email. Except for information sessions, the order of participation mechanisms was similar to that found at the level of informing. Similarly, public hearings featured low on the frequency table (1.5%). The results indicate that consulting the public in participation occurred at the legislatively specified stages of the annual budget process. This establishes that the level of consulting was attained in the municipality. The level of deciding with the public will now receive attention.

5.3.2.4 Description of the level of deciding with the public in the annual budget process

Decision-making is central in participation (see Chapter 2, section 2.5.2.4). People participate with the intention to influence decision-making (Brynard 1996: 136; Theron 2009: 114). To ascertain whether public participation in the municipality attained the level of deciding with the public, participants were requested to indicate whether they have served on any forum or committee of the municipality during 18 May 2011 and 3 August 2016 where the annual budget inputs or comments which they or the public have submitted were considered for decision making purposes. The results are presented in Table 18.

Table 18: **Frequency of respondents who served on a forum or committee where the inputs or comments which they or the public have submitted in terms of the annual budget process were considered for decision making purposes**

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	49	24.3	25.7	25.7
No	142	70.3	74.7	100.0
Total	**191**	**94.6**	**100.0**	
Missing system	11	5.4		
Total	**202**	**100.0**		

Table 18 indicates that 24.3% of respondents have served on a forum or committee where the annual budget inputs or comments, which they or the public have submitted in terms of the annual budget process, were considered for decision-making.

The 24.3% of respondents, who positively indicated that they have served on a forum or committee where the inputs or comments submitted in terms of annual budget process were considered for decision-making, were requested to specify the forum or committee. Though some respondents specified community forums, for example, sports, business and neighbourhood watch forums, it is unlikely that these forums have decision-making powers in terms of the annual budget. However, some respondents specified decision-making occurred at sub-council meetings and wards committees.

Ward committees are legitimate participation institutions and consist of the elected councillor and not more than ten members appointed from the public (Van der Waldt 2014: 64). Though ward committees are mainly advisory bodies, they can identify and initiate projects for implementation in wards. Ward committees can also play a role in the annual budget process. For example, they can gather input from the public and make submissions on the budget (Masango et al. 2013: 93). The

chairperson of a ward committee is the elected ward councillor (Thornhill and Cloete 2014: 75). By implication, ward councillors have decision-making powers over the utilisation of budget ward allocations in a ward. As ward councillor and chairperson of the ward committee, he or she can empower the ward committee to take decisions pertaining to budget ward allocations. However, decision-making powers remain restricted to budget ward allocations. In the absence of any other forum or committee where decision-making could have occurred in the annual budget, the conclusion is drawn that participation in the annual budget process did not attain the level of decision-making except for ward allocations. The subsequent section describes implementing with the public in the annual budget process.

5.3.2.5 Description of the level of implementing with the public in the annual budget process

To determine and describe the level of implementing with the public in participation in the annual budget process in the municipality, respondents were requested to indicate whether any budget inputs or comments which they have submitted during public participation in the annual budget process of the municipality during 18 May 2011 and 3 August 2016 have been implemented. Table 19 provides insight into this matter.

Table 19:   Frequency of respondents whose inputs or comments on the annual budget were implemented during participation in the annual budget process

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	32	15.8	43.2	43.2
No	42	20.8	56.8	100.0
Total	**74**	**36.6**	**100.0**	
Missing system	128	63.4		
Total	**202**	**100.0**		

Table 19 indicates that 43.2% of respondents budget inputs or comments were implemented. There could be good reasons for not implementing a majority of budget inputs or comments received. For example, Khalo (2014: 204) and Bandy (2015: 44) mention that public needs always exceed the available monetary or financial resources in local government. It could be also that some inputs or comments were not regarded as priority. Pauw (2009: 53) considers prioritising a central feature of budgeting.

In spite of this, participation, like democracy, should favour the majority view (Schubert et al. 2014: 6). The majority of public input on the budget should have been implemented, which means that participation at this level was not properly executed. The subsequent description is reviewing with the public.

5.3.2.6 Description of the level of reviewing with the public in the annual budget process

The Municipal Finance Management Act stipulates in section 21 (1) (b) (ii) (bb) (iv) that the public must participate in the review of budget related policies (see Chapter 3, section 3.6.4). According to Fourie et al. (2015: 204), budget-related policies are rates policy, tariff policy, banking and investment policy, fixed asset management policy, indigent management policy and policy, free basic services and others.

Table 8 (par. 5.3.2.3) and Table 17 (par. 5.3.2.4) confirm that respondents have participated in the review of budget-related policies. This occurred during informing the public and consulting the public. Though the responses were low, it should be borne in mind that the onus to participate rest on the public. The results signify that the municipality has provided the public with opportunity to participate in the review of budget policies. Some respondents have responded to this opportunity. The conclusion is that participation attained the level of reviewing with the public. The final indicator reporting back to the public will now be described.

5.3.2.7   Description of the level of reporting back to the public in the annual budget process

According to section 17 (2) (e) of the Municipal Systems Act, local government should establish mechanisms, processes and procedures for participation that report back to the public. These participation mechanisms should report back to the public how their input influenced the final decision (IAP2 2018; Theron 2009: 114) (see Chapter 2, section 2.5.2.6).

To determine whether reporting back to the public in participation occurred in the municipality during the period of review, the participants were requested to indicate whether the municipality (or its officials) has provided them with feedback on public participation in the annual budget process in the municipality during 18 May 2011 and 3 August 2016. Table 20 presents the results.

Table 20:   Frequency of respondents who received feedback on participation in the annual budget process of the municipality

	Frequency	Percent	Valid Percent	Cumulative Percent
YES	61	30.2	31.8	31.8
NO	131	64.9	68.9	100.0
Total	**192**	**95.0**	**100.0**	
Missing System	10	5.0		
Total	**202**	**100.0**		

Only 30.2% (61 respondents) of the respondents indicated that they have received feedback on participation in the annual budget process from the municipality or its officials while 64.9% indicated that no feedback had been received. When this is compared with the results at Table 15 where 38.1% (77 respondents) of respondents indicated that they have submitted inputs or comments on the annual budget process during participation, it appears that only those persons who submitted inputs or comments were provided with feedback on their budget inputs and comments.

This viewpoint is supported by the fact that the official in the PPU in the municipality who completed the interview questionnaire commented that "content of report back on the budget process was where line departments furnished residents with feedback as to how their comments were taken in consideration in terms of amending the Draft Budget and tariffs". The official in PPU stated that for the purpose of feedback email was used and letters to those who did not have email access. This confirms that feedback in terms of participation in the annual budget process was only provided to those persons who submitted inputs or comments on the annual budget.

Report back in participation should not be restricted to persons who provide inputs or comments during participation. The public have a right to know how decisions in the process were arrived at. After all, it is decisions affecting the allocation of "public money" (Pauw et al. 2009: 6). In addition, public participation should serve an informing and educative function (Thomas 2014; Innes and Booher 2000; Michels and De Graaf 2010: 480). This means that the public should be informed and educated about decision-making in public participation. In view of the aforesaid, it can reasonably be stated that report back in participation was not properly achieved.

In summary, according to the survey responses received from respondents, public participation in the annual budget process in the municipality during the period of this study acquired the levels of informing, consulting and reviewing with the public. The majority of respondents were properly informed about participation in the annual budget process though the minority experienced communication problems. The public were informed about their right to participate, their civic duty to participate and the mechanisms available for participation. The participation mechanism most frequently accessed for was the email. The level of educating the public was not attained as no formally education in participation programme was implemented in the municipality. Respondents confirmed that they participated during consulting. However, public decision-making in the annual budget were restricted to budget ward allocations and occurred mainly in ward committees. The level of implementing was not attained as the majority of public inputs and comments received on the annual budget were not implemented. Though the response was low, opportunities

for participation in the review of budget-related policies were provided. There is also evidence that members of the public participated in the review of budget related policies and the legislatively specified stages. Reporting back to the public in participation was not properly executed as only those who provided input and comments on the annual budget were provided feedback. Public participation is an open and accountable process. This concludes the description of the levels of public participation. Public participation mechanisms, processes and procedures will subsequently be described.

5.3.3 Description of participation mechanisms, processes and procedures accessed for public participation in the annual budget process

In the previous section, a description was given of the different levels of participation. This section describes the mechanisms accessed by participants at some of the levels of participation. The description of the levels of participation reveals that respondents accessed different participation mechanisms. To be informed about participation in the annual budget, the respondents accessed the following mechanisms in descending frequency:

- The email (59.4%), local community newspapers (39.6%), ward committees (19.8%), sub-council meetings (13.9%), mainstream newspapers (12.4%);
- Public meetings (11.4%), information pamphlets or flyers (10.9%),
- Website of municipality (10.9%), bulletins of the metropolitan municipality (6.9%);
- Information sessions (5.9%), SMS (5.9%);
- Municipal council meeting (5.9%), focus groups (4.5%);
- Radio broadcasts (4%), public hearings (3%);
- Budget workshops (3%), television broadcasts (2%);
- Postal mail (2%), survey questionnaire (2%);
- Exhibitions held by the municipality (1.5%), house visits (1%) and closed meetings (0.5%) (See Table 7 section 5.3.2.1).

Based on the frequency accessed, the email was the most effective participation mechanism to inform respondents about participation in the annual budget process. By large, the mechanisms can be clustered into three categories, namely,

- Electronic participation mechanisms (email, website, SMS, television broadcasts, radio broadcasts and face book);

- Legislatively specified participation mechanisms (sub-council meetings, ward committees, public hearings, public meetings and local community newspapers); and

- Routine administrative participation mechanisms (information pamphlets or flyers, information sessions, focus groups, mainstream newspapers, survey questionnaire, bulletins, budget workshops and exhibitions).

The municipal database of groups registered with the municipality served as an additional means of participation. The study found that, except for public hearings (3%), the legislatively specified mechanisms such as ward committees, sub-council meetings and community newspapers were most frequently accessed by respondents. On the other hand respondents less frequently accessed radio and television broadcasts (2%), which can reach a wide audience. Short message service (SMS) (5.9%), which seems to be a convenient electronic participation mechanism, appears at the lower end of the frequency table.

At the level of consulting, respondents accessed the following mechanisms in descending frequency:

- The email (44.1%), local community newspapers (23.3%), ward committees (13.4%);

- Sub-council meetings (8.9%), public meetings (7.4%), information pamphlets or flyers (6.4%),

- Website of municipality (10.9%), bulletins of the metropolitan municipality (6.9%);

- Information sessions (5.9%), focus groups (5.9%), mainstream newspapers (5.4%);

- Municipal council (4.0%), survey questionnaire (3.5%), SMS (2.5%), radio broadcasts (2%), bulletins of the municipality (1.5%), budget workshops (1.5%),

- Exhibitions held by the municipality (1.5%), public hearings (1.0%), television broadcasts (0.5%) and closed meetings (0.5%) (see Chapter 5, section 5.3.2.3 Table 14).

Similarly, as at informing the public the results indicate that the email (44.1%) was the participation mechanism most frequently accessed. The email was followed by the legislatively identified participation mechanisms, namely, local community newspapers (23.3%), ward committees (13.4%), sub-council meetings (8.9%) and public meetings (7.4%). Respondents' access to public hearings (1.0%) remained low. Radio broadcasts (2%) and television broadcasts (0.5%) were at the lower end of the frequency table. Despite its convenience, SMS (2.9%) was infrequently accessed at the level of consulting.

The participation mechanisms most frequently accessed by respondents to submit inputs or comments on the annual budget in descending order were:
- The email (20.8%), ward committee (8.9%), sub council meeting (5.0%);
- Information session (5.0%), focus group meeting (5.0%), survey questionnaire (5.0%), public meeting (4.5%), website of municipality (3.0%);
- Budget workshop (2.0%), municipal council meeting (1.5%);
- Public hearing (1.5%), exhibitions (1.0%), closed meeting of municipality (0.5%), postal mail (0.5%), SMS (0.0%), house visits (0.0%) and other (2.0%) (See Chapter 5, section 5.3.2.3 Table 16).

This result similarly confirms that the email, ward committees and sub-council meetings were the participation mechanisms most frequently accessed by respondents while public hearings remained low.

Ward committees are established in terms of section 73 of the Municipal Structures Act, and the purpose is to promote participation in local government. A ward committee consists of the elected ward councillor and not more than ten persons elected to the ward committee. According to section 73 (3) (i) and (ii) of the Act, women must be equitably represented in a ward committee and the ward committee must represent a diversity of interests in the ward. Ward committees can make

recommendations on the annual budget. For example, they can identify and recommend development projects in the ward, assist with budget hearings and the compilation of budget ward submissions (Masango et al. 2013: 92, 95). Ward committees, under chair of elected ward councillors, can have influence over the utilisation of ward allocations in a ward. However, ward committees did not have decision-making powers in the annual budget of the municipality (Van der Waldt 2014: 42).

5.3.4 Description of the scope of public participation in the annual budget process

The scope of participation refers to how much participation is allowed and at which level of participation (Brynard 1996: 136). The general rule is that participation should be open at the beginning to ensure legitimacy and support for participation. To determine the scope of participation, participation mechanisms accessed by respondents at the different levels of participation were studied. At the level of informing the public, it was found that respondents accessed mass media such as radio and television broadcasts. Even though the frequency accessed was low, it was still an indication that mass media were used to inform the public. As radio and television broadcasts reach a wide audience, it signifies a broad scope of participation. However, it should be noted that participation at this level was passive. Participation mainly involved informing the public.

At the level of consulting, participation became more active. Though mass media such as radio and television broadcasts as well as mainstream and community newspapers were used to request the public to submit inputs and comments on the annual process, the survey results indicate a low response rate. Out of the 202 respondents who participated in this study, only 38.1% indicated that they have provided inputs or comments on the budget.

Participation in the annual budget process in the municipality did not achieve the level of educating, deciding, implementing, and reporting back. The scope of

participation was not determined at the level of reviewing with the public. Public influence in the annual budget process will now be described.

5.3.5 Description of public influence in decision-making in the annual budget process

People participate to influence decisions (Brynard 1996: 136; Theron 2009: 114). To determine the influence that the public had over decision-making in the participation process, this study will refer to the level of deciding with the public (section 5.3.2.4) and to the level of implementing with public (section 5.3.2.6).

At the level of deciding with the public, it was found that the public influence in decision-making were restricted to the utilisation of budget ward allocations in wards. Ward committees exercised public influence. Though ward committees can be delegated more power, there is no evidence that this materialised (Masango 2013: 99).

The survey results yielded that public input did not have a decisive influence over implementation. For example, at the level of implementing only 43.2% of public input in the annual budget process received were implemented. Even though the results of the volunteer sample cannot be generalised, it indicates that the majority of respondents did not influence decision-making. Based on the survey results the deduction is made that the public did not have influence in decision-making in the annual budget process.

5.4 CONCLUSION

This chapter describes public participation in the policy making process in a metropolitan municipality during 18 May 2011 and 3 August 2016 from the perspective of the annual budget process. For the purpose of the description, indicators of participation were identified, namely, the public, levels of participation, participation mechanisms, processes and procedures, scope of participation and

public influence in decision-making in the annual budget process. The study made use of a survey questionnaire, interview questionnaire and document study and analysis.

The survey questionnaire yielded that respondents are older persons, mainly male, educated, with financial incomes and owners of formal dwellings. These socio-economic indicators suggest that the public who participated in the annual budget process in the municipality were mainly from the advantaged people. This finding supports the prevailing view that more advantaged people participate instead of the disadvantaged. This is contrary to participation's aim of including a majority of disadvantaged people in the process.

To describe the levels of participation, the levels were first determined by means of a literature review. It was found that the levels of participation in local government in South Africa should be informing, educating, consulting, deciding, reviewing, and reporting back to the public.

At the level of informing, respondents were informed about participation in the annual budget, their right to participate, their duty to participate and the participation mechanisms available for participation. The majority of respondents have indicated that they were properly informed. The reasons presented by the minority of respondents who experienced not being properly informed could be related to communication problems.

Based on the frequency accessed by respondents, the email was found to be the most effective participation mechanism for informing respondents. This was followed by community newspapers, ward committees and sub-council meetings. Though mass media, such as radio and television broadcasts, can reach many people, it was not effective. Similarly, public hearings, which are identified in legislation for participation in the annual budget process, were infrequently accessed by respondents.

At the level of consulting, respondents were requested to input or comment on the annual budget process. For this purpose, various participation mechanisms were accessed by respondents of which the email was the most frequently accessed. Following the email in frequency were community newspapers, ward committees and sub-council meetings. Frequencies for public hearings, television broadcasts, closed meetings and house visits were low while no respondent accessed postal mail. There was evidence that some respondents acceded to the request or invitation to submit public input or comment. The email was the participation mechanism most frequently accessed for this purpose.

The survey results indicate that public participation occurred during the review of budget-related policies. Though only few respondents participated, their participation served as confirmation that opportunity for participation in reviewing the annual budget was given and that members of the public participated.

Participation in the annual budget process in the municipality did not attain the levels of educating, deciding, implementing, and reporting back for the following reasons. The municipality confirmed via the interview questionnaire that no participation education programme was executed. The survey questionnaire yielded no forum or committee where the public participated directly in decision-making in the annual budget. At the level of implementation, the majority of respondents' inputs were not implemented. Reporting back to the public in the annual budget process in participation was not open, but restricted to persons who provided input.

The study revealed that respondents accessed various participation mechanisms for participation in the annual budget process. By large, the mechanisms can be clustered into three categories, namely,

- Electronic participation mechanisms (email, website, SMS, television broadcasts, radio broadcasts and Facebook);
- Participation mechanisms specified in local government legislation (sub council meetings, ward committees, public hearings, public meetings and local community newspapers); and

- Routine administrative participation mechanisms (information pamphlets, flyers, information sessions, focus groups, newspapers, survey questionnaire, bulletins, budget workshops and exhibitions).

The municipal database of groups registered with the municipality served as an additional means of participation. To determine and describe the scope of participation, the participation mechanisms accessed by survey respondents at the levels of participation were perused. Participation mechanisms, such as radio and television broadcasts, mainstream newspapers and community newspapers, indicate that the scope of participation at the beginning of the process was broad. This was, however, a passive form of participation with information flowing one way, from government to the public. At the level of consulting, participation was more active and information flowed two ways, but the scope was narrow.

The survey results revealed that public influence in decision-making in participation in the municipality was not realised for the following reasons. Firstly, the survey revealed that the public did not participate directly in decisions pertaining to the annual budget. Secondly, the survey disclosed that the majority of public input did not influence implementation. This concludes this chapter. The description of public participation in the IDP is presented in Chapter 6.

CHAPTER SIX

DESCRIPTION OF PUBLIC PARTICIPATION IN THE PLANNING PROCESS IN LOCAL GOVERNMENT IN SOUTH AFRICA: FINDINGS, ANALYSIS AND RESULTS

6.1   INTRODUCTION

The preceding chapter described public participation in policy making in a metropolitan municipality in South Africa from the perspective of the annual budget process. Equally, this chapter describes public participation in planning in the same metropolitan municipality from the perspective of the IDP process. As the municipality has requested that it not be identified, the municipality is referred to as the City of South Africa or the municipality in adherence to research ethics. This study relied on three research methods, namely, a survey questionnaire, interview questionnaire and document study and analysis. The survey questionnaire was administered to representatives of groups registered on the official database of the municipality while an official in the PPU in the municipality completed the interview questionnaire. The document study and analysis was conducted on public records available on the official website of the municipality. The document study and analysis served as the main research method, whereas the other two methods complemented the document study. Public participation in planning is studied and described from the perspective of the municipality, that is to say, public officials. Same as the study in participation in the annual budget process, this description focuses on the indicators of participation which have been identified for this study, i.e., the public, the levels of participation, the mechanisms of participation, the scope of participation and public influence in participation decision-making. To provide more insight and understanding into the findings, analysis and results, a brief overview is given of document study and analysis as a research method.

6.2   DOCUMENT STUDY AND ANALYSIS

Document study refers to the analysis of textual data. According to David and Sutton (2011: 179), textual data refers to any object that has meaning. The authors mention that text refers to various forms and sources that can be "read", for example, pictures, photographs or paintings. It can include written text, as in this instance, documents. Punch (2014: 158) informs that documents offer a rich source of data for social research. An advantage of documentary evidence is that it is routinely compiled and retained while its producers are not always present (David and Sutton 2011: 180).

McNabb (2010: 308) indicates that documents (whether paper or electronic) are created and stored to record information and transactions, to justify actions and to provide official and unofficial evidence of events. Atkinson and Coffey (2011: 78) point out that "electronic and digital resources" such as websites and promotional videos serve as ways in which "documentary realities are produced and consumed". May (2011: 206) is also of the view that documents present a rich source of data for understanding events and processes. This means that documents can describe events and processes. Therefore, relevant documents stored on the website of the municipality where this study was conducted, were used for this descriptive study in public participation in the IDP. Document study involves sampling.

6.2.1 Sampling

According to David and Sutton (2011: 183), sampling, in document studies, refers to the selection of documents that are 'representative' of the event the researcher is interested in. This study was interested in documents that could describe public participation in the IDP in the municipality. This necessitated that the documents available on the official website of the municipality be perused, to determine which documents could assist the study.

This resulted in the following sample of documents be drawn for the study (to maintain anonymity as requested, the municipality is referred to as the City of South Africa):

- Official website of the City of South Africa;
- Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) of the City in South Africa;
- Five-year plan for the City of South Africa 2007-2012 IDP 2011-2012 Review;
- Five-year plan for the City of South Africa 2012-2017 IDP 2012/13 Review;
- Five year plan for the City of South Africa 2012-2017 IDP Draft 2013/14 Review; and
- Integrated Annual Report 2014/2015 of the City of South Africa.

According to Punch (2014: 159), there are various classifications of documents, for example, public records, the media, private papers, and visual documents. Other classifications are personal, private and state (David and Sutton 2011: 181). Document classifications can involve the level of access. In this instance, the documents can be classified as public records. As it was published on the official website of the municipality, the access level was "open published" (David and Sutton 2011: 181; Punch 2014: 159). No access restrictions were applied to the public.

For study purposes, documents should meet the criteria of authenticity, credibility, representativeness, and meaning (May 2011: 206-208; David and Sutton 2011: 184). Authenticity implies that the documents, including authorship, are genuine and not forgeries (David and Sutton 2011: 184; May 2011: 207). The study documents were authentic. The documents were credible as they served as official records of the municipality. It underwent official scrutiny and verification before it was published in the public domain (official website). The sample of documents was typical (representative) as it recorded different aspects of the participation process over the period of study. However, this does not mean that only typical documents should be considered. Untypical documents can be of interest (May 2011: 208). The sample of documents was read for meaning.

6.2.2 Reading documents for meaning

Documents are studied for meaning. Meanings can be intended, received or derived from the content of the document. Notwithstanding, there are different approaches to document study (May 2011: 208-209). May (2011: 199) recommends that the reading of documents take place within frames of meanings. As the intended meaning of the author is important, this frame of meaning should be taken into account (May 2011: 211; McNabb 2010: 316). However, a document cannot be studied in a detached manner (May 2011: 199). This means that the analyst must peruse and select which word, phrase and text is relevant and meaningful within his or her own frame of reference, and within the theoretical frame of the study. The conceptual and theoretical frame for this study is presented in Chapter 2.

During the studying of the documents, relevant words, phrases, sentences, concepts and terms relating to the conceptual and theoretical frame that was developed for this study were highlighted. Interpretation of text took place within the intended meaning of the author, the received meaning of the analyst (researcher) and the theoretical framework. The purpose was to establish whether the different meanings correspond or differ from each other. Were it differed, explanations were provided from the different perspectives.

In addition, the literal meaning of the text was considered as well. Since documents are also important for what they do not say (May 2011: 199), meaning was constructed in instances where elements were missing. Within these guidelines, the document study and analysis was conducted. In the following sections, the findings, analysis and results of the study in participation in the IDP in the City of South Africa are presented.

6.3   FINDINGS, ANALYSIS AND RESULTS

This study describes public participation in the IDP process in local government with specific reference to the City of South Africa. The description centres on the

indicators of participation which have been identified for this study, namely, the public, levels of participation, mechanisms of participation, scope of participation and public influence in decision-making in the IDP process. The results, relevant to public participation in the IDP process in the City of South Africa, are presented below.

6.3.1 Description of the public who participated in the IDP process

The literature review yielded that the public include individuals, households, groups, organisations, stakeholders and citizens (see Chapter 2, section 2.5.1). This study established that the intention of public participation is to bring disadvantaged individuals, households, groups, organisations, stakeholders, and citizens in the participation process and deal with their needs (Arnstein 2011: 3; Brynard 1996: 40; Cohen and Uphoff 2011: 48). This necessitates that the participating public should be determined and described.

To determine and describe who the public were that participated in the IDP planning process in the City of South Africa during 18 May 2011 and 3 August 2016, a survey questionnaire was administered to the representatives of approximately 4000 groups registered on the official database of the municipality. This database was used by the municipality to target groups for participation in the IDP during the period of study. Only 202 group representatives completed and returned the survey questionnaire; hence, it was volunteer sample (see Chapter 5, section 5.2.4). Even though the results of volunteer sampling cannot be generalised to the sampling frame, it can provide insight into the characteristics and experiences of respondents (Onwuegbie and Leech 2007: 107). Nardi (2014: 124) points out that volunteer sampling allows for inferences to be made and conclusions drawn based on respondents responses. Equally, it can contribute to theory building (May 2011: 99).

The survey results indicated that the majority of respondents who participated in the IDP process in the municipality during 18 May 2011 and 3 August 2016 were older persons, mainly male, educated, had regular financial income, and were owners of formal dwellings. This means that the majority of respondents were advantaged instead of disadvantaged. This result supports the prevailing view that more socio-

economically advantaged people participate than disadvantaged people (Arceneaux and Butler 2015: 131; Klosterman 2016: 175). Horn (2018: 146) found in a study that more people with higher incomes and education tend to participate more (Horn 2018: 146).

To gain more descriptive insight into who the public were who participated in the IDP process during the study period, public documents in the municipality were studied and analysed. The analyses, findings and results of the document study are presented in the following paragraphs.

In the mayoral foreword of the Term of Office Five year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) of the City in South Africa, it is mentioned "that this IDP has reached over one million people in an extensive public participation process". In this sentence, the word "people" is used. This literature review points out that both the terms "people" and "public" are derived from the Latin word "publicus" and have the same meaning (see Chapter 2, section 2.5.1). Accordingly, the public, in the municipality, were referred to as "people".

The document expounds that the public or people were "residents and stakeholders" (City of South Africa 2012: 3). This implies that there were two distinct groups within the public or people, namely, residents and stakeholders. Residents, commonly, refer to persons residing in an area who could be owners of formal or informal houses or even the homeless. The meaning of stakeholders in the text was not easily discernible.

Davids and Maphunye (2009: 53) indicate that stakeholders could be any individual or group that have legitimate interest in the performance of government. The authors explain that stakeholders could include the public, public officials and politicians. The distinction is drawn between the public, public officials and politicians. Given that the municipality drew a distinction between residents and stakeholders, it implies that those two constituencies exist separately from each other. This observation is supported by the fact that the document distinguishes, firstly, between the two groups and, secondly, distinctively points out that the municipality "gave residents

information", and that "residents were asked" and "[t]hey (residents) could pick the three most important actions". Moreover, they (residents) had the opportunity to attend public meetings and ask the executive mayor and political leaders in the Municipal Council questions and air their views (City of South Africa 2012: 3). This signals that residents were viewed separately from stakeholders. Notwithstanding that residents could be stakeholders in the municipality by virtue of paying taxes and being affected by decisions in the municipality (Venter 2014: 89).

To determine who the stakeholders were, it was read that the "IDP has been developed with maximum participation" which "involved all levels of the administration, from Mayco members, to ordinary councillors, to sub-councils" and "involved representatives from all directorates and the most senior officials in each department" (City of South Africa 2012: 9). Mayco is an acronym for mayoral committee members. Mayoral committee members function as the executive of the municipal council. Therefore, evidence indicates that stakeholders were the public officials and politicians in the municipality. This observation is supported by the fact that the municipality mentions in the Five-year plan for the City of South Africa 2012-2017 IDP 2012/13 Review that participation in the municipality was a "collaborative approach" (City of South Africa [Sa]: 7). This demonstrates that the municipality does not have a bias for the disadvantaged.

Further evidence indicates that residents and stakeholders were not the only people participating in the IDP of the municipality during this period. The Five-year plan 2012-2017 for the City of South Africa IDP 2012/2013 Review stipulates that the pillars (of the IDP) were based on the feedback and input of "the people, communities and businesses" (City of South Africa [Sa]: 7). Accordingly, the public in the municipality were also identified as the people, communities and businesses.

Having explained previously that "people" in the municipality referred to the public, "the people" in this instance appears to have a different meaning. This inference is based upon the ensuing text which states that "it is ultimately up to people, including investors, innovators, skilled craftsmen, labourers, caregivers, law enforcers and teachers to provide products, services and skills for the economy to grow and

provide jobs" (City of South Africa [Sa]: 7). The observation is that "the people", in this instance, refers to the employed, hence the economically advantaged. The use of the word "including" by the municipality in the sentence implies that there were two distinct groups of "the people". The one group of the people was the economically advantaged (which the document mentions) while the other group of the people (which the document does not mention) appears to be the unemployed or disadvantaged. The fact that the economically advantaged people are mentioned in the document suggests that they played a more prominent role in the IDP than the economically disadvantaged. Nevertheless, the municipality does not mention that the unemployed were included in the "collaborative approach". This does not mean that economically disadvantaged people were excluded from participation in the IDP process. The document states that efforts were made to garner input from "primarily poorer communities" for the IDP (City of South Africa [Sa]: 31). In the Five year plan for the City of South Africa 2012-2017 IDP Draft 2013/14 Review, six poor areas in the municipality are listed where mayoral meetings were held (City of South Africa [Sa]: 23).

To establish who the communities in the municipality were, the Constitution was consulted. According to section 152 (e) of the Constitution, 1996, one of the objects of local government is "to encourage the involvement of communities and community organisations in the matters of local government". Van der Waldt (2014: 27) mentions that communities, in the context of local government, refer to the people living within a specific area of jurisdiction of a municipality. It includes groups as well. This claim is supported by the discovery of an official database of groups registered with the City of South Africa (see Chapter 1, section 1.8.2). The Five-year plan for the City of South Africa IDP 2012/2013 Review confirms that the municipal "database" was used to reach the public for participation in the IDP (City of South Africa [Sa]: 31). The municipal database consisted of various civil society groups.

According to this study's definition of the public, businesses could be classified as a group. The municipality, however, distinguishes between businesses, the people and communities. This signifies that the municipality attached a distinct meaning to

businesses as a group. The likelihood is that businesses played a more distinctive role in the compilation of the IDP than ordinary groups and people.

Additionally, the Five year plan for the City of South Africa 2012-2017 IDP 2012/2013 review stipulates that "[C]itizens across the municipality were canvassed for their input and opinions" (City of South Africa [Sa]: 15). This means that citizens were included as a constituent of the public in the municipality. This validates Brynard's (1996: 134) observation that public participation is a broader concept than citizen participation.

In summary, documentary evidence indicates that the public in the municipality consisted of different groups of people, namely, residents, stakeholders, communities, community organisations, businesses, and citizens. The evidence indicates that some people and groups were economically advantaged, and that they played a more prominent role in the IDP than the disadvantaged. This refutes the notion that public participation advances the disadvantaged in the process (Arnstein 2011: 3).

Another concern is that the municipality considered public officials and politicians as stakeholders and regarded them as a constituent of the public. This is problematic for the following reasons. Firstly, the notion of public participation is to include the disadvantaged people in the process and to empower them in decision-making. This means that public officials and political office bearers with paid office, wealth, special information and other formal sources of power should not be regarded as members of the public (Brynard 1996: 40). Should they be considered as members of the public, they would have control over decision-making. This would render public participation meaningless. Cloete and De Coning (2018: 41) aver that public officials, same like politicians, would more likely support the establishment than serve the needs of the disadvantaged. Attention will now be devoted to the levels of public participation in the IDP.

6.3.2 Description of the levels of public participation in the IDP process

Arnstein (1969: 217) invented and developed the concept of levels of participation. According to Arnstein (1969), participation can be dissected into and described from the perspective of levels of public participation. However, levels of participation are not constant as different situations can yield different levels of participation. For example, Van der Waldt (2014: 34) presents two different levels of participation applicable to the local government situation.

To determine which levels of participation are applicable in local government in South Africa, a literature review was conducted. The review established that the levels of participation in South Africa should be informing the public, educating the public, consulting the public, deciding with the public, implementing with the public, reviewing with the public and reporting back to the public (see chapter 2, section 2.5.2). With this in mind, the study was undertaken to describe the levels of public participation in local government. The following section provides a description of the levels of public participation in the IDP in the City of South Africa.

6.3.2.1 Description of the level of informing the public in the IDP process

At the minimum, the public should be informed of their right to participate, their responsibilities and options in terms of public participation, the issue for participation as well as the available public participation mechanisms, procedures and processes (see Chapter 2, section 2.5.2.1). To establish whether informing occurred in the City of South Africa, a document study was conducted. It was found that the municipality had a "Welcome to the 5 Year Plan (IDP) website" on the Internet. The website displayed information pertaining to public participation in the IDP of the municipality. There were different web pages of which the first one dealt with the IDP Five Year Plan and the second with "Engaging residents". The following page opened the 2012-2017 and 2007-2011 IDPs. Subheadings under each IDP were planning, implementing, reporting, and budget. The website stored previous IDPs and a video on public participation.

The "Welcome to the 5 Year Plan (IDP) website" provided a brief overview of the municipality's "role in the 5 Year Plan (IDP)". Mention was made that the IDP is required in terms of the Municipal Systems Act. The Act was accessible via a link. At the time of accessing the website, there were web links to the IDP (2012-2017), Annual Report (2014/2015) and 2016/2017 Service Delivery and Budget Implementation Plan (SDBIP). In addition, there was a mechanism on the webpage where the public could register to receive information on the IDP.

Web pages on the site explained the IDP and engaged residents on the IDP. The public was informed that they could follow the municipality's Twitter account and Facebook page for the latest updates on the IDP. The site hosted the IDP Process Plan as well as the Budget Time-Schedule of Events, which were required in terms of legislation. Another page on this site was the "Contact us". This page provided an email address and IDP short message service (SMS) number.

Even though the "Welcome to the 5 Year Plan (IDP) website" did not inform the public of their right to participate, the "Have your say" website page informed the public that they have the right and duty to participate in local government decision-making. The website also informed the public that they have the opportunity to participate through sub-councils, ward forums, public meetings, via written submissions (post, e-mail and paper forms) faxes and online forms. On the same page, the public were invited to comment on issues that are currently open for participation, including the IDP. This evidence confirms that, at the minimum level, informing the public was attained in the City of South Africa.

The attainment of the level of informing the public was confirmed in the municipal manager's foreword in the Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) of the City in South Africa. The document states that the municipality used an "array of communication channels from newspapers to radio, public meetings, website and social media" to supply the public with "information about its services and five year plan" (City of South Africa 2012: 3).

Given that informing the public is a necessary step of participation, the requirement is that information should be accurate and sufficient (Clapper 1996: 73; Van der Waldt 2014: 26; Thornhill and Cloete 2014: 92). To determine whether this was the case in the municipality, representatives of groups registered on the official database of the municipality were requested via survey questionnaire to indicate whether they have been properly informed about participation in the IDP process of the municipality during 18 May 2011 and 3 August 2016 (see Chapter 5, section 5.2).

The survey results indicated that 51.4% of respondents were properly informed while 39.6% respondents indicated that they were not properly informed (8.9% of respondents did not respond to the question). Though the majority of respondents verified that informing the public in the municipality was properly executed, the minority of respondents who disagreed thereto were given an opportunity to provide reasons for experiencing not being properly informed. Same as at informing the public in participation in the annual budget process (see Chapter 5, section 5.3.2.1), it was found that the lack of proper informing in participation related mainly to communication problems (Brynard 1996: 135). The following responses of participants are reproduced to substantiate this finding:

> "I received an invitation as the chairperson of the ratepayers association. I had no idea what the purpose was, who would be in attendance, what the desired outcome is, what kind of information would be required in order to participate and represent my community.As far as I was concerned, the focus group discussions was prioritising a 'wishlist' which would compete with every other ward for an allocation. No firm committment to process and procedure or to the needs of my community".

> "All information were not clear for the normal community worker."

> "I was uninformed about the purpose of the meeting: thinking that it was for development of community programs and not knowing it was budget related. The professionals was not specific in addressing budget allocations. All

information were not clear for the normal community worker. Community members were not enabled to exercise their rights".

"Maybe because of media used to communicate"

"No communicagion has ever been received."

"No Proper Communication they emailed me but send me the wrong date of the wrong area…".
"There is no clear communication through Ward Councillors of which meetings are aimed at which wards."

Raubenheimer (2014: 15) and Nkuntse (2016: 112) found in studies that communication problems impact negatively on the effectiveness of participation. Despite the minority view, the conclusion can be drawn that informing the public occurred in the City of South Africa and was properly executed. The level of educating the public will now be described.

6.3.2.2   Description of the level of educating the public in the IDP process

Informing the public and educating the public could at times overlap. For example, in the previous section it was pointed that the "Welcome to the 5 Year Plan (IDP) website" of the municipality provided a brief overview of the municipality's "role in the 5 Year Plan (IDP)" and indicated that the IDP is required in terms of the Municipal Systems Act. In addition, the website provided a brief explanation of the IDP and spoke about engaging residents about the IDP. This can be regarded as a form of education.

To distinct between informing and educating, educating the public in participation in this study refers to the implementation of a formal educating for participation programme with some formal outcomes (see Chapter 5, section 5.3.2.2). The reason for demarcating educating according to this line is that legislation requires that the municipality should capacitate the public for participation (Davids and Maphunye

2009: 62; Thornhill and Cloete 2014: 30; Van der Waldt 2014: 66). This means that educating the public in participation should not be unstructured and informal.

To establish whether the municipality has delivered any formally structured educating programme in participation to the public, an interview questionnaire (Annexure 2) was sent to the PPU in the municipality for completion. An official in the PPU completed and returned the interview questionnaire. One specific question enquired whether the municipality had any public participation capacity building exercises or interventions during 18 May 2011 and 3 August 2016 in terms of section 16 (1) (b) of the Municipal Systems Act. Section 16 (1) (b) of the Municipal Systems Act stipulates that local government must "contribute to building the capacity of the local community to enable it to participate in the affairs of the municipality". The official in the PPU responded that the municipality did not have any capacity building programmes in participation in terms of the Act. This means that educating the public in participation in IDP did not take place in the municipality. As a result, the level of educating was not attained in the City of South Africa. The following section describes the level of consulting the public.

6.3.2.3   Description of the level of consulting the public in the IDP process

Consultation in this study has two dimensions. The first dimension is the request for the public to provide input or comments on an issue. The second dimension is when the input or comments of the public are received and considered in decision-making (see Chapter 2, section 2.5.2.3). Consultation provides an opportunity to influence decisions (Cloete 2018: 144).

Though Theron (2009: 119) is of the opinon that consultation does not guarantee that the suggestions of the public will be considered during decision-making, the EIPP (2009: 5) maintains that the aim of consultation is to consider and accommodate the views of the public during decision-making. The latter view is endorsed in section 3 (1) (a) of the Municipal Finance Management Act, which states that when consulting the public on the annual budget, the municipal council "must consider" the comments and input of the public. This means that there must be good

reasons for not taking the views and input of the public into account during public participation.

In the municipal manager's foreword of the Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 26 January 2012 of the City of South Africa, reference is made of a "consultation and information process". The document states that the public "had the opportunity to come to public meetings and to ask the Executive Mayor and other political leaders in Council questions or to air their views". The public were also given the opportunity to "pick the three most important actions" that the municipality should undertake to achieve its objective (City of South Africa 2012: 3).

In addition, the Five-year plan for the City of South Africa 2012-2017 IDP 2012/2013 Review mentions that "citizens across the metro were canvassed for their input and opinions via numerous channels, including public meetings, newspaper inserts, information brochures, websites, and social media" (City of South Africa [Sa]: 15). This is affirmed in the Five-year plan for the City of South Africa 2012-2017 2013/2014 Draft Review which specifies that the municipality conducted "several public meetings" where the municipality discussed its plans and "asked communities for their inputs on key deliverables, such as bulk infrastructure and housing targets" (City of South Africa [Sa]: 4). This first dimension of consulting therefore took place in the City of South Africa.

The Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/2014 Review states that the municipality "asked residents to have their say" and that the municipality "listened carefully to every piece of input received" (City of South Africa [Sa]: 4). The document emphasised that the municipality "listened carefully" to all input received. This implies that public input was received and considered. The City of South Africa Term of Office 5 year plan (IDP) 1 July 2012 - 30 June 2017 version 5, 2 (26 January 2012) support this observation by declaring that the IDP "integrates all the activities of local government in consultation with residents and stakeholders" (City of South Africa 2012: 3). This affirms that public participation in the municipality

attained the level of consulting. The level of deciding with the public will be described subsequently.

6.3.2.4 Description of the level of deciding with the public in the IDP process

Davids and Maphunye (2009: 65) emphasise that government should learn to include the public as active partners in decision-making instead of deciding on their behalf. Public participation in decision-making entails the active and direct participation of the public in the process.

The Term of Office 5 year plan (IDP) 1 July 2012 - 30 June 2017 version 5, 2 26 January 2012, of the City of South Africa declares that the IDP "integrates all the activities of local government in consultation with residents and stakeholders". Moreover, it is a "structured plan that informs budget priorities, decision making and the allocation of resources" (City of South Africa 2012: 3). The text conveys that public input received at the level of consulting informed decision making in the IDP. However, documents do not mention that the public participated directly in the decision-making in the IDP.

The Five-year plan for the City of South Africa IDP 2012/2013 Review mentions that the feedback received from the public "identified the specific priorities" and that the public were provided with an opportunity "to suggest the actions they felt would be the most effective…" (City of South Africa [Sa]: 7). The use of the word "suggest" in the sentence signifies that public input in decision-making served as suggestions.

In the Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/ 2014 Review, it is mentioned that the information received via the public satisfaction survey, which the municipality undertook to determine the perceptions, priorities and views of residents, was translated in a series of "key recommendations" for municipal planning (City of South Africa [Sa]: 22). No mention is made that the public participated directly in the compilation of recommendations.

According to Brynard (2003: 37), the practice in government is that public officials select and evaluate public suggestions in planning and submit these as "recommendations" to politicians for decision-making. Because public officials have control over public resources, politicians often endorse the recommendations of public officials. There is no documentary evidence that the general public participated actively and directly in the evaluation of public suggestions and/ or in the formulation of recommendations to politicians. For public participation to materialise at this level, the public should participate directly in the evaluation and selection of public suggestions and in the formulation of recommendations to political office bearers. In the absence of documentary evidence that substantiate this situation, the conclusion cannot be drawn that public participation achieved the level of decision-making in the City of South Africa. In the next section, the level of implementing with the public will be described.

6.3.2.5 Description of the level of implementing with the public in the IDP process

To investigate participation in implementation it was necessary to determine how participation in implementation manifests. According to De Coning et al. (2018: 263), participation in project implementation could involve creating jobs for local people, transferring skills and building capacity, promoting environmental sustainability and making the public owners of public assets constructed. The public can also gain practical experience in the administration and co-ordination of projects (Cohen and Uphoff 2011: 46).

This study found in the City of South Africa Integrated Annual Report 2014/2015 under Programme 4.2 (a): Community amenities programme (provide and maintain) that the municipality used an extended public works programme to "create a sense of ownership by employing local community members to maintain public open spaces and parks that serve their neighbourhood" (City of South Africa [Sa]). It is recorded in the report that the public participated in the implementation of community food gardens and early childhood development programmes. This serves as confirmation that public participation achieved the level of implementing.

Though the public participated at the level of implementation, this study could not find any documentary evidence of the existence of any public participation implementation forum or mechanism. The reason for researching this is that the National Policy Framework for Public Participation recommends that the municipality either institute a Local Project Implementation Forum or IDP Representative Forum (South Africa DPLG 2007: 61). Such a forum is not only necessary to monitor implementation but could serve as a vehicle for community learning, capacity building and joint decision-making (Venter 2014: 114). Despite this factor, the level of implementing with the public was attained in the IDP. The focus will now shift to level of reviewing with the public in the IDP.

6.3.2.6   Description of the level of reviewing with the public in the IDP process

According to section 16 (1) (a) (i) of the Municipal Systems Act, local government must encourage and create conditions for the public to participate in the review of the IDP. To establish whether participation in the City of South Africa obtained the level of reviewing with the public, the survey questionnaire was administered to representatives of groups registered on the official database of the municipality (see Chapter 5, section 5.2). The purpose was to determine whether any person has participated in the review of the IDP during the period of study.

The results submitted that 15 persons (7.4%) out of total of 202 respondents have participated in the review of the IDP. Though this is a low frequency, it should be borne in mind that the decision to participate or not rests with the public. The 15 persons who participated bear evidence that the municipality has provided an opportunity for the public to participate in the review of the IDP. People who participated in the IDP review serve as confirmation that public participation in the municipality obtained the level of reviewing. This brings the final level of reporting back to the public in focus.

6.3.2.7   Description of the level of reporting back to the public in the IDP process

The Municipal Systems Act requires in section 17 (2) (e) that local government put participation mechanisms in place that report back to the public in participation. Even though reporting could involve reviewing the municipality's performance (Van der Waldt 2014: 123), this study's interest is in reporting on decision-making in participation. Theron (2009: 114) and IAP2 (2018) point out that participation should report back to the public the outcome of the decision-making process. Creighton (2005: 38) equally sees decision-making as essential in participation. If the public are not informed how decision-making took place in participation, they may be discouraged to participate in future.

To establish whether report back on participation occurred in the City of South Africa, representatives of groups registered on the official database were requested to indicate via the survey questionnaire whether the City (or its officials) has provided feedback on public participation in the IDP process of the metropolitan municipality during 18 May 2011 and 3 August 2016. Only 187 persons responded to this question of which the result indicates that 58 persons (28.7%) have received feedback on participation while 129 persons (63.9%) indicated that they have not received feedback on participation (7.4% did not respond to the question). This suggests there was report back in the municipality but to a minority of participants.

Pertaining report back in participation, the interview questionnaire that was completed by an official in the PPU of the municipality recorded that the executive mayor reported on participation in the IDP at an open municipal council meeting. It was stated that report back focused on the attendance and the nature of public comments received at public meetings during participation in the IDP. The official made no mention that the decision-making process in participation was reported on. This is despite the fact the decision-making is integral in participation (Creighton 2005: 38) and that people participate to influence decisions (Brynard 1996: 136; Theron 2009: 114; IAP 2018). As reporting back in participation was executed at a

municipal council meeting and did not include the decision-making process in participation, the finding cannot be made that participation occurred on this level.

In summary, documentary evidence confirms that public participation in the City of South Africa occurred at the level of informing. At this level the public were informed of their right to participate, their responsibilities in terms of participation, the available participation mechanisms and the issue of participation. The majority of survey respondents indicated that informing was properly executed while a minority of respondents experienced communication problems.

Though informing and educating could overlap, the level of educating was not achieved in the municipality. The reason is that no formally structured participation educating programme with specific outcomes was implemented in the municipality. Local government legislation clearly specifies that local government must put resources aside to capacitate and educate the public for participation.

There was consulting in the municipality. Documentary evidence indicates that various mechanisms were employed to solicit public input. There is evidence that members of the public responded to the request to provide input in participation.

At the level of deciding with the public, no documentary evidence could be found that the public participated directly in the decision-making process. It was found that public input at this level served as suggestions. Public officials considered public suggestions and make recommendations to politicians for final decision.

Documentary evidence indicates that the public participated in implementation through extended public works programmes, creating food gardens and establishing early childhood development centres. Despite the manifestation of the level of implementing in the municipality, no documentary evidence could be found that support the existence of a local project implementation or IDP representative forum. National policy recommends the institution of either one of these forums for implementation.

Similarly, participation occurred on the level of reviewing with the public in the IDP. However, the level of reporting back was not attained as the decision-making process in participation was not reported on.

At this juncture, the public who participated in the IDP have been described as well as the levels of public participation. The following section will describe the participation mechanisms, processes and procedures the public accessed for participation in the IDP in the municipality.

6.3.3 Description of participation mechanisms, processes and procedures accessed for public participation in the IDP process

The findings indicate that participation did not transpire at the levels of educating, decision-making and reporting back to the public. Though the public participated at the level of implementation, no public participation implementing mechanism was discovered. For consulting and reviewing in the IDP, the public accessed similar participation mechanisms. Consequently, the description of participation mechanisms focuses on mechanisms for informing and consulting the public.

6.3.3.1 Description of public participation mechanisms, processes and procedures accessed for informing in the IDP process

The Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) speaks of a "consultation and information process" (City of South Africa 2012: 3). The same document mentions that the City of South Africa used an array of "communication channels" from newspapers to radio, public meetings, website and social media and information brochures to provide the public with "information" about the municipality's services and five year plan (City of South Africa 2012: 3, 9). The Five-year plan for the City of South Africa 2012-2017 IDP 2012/2013 Review mentions that "members of the public were engaged in public places such as shopping malls, clinics, libraries, schools and cash offices". In addition, municipal resources such as the municipal newsletter and database were used to "reach residents" (City of South Africa [Sa]: 31).

The use of the term "communication channels" and "information" validates that these mechanisms were mainly used for informing the public. As mentioned previously, informing could play a dual role. For example, the municipal newsletter could be used to inform the public about participation in the IDP while at the same time educate the public about the process. However, in this study, informing and educating the public are two distinct activities.

Similarly, the official website of the City of South Africa informed the public. The "Welcome to the 5 Year Plan (IDP) website" of the municipality, provided a brief overview of the municipality's "role in the 5 Year Plan (IDP)" and mentioned that the IDP is required in terms of the Municipal Systems Act. A brief explanation was given of the IDP and engaging residents on the IDP (see section 6.3.2.2).

The Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) states that participation in the IDP is a "structured process" (City of South Africa 2012: 3) and in the Five-year plan for the City of South Africa 2012-2017 IDP 2012-2013 Review, "highly structured" (City of South Africa [Sa]: 7). However, documentary evidence did not reveal any formally structured information sharing programme. This is deemed necessary for effective information sharing.

6.3.3.2 Description of public participation mechanisms, processes and procedures accessed for consulting in the IDP process

The Term of Office 5 year plan (IDP) 1 July 2012 - 30 June 2017 version 5, 2 (26 January 2012) records that three central participation mechanisms were used for the IDP Needs Analysis (City of South Africa 2012: 21, 22). The mechanisms were a satisfaction survey, a complaints notification system and an IDP engagement process. A brief description of each of the mechanisms follows hereunder.

6.3.3.2.1   Satisfaction survey

The Term of Office 5 year plan (IDP) 1 July 2012 - 30 June 2017 version 5, 2 (26 January 2012) explains that the satisfaction survey was undertaken annually since 2007 and that the data were gathered from 3000 resident respondents across eight health districts. The survey used the stratified sampling method to reflect the diversity of the municipality. The purpose was to gather data on a district and citywide level. The respondents were randomly selected and they participated in an in-depth 40-minute interview with trained interviewers. The document mentioned that the satisfaction survey was "scientifically defensible" (City of South Africa 2012: 22).

The Five-year plan 2012-2017 Draft 2013/2014 Review conveyed that survey questions were carefully thought out and confusing questions were explained. It was mentioned that "[C]larity, research methods and processes" were the strengths of the satisfaction survey. Mention was made that the survey adhered to the codes of good research practise (City of South Africa [Sa]: 22).

The Five-year plan 2012-2017 Draft 2013/2014 Review mentioned that the intention of the survey was to "monitor the performance" of the municipality as viewed through the eyes of the public and to provide the municipality with "information about the perceptions, priorities and views of residents". The collected information was translated into a series of key recommendations, which were used to guide local government planning. The survey was used to determine the priority needs of the public (City of South Africa [Sa]: 22).

According to Brynard (1996: 139) and Ebdon and Franklin (2006: 440), surveys are useful for determining the needs of the public. Surveys can yield results that are representative of the community at large (Theron 2009: 129) especially when it is scientifically defensible and the wording clear (Ebdon and Franklin 2006: 440). In this instance, it appears that these requirements have been met.

However, Brynard (1996: 47) points out that bias may be introduced in the choice of questions, alternative responses and the survey itself. Alternatively, surveys may not

show how strongly a person feels about an issue (Ebdon and Franklin 2006: 440). The following two comments, received from two respondents who experienced not being properly informed about participation, appears to refer to the satisfaction survey.

"It's a box-ticking exercise, not proper participation/consultation".

"Public Participation at this level is perceived to be fruitless and a box ticking exercise by the Metro Municipality as within their own political lobby groups - much has been predecided. There is also no general trust or proof /feedback as to any success relationship between public participation and final outcome of the process".

The two viewpoints conveyed that not all people consider survey questionnaire as an appropriate mechanism for participation.

6.3.3.2.2   Complaints notification system

The Five-year plan for the City of South Africa 2012-2017 IDP 2012/13 review explained that the complaints notification system captured the calls and complaints of residents regarding municipal services and functions. The municipality viewed the call volume of the notification system as a proxy indicator of the importance of a particular function in the municipality (City of South Africa [Sa]: 32).

The Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/14 Review elaborated that the information was logged from telephonic service requests, which the municipality's call centre received. All calls were captured. In the analysis, the call volume was described in terms of the frequency of an issue or complaint. The municipality, however, pointed out that some calls could have related to the same issue or complaint hence the information received via the complaints notification was not reliable. In spite of this, the information was used by the municipality as an indicator for determining the importance of a service issue or complaint (City of South Africa [Sa]: 25).

Though the complaints notification system can play a role in determining the importance of a service, public participation is more than service delivery. It is about informing and educating the public about government (Michels and De Graaf 2010: 480), fostering democracy (Van der Waldt 2014: 23) and promoting individual self-development (Schubert et al. 2015: 6). On the other hand, participation should be responsive to the basic needs of the disadvantaged, as spelled out in section 153 of the Constitution, 1996. It should not be focused on the complaints of the advantaged people who have houses, electricity and water.

6.3.3.2.3   IDP engagement process

The Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) revealed that the IDP engagement process occurred on sub-council level (City of South Africa 2012: 22). Sub-council is a type of participatory system which allows for delegated powers to be exercised by sub-councils established in metropolitan municipalities. Each sub-council has a number of wards under its jurisdiction (Thornhill and Cloete 2014: 57, 68).

The Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/14 Review mentioned that "ward committees were used to identify all community-based organisations and invite them to public meetings and help with spreading information to residents about meetings". In some instances "committee members assisted with ensuring all members of the public wanting to attend a meeting knew where the pick-up points were and assisted with their registration at meetings" (City of South Africa [Sa]: 24). This implies that ward committees played mainly a logistical role in the organisation of the IDP. This is despite the fact that ward committees can participate directly in the identification of local needs (Van der Waldt 2014: 42) or in the identification and initiation of ward developmental projects (Masango et al. 2013: 92). Ward committees can also make recommendations directly to politicians on any matter affecting the area (Thornhill and Cloete 2014: 75). In this instance, it appears that the influence of ward committees were restricted to logistics pertaining to the IDP.

The Five-year plan 2012-2017 IDP Draft 2013/14 Review specifies that three types of meetings were conducted, namely mayoral meetings, special sub-council meetings and general meetings (City of South Africa [Sa]: 24). The document details that at a meeting, members of the public were invited to give comment, either verbally or by completing a "Have your say" form. This signifies that provision was made for those who could not read or write. The document specifies further that the "Have your say" form was designed to capture very specific information about what the public wants to have done in their specific wards / sub-councils concretely. The public could suggest a potential physical location for the service. The document mentions that the 'Have your say' form was designed to capture at least one input for all service departments. It was, however, pointed out that financial resources were not always available. Hence, some projects were included in departmental plans and budgets for the coming financial year (City of South Africa [Sa]: 24). This suggests that budget allocations have already been decided on at this point. This inference is informed by Orosz (2002: 43) and Ebdon and Franklin's (2006: 440) observation that participation more likely occurs when the budget has already been prepared. There was also no mention of who decides which project to include and which project to defer for the next financial year. The deduction is made that this decision rests with public officials and politicians.

The Five-year plan 2012-2017 IDP Draft 2013/14 Review mentions that in "the IDP engagement process, it could be argued that the responding members of public are more likely to have specific agendas than in the other two sampling methods" (City of South Africa [Sa]: 23). This is to be expected as the responses of the public in the satisfaction survey and complaints notification system were restricted to service delivery issues. Public meetings provide an opportunity for a wider range of issues to be raised e.g. the quality of government and democracy. Moreover, public meetings serve as platforms for public policy agenda setting. Public policy agenda setting is the process whereby individuals and groups can identify their problems and lobby decision makers to support and prioritise their problems (Cloete 2018: 137).

Unlike the survey and complaint notification system, which are restricted to service delivery issues, public meetings are open and allows for competition for government

attention. Cloete and De Coning (2018: 43) mention that competing for government attention is normal in a democratic society. Hence, agenda setting should not be seen as something negative by public officials but rather as part of the planning process (Cloete 2018: 137).

In summary, various participation mechanisms, procedures and processes were used for informing the public. Some of these mechanisms involved mass media, others information and communications technology (ICT) and still others municipal resources. For consulting, three mechanisms were mainly used, namely, a community satisfaction survey, a complaints notification system and an IDP engagement process. The survey was found to be scientifically defensible and was used to guide planning in the municipality. However, the survey restricted public responses to service delivery issues. Similarly, the complaints notification system restricted the public to logging service complaints. Though the system was not scientifically defensible, it served as proxy indicator of the importance of a complaint. The IDP engagement process consisted of mayoral meetings, sub-council meetings and public meetings. Though ward committees can participate in decisions pertaining to the IDP in a ward, they mainly played a logistical role in the IDP. Despite the fact that the City of South Africa did not view agenda setting at public meetings in a positive light, this is normal in a democratic society (Cloete and De Coning (2018: 43) and assist the planning process (Cloete 2018: 137). This means that local government should encourage and manage the use of this participation mechanism. This would enhance local democracy (Van der Waldt 2014: 26) and present opportunities to reap the benefits of participation (Michels and De Graaf 2010: 480). The scope of public participation will now be described.

6.3.4 Description of the scope of public participation in the IDP process

The scope of participation in this study refers to how much participation is allowed at which stage of the planning process (Brynard 1996: 136). To determine the scope of public participation in the IDP, the Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) was referred to. The document states that "this IDP has reached over one million people in an extensive public participation

process" (City of South Africa 2012: 2). This implies that the scope of participation was over one million people. To achieve this scope of participation, the municipality applied "an array of communication channels from newspapers to radio, public meetings, website, and social media" (City of South Africa 2012: 3).

Considering the scope of participation and the mechanisms used to achieve this scope of participation, the deduction is made that this scope of participation occurred at the level of informing the public. This scope of participation could not have been achieved at the level of consulting, as the input received from the public serves as an indicator of consulting (the municipality did not receive more than a million public input). At this stage, participation was passive and information flowed mainly one way-from government to the public. The number of participants indicates that the scope of participation at this stage was reasonably broad. According to Brynard (1996: 140), a broad scope of participation at the beginning of the process underscores the notion of public participation in planning.

To determine the scope of active participation, an analysis of the Five-year plan for the City of South Africa 2012-2017 IDP 2012/2013 Review was undertaken. The document reveals that for the 2011 IDP engagement process, "a total of 2780 members of the public attended various public meetings" and that 6500 "Have your say" forms were received at the end of 2011 (City of South Africa [Sa]: 33). This signals that the scope of active participation at the end of 2011 was the 6 500 people. This is the number of people who completed the "Have your say" form and provided input in the IDP. At this stage, information flowed two ways, namely, from government to the public and vice versa.

The Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/2014 Review conveys that information was collected via a satisfaction survey from 3000 respondents across eight health districts (City of South Africa [Sa]: 22). The document states that the survey was a "representative sample of residents" and scientifically defensible. According to Onwuegbuzie and Leech (2007: 105), a representative sample is a small quantity of a population that accurately represents the characteristics of the population. This signifies that the scope of active

participation extended to eight health districts, which appear to cover the area of the municipality. The scope of active participation in the satisfaction survey could therefore be regarded as relatively broad.

The Five-year plan 2012-2017 IDP Draft 2013/14 Review reveals that 732 837 calls were received during 1 July 2011 and 30 June 2012 from the public regarding services and function (City of South Africa [Sa]: 25). However, as these data were not reliable because more than one call may have related to the same issue or complaint, this information cannot be considered in the calculation of scope of participation.

In summary, the evidence indicates that the scope of participation at both the levels of informing and consulting was reasonably broad. The scope of participation could not be determined at the levels of implementing and reviewing while participation did not attain the levels of educating and reporting back in the municipality. In the subsequent section, public influence in decision making in the IDP in the municipality will be described.

6.3.5 Description of public influence in decision-making in the IDP process

The ultimate aim of public participation is to influence decision-making processes (Brynard 1996: 136; IAP2 2018; Theron 2009: 114). To investigate whether the public influenced decision making in the IDP of the municipality, public documents in the municipality were studied and analysed. The Term of office 5 year plan (IDP) 1 July 2012-30 June 2017 of the municipality suggest that public participation in the municipality informed "budget priorities, decision-making and allocation of resources" (City of South Africa [Sa]: 3). From this, the inference can be drawn that the public influenced decision-making in the IDP in the municipality.

However, the Five-year plan for the City of South Africa 2007-2012 IDP 2011-2012 Review indicates that 3 190 public inputs have been received via the 'Have your say' forms of which 598 projects have been prioritised. In other words, only 18.7% of public input received via the 'Have your say form' has been prioritised as projects.

This means that public influence in decision-making in the IDP in the municipality translates to 18.7%. (City of South Africa [Sa]: 34). Bear in mind that the Five-year plan 2012-2017 IDP Draft 2013/14 Review reports that the 'Have your say' form was designed in a manner to capture very specific information about what the public want to have done in their specific wards / sub-councils. This includes a potential physical location for the service and at least one input for all service departments (City of South Africa [Sa]: 24). Importantly, the document does not mention who participated in the prioritisation process of the 'Have your say' projects. As no mention is made who participated in the prioritisation process, the inference is drawn that it is public officials and politicians.

The Five-year plan for the City of South Africa 2007-2012 IDP 2011-2012 Review indicates that 171 projects have been prioritised as a result of councillors (politicians) initiatives (City of South Africa [Sa]: 34). The document mentions that there were 105 wards at that time; hence 105 councillors (one councillor per ward). Since 171 projects have been prioritised based on the initiative of 105 councillors, it means that councillors had greater influence in decision-making in the IDP than the public in the municipality (ratio 1.6 projects per politician). This observation should be viewed in terms of the 598 projects that were prioritised in relation to the 3 190 public inputs that were received via the 'Have your say' forms. For every 5.3 inputs received from the public, one project was prioritised

Though the public participated in the prioritisation of public needs through the community satisfaction survey, no documentary evidence was found in the sample of documents that public priorities were given priority over other municipal service departments during budget allocations. Nealer (2014: 167) indicates that a typical municipality could have as much as 16 service departments, which must be budgeted for. As public funds are limited, the heads of departments (public officials) compete with each other and with the public for a share of the public budget. In view of the absence of any documentary evidence that public priorities received preference over public officials and politicians priorities during budgeting, the pronouncement cannot be made that the public influenced decision-making in public participation.

In summary, no documentary evidence was found that the public participated directly in decision making. Besides this, no documentary evidence was found that the public participated in the prioritisation (evaluation and selection) of public projects suggested via the 'Have your say' form. There was also no evidence to indicate that public priorities identified during the IDP process received preference during budget allocations. In fact, documentary evidence substantiates that public influence in decision making in the IDP in the municipality was limited to making suggestions. Public officials considered public suggestions during the formulation of recommendations to politicians for final decision-making (section 6.4). The overall finding is that decision-making in IDP in the municipality was controlled by the advantaged and elite during the period of research.

6.4 CONCLUSION

This study yielded that the municipality referred to the public as people. This is in accordance with the literature review discovery that the public and the people are synonymous terms. Moreover, the public consist of individuals and groups. The survey indicated that the majority of respondents who participated in the IDP in the municipality were older people, mainly male, educated, had regular financial income, and were owners of formal dwellings. These socio-economic indicators signify that the public who participated in the IDP during the period of research were socio-economically advantaged as opposed to disadvantaged. This is contrary to the aim of participation, which is to include the majority of disadvantaged people in the process.

Documentary evidence revealed that the participating public in the IDP during the research period consisted of residents, stakeholders, communities, community organisations, businesses and citizens. The evidence suggests that socio-economically advantaged individuals and groups played a more prominent role in the IDP than the disadvantaged. Besides, public officials and politicians were identified as stakeholders and equally regarded as members of the public. Since public officials and politicians have considerable influence over decision-making, it means

that the ordinary public had little influence over decisions. This refutes the notion that public participation concerns empowering the disadvantaged, those without paid office, wealth, special information of any other formal source of power, in decision-making (Arnstein 2011: 3; Brynard 1996: 40; Cohen and Uphoff 2011: 48).

Though it was established that there are seven levels of participation in local government in South Africa, it was found that public participation only obtained the levels of informing, consulting, implementing, and reviewing. Minimally, the public were informed of their right to participate, their responsibilities in terms of participation, the matter for participation, and the available participation mechanisms. The majority of survey respondents indicated that they were properly informed about participation in the IDP while the minority experienced communication problems.

The level of educating the public was not achieved in the municipality because no formally structured educating for participation programme was implemented in the municipality. This is despite the fact that the municipality mentioned that participation in the municipality was "highly structured". It is a legislative requirement for local government to set resources aside and to capacitate and educate the public for participation.

At the level of consulting, the municipality requested the public to provide input into the IDP. The evidence confirms that the public responded to this request and that public input was received and considered by public officials for decision-making. There was no documentary evidence that the public participated directly in decision-making. On the contrary, evidence verifies that public input served as suggestions, for public officials' consideration.

There was public participation in implementation. The public participated in the establishment of food gardens, public works programmes and early childhood development centres. This is despite the fact that no public participation implementing mechanism as recommended in national policy could be located.

Evidence indicates that the public participated in the review of the IDP. Indications are that the scope was narrow. The narrow scope serves as confirmation that there was opportunity for participation presented and that some members of the public took the opportunity to participate.

Reporting back to the public in participation did not occur for the following reasons. It was provided at a municipal council sitting. Owing to the party political nature of the institution, it is not considered a public participation institution in this study. On the other hand, access to the municipal council is limited while reporting back should be open and wide. In addition, there was no report back on the decision-making process, which is integral to participation.

The study found that various public participation mechanisms were utilised for informing and consulting the public. For informing, use was made of newspapers, radio, public meetings, website, social media, information brochures, and municipal newsletters. Informing occurred at shopping malls, clinics, libraries, schools and cash offices and via the municipal database.

During consulting, the municipality made use of mainly three mechanisms, namely, a satisfaction survey, a complaints notification system and an IDP engagement process. The survey was used to rate the public's level of satisfaction with municipal services and to prioritise their needs. Though the survey was found to be scientifically defensible, there was a public comment that it is a "box ticking exercise" and not public participation.

The complaints notification system recorded the complaints received from the public. Though the information collected was not scientifically valid, the system served as a proxy indicator of the importance of a public complaint. However, it was noted that public participation is more than service delivery and public complaints.

The IDP engagement process involved sub-council meetings, mayoral meetings and public meetings. At meetings, the public could have their say either verbally or in writing. Evidence disclosed that ward committee members assisted mainly with the

logistical arrangements surrounding public participation in the IDP instead of participating directly in decision-making in the IDP. It was found that public officials did not perceive the IDP engagement process in a positive light, though it enhances local democracy and could assist the planning process.

The scope of public participation was found to be more than a million people at the level of informing. This was a passive form of participation with information flowing mainly one way, from government to the public. The scope of participation, however, was broad enough to support the notion of participatory planning. At the level of consulting, participation was more active and information flowed two ways (from government to the public and vice versa). There were indications of a broad scope participation.

Even though the intention of public participation is to influence decision-making in the process, no evidence could be found that the public influenced decision-making in the IDP. Instead, it was found that public influence in the IDP in the municipality is limited to making suggestions. It was uncovered that public officials in the municipality had the prerogative to consider and decide which public suggestions to recommend to politicians for final decision-making.

CHAPTER SEVEN

SYNTHESIS AND RECOMMENDATIONS

7.1   INTRODUCTION

This was a descriptive study of public participation in policy making and planning in local government in South Africa from the perspectives of the annual budget and IDP processes respectively. The problem statement entailed defining public participation and describing how the public participate in policy making and planning. In the pursuit of resolving the problem statement, an enquiry, guided by six research questions, was conducted in a metropolitan municipality in South Africa. The research questions guiding the enquiry were: What is public participation? Who are the public that participates in the municipality? What are the levels of public participation in the municipality? What are the mechanisms for public participation in the municipality? What is the scope of public participation in the municipality? What influence does this public have on public participation decision making in the municipality? The research questions were translated into the following research objectives:

- To analyse, demarcate and define public participation for this study.
- To establish and describe the public who participated in the policy making and planning processes in the municipality.
- To determine and describe the levels of public participation in the policy making and planning processes in the municipality.
- To identify and describe the mechanisms, processes and procedures for public participation in the policy making and planning processes in the municipality.
- To explain and describe the scope of public participation in the policy making and planning processes in the municipality.
- To determine and describe the influence the public have in decision-making in policy making and planning in the municipality.

Given that the first research question was a conceptual question, a conceptual analysis was performed to deliver a working definition for this study in local government. The working definition conveyed indicators for public participation that could be observed, measured and described. The indicators, which were the public, levels of participation, mechanisms for participation, scope of participation and public influence in decision-making in participation, were subjected to analysis to establish meaning for this study. Having established meaning, the study was placed within the context of democratic local government. The outcome of this process was the delivery of a conceptual and theoretical framework for the empirical enquiry (see Chapter 2).

For the empirical enquiry, three research methods were applied. The one method was a survey questionnaire administered to representatives of groups registered on the official database of the municipality where the research was conducted. The groups, via their representatives, were targeted by the municipality for public participation in the annual budget and IDP processes. The second method consisted of a study and analysis of public documents in the municipality. The public documents, which were available and accessible on the official website of the municipality, were read for meaning and understanding. The third method consisted of an interview questionnaire completed by an official in the PPU in the municipality. The PPU was responsible for the implementation of public participation in the annual budget and IDP processes of the municipality during the period of review.

In Chapter 5 and Chapter 6, the findings, analysis and results were presented of public participation in the policy making and planning processes respectively. This chapter synthesises the findings and results and makes recommendations to improve public participation in the municipality. Suggestions for future research are also made.

7.2   DEFINING PUBLIC PARTICIPATION

To arrive at a working definition for this study in public participation in local government, various definitions of participation in this field were analysed and deciphered. This resulted in public participation being defined as an open and accountable process whereby the public, individuals and groups, who are affected by a governmental decision, voluntarily receive and exchange meaningful information, express opinions and articulate interests through available mechanisms with the intention of influencing decision-making in governmental processes (see Chapter 2, section 2.4). This definition conveyed the indicators of participation for this study.

According to Babbie (2010: 131), indicators are observable and measurable qualities or properties of a phenomenon (public participation) of which the presence or absence thereof can be used to describe the phenomenon (public participation). In this instance, the definition expressed the following indicators: the public (who participated), the levels of public participation, public participation mechanisms, the scope of public participation and public influence in decision-making in participation. The indicators of public participation align with the research questions and research objectives set out for this study, and inform the description of public participation.

7.3   DESCRIPTION OF PUBLIC PARTICIPATION IN THE POLICY MAKING AND PLANNING PROCESSES IN LOCAL GOVERNMENT

In the following sections, a synthesis of the description of public participation in policy making and planning from the perspectives of the annual budget and IDP processes in local government with specific reference to a metropolitan municipality is presented. This description is presented according to each indicator of participation identified for this study.

7.3.1 Description of the public who participated in the annual budget and IDP processes in the municipality

The study's definition of public participation signifies that the public comprise individuals and groups. The literature revealed that individuals are dissimilar in terms of sex, age, education, employment status, and home ownership. Groups differ in terms of size of their membership, monetary and other resources, cohesiveness, skill of leadership and social status (see Chapter 2, sections 2.5.1.1 and 2.5.1.2). Owing to these differences, some individuals and groups are advantaged while others are disadvantaged. It was established that disadvantaged individuals and groups seldom participate (Arceneaux and Butler 2015: 131; Klosterman 2016: 175; Schubert et al. 2014: 159). On the other hand, participation endeavours to include disadvantaged individuals and groups in the process (Arnstein 2011: 3; Brynard 1996: 40; Saxena 2011: 48). Democracy originally referred to the participation of the disadvantaged people in government (Schubert et al. 2015: 5; Van der Waldt 2014: 24). Therefore, it is important to describe who participated in policy making (annual budget) and planning (IDP) processes in the municipality.

To establish who participated in the annual budget and IDP processes in the municipality during the period of study, a survey questionnaire was administered to representatives of groups registered on the official database of the municipality. The groups were classified as civic organisations, ratepayers associations, community police forums, neighbourhood watches, street committees, faith-based organisations, environmental groups, education groups, youth groups, arts and culture groups, sport groups, groups dealing with vulnerable people, small business and medium business. Groups that did not fall in one of the mentioned categories could identify as "other".

Even though there were approximately 4000 groups registered on the official database, only 202 group representatives voluntarily completed and returned the survey questionnaire (see Chapter 5, section 5.2.4). Given that this was not random sampling, but volunteer sampling, the results of the survey could not be generalised to the sampling frame. The sampling frame entailed all the groups registered on the

official database of the municipality. Despite this limitation, inferences can be made and conclusions can be drawn from the results of volunteer sampling (Nardi 2014: 124).

The responses received from the survey respondents indicated that the public who participated in the annual budget and IDP processes of the municipality were mainly older persons of whom the majority were male. Most of them were educated, had regular financial income and were owners of formal dwellings (Chapter 5, section 5.3.1). Opposed to those who were not educated, did not have financial income and were not owners of formal dwellings, the majority of respondents who participated in the annual budget and IDP processes of the municipality were advantaged, instead of disadvantaged.

Though this result cannot be generalised to the sampling frame (official database of groups registered with the municipality), it does confirm the viewpoint that more often advantaged people participate instead of the disadvantaged (Arceneaux and Butler 2015: 131; Klosterman 2016: 175; Schubert et al. 2014: 159). This viewpoint was confirmed in a study of Horn (2018: 146) who found that more people with higher incomes and education participate.

There are various reasons for disadvantaged people not participating. Arceneaux and Butler (2015: 131), for example, point out that less educated individuals lack the necessary skills to participate effectively which deters them from participating in the first place. Other factors are a lack of time, resources, information, and experience to participate effectively (Klosterman 2016: 175). This means that government should put measures in place to encourage the participation of the disadvantaged.

To obtain a description of the public who participated as groups in the municipality, documents and official records in the municipality were studied and analysed. The document study revealed that the municipality referred to the public as "residents", "stakeholders", "the people", "communities", "businesses", and "citizens" (see Chapter 6, section 6.3.1). During the analysis, it came to the fore that residents are the people living in the area while stakeholders were public officials, mayoral

committee members, ordinary councillors, sub-councils members and representatives from directorates, and senior officials. This denotes ordinary people (residents) and "formal decision makers" (Brynard 1996: 40) were equally seen as members of the public in the municipality. This presents a dilemma for public participation.

Participation intends to empower the previously disadvantaged in decision-making (Arnstein 2011: 3; Brynard 40; Saxena 2011: 48). Formal decision makers are not only advantaged by virtue of their socio-economic status, but also by virtue of their official positions. Should they be included in the concept of the public, they will have control over decision-making in participation. This would render public participation ineffective. Cloete and De Coning (2018: 41) purport that public administrators would more likely maintain the status quo than agitate for change. This could be a reason Brynard (1996: 40) draws a distinction between the public and "formal decision makers" in participation.

Davids and Maphunye (2009: 65) similarly draw a distinction between the public and public officials. The authors state that public officials are one of several stakeholders in participation and that they should learn to govern with the public as active partners. This signifies that they are not to be seen as part of the public. As formal decision makers are included in the concept of the public in the municipality, the inference can be drawn that the advantaged had control over decision-making in the IDP.

Additionally, the documentary evidence signified that "the people" in the municipality were investors, innovators, skilled craftsmen, labourers, caregivers, law enforcers, and teachers. Contrasted to the unemployed, this group of people are economically advantaged. The same can be said of businesses, which are mentioned in the documents. The fact that advantaged groups of people are highlighted in the document, as opposed to the disadvantaged unemployed, suggests that the advantaged played a more prominent role in the IDP than the disadvantaged. The documents do not specifically mention that disadvantaged people, communities or citizens were included in the process. There is reference that people from poor areas

were targeted for participation. This, however, appears mainly to be on the level of informing instead of consulting and decision-making. There are different levels of public participation.

7.3.2 Description of the levels of public participation in the annual budget and IDP processes in the municipality

In this study, public participation is viewed as a process consisting of different levels of participation. Arnstein (1969: 216) invented the concept of levels of participation (see Chapter 2, section 2.5.2). Arnstein mentioned that different situations necessitate different levels of participation. This necessitated that the levels of participation first be determined in local government in South Africa before it could be described.

To determine the required levels of public participation in local government in South Africa, a literature review was conducted. The review revealed that the required levels of participation in local government in South Africa should be informing the public, educating the public, consulting the public, deciding with the public, implementing with the public, reviewing with the public, and reporting back to the public. Using the identified levels of participation as a benchmark, the actual levels of participation were probed in the annual budget and IDP processes of the municipality (see Chapter 2, section 2.5.2).

7.3.2.1 Informing the public in the annual budget and IDP processes

The research found that public participation in the annual budget and IDP processes in the municipality occurred on the level of informing. At this level, the minimum requirements for participation were met. The public were informed about the issue for participation, their right to participate, their civic duty to participate and the mechanisms available for participation. A super majority (more than two thirds) of survey respondents indicated that they were properly informed about participation while the minority indicated to not have been properly informed. An analysis of the reasons submitted for this claim attribute it to communication problems (see Chapter 5, section 5.3.2.1 and Chapter 6, section 6.3.2.1). Communication problems relate to

language problems, differences in attitudes and expectations, feelings of mistrust, suspicion or resentment (Brynard 1996: 135). For example, some respondents mentioned that notices were sent too late, the information was difficult to understand, the process was not explained and public officials appeared indifferent.

7.3.2.2   Educating the public in the annual budget and IDP processes

Scholars in participation maintain that educating the public in participation is an essential step of public participation (Innes and Booher 2000; Michels and De Graaf 2010: 480; Thomas 2014). Arceneaux and Butler (2015: 131) point out that participation education is necessary to encourage participation among the disadvantaged people. The Municipal Systems Act stipulates in section 16 (1) (b) that the municipality must put resources aside to capacitate and educate the public for participation. However, no documentary evidence could be found that the municipality capacitated or educated the public in participation. An official in the PPU in the municipality confirmed in the interview questionnaire that the municipality did not conduct any capacity building exercises or interventions that contribute to building the capacity of the public for participation in terms of section 16 (1) (b) of the Municipal Systems Act. This means that the level of educating the public was not achieved in the municipality.

7.3.2.3   Consulting the public in the annual budget and IDP processes

This level of participation was achieved in the municipality. An absolute majority (more than 50%) of survey respondents indicated that the municipality solicited their input on the annual budget. Documents and records in the municipality confirmed that this was the case in the IDP as well. Evidence collected via the survey questionnaire and document study substantiated that the public had submitted inputs and / or comments on the annual budget and IDP processes in the municipality.

7.3.2.4 Deciding with the public in the annual budget and IDP processes

Information collected via the survey questionnaire indicated that the public participated directly in decision-making in the annual budget process. This pertained, however, to budget ward allocations. The reason for this observation is that survey respondents specified various community forums and committees (including ward committees) where decision-making in the annual budget process occurred. Most of the community committees and forums specified do not have decision-making powers pertaining to the annual budget and IDP, whereas ward committees do have limited decision-making (Masango et al. 2013: 99). Ward committees, for example, can initiate and identify developmental projects in the ward during budgeting (Masango et al. 2013: 93). The ward councillor is the chairperson of the ward committee (Thornhill and Cloete 2014: 75). As chairperson and ward councillor, he or she has final say over the utilisation of budget ward allocations in the ward. This means that the ward councillor can delegate ward committees decision-making powers on this matter. The finding is that public decision-making in the annual budget was restricted to the utilisation of budget ward allocations in wards.

The evidence collected via the document study and analysis point that the public did not participate directly in decision-making in the IDP. The Five-year plan for the City of South Africa IDP 2012/2013 Review indicates that public input served as suggestions (City of South Africa [Sa]: 7). In addition, the Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/ 2014 Review indicates that public officials consider and evaluate public input and translate it into a series of key recommendations (City of South Africa [Sa]: 22). There is no documentary evidence that the public participated directly in the consideration of public input (suggestions) or in deciding which to recommend for approval to politicians. Consequently, deciding with the public in the IDP did not occur in the municipality.

7.3.2.5   Implementing with the public in the annual budget and IDP processes

Public participation in the municipality occurred on the level of implementation. The survey results indicate that the public have submitted inputs on the annual budget. According to the survey results, a minority of inputs submitted on the budget were implemented (43.2%). As participation, like democracy, should favour the majority, implementing with the public in the annual budget was not fully achieved. However, it should be borne in mind that the survey constituted volunteer sampling. The results of volunteer sampling cannot be generalised to the population (see Chapter 5, section 5.2.2). This means that based on the survey results, it cannot be conclusively proven that the level of implementation was not achieved in the annual budget process.

The City of South Africa Integrated Annual Report 2014/ 2015 (City of South Africa [Sa]) specifies under Programme 4.2 (a): Community amenities programme that the public participated directly in the establishment of community food gardens, extended public work (EPW) projects and were recipients of public grants allocated for developmental projects (see Chapter 6, section 6.3.2.4). De Coning et al. (2018: 263) mention that such strategies signify public participation in implementation. This confirms that participation attained the level of implementing in the IDP. This is despite the fact that no documentary evidence could be found that implementation was used for skills development (De Coning et al. 2018: 263) or that any implementation mechanism or forum (e.g. IDP representative forum) existed.

7.3.2.6   Reviewing with the public in the annual budget and IDP processes

The survey results indicated that reviewing with the public occurred in terms section 21 (1) (b) (ii) (bb) (iv) of the Municipal Finance Management Act and section 16 (1) (a) (i) of the Municipal Systems Act. Though the survey indicates that low numbers of survey respondents participated in reviewing in the annual budget and IDP processes, the low number of respondents bears testimony that there was

opportunity for participation in reviewing. Ultimately, the onus to participate or not to participate rests with the public.

7.3.2.7 Reporting back to the public in the annual budget and IDP processes

Evidence does not support that public participation obtained the level of reporting back to the public. According to section 17 (2) (e) of the Municipal System Act, local government should put participation mechanisms in place for reporting back to the public. Since people participate to influence decision-making (Brynard 1996: 136; Theron 2009: 114), there should be report back on decision-making in participation.

The information collected via the interview questionnaire mentions that report back entailed line departments providing residents with feedback on how their comments were taken into consideration in terms of amending draft budget and tariffs. In this instance, report back was in the form of email and letters to persons who did not have email. The same questionnaire mentioned that report back on the IDP focused on attendance and the nature of public comments at public meetings. This was executed at an open public municipal council sitting by the executive mayor.

In both of the aforementioned instances, the focus was not on how decisions were arrived at in the participation process. Van der Waldt (2014: 26) points out that the public need to know how decisions are made in participation. As participation involves educating the public, the public should be educated on decision-making in the process. Decisions in public policy making and planning affect the general public. As a result, the general public should be included in report back on decision-making. In the instance of the annual budget, report back was restricted to those who delivered inputs and comments on the annual budget. This observation is supported by the fact that report back was in the form of email and letters and not mass media. In the instance of the IDP, report back occurred at a municipal council sitting. Not all members of the public have access to the municipal council. On the other hand, the municipal council is a party political institution and not a public participation mechanism as defined in this study. A more appropriate mechanism would have

been local newspapers or even public meetings. Based on these considerations, reporting back to the public in participation did not occur in the municipality.

7.3.3 Description of public participation mechanisms accessed in the annual budget and IDP processes in the municipality

The survey questionnaire and documents study and analysis revealed that the public accessed various participation mechanisms during informing and consulting the public. These mechanisms are described hereunder.

7.3.3.1 Public participation mechanisms accessed for informing the public in the annual budget and IDP processes

Responses received via the survey questionnaire confirmed that the public accessed various participation mechanisms to participate in the budgeting process. To obtain information about public participation in the annual budget process, the public accessed several platforms. These include (in descending order) email, local community newspapers, ward committees, metropolitan sub-councils meetings, mainstream newspapers, public meetings, information pamphlets or flyers. These communication channels also include the official website of the municipality, bulletins of the municipality, information sessions, short message service (SMS), municipal council meeting, focus groups, radio broadcasts, public hearings, budget workshops, television broadcasts, survey questionnaires, exhibitions, house visits and closed meetings (see Chapter 5, section 5.3.2.1).

The survey results indicate that mechanisms most frequently accessed by respondents to be informed about public participation in the annual budget process were, in descending order, email, local community newspapers, ward committees and metropolitan sub-council meetings. Based on the frequency accessed by respondents, these mechanisms can be considered the most effective. The participation mechanisms most infrequently accessed by respondents for the same purpose were closed meetings, postal mail, exhibitions held by the municipality and

house visits. In this instance, these mechanisms were ineffective (see Chapter 5, section 5.3.2.1).

Public documents and records revealed that for informing the public in the IDP, the municipality used newspapers, radio, public meetings, the official website of the municipality, social media, and information brochures. Informing took place at shopping malls, clinics, libraries, schools and municipal cash offices. Municipal resources such as the municipal newsletter, official database of registered organisations and the "Welcome to the 5 Year Plan (IDP) website" of the municipality were used as well (see Chapter 6, section 6.4.1).

The "Welcome to the 5 Year Plan (IDP) website" of the municipality made the public aware of their right and duty to participate and the available mechanisms for participation such as sub councils, ward forums, libraries, public meetings, written submissions (post, e-mail and paper forms), faxes and online forms (Chapter 6, section 6.4.1).

7.3.3.2 Public participation mechanisms accessed for consulting the public in the annual budget and IDP processes

Survey respondents indicated that consulting in the annual budget in the municipality occurred in several communication media and public forums. These include (in descending order) email, local community newspapers, ward committee meetings, sub-council meetings, website, public meetings, information pamphlets or flyers. Also included are information sessions of the metropolitan municipality, focus group meetings, mainstream newspapers, municipal council meetings, survey questionnaire, short message service (SMS), radio broadcasts, bulletins of the metropolitan municipality, budget workshops, exhibitions held by the municipality, public hearings, television broadcasts, closed meetings, and house visits. The mechanisms most frequently accessed by respondents were email, local community newspapers, ward committee meetings and sub-council meetings (see Chapter 5 section 5.3.2.2). This is the same frequency order as at the level of informing.

To provide inputs and comments on the budgeting process in consulting, respondents accessed in descending order, the email, ward committee meetings, sub-council meetings, information sessions, website, focus group meetings, survey questionnaire, public meetings, website of the municipality, budget workshop, municipal council meeting, public hearings, exhibitions, closed meetings, postal mail. In this instance, the email, ward committees and sub-council meetings appeared the mechanisms most frequently accessed by respondents to provide input in the annual budget (Chapter 5, section 5.3.2.2).

Public documents and records disclosed that during consultation (to deliver input and comment) in the IDP in the municipality, the public participated chiefly in a satisfaction survey, a complaints notification system and an IDP engagement process (City of South Africa 2012: 21-22).

7.3.3.2.1   Satisfaction survey

The satisfaction survey questionnaire was administered to 3000 resident respondents randomly selected across eight health districts (stratified sampling) to reflect the diversity in the municipality. It involved an in-depth 40 minute interview with trained interviewers. The purpose of the survey was to monitor the performance of the municipality from the public's point of view on a district and city-wide level. The survey provided the municipality with information about the perceptions, priorities and views of residents. The Five-year plan for the City of South Africa 201-2017 IDP Draft 2013/2014 Review mentions that the collected information was translated into a series of key recommendations, which were used to guide local government planning and inform decision making (City of South Africa [Sa]: 22).

Even though a survey can be an appropriate mechanism for public participation, it has shortcomings (Brynard 1996: 140; Ebdon and Franklin 2006: 440). Brynard (1996: 47), for example, points out that survey may be bias in the choice of questions, alternative responses and the construction thereof. Ebdon and Franklin (2006: 440) mention that surveys may not show how strongly a person feels about

an issue. These points are validated by comments received from two survey respondents who stated that public participation is merely a box ticking exercise.

Though it is merely two respondents, their comments represent a viewpoint (Onwuegbie and Leech 2007: 107). The complaints notification systems and IDP engagement process supplemented the satisfaction survey.

7.3.3.2.2   Complaints notification system

The Five-year plan for the City of South Africa 2012-2017 IDP 2012/13 review recorded that the complaints notification system recorded the complaints which the public lodged in terms of municipal services and functions (City of South Africa [Sa]: 3). Public complaints were received via the switch board or electronic message service and captured. The municipality indicated that the information received via the service was not "scientifically defensible" as more than one call could have related to the same issue or complaint. Despite this, the information collected provided a useful indicator of public complaints for the municipality. The complaints notification system served as a proxy indicator of the importance of a municipal function (City of South Africa Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/14 Review [Sa]: 25).

The handicap of this mechanism is that it focuses solely on service complaints and functions whereas the Constitution, 1996 requires in section 153 that local government should focus on delivering on the public's basic needs. This means that the focus should be on the disadvantaged people, those who do not have access to houses, electricity, and water. Participation is not about responding to the normal service delivery complaints of the advantaged people but rather to the needs of those who do not have.

7.3.3.2.3   IDP engagement process

The IDP engagement process involved sub-councils and ward committee meetings. According to sections 7 (d) and (e) of the Municipal Structures Act, sub-councils and

ward committees are types of participatory systems in local government. A sub-council has a number of wards under its jurisdiction. Each ward is represented by its ward councillor (elected politician). In addition, an equal number of councillors elected to the municipal council are proportionally chosen from party lists to serve on the sub-council (Van der Waldt 2014: 63).

The document study does not clarify what the role of the sub-council meetings was during public participation in the IDP. However, sub-council meetings are open to the public and sub-councils can make recommendations on any matter affecting its area of jurisdiction. Each sub-council has a number of wards under its jurisdiction (Craythorne 2006: 115; Van der Waldt 2014: 63).

On the other hand, wards have ward committees. The ward committees consist of the ward councillor and not more than ten elected persons who should represent the different interests in the ward. Women should equitably represent the committees. Ward committees can make any recommendation to the ward councillor, sub-council, mayoral committee member or municipal council on any matter affecting its area of jurisdiction (Van der Waldt 2014: 63; Venter 2014: 95).

The Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/14 Review communicated that ward committees were used to identify community-based organisations and to invite them to public meetings. In addition, ward committees assisted with the dissemination of information about meetings, and ensured that members of the public wanting to attend a meeting knew where the pick-up points were. They also aided with registration at meetings (City of South Africa [Sa]: 24]. The suggestion is therefore that ward committees were mainly involved in the logistical arrangements surrounding the IDP instead of actually participating in the compilation of the IDP.

The document reveals that three types of meetings were held, namely, mayoral meetings, special sub-council meetings, and general meetings. At meetings, members of the public were invited to provide comments, either verbally or by completing a "Have your say" form. This confirms that provision was made in terms

of section 17 (2) (a) of the Municipal Systems Act for those who could not read or write to verbalise their needs. According to the study document, the "Have your say" form captured very specific information about what residents want to have done in their specific wards or sub-council. At least one input was captured for all service departments (City of South Africa [Sa]: 24).

The Five-year plan of the City of Cape Town 2012-2017 IDP Draft 2013/14 records that in the IDP engagement process, members of the public drive specific public agendas while in the satisfaction questionnaire and complaints notification system this is not the case (City of South Africa [Sa]: 23). The comment indicates that the municipality does not view the idea of public agenda setting in a positive light. Agenda setting is part of the policy making and planning process (Cloete 2018: 137). It allows individuals and groups to raise their different concerns and compete for public agenda status. Owing to limited space on the public agenda, individuals and groups compete for government attention (Anderson 2015: 98). The competition between individuals and groups are normal in a democratic society (Cloete and De Coning 2018: 43). The role of public officials is to manage the group conflict (Dye 2017: 17). In view of this, it appears that the IDP engagement process is an appropriate mechanism for public participation in policy making and planning in the municipality, and should be encouraged.

7.3.4 Description of the scope of public participation in the annual budget and IDP processes in the municipality

The survey results indicate that at the both levels of informing and consulting, the scope of public participation was reasonably broad. This inference is based on the public participation mechanisms the survey questionnaire yielded. The survey questionnaire yielded that for informing and consulting in the annual budget, the public accessed mass media such as radio and television broadcasts. Radio and television broadcasts can reach millions of people (Cloete 2011: 142). The Term of Office 5 year plan (IDP) 1 July 2012-30 June 2017 version 5, 2 (26 January 2012) of the City of South Africa reveals that more than a million people were reached at this stage (City of South Africa 2012: 2). This suggests that the scope of participation was reasonably broad at the beginning of the IDP, which supports the notion of ensuring a broad scope participation at the beginning of the process (Brynard 1996: 136). This was, however, a passive form of participation.

The Five-year plan for the City of South Africa 2012-2017 IDP 2012/2013 Review submitted that 6500 "Have your say forms" were received at the level of consulting (City of South Africa [Sa]: 33). This means that the scope of active participation was 6500 people at the level of consulting. In this study, active participation is described as the input and comments the public provided when requested to do so during participation (Rowe and Frewer 2004: 515). In addition, the Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/2014 Review mentions that 3000 respondents across eight Health Districts participated in a satisfaction survey questionnaire. The document posits that the survey was representative of the districts in the municipality and scientifically defensible (City of South Africa [Sa]: 22). Onwuegbie and Leech (2007: 105) assert that a representative sample represents the wider population, in this case, the public in the municipality (Theron 2009: 129). This means the scope of active participation in the IDP was reasonably broad in the IDP

As the 732 837 complaints received from the public during 1 July 2011 and 30 June 2012, as mentioned in the Five-year plan 2012-2017 IDP Draft 2013/14 Review, was

not scientifically defensible, it is not taken into account in the determination of the scope of participation (City of Cape Town [Sa]: 25). The scope of participation could not be determined at the levels of implementing and reviewing while the levels of educating, deciding and reporting back to the public were not attained in the municipality.

7.3.5 Description of public influence in decision-making in the annual budget and IDP processes in the municipality

The intention of participation is to influence decision-making in the participation process (Brynard 1996: 140; Theron 2009: 114). To determine whether the public had an influence in decision-making in participation, representatives of groups registered on the official database of the municipality were requested to indicate whether they have submitted any input or comments on the budgeting process, and whether it was implemented.

Though the database consisted of over 4000 groups, only 202 representatives of groups responded to this request. Of this group, 77 indicated that they submitted input or comments in the budgeting process of which 32 (43.2%) respondents confirmed that their input or comments were implemented. In other words, less than 50% of respondents' input and comments were implemented. There could be reasons for this. For example, Khalo (2014: 204) and Bandy (2015: 44) mention that public needs always exceed available financial resources in local government. It could be also that some inputs or comments were not regarded as priority. Pauw (2009: 53) considers prioritising a central feature of budgeting. Despite these factors, the result indicates that the majority of respondents' input and comments in the annual budget were not implemented. This is an indication that public input did not have a determining influence in decision-making in the annual budget in the municipality. Owing to this being a volunteer sample, this result cannot be generalised to the sampling frame.

Though the Term of office 5 year plan (IDP) 1 July 2012-30 June 2017 of the municipality suggests that public participation in the municipality informed "budget

priorities, decision-making and allocation of resources" (City of South Africa [Sa]: 3), this was not completely true. The Five-year plan for the City of South Africa 2007-2012 IDP 2011-2012 Review indicates that 3 190 public inputs have been received via the 'Have your say' forms of which 598 projects have been prioritised. In other words, only 18.7% of public input received via the 'Have your say form' has been prioritised as projects. This means that public influence in decision-making in the IDP in the municipality translates to 18.7%. (City of South Africa [Sa]: 34). Bearing in mind that the Five-year plan 2012-2017 IDP Draft 2013/14 Review states that the 'Have your say' form was designed in a manner to capture very specific information about what the public want to have done in their specific wards / sub-councils. This includes a potential physical location for the service and at least one input for all service departments (City of South Africa [Sa]: 24). There is also no mention that the public participated in the prioritisation of projects.

In addition, the Five-year plan for the City of South Africa 2007-2012 IDP 2011-2012 Review indicates that 171 projects have been prioritised as a result of councillors (politicians) initiatives (City of South Africa [Sa]: 34). The document mentions that there were 105 wards at that time, hence 105 councillors (one councillor per ward). Since 171 projects have been prioritised based on the initiative of 105 councillors (1.6 project per councillor), it means that councillors had a greater influence in decision-making in the IDP than the public in the municipality. This observation should be viewed in terms of the 598 projects that were prioritised in relation to the 3 190 public inputs that were received via the 'Have your say' forms. For every 5.3 inputs received from the public, one project was prioritised.

Though the public participated in the prioritisation of public needs through the community satisfaction survey, no documentary evidence could be found that public priorities or complaints were given priority over other municipal services during budget allocations. Nealer (2014: 167) indicates that a typical municipality could have as much as 16 service departments who compete for a share of the budget. Public priorities can be in conflict with that of public officials and politicians. Moreover, the Five-year plan for the City of South Africa IDP 2012/2013 Review specified that public input served as suggestions (City of South Africa [Sa]: 7). On

the contrary, the Five-year plan for the City of South Africa 2012-2017 IDP Draft 2013/2014 Review indicates that public officials consider the suggestions and make recommendations for approval to politicians (City of Cape Town [Sa]: 22). This means that public officials had influence over what to recommend to politicians instead of the public.

7.4   RECOMMENDATIONS

Chapter 1 section 1.3 mentioned that the motivation of this research project was to describe participation with the view of improving participation in local government. For this purpose, the following recommendations, informed by findings made during the study, are submitted to improve public participation in the City of South Africa.

7.4.1 The City of South Africa needs to use the levels of public participation (informing, educating, consulting, deciding, implementing, reviewing and reporting back), determined for this study, as a framework for the effective implementation of public participation in the City of South Africa.

7.4.2 The City of South Africa needs to develop for implementation an informing strategy to deal with the communication problems experienced at the level of informing. The informing strategy should address the following questions:
- What information is required by the public to participate effectively?
- Why should the public receive the information?
- Who of the public should receive the information?
- When should the public receive the information?
- Where should the public receive the information?
- How should the public receive the information?

7.4.3 The City of South Africa needs to compile a participation education programme for implementation at the level of educating. Topics should cover how democracy, participation and local government work. The outcome

should be to improve the quality of public participation in the City of South Africa.

7.4.4 The City of South Africa needs to implement the strategies submitted in Chapter 4, section 4.8 to increase the scope of active participation of disadvantaged individuals and groups in the annual budget and IDP processes.

7.4.5 The City of South Africa needs to provide opportunity for the public to participate directly in the consideration and evaluation of public input and comments, and in the preparation of the submission of recommendations to politicians for final decision.

7.4.6 The City of South Africa needs to establish an implementation forum (e.g. IDP representative forum) to monitor implementation in participation. The goal of the forum should be to promote employment and sustainable development at the local sphere (skills, jobs, local projects).

7.4.7 The City of South Africa needs to use reviewing as an evaluation instrument in participation.

7.4.8 The City of South Africa needs to have a more comprehensive and structured reporting back programme. Reporting back should be used as an evaluation and participation educating tool.

7.5 SUGGESTIONS FOR FUTURE RESEARCH

Another motivation for undertaking this research was to deliver a study that could serve as a baseline for future studies.

In this regard, the following suggestions for future research are made:

7.5.1 By employing participatory action research, study the effective implementation of public participation in the local government by making use of the levels of public participation framework submitted for this study, and implementing the recommendations made for this study.

7.5.2 Through participatory action research, investigate whether the strategies to encourage participation submitted in Chapter 4, section 4.8 will increase the scope of active participation amongst the disadvantaged.

7.5.3 Investigate whether an informing strategy combined with a participation educating programme will improve the quality and scope of active public participation.

7.5.4 Through action participatory research, explore the institutionalisation of public participation in decision-making in the City of South Africa.

7.5.5 Through action participatory research, explore the institutionalisation of a public participation implementation forum in the City of South Africa.

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ANNEXURE 1

DEPARTMENT: PUBLIC ADMINISTRATION AND MANAGEMENT
RESEARCH ETHICS REVIEW COMMITTEE

Date: 24 March 2016

Dear Mr Martin

| Ref #: PAM/2016/004 (Martin) |
| Name of applicant: Mr PJ Martin |
| Student #: 5216818 |

Decision: Ethics Clearance Approval

Name: Mr PJ Martin,   tel: 0846978619
[Supervisor: Ms RG Wessels, 012 429 6941, rwessels@unisa.ac.za]
Research project: Public participation in the policy making and planning processes of local
government in South Africa with specific reference to the   ۱ metropole:
Qualification: MADMIN

Thank you for the application for **research ethics clearance** by the Department: Public
Administration and Management: Research Ethics Review Committee for the above
mentioned research. Final approval is granted for the duration of the project on the
condition that a letter from the   Municipality, in which permission is granted to
you to do this research in that area, is submitted to this Ethics Committee within **30 days** of
the date of this letter.

The decision will be tabled at the next College RERC meeting for notification/ratification.

For full approval: The application was reviewed in compliance with the Unisa Policy on
Research Ethics by the RERC on 17 March 2016. The proposed research may now
commence with the proviso that:
1) The researcher will ensure that the research project adheres to the values and principles
   expressed in the Unisa Policy on Research Ethics.
2) Any adverse circumstance arising in the undertaking of the research project that is
   relevant to the ethicality of the study, as well as changes in the methodology, should be
   communicated in writing to this Ethics Review Committee. An amended application could
   be requested if there are substantial changes from the existing proposal, especially if
   those changes affect any of the study-related risks for the research participants.
3) The researcher will ensure that the research project adheres to any applicable national
   legislation, professional codes of conduct, institutional guidelines and scientific standards
   relevant to the specific field of study.

Kind regards

Prof Mike van Heerden
Chairperson:
Research Ethics Review Committee
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2016-04-25

Manager

INPUT TO RESEARCH REQUEST – MR PETER MARTIN

The above mentioned request, reviewed by Ms (, refers.

Mr Martin is doing the research for a Masters in Administration through UNISA. He is resident in   i and works for the   it, as per his email address.

Based on the information provided by Mr Martin (attached for ease of reference), the review is forwarded for your consideration.

The review has been guided by the   criteria outlined in the approved document   > conduct research".

- Mr Martin's research and request to the   has three elements:
   a) Access to official records and documents regarding the   s budget and IDP processes
   b) Use of a questionnaire to interview the public who participated in the   (   ) Budget and IDP processes
   c) A semi-structured, face to face interview of officials from the Finance,   IDP &   and public participation unit (maximum 60 minutes, voluntary, confidential)

- The research documentation is complete, including a research plan.
- Proof of registration and the University Ethics approval has been obtained and is attached.
- The research focus is on the public participation processes of the Budget and IDP, in the period 2011 to 2016 – and is within the scope and powers of the

- The intention is to complete the interviews in September and October 2016.
- The research would be of value to the   and the   IDP and Public Participation section in particular, as it will look at the processes over 3 years. New information could be gained in terms of public participation processes.
- The research proposal and methodology is sound. The literature review is full. The draft questionnaires (pubic, and officials) are developed and aligned to the research objectives, questions and intended outcomes.
- The research is not a duplicate of any other research request to the   over the past 3 years (as per applications/requests received in the   Department).
- There are no large anticipated risks associated with the research — however this is provided that the researcher obtains and uses the correct information. As the researcher may experience challenges accessing full information and obtaining full feedback from officials via interviews in the time available, it is suggested that in order to manage any potential risk to the   – the researcher is requested to <u>not use</u> the   name.

It is recommended that the   Manager approves the request to conduct the research subject to:

1.   Access to official records and documents is to be undertaken mainly via the web and the focus to be on publically available information.
    o   Any additional information and data required by the researcher is to be requested in writing via the respective Executive Director: Budget – the Chief Financial Officer; for the IDP and public participation – the Executive Director Corporate Services and Compliance.

2.   Participation by any   officials, is on a voluntary basis and at the discretion of the staff member as they feel able to respond/participate

3.   The name of the   is not mentioned or used. (Reference to be anonymised or made generic)

A copy of the final completed thesis being sent to the Chief Financial Officer, the Director of the Integrated Development Plan and   ctor: De

APPROVED/ NOT APPROVED **(Approval is granted subject to the recommendations above being adhered to)**

MANAGER Signature
& DATE

ANNEXURE 3

<u>**SURVEY QUESTIONNAIRE**</u>

<u>**GUIDELINES TO PARTICIPANTS**</u>

Section 195 (1) (e) of the Constitution of the Republic of South Africa, 1996, stipulates that people's needs must be responded to and that the public must be encouraged to participate in public policy-making.

Giving effect to this stipulation at local government level, the Local Government: Municipal Systems Act, 32 of 2000 requires that local government encourages, and create conditions for the local community to participate in the affairs of the municipality, including in the preparation of the **Annual Budget** as well as in the preparation, implementation and review of its **IDP**.

The purpose of this questionnaire is to gather information on public participation in order to describe the implementation of public participation at the metropolitan municipality where you reside with a view to possibly improving the public participation process at the metropolitan municipality.

Since your input is valued, you have been selected to participate in this study. Should you agree to participate in this study, you are requested to complete the questionnaire by providing your biographical details and indicating your experiences in terms of participating in the **Annual Budget and IDP** processes of the metropolitan municipality where you resided during 18 May 2011 and 3 August 2016.

Please also take the following into account:

- There are THREE (3) SECTIONS to the questionnaire. The first section gathers biographical details whereas the other two sections gather information on your

participation in the **Annual Budget and IDP** processes of the metropolitan municipality where you resided during 18 May 2011 and 3 August 2016.

- Please read through each statement carefully before responding. Some questions are open to more than one choice, whereas others are closed and therefore require only one choice.

- Please mark your choice or choices with a tick in the relevant block.

- Should you agree to participate in the survey, you are required to complete the statements to the best of your knowledge.

- The questionnaire is voluntary and you can withdraw at any time.

- After completion of the questionnaire, *please submit the questionnaire* electronically.

- *The questionnaire will take less than 30 minutes to complete.*

Thank you in advance for your participation and invaluable contribution.

SECTION A

THIS SECTION GATHERS BIOGRAPHICAL DETAILS

PLEASE INDICATE WITH A TICK IN THE BLOCK NEXT TO THE APPROPRIATE ANSWER OR SUPPLY THE REQUIRED INFORMATION.

1.   PLEASE INDICATE YOUR AGE GROUP.

1	18-29 YEARS	
2	30-49 YEARS	
3	50 -59 YEARS	
4	60 YEARS AND OLDER	

2.   PLEASE INDICATE YOUR SEX.

1	MALE	
2	FEMALE	

3.   PLEASE INDICATE YOUR HIGHEST LEVEL OF EDUCATION.

1	NO SCHOOLING	
2	PRIMARY	
3	SECONDARY	
4	UNDERGRADUATE	
5	GRADUATE	
6	POST GRADUATE	
7	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY):_____

4.   PLEASE INDICATE YOUR EMPLOYMENT STATUS.

1	EMPLOYED FOR WAGES/SALARY	

2	SELF EMPLOYED	
3	OUT OF WORK AND LOOKING FOR WORK	
4	OUT OF WORK BUT NOT CURRENTLY LOOKING FOR WORK	
5	HOMEMAKER	
6	FULL TIME STUDENT	
7	RETIRED	
8	UNABLE TO WORK	

5. PLEASE INDICATE YOUR RESIDENTIAL STATUS.

1	OWNER OF FORMAL DWELLING OR BRICK STRUCTURE	
2	OWNER OF INFORMAL DWELLING OR SHACK	
3	RENT FORMAL DWELLING OR BRICK STRUCTURE	
4	RENT INFORMAL DWELLING OR SHACK	
5	OTHER	

IF OTHER, PLEASE SPECIFY:_____

6. PLEASE INDICATE WHETHER YOU HAVE EVER BEEN AN **EXECUTIVE MEMBER** OF ANY GROUP, ORGANISATION, COMMITTEE OR BUSINESS INTEREST.

1	YES	
2	NO	

IF YOU HAVE ANSWERED "YES" TO QUESTION 6 ABOVE, PLEASE INDICATE THE TYPE OF COMMUNITY GROUP, ORGANISATION OR BUSINESS INTEREST (YOU MAY CHOOSE MORE THAN ONE) YOU HAVE BEEN AN EXECUTIVE MEMBER.

1	CIVIC ORGANISATION	
2	RATEPAYERS ASSOCIATION	
3	COMMUNITY POLICE FORUM (CPF)	
4	NEIGHBOURHOOD WATCH	
5	STREET COMMITTEE	
6	FAITH BASED ORGANISATION	
7	ENVIRONMENTAL GROUP	
8	EDUCATION GROUP OR ORGANISATION	
9	YOUTH	
10	ARTS AND CULTURE	
11	SPORT	
12	GROUP OR ORGANISATION THAT DEALS WITH NEEDS OF THE VULNERABLE AGED, WOMEN OR DISABLED GROUPS	

13	SMALL BUSINESS ENTERPRISE	
14	MEDIUM BUSINESS ENTERPRISE	
15	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY):_____

8.   PLEASE INDICATE WHETHER YOU HAVE ANY PHYSICAL DISABILITY.

1	YES	
2	NO	

9.   PLEASE INDICATE IN WHICH METROPOLITAN MUNICIPALITY OR METROPOLITAN
         MUNICIPALITIES YOU WERE RESIDENT DURING 18 MAY 2011 AND 3 AUGUST 2016

1	BUFFALO CITY METROPOLITAN MUNICIPALITY	
2	CITY OF CAPE TOWN METROPOLITAN MUNICIPALITY	
3	CITY OF JOHANNESBURG METROPOLITAN MUNICIPALITY	
4	CITY OF TSHANE METROPOLITAN MUNICIPALITY	
5	CITY OF EKURHULENI METROPOLITAN MUNICIPALITY	
6	ETHEKWINI METROPOLITAN MUNICIPALITY	
7	MANGAUNG METROPOLITAN MUNICIPALITY	
8	NELSON MANDELA BAY METROPOLITAN MUNICIPALITY	

SECTION B (BUDGET)

THIS SECTION FOCUSES ON YOUR EXPERIENCES IN TERMS OF PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY WHERE YOU WERE RESIDENT DURING 18 MAY 2011 AND 3 AUGUST 2016.

1.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS)
         HAS INFORMED YOU ABOUT <u>PUBLIC PARTICIPATION IN THE ANNUAL BUDGET</u>

PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

IF YES:

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) USED **TO INFORM YOU** OF PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	LOCAL COMMUNITY NEWSPAPER(S)	
2	MAINSTREAM NEWSPAPER(S)	
3	RADIO BROADCASTS	
4	TELEVISION BROADCASTS	
5	INFORMATION PAMPHLETS OR FLYERS	
6	BULLETIN(S) OF THE METROPOLITAN MUNICIPALITY	
7	EXHIBITION (S) HELD BY THE METROPOLITAN MUNICIPALITY	
8	INFORMATION SESSION(S) OF THE METROPOLITAN MUNICIPALITY	
9	POSTAL MAIL	
10	EMAIL	
11	SMS	
12	WEBSITE OF THE METROPOLITAN MUNICIPALITY	
13	SURVEY QUESTIONAIRE(S)	
14	HOUSE VISIT(S) BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
15	**PUBLIC HEARING(S**) OF THE METROPOLITAN MUNICIPALITY	
16	**PUBLIC MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
17	**CLOSED MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
18	FOCUS GROUP MEETING(S)	
19	BUDGET WORKSHOP(S)	
20	WARD COMMITTEE MEETING(S)	
21	SUBCOUNCIL MEETING(S)	
22	MUNICIPAL COUNCIL MEETING(S)	
23	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY):_____

2.   IF YOU HAVE ANSWERED "YES" TO THE PREVIOUS QUESTION, PLEASE INDICATE AT
      WHICH STAGE OR STAGES OF THE ANNUAL BUDGET PROCESS THE METROPOLITAN
      MUNICIPALITY (OR ITS OFFICIALS) **INFORMED YOU** ABOUT <u>PUBLIC PARTICIPATION
      IN THE ANNUAL BUDGET PROCESS OF METROPOLITAN MUNICIPALITY</u> DURING 18
      MAY 2011 AND 3 AUGUST 2016.

1	**DURING PREPARATION** OF THE ANNUAL BUDGET BEFORE IT WAS TABLED IN THE MUNICIPAL COUNCIL OF THE METROPOLITAN MUNICIPALITY	
2	**AFTER TABLING** OF THE ANNUAL BUDGET IN THE MUNICIPAL COUNCIL OF THE METROPOLITAN MUNICIPALITY AND PUBLISHED FOR PUBLIC COMMENT	
3	DURING **IMPLEMENTATION** OF THE ANNUAL BUDGET	
4	**DURING REVIEW** OF BUDGET RELATED POLICIES	

3.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS)
      HAS INFORMED YOU OF *YOUR RIGHT TO PARTICIPATE* IN THE <u>ANNUAL BUDGET
      PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3
      AUGUST 2016.

1	YES	
2	NO	

4.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS)
      HAS INFORMED YOU OF *YOUR CIVIC DUTY TO PARTICIPATE* IN THE <u>ANNUAL BUDGET
      PROCESS OF THE METROPOLITAN MUNICIPALITY </u>DURING 18 MAY 2011 AND 3
      AUGUST 2016.

1	YES	
2	NO	

5.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS)
      HAS INFORMED YOU OF THE *PUBLIC PARTICIPATION MECHANISMS, PROCESSES AND
      PROCEDURES* THAT ARE AVAILABLE FOR <u>PUBLIC PARTICIPATION IN THE ANNUAL</u>

BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

6. PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) HAVE ***PROPERLY* INFORMED** YOU ABOUT <u>PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

IF NO, PLEASE EXPLAIN

_____
_____
_____
_____
_____
_____

7. PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) HAS **SHARED WITH YOU** *BUDGET RELATED INFORMATION* FOR <u>PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

IF YES

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) USED **TO SHARE WITH YOU** *BUDGET RELATED INFORMATION* FOR <u>PUBLIC</u>

PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	LOCAL COMMUNITY NEWSPAPER(S)	
2	MAINSTREAM NEWSPAPER(S)	
3	RADIO BROADCASTS	
4	TELEVISION BROADCASTS	
5	INFORMATION PAMPHLETS OR FLYERS	
6	BULLETIN(S) OF THE METROPOLITAN MUNICIPALITY	
7	EXHIBITION (S) HELD BY THE METROPOLITAN MUNICIPALITY	
8	INFORMATION SESSION(S) OF THE METROPOLITAN MUNICIPALITY	
9	POSTAL MAIL	
10	EMAIL	
11	SMS	
12	WEBSITE OF THE METROPOLITAN MUNICIPALITY	
13	SURVEY QUESTIONAIRE(S)	
14	HOUSE VISIT(S) BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
15	**PUBLIC HEARING(S)** OF THE METROPOLITAN MUNICIPALITY	
16	**PUBLIC MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
17	**CLOSED MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
18	FOCUS GROUP MEETING(S)	
19	BUDGET WORKSHOP(S)	
20	WARD COMMITTEE MEETING(S)	
21	SUBCOUNCIL MEETING(S)	
22	MUNICIPAL COUNCIL MEETING(S)	
23	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY):_____

8. **IF YOU ANSWERED "YES" TO THE PREVIOUS QUESTION**, PLEASE INDICATE AT WHICH STAGE OR STAGES OF THE ANNUAL BUDGET PROCESS THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS SHARED WITH YOU** *BUDGET RELATED INFORMATION* FOR PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

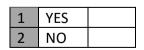|		
1	**DURING PREPARATION** OF THE ANNUAL BUDGET BEFORE IT WAS TABLED IN THE MUNICIPAL COUNCIL OF THE METROPOLITAN MUNICIPALITY	

2	**AFTER TABLING** OF ANNUAL BUDGET IN THE MUNICIPAL COUNCIL OF THE METROPOLITAN MUNICIPALITY AND PUBLISHED FOR PUBLIC COMMENT	
3	**DURING IMPLEMENTATION** OF THE ANNUAL BUDGET	
4	**DURING REVIEW** OF BUDGET RELATED POLICIES	

9.   PLEASE INDICATE WHETHER YOU UNDERSTAND THE *ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY.*

1	YES	
2	NO	

IF NO, PLEASE EXPLAIN:

_____

_____

10.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS INVITED OR REQUESTED YOU** TO SUBMIT INPUT(S) OR COMMENT(S) ON THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

IF YES

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **USED TO INVITE OR REQUEST YOU** TO SUBMIT INPUT(S) OR COMMENT(S) ON THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	LOCAL COMMUNITY NEWSPAPER(S)	
2	MAINSTREAM NEWSPAPER(S)	

3	RADIO BROADCASTS	
4	TELEVISION BROADCASTS	
5	INFORMATION PAMPHLETS OR FLYERS	
6	BULLETIN(S) OF THE METROPOLITAN MUNICIPALITY	
7	EXHIBITION (S) HELD BY THE METROPOLITAN MUNICIPALITY	
8	INFORMATION SESSION(S) OF THEMETROPOLITAN MUNICIPALITY	
9	POSTAL MAIL	
10	EMAIL	
11	SMS	
12	WEBSITE OF THE METROPOLITAN MUNICIPALITY	
13	SURVEY QUESTIONAIRE(S)	
14	HOUSE VISIT(S) BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
15	**PUBLIC HEARING(S**) OF THE METROPOLITAN MUNICIPALITY	
16	**PUBLIC MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
17	**CLOSED MEETING(S**) OF THE METROPOLITAN MUNICIPALITY	
18	FOCUS GROUP MEETING(S)	
19	BUDGET WORKSHOP(S)	
20	WARD COMMITTEE MEETING(S)	
21	SUBCOUNCIL MEETING(S)	
22	MUNICIPAL COUNCIL MEETING(S)	
23	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY)

_____

11.   PLEASE INDICATE WHETHER **YOU HAVE SUBMITTED ANY INPUT(S) OR COMMENT(S)** ON THE ANNUAL BUDGET DURING PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

IF YES

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* **YOU USED TO SUBMIT INPUT(S) OR COMMENT(S)** ON THE ANNUAL BUDGET DURING PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3

AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	AT AN EXHIBITION HELD BY THE METROPOLITAN MUNICIPALITY	
2	AT AN INFORMATION SESSION OF THE METROPOLITAN MUNICIPALITY	
3	VIA POSTAL MAIL	
4	VIA EMAIL	
5	VIA SMS	
6	THROUGH THE WEBSITE OF THE METROPOLITAN MUNICIPALITY	
7	BY COMPLETING A SURVEY QUESTIONAIRE OF THE METROPOLITAN MUNICIPALITY	
8	DURING A HOUSE VISIT BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
9	AT A **PUBLIC HEARING** OF THE METROPOLITAN MUNICIPALITY	
10	AT A **PUBLIC MEETING** OF THE METROPOLITAN MUNICIPALITY	
11	AT A **CLOSED MEETING** OF THE METROPOLITAN MUNICIPALITY	
12	AT A **FOCUS GROUP MEETING** OF THE METROPOLITAN MUNICIPALITY	
13	AT A **BUDGET WORKSHOP**	
14	AT A WARD COMMITTEE MEETING	
15	AT A SUBCOUNCIL MEETING	
16	AT A MUNICIPAL COUNCIL MEETING	
17	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY)

_____

12.   **IF YOU ANSWERED "YES" TO THE PREVIOUS QUESTION**, PLEASE INDICATE AT WHICH *STAGE OR STAGES OF THE ANNUAL BUDGET PROCESS* **YOU HAVE SUBMITTED INPUT(S) OR COMMENT(S)** DURING <u>PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	**DURING PREPARATION** OF THE ANNUAL BUDGET BEFORE IT WAS TABLED IN THE MUNICIPAL COUNCIL OF THE METROPOLITAN COUNCIL	
2	**AFTER TABLING OF ANNUAL BUDGET** IN THE MUNICIPAL COUNCIL OF THE METROPOLITAN MUNICIPALITY AND PUBLISHED FOR PUBLIC COMMENT	

| 3 | **DURING IMPLEMENTATION** OF THE ANNUAL BUDGET | |
| 4 | **DURING REVIEW** OF BUDGET RELATED POLICIES | |

13. **IF YOU HAVE ANSWERED "YES" TO QUESTION NR. 11,** PLEASE INDICATE WHETHER ANY OF THE *BUDGET INPUTS OR COMMENTS* WHICH YOU HAVE SUBMITTED ON THE BUDGET DURING <u>PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY </u>HAS BEEN **IMPLEMENTED** DURING 18 MAY 2011 AND 3 AUGUST 2016.

| 1 | YES | |
| 2 | NO | |

14. PLEASE INDICATE WHETHER **YOU HAVE <u>SERVED </u>ON ANY FORUM OR COMMITTEE** OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016 WHERE THE *ANNUAL BUDGET INPUTS OR COMMENTS* WHICH YOU OR THE PUBLIC HAVE SUBMITTED IN TERMS OF THE ANNUAL BUDGET PROCESS WERE **CONSIDERED** *FOR DECISION MAKING PURPOSES*.

| 1 | YES | |
| 2 | NO | |

IF YES

PLEASE SPECIFY THE FORUM OR COMMITTEE

_____

15. PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS PROVIDED <u>FEEDBACK</u> TO YOU** ON <u>PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY </u>DURING 18 MAY 2011 AND 3 AUGUST 2016.

| 1 | YES | |
| 2 | NO | |

SECTION C (IDP)

THIS SECTION FOCUSES ON YOUR EXPERIENCES IN TERMS OF PUBLIC PARTICIPATION IN THE INTEGRATED DEVELOPMENT PLANNING (IDP) PROCESS OF THE METROPOLITAN MUNICIPALITY WHERE YOU WERE RESIDENT DURING 18 MAY 2011 AND 3 AUGUST 2016.

1.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS INFORMED YOU** ABOUT <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

IF YES:

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) USED **TO INFORM YOU** OF <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	LOCAL COMMUNITY NEWSPAPER(S)	
2	MAINSTREAM NEWSPAPER(S)	
3	RADIO BROADCASTS	
4	TELEVISION BROADCASTS	
5	INFORMATION PAMPHLETS OR FLYERS	
6	BULLETIN(S) OF THE METROPOLITAN MUNICIPALITY	
7	EXHIBITION (S) HELD BY THE METROPOLITAN MUNICIPALITY	
8	INFORMATION SESSION(S) OF THE METROPOLITAN MUNICIPALITY	
9	POSTAL MAIL	
10	EMAIL	
11	SMS	
12	WEBSITE OF THE METROPOLITAN MUNICIPALITY	
13	SURVEY QUESTIONAIRE(S)	
14	HOUSE VISIT(S) BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
15	**PUBLIC HEARING(S)** OF THE METROPOLITAN MUNICIPALITY	
16	**PUBLIC MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
17	**CLOSED MEETING(S**) OF THE METROPOLITAN MUNICIPALITY	
18	FOCUS GROUP MEETING(S)	

19	IDP REPRESENTATIVE FORUM	
20	WARD COMMITTEE MEETING(S)	
21	SUBCOUNCIL MEETING(S)	
22	MUNICIPAL COUNCIL MEETING(S)	
23	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY):_____

2.   IF YOU HAVE ANSWERED "YES" TO THE PREVIOUS QUESTION, PLEASE INDICATE AT WHICH STAGE OR STAGES OF THE IDP PROCESS THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **INFORMED YOU** ABOUT PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	DURING **PREPARATION** OF THE IDP IN THE METROPOLITAN MUNICIPALITY	
2	DURING **IMPLEMENTATION** OF THE IDP IN THE METROPOLITAN MUNICIPALITY	
3	DURING **REVIEW** OF THE IDP IN THE METROPOLITAN MUNICIPALITY	

3.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS INFORMED YOU** OF *YOUR RIGHT TO PARTICIPATE* IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

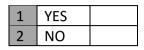| 1	YES	
2	NO	

4.   PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS INFORMED YOU** OF YOUR *CIVIC DUTY TO PARTICIPATE* IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

5. PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS <u>INFORMED</u> YOU** OF THE *PUBLIC PARTICIPATION MECHANISMS, PROCESSES AND PROCEDURES* THAT ARE AVAILABLE FOR <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

6. PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) HAVE ***PROPERLY* <u>INFORMED</u>** YOU ABOUT <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

<u>IF NO</u>, PLEASE EXPLAIN

_____
_____
_____
_____
_____
_____

7. PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS <u>SHARED</u> WITH YOU** *IDP RELATED INFORMATION* FOR <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) USED **TO SHARE** WITH YOU *IDP RELATED INFORMATION* FOR <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	LOCAL COMMUNITY NEWSPAPER(S)	
2	MAINSTREAM NEWSPAPER(S)	
3	RADIO BROADCASTS	
4	TELEVISION BROADCASTS	
5	INFORMATION PAMPHLETS OR FLYERS	
6	BULLETIN(S) OF THE METROPOLITAN MUNICIPALITY	
7	EXHIBITION (S) HELD BY THE METROPOLITAN MUNICIPALITY	
8	INFORMATION SESSION(S) OF THE METROPOLITAN MUNICIPALITY	
9	POSTAL MAIL	
10	EMAIL	
11	SMS	
12	WEBSITE OF THE METROPOLITAN MUNICIPALITY	
13	SURVEY QUESTIONAIRE(S)	
14	HOUSE VISIT(S) BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
15	**PUBLIC HEARING(S**) OF THE METROPOLITAN MUNICIPALITY	
16	**PUBLIC MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
17	**CLOSED MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
18	FOCUS GROUP MEETING(S)	
19	IDP REPRESENTATIVE FORUM	
20	WARD COMMITTEE MEETING(S)	
21	SUBCOUNCIL MEETING(S)	
22	MUNICIPAL COUNCIL MEETING(S)	
23	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY):_____

8.   **IF YOU ANSWERED "YES" TO THE PREVIOUS QUESTION**, PLEASE INDICATE AT WHICH STAGE OR STAGES OF THE IDP PROCESS THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS <u>SHARED</u> WITH YOU** *IDP RELATED INFORMATION* FOR <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	DURING **PREPARATION** OF THE IDP IN THE METROPOLITAN MUNICIPALITY	
2	DURING **IMPLEMENTATION** OF THE IDP IN THE METROPOLITAN MUNICIPALITY	
3	DURING **REVIEW** OF THE IDP IN THE METROPOLITAN MUNICIPALITY	

9.	PLEASE INDICATE WHETHER YOU UNDERSTAND THE *IDP PROCESS OF THE METROPOLITAN MUNICIPALITY.*

1	YES	
2	NO	

IF NO, PLEASE EXPLAIN:

_____

_____

10.	PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS INVITED OR REQUESTED YOU** TO SUBMIT INPUT(S) OR COMMENT(S) ON THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

IF YES

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **USED TO INVITE OR REQUEST YOU** TO SUBMIT INPUT(S) OR COMMENT(S) ON THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	LOCAL COMMUNITY NEWSPAPER(S)	
2	MAINSTREAM NEWSPAPER(S)	

3	RADIO BROADCASTS	
4	TELEVISION BROADCASTS	
5	INFORMATION PAMPHLETS OR FLYERS	
6	BULLETIN(S) OF THE METROPOLITAN MUNICIPALITY	
7	EXHIBITION (S) HELD BY THE METROPOLITAN MUNICIPALITY	
8	INFORMATION SESSION(S) OF THE METROPOLITAN MUNICIPALITY	
9	POSTAL MAIL	
10	EMAIL	
11	SMS	
12	WEBSITE OF THE METROPOLITAN MUNICIPALITY	
13	SURVEY QUESTIONAIRE(S)	
14	HOUSE VISIT(S) BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
15	**PUBLIC HEARING(S)** OF THE METROPOLITAN MUNICIPALITY	
16	**PUBLIC MEETING(S**) OF THE METROPOLITAN MUNICIPALITY	
17	**CLOSED MEETING(S)** OF THE METROPOLITAN MUNICIPALITY	
18	FOCUS GROUP MEETING(S)	
19	IDP REPRESENTATIVE FORUM	
20	WARD COMMITTEE MEETING(S)	
21	SUBCOUNCIL MEETING(S)	
22	MUNICIPAL COUNCIL MEETING(S)	
23	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY)

_____

11.   PLEASE INDICATE WHETHER **YOU HAVE <u>SUBMITTED</u> ANY INPUT(S) OR COMMENT(S)** ON THE IDP DURING <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY </u>DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

<u>IF YES</u>

PLEASE INDICATE WHICH OF THE FOLLOWING *PUBLIC PARTICIPATION MECHANISMS, PROCESSES OR PROCEDURES* **YOU USED TO <u>SUBMIT</u> INPUT(S) OR COMMENT(S)** ON THE IDP DURING <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLTAN MUNICIPALITY </u>DURING 18 MAY 2011 AND 3 AUGUST 2016 (YOU MAY INDICATE MORE THAN ONE MECHANISM, PROCESS OR PROCEDURE).

1	AT AN EXHIBITION HELD BY THE METROPOLITAN MUNICIPALITY	
2	AT AN INFORMATION SESSION OF THE METROPOLITAN MUNICIPALITY	
3	VIA POSTAL MAIL	
4	VIA EMAIL	
5	VIA SMS	
6	THROUGH THE WEBSITE OF THE METROPOLITAN MUNICIPALITY	
7	BY COMPLETING A SURVEY QUESTIONAIRE OF THE METROPOLITAN MUNICIPALITY	
8	DURING HOUSE A VISIT BY OFFICIALS OF THE METROPOLITAN MUNICIPALITY	
9	AT A **PUBLIC HEARING** OF THE METROPOLITAN MUNICIPALITY	
10	AT A **PUBLIC MEETING** OF THE METROPOLITAN MUNICIPALITY	
11	AT A **CLOSED MEETING** OF THE METROPOLITAN MUNICIPALITY	
12	AT A **FOCUS GROUP MEETING** OF THE METROPOLITAN MUNICIPALITY	
13	AT AN **IDP REPRESENTATIVE FORUM**	
14	AT A WARD COMMITTEE MEETING	
15	AT A SUBCOUNCIL MEETING	
16	AT A MUNICIPAL COUNCIL MEETING	
17	OTHER (PLEASE SPECIFY)	

OTHER (PLEASE SPECIFY)

_____

12. **IF YOU ANSWERED "YES" TO THE PREVIOUS QUESTION**, PLEASE INDICATE AT WHICH *STAGE OR STAGES OF THE IDP PROCESS* **YOU HAVE** <u>SUBMITTED</u> **INPUT(S) OR COMMENT(S)** DURING <u>PUBLIC PARTICIPATION IN THE ANNUAL BUDGET PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	DURING **PREPARATION** OF IDP OF THE METROPOLITAN MUNICIPALITY	
2	DURING **IMPLEMENTATION** OF IDP OF THE METROPOLITAN MUNICIPALITY	
3	DURING **REVIEW** OF IDP OF THE METROPOLITAN MUNICIPALITY	

13. **IF YOU HAVE ANSWERED "YES" TO QUESTION NR. 11,** PLEASE INDICATE WHETHER ANY OF THE *IDP INPUTS OR COMMENTS* WHICH YOU HAVE SUBMITTED ON THE IDP DURING <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN</u>

MUNICIPALITY HAS BEEN **IMPLEMENTED** DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

14. PLEASE INDICATE WHETHER **YOU HAVE <u>SERVED</u> ON ANY FORUM OR COMMITTEE** OF THE METROPOLITAN MUNICIPALITY DURING 18 MAY 2011 AND 3 AUGUST 2016 WHERE THE *IDP INPUTS OR COMMENTS* WHICH YOU OR THE PUBLIC HAVE SUBMITTED IN TERMS OF THE IDP PROCESS WERE **CONSIDERED** *FOR DECISION MAKING PURPOSES.*

1	YES	
2	NO	

<u>IF YES</u>

PLEASE SPECIFY THE FORUM OR COMMITTEE

_____

15. PLEASE INDICATE WHETHER THE METROPOLITAN MUNICIPALITY (OR ITS OFFICIALS) **HAS PROVIDED <u>FEEDBACK</u> TO YOU** ON <u>PUBLIC PARTICIPATION IN THE IDP PROCESS OF THE METROPOLITAN MUNICIPALITY</u> DURING 18 MAY 2011 AND 3 AUGUST 2016.

1	YES	
2	NO	

THANK YOU FOR PARTICIPATING IN THE SURVEY

ANNEXURE 4

Interview questions/ questionnaire

1. The CITY OF SOUTH AFRICA metropolitan municipality has a **database of organisations registered with the municipality.** Was this database of organisations registered with the CITY OF SOUTH AFRICA metropolitan municipality updated during 18 May 2011 and 3 August 2016? Please indicate "yes" or "no".

YES	NO

    If the answer to question no. 1 is "yes", please indicate when the database of organisations registered with the municipality was updated during 18 May 2011 and 3 August 2016?

2. **The Local Government: Municipal Systems Act 32 of 2000 stipulates in section 16(1) (b) that the municipality must "contribute to building the capacity of the local community to enable it to participate in the affairs of the municipality".** Did the CITY OF SOUTH AFRICA metropolitan municipality have any public participation capacity building exercises or interventions during 18 May 2011 and 3 August 2016? Please indicate "yes" or "no".

YES	NO

    If the answer to question no. 2 is "yes", please provides the **date(s)** and **place(s)** where these **public participation capacity building** exercises or interventions were held?

DATE	PLACE

If the answer to question no. 2 is "yes", please explain briefly <u>how the selection of candidates</u> for these **public participation capacity building** exercises or interventions occurred?

If the answer to question no. 2 is "yes", please indicate what was the <u>content </u>or <u>focus</u> (topics) of these **public participation capacity building** exercises or interventions?

3. **The Local Government: Municipal Systems Act 32 of 2000 stipulates in section 17(2)(e) that a municipality must establish appropriate mechanisms, processes and procedures to enable the local community to participate in the affairs of the municipality, and must for this purpose provide for <u>report-back</u> to the local community.** Did the CITY OF SOUTH AFRICA metropolitan municipality provide any **report back** *on public participation in the <u>annual budgeting process</u>* to the public during 18 May 2011 and 3 August 2016? Please indicate "yes" or "no".

YES	NO

If the answer to question no. 3 is "yes", please specify what the <u>content</u> of the *public participation <u>annual budgeting process</u>* **report back** was?

If the answer to question no. 3 is "yes", please specify in what <u>form</u> the *public participation <u>annual budgeting process</u>* **report back** was?

4. Did the CITY OF SOUTH AFRICA metropolitan municipality provide any **report back** *on public participation in the <u>IDP process</u>* to the public during 18 May 2011 and 3 August 2016? Please indicate "yes" or "no".

YES	NO

If the answer to question no. 4 is "yes", please specify what the <u>content</u> of the *public participation <u>IDP process</u>* **report back** was?

If the answer to question no. 4 is "yes", please specify in what <u>form</u> the *public participation <u>IDP process</u>* **report back** was?

5. **The Local Government: Municipal Systems Act 32 of 2000 stipulates in section 17(3) (2) that when establishing mechanisms, processes and procedures for public participation, the municipality must take into account the special needs of people who cannot read or write.** How did the municipality take into account the special needs of people who could not read or write during *public participation in the <u>annual budgeting and IDP processes</u>* during 18 May 2011 and 3 August 2016?

6. What, according to your opinion, was the **most** <u>effective</u> public participation method, process or procedure used during *public participation in the budgeting process* during 18 May 2011 and 3 August 2016, and **why**?

7. What, according to your opinion, was the **least** <u>effective</u> public participation method, process or procedure used during *public participation in the* ***budgeting process*** during 18 May 2011 and 3 August 2016, and **why**?

8. What, according to your opinion, was the **most** <u>effective</u> public participation method, process or procedure used during *public participation in the **IDP** process* during 18 May 2011 and 3 August 2016, and **why**?

9. What, according to your opinion, was the **least** <u>effective</u> public participation method, process or procedure used *during public participation in the **IDP** process* during 18 May 2011 and 3 August 2016, and **why**?

10. What would you suggest to **<u>improve</u> public participation** in the *<u>annual budgeting</u> process* of the CITY OF SOUTH AFRICA metropolitan municipality?

11. What would you suggest to **<u>improve</u> public participation** in the *<u>IDP process</u>* of the CITY OF SOUTH AFRICA metropolitan municipality?

THANK YOU VERY MUCH

ANNEXURE 5: LANGUAGE EDITING CERTIFICATE

EDITING AND PROOFREADING CERTIFICATE

7542 Galangal Street

Lotus Gardens

Pretoria

0008

05 November 2019

TO WHOM IT MAY CONCERN

This certificate serves to confirm that I have edited and proofread Peter Jacob Martin's dissertation entitled, **"PUBLIC PARTICIPATION IN THE POLICY MAKING AND PLANNING PROCESSES IN LOCAL GOVERNMENT IN SOUTH AFRICA WITH SPECIFIC REFERENCE TO A METROPOLITAN MUNICIPALITY."**

I found the work easy and intriguing to read. Much of my editing basically dealt with obstructionist technical aspects of language, which could have otherwise compromised smooth reading as well as the sense of the information being conveyed. I hope that the work will be found to be of an acceptable standard. I am a member of Professional Editors' Guild.

Hereunder are my contact details:

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