

AN EVALUATION OF CITIZEN PARTICIPATION IN LOW-INCOME HOUSING  
SETTLEMENT IN THE EASTERN CAPE PROVINCE OF SOUTH AFRICA  
THE CASE OF THE TYUTYU HOUSING PROJECT IN BUFFALO CITY  
MUNICIPALITY: (1985 – 2010)

BY

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**DECLARATION**

I, Henry Jacob Festus Ssekibuule, hereby declare that this mini-dissertation, submitted to the University of Fort Hare, for the Degree of Masters in Public Administration, has never been previously submitted by me for a degree, at this or any other university; that this is my own work in design and execution and that all material contained therein has been duly acknowledged.

Signed.....

Date.....

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It is my humble wish to dedicate this Mini-Dissertation to my Father, Onesphorus Martin Muguzi Lubyayi; my late Mother Miss Fausta Nanziri; and my late dear brother, Michael Muguzi Ssebuganda and sister Maurice Nakibala, for their unwavering support, in my constant strides to achieve great things in life. May their souls rest in peace till the second coming of Jesus Christ; and for those who are still alive, let us celebrate successes and victories of life with us as well as the legacy left by the unforgettable partners of our family.

## **ABSTRACT**

The provision of housing is a developmental practice and development cannot prevail without public participation. This is echoed in the Manila Declaration on People's Participation and Sustainable Development, 1989 as follows, "Public participation is an essential part of human growth that is the development of self-confidence, pride, initiative, responsibility, cooperation. Without such development within the people themselves, all efforts to alleviate their poverty will be immensely more difficult, if not impossible" (Burkey, 1993:56). Housing provision plays a vital role in meeting basic needs; dwellings provide the security required for basic functioning and are thus essential for both human development and the alleviation of poverty.

South Africa has one of the most progressive constitutions in the world. It includes the municipal legislative framework that provides for community participation in decision-making at municipal level. However, in practice, citizens have had little experience of this, which is particularly relevant in contexts of severe poverty and failure by the state to provide basic services. This case study demonstrates the challenges faced by the Centre for Public Participation (CPP), a national NGO, when working to influence central government policy on citizen participation. It also explores the role and influence of international donors in promoting this agenda.

From the literature review, it was evident that service delivery is essential in the communities, and, as such, government departments and municipalities have a critical role to play. In order to achieve this goal, an interview was conducted with various interviewees. The participants ranged from the youth to the elderly citizens in the community as well as government officials. The main patterns that emerged from the collected data related to the dissatisfaction of the community about the lack of consultation. It would be advisable for government, especially municipalities, to take cognizance of the results and concerns, in an effort to improve and ensure the effective service delivery, as stipulated in the Reconstruction and Development Programme (RDP) document.

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## CHAPTER ONE

### INTRODUCTION AND BACKGROUND

#### 1.1 Introduction

The Tyutyu Village Housing Project, which is located in the Buffalo City Municipality, is an initiative, which was started in 2000 with the aim to alleviate housing shortages in the area. Formerly, the area was made up of mud houses, constructed by the former Ciskei government. Later on, shacks were added in the area. Originally, these structures were meant to form an agricultural rural village settlement.

The provision of housing is a developmental practice and development cannot prevail without public participation (Roodt, 2001:466). This is echoed in the Manila Declaration on People's Participation and Sustainable Development, 1989 as follows, "Public participation is an essential part of human growth that is the development of self-confidence, pride, initiative, responsibility, cooperation. Without such development within the people themselves, all efforts to alleviate their poverty will be immensely more difficult, if not impossible. This process, whereby people learn to take charge of their own lives and solve their own problems, is the essence of development" (Burkey, 1993:56).

Apart from the Constitution of the Republic of South Africa, 1996; the Housing Act, 1997 is the cornerstone of any public housing initiative, with regard to legislative requirements. Housing initiatives cannot be considered successful if not executed in compliance with the Housing Act, 1997. With public participation, it needs to be realized that each development initiative takes place in a different context and for this reason the right combination of public participation strategies need to be used. Because each situation is different, "[e]ffective, efficient and equitable stakeholder engagement depends largely on selecting the right combination of approaches and techniques for a particular process. There is, however, no single recipe for making this selection –

particularly when operating in the context of a multi-cultural, developing country” (DEAT, 2002:14). For the purpose of this study, “stakeholder engagement” as used in the above-mentioned statement would be synonymous with “public participation”.

## **1.2 Statement of the research problem**

South Africa has one of the most progressive constitutions in the world. It includes the municipal legislative framework that provides for community participation in decision-making at municipal level. However, in practice, citizens have had little experience of this, which is particularly relevant in contexts of severe poverty and failure by the state to provide basic services. This case study of the Tyutyu problem, demonstrates the challenges faced, when firstly, the community (who initially were fifty-two families) was forcibly removed from the area of domicile, which is present day Bhisho, without the former Ciskei government undertaking some public participation steps to obtain the views and eventual concurrence of the Tyutyu community. Secondly, once again, the government did not engage the community in public participation; when it went on to resettle the community members in a place, which apparently the community did not approve of. Thirdly, public participation was again disregarded when the government built houses for the community in 1985, leading to the current problem where the Eastern Cape government is making efforts to turn Tyutyu Village into a township.

Some NGOs have found it challenging, working to influence central government policy on citizen participation. Public participation also explores the role and influence of international donors in promoting this agenda. The Tyutyu Village Secretary gave a historical perspective of the Tyutyu problem and it is important to note that because of South Africa’s turbulent past, the disenfranchised majority was deprived of many basic human rights. Public participation in housing issues was a right reserved for the white minority. Today, as a democratic state, the Constitution of the Republic of South Africa, 1996, which is the supreme and sovereign law of the country, considers access to proper housing a basic right to be enjoyed by all South Africans.

To further, show how the former Ciskei government policy of resettling the community without public participation created problems, the study strives present an alternative situation of what would have happened had the government followed a public participation option. Firstly, if the government had consulted the people before moving the community, the people might have opted for a location that is not close to the city of Bhisho; avoiding the current issue of granting Tyutyu township status. Secondly, since the original people, who were moved from Bhisho, claim to be unskilled, having only agriculture as major livelihood strategy; the government could have settled this community on an area with agricultural potential and not on a peri-urban area, if public participation had been undertaken. However, it is commendable that the current Eastern Cape government has engaged the community before granting township status (which the community does not want, since it will mean paying all the rates consistent with an urban area). Nonetheless, this has led to the problem where the original fifty-two families are resisting the idea of Tyutyu being given township status, plus all the benefits that come with such status like improved roads, garbage collection, water reticulation services and street lighting. This is affecting new people, who have come into Tyutyu Village, since some of these are employed as well as ready and able to pay the requisite rates necessary to bring the improved facilities mentioned above.

### **1.3 Research objectives**

The objectives of the study are as follows:

- Assess the nature and extent of public participation in Tyutyu community project against the housing policies and Integrated Development Programmes (IDPs). The assessment shows the then current legislature on public participation, that is to say, how the government could have carried out the public participation exercise, compared to how the housing policy was actually implemented.

- To initiate possible mechanisms that can contribute to the improvement of public participation in housing delivery. This is done by suggesting practical solutions to address the constraints that hampered public participation in the actual project implementation.

#### **1.4 Significance of the study**

The research is important, because accommodation issues and housing backlog is quite a problem in South Africa. While government has made efforts to tackle the housing backlog, little clarity exists as to the extent the public has been engaged and consulted in the whole exercise. As a result, it is important to study the extent of public participation in IDPs in general and housing projects in particular, because the level of participation determines the success or failure of the municipality housing policy. The fact that the current municipality is turning Tyutyu from an agricultural rural village settlement into an urban area warrants an investigation into whether the community participated in the decision-making process, which brought about the policy shift. The study should add value to policy implementation, public participation as well as policymaking and evaluation.

The study can give important insight to other relevant stakeholders in the formulation and implementation of housing policy. These include, for example, politicians, public administrators, traditional leaders and students of policy studies.

#### **1.5 Literature review**

The theory underpinning this research study is the “bottom–up approach”, which is advocated by Oakley and is derived from the recognition that, “the total dependence on professions to implement development initiatives is grossly inadequate and contributes to greater underdevelopment unless the needs of the public are put first and when the development is more responsive” (Oakley, 1991:4).

Although a lot is to be done on the participation of the public in the developments' activities, at national level, the South African government has introduced what is commonly known as the Batho Pele Principles, which are found in the white paper on transforming Public Service Delivery (1997b) that epitomize the evolution of public participation in South Africa. Batho Pele means, "People First". With these principles, the government has established the importance of the South African public and each individual's valued input through participatory means and calls "for a shift away from inward looking, bureaucratic systems, processes and attitudes and a search for new ways of working, which put the needs of the public first, is better, faster and more responsive to the citizen's needs" (White Paper on Transforming Public Service Delivery, 1997b).

The research process incorporates a well-defined hypothesis, a defined methodology for the gathering of information, analysis of data, as well as interpretation of the data to formulate conclusions. This definition includes research, experimentation and product development in all fields. To understand the concept of "public participation" better, it is important to cite several definitions that have been given to it by researchers. For example, according to the Australian government, public participation means conduct that a reasonable person would consider is intended (in whole or part) to influence public opinion, or promote or further action by the public, a corporation or government entity in relation to an issue of public interest. (Australian Capital Territory, 2008:3). However, according to Beinier, public participation is engaging openly and respectfully in "give and take" discussions, with citizens and/or stakeholders about an impending decision or action (Bernier, 2005). COPR on the other hand defines public participation as the process by which an organization consults with interested or affected individuals, organizations, and government entities before making a decision. Public participation is two-way communication and collaborative problem solving with the goal of achieving better and more acceptable decisions (COPR, 2008:1). Whittle (2009:1) states, "Public Participation is any process that involves the public in problem-solving or decision-making and uses public input to make decisions". Whilst other researchers define,

“public participation” differently, for the purpose of this study “public participation” can be defined as the process through which people who will be affected by or are interested in a decision, and who have a stake in the outcome, get a chance to influence its content before it is made.

The primary objective of public participation is to demonstrate to the public that the right decisions are being made, on balance for the right reasons. This is because the role of public participation in South Africa cannot be undermined or override economic, personal, technological aspirations in the public sector as its past compels the government to correct injustices (Oakley, 1991:6). Frequently, development initiatives have been designed by those who have no real knowledge of the actual needs of that specific community and the produced “Plan” is based on the various stakeholders perceived needs, instead of the community’s true needs. Kotze and Kellerman (1997:35) ascribe this to the fact that “[t]he idea that development consists of a transfer of skills or information creates a role for the expert as the only person capable of mediating the transfer from one person or society to another”.

The field of literature addressing the theory of public participation appears unbounded and complex. According to some research dealing with the theoretical context of public participation, the proper utilization of appropriate public participation mechanisms brings about successful public participation (Halvorsen, 2003:541). These mechanisms include transparent elections, meetings, consultations, participatory planning, public hearings, public forums and advisory committees made up of citizens (Lando, 2003:74).

Looking at public participation in the local context, available evidence shows that the South African government did not employ any of the above mechanisms effectively as such (Buffalo City Municipality, 2006:2). This has been cited in some instances as the reason for the failure of some government projects and programmes (Oakley, 1991:6). In response to South Africa’s housing crisis, the national government has stated that it intends to target housing delivery to 350 000 units per annum, until the current housing

backlog of 2.4 million houses is eradicated (Housing Act, 1997). Public participation is the main method of achieving this goal. According to Sowman and Urquhart (1998:16), in both local and international contexts and irrespective of the development initiative being undertaken, government officials must promote participation in decision-making processes to facilitate community empowerment through the development of housing.

Notwithstanding the importance of public participation, Wyngaard, D.A.C. (2002:12) and others show that not much thought is given to strategies, which municipal housing officials should employ, to bring about the much-desired result of public participation, or both to the failure of development or the beneficiaries' dissatisfaction. Municipal housing officials are not always aware of the reasons for negative responses to executed actions (Theron, 2005a:111-132). A reassessment of development planning methodology regarding public participation mechanisms often reveals that the strategies used, are the real reason why a certain project was unsuccessful (DEAT, 2002:5). The public participation strategies, which are employed, should be multi-disciplinary in nature, to take into consideration the interdependent elements within a specific environment. Without considering the various aspects of a multi-dimensional environment, effective public participation in development initiatives may be absent, which will inevitably lead to the failure of public participation and holistic development (Theron & Wetmore, 2005:162).

## **1.6 Research methodology**

The research design is based on a case study of the Tyutyu Low-income Housing Project, and various research methodologies were utilized. Listed below, are the various techniques, used to collect data.

## **1.7 Research design**

The research design seeks to assess public participation mechanisms of local municipalities when designing IDPs; especially when it comes to the housing policy. In this case, the research firstly, attempts to appraise the current strength and weaknesses of the public participation strategies in its housing policy. Secondly, the research also aims to make an objective contribution to the improvement of the general housing delivery policy strategies in South Africa.

## **1.8 Target population**

With a target population of 5 200, as of the last census of 1999 (Buffalo City IDP, 2002), the target population is made up of the 373 project beneficiaries (Buffalo City, 2009). Other Tyutyu community members were included, to determine the extent to which the community was involved in the formulation and implementation of the project. In addition, the relevant municipal personnel, who were involved in the project, were also included, due to work involvement on this project since its inception. The research also targeted the personnel from other ministries/government departments like the Department of Water Affairs, Eskom and business stakeholders, who were involved in the project.

## **1.9 Sampling**

The research used stratified random sampling to pick up the project beneficiaries. Financially, it would not have been possible to include all project beneficiaries, so only a selected strata were randomly chosen, to ensure all the project beneficiaries received an equal opportunity of being selected. The random sample was stratified to ensure both gender equity as well as inclusion of beneficiaries from all age groups. The sample also comprised other community members, municipal personnel, who worked on the project as well as officials from other ministries and government departments, from which data were collected and analyzed.

## **1.10 Data collection instruments**

Data were collected through interviews and questionnaires. Two questionnaires were used; the first was designed for the original project beneficiaries, who moved to Tyutyu in 1985, while the second was for project beneficiaries, who arrived in the area later. In both instances, open- and closed-ended questions were employed. This was done to obtain extensive information from the project beneficiaries, without restrictions. Care was taken to ensure that the responses to the open-ended questions would be relevant to the study. These questionnaires were distributed by the Community Development Worker (CDW), who also collected these after the exercise.

Face to face, interviews, wherever possible, were conducted, primarily for other public officials; NGO personnel as well as various stakeholders, who worked on the project. Wherever possible, group interviews were also employed, wherever possible, to obtain the collective opinion of the project beneficiaries. The duration for data collection was expected to last for a period of between one and two months.

### ***1.10.1 Data analysis and interpretation***

The collected data were coded and collated to render the data analysis manageable. During analysis, both quantitative and qualitative analyses were utilized. To ensure that the research results were accurately captured and analyzed, several computer applications including Microsoft Excel and Statistical Presentation for Social Sciences (SPSS) were employed to evaluate the data.

### ***1.10.2 Limitation of the study***

Firstly, one of the factors, which could have hampered the area of study, Tyutyu Village Eastern Cape, was the accessibility for perusal of key documents that influenced the project, due to the time span period 1985 to 2010. Secondly, it proved difficult to trace

original members, furthermore distinguishing between the original group and those whom joined the housing project later on. Thirdly, literature on South African housing policy is limited. This restricted the research to primary sources. Lastly, because of the high emotions that the project invokes, especially among those who were forcibly removed in 1985, it became difficult to acquire objective data from the project members. This in turn possibly compromised the final research output.

### ***1.10.3 Ethical considerations***

The interviews and questionnaires were designed in such a way that it would not offend or cause discomfort to any of the respondents. Where possible and by preference, both interviews and questionnaires were administered in the language of the respondents. Cultural sensitivity was considered throughout the research. Care was taken to ensure that the research methodology was carried out in accordance with high ethical standards.

## **CHAPTER TWO**

### **THEORETICAL FRAMEWORK**

#### **2.1 Introduction and background**

Public participation processes are encapsulated within various legislative mandates, such as, the IDPs, the White Paper on Local Government (South Africa, 1998c) and the White Paper on Transforming Public Service Delivery (South Africa, 1997b). Public participation is critical to the success of sustainable development and therefore, South Africa should justifiably “promote public participation, including through measures that provide access to information regarding legislation, regulations, activities, policies and programmes” (United Nations, 2002:71).

To improve chances of sustainable development there is a need to shift from a top-down approach towards a bottom-up approach. The bottom-up approach promotes people-centred development. People-centred development focuses on people and enhances the capacity to influence the direction and implementation of the development process. Communities can only influence the development process through participation. International bodies such as the United Nations and the World Bank support the concept of community participation in development planning.

This chapter looks at the various contexts of public participation. These are divided into international and local contexts of public participation. In the former, the chapter scrutinizes the various efforts, on a global scale, that have been made to promote public participation. On the South African context, the chapter briefly looks at the development efforts that have been initiated in South Africa and the extent to which it employed the public participation strategies. In addition, the chapter also inspects the legal context of public participation, which examines various legal instruments that have been crafted with public participation in mind. These also include various international agreements and treaties that have been signed to promote public participation between and within nation states.

## **2.2 Conceptual and contextual issues**

In clearly understanding the concept of public participation, it is important to cite several definitions that have been given to it by researchers. As defined by Greyling and Manyaka (1999:1) public participation is a “process leading to a joint effort by stakeholders, technical specialists, the authorities and the proponent who work together to produce better decisions than if they had acted independently” (in DEAT, 2002:6). From this definition it can be realized that participation is seen as a decision-making process and aims to include the views of stakeholders at all levels of the process Hoosen F (2005).

On one hand, Beinier (2005:2), views public participation as engaging openly and respectfully in “give and take” discussions, with citizens and/or stakeholders, about an impending decision or action. COPR (2008:1), on the other hand, defines public participation as the process by which an organization consults with interested or affected individuals, organizations, and government entities before making a decision. In addition, it stipulates that public participation is two-way communication and collaborative problem solving, with the goal of achieving better and more acceptable decisions. According to Whittle (2009:1), public participation is any process that involves the public in problem-solving or decision-making and uses public input to make decisions”.

While researchers define public participation differently, for the purpose of this study public participation can be defined as the process through which people, who will be affected by or are interested in a decision, and who have a stake in the outcome, get a chance to influence its content before it is made (Whittle, 2009:1). The primary objective of public participation is to demonstrate to the public that the right decisions are being made, on balance for the right reasons. This is because the role of public participation in South Africa cannot be undermined or overrides economic, personal, technological

aspirations in the public sector as its past compels the government to correct injustices (Oakley, 1991:6).

Frequently, development initiatives have been designed by those who have no real knowledge of the actual needs of that specific community and the produced “Plan” is based on the various stakeholders’ perceived needs, instead of true needs. Kotze and Kellerman (1997:35) ascribe this to the fact that “[t]he idea that development consist[s] of a transfer of skills or information creates a role for the expert as the only person capable of mediating the transfer from one person or society to another”.

It is important to differentiate public participation from consultation. Firstly, consultation involves actively seeking the opinions of interested and affected groups. It is a two-way flow of information, which may occur at any stage of regulatory development, from problem identification to evaluation of existing regulations. It may be a one-stage process or, as it is ever more the case, a continuing dialogue. Consultation is increasingly concerned with the objective of gathering information to facilitate the drafting of higher quality regulation.

Conversely, participation is the active involvement of interest groups in the formulation of regulatory objectives, policies and approaches, or in the drafting of regulatory texts. Participation is usually meant to facilitate implementation and improve compliance, consensus, and political support. Governments are likely to offer stakeholders a role in regulatory development, implementation and/or enforcement in circumstances in which individuals wish to increase the sense of “ownership” of, or commitment to, the regulations beyond what is likely to be achieved via a purely consultative approach.

However, there are instances where the two are inseparable. For instance, public participation usually involves notification (to publicize the matter to be consulted on), consultation (a two-way flow of information and opinion exchange) as well as participation (involving interest groups in the drafting of policy or legislation).

### **2.3 Public participation theories**

Despite theoretical disagreement about the proper definition of and practice of participation, professional literature reflects consensus about a variety of additional techniques, which can enhance the process and result in more effective and democratic plans. The experience of limited participation during urban renewal and the debate surrounding “maximum feasible participation” in the 1950s and 1960s sparked an intense professional interest in the topic of public participation in planning (Arnstein, 1971:2). This author contributed one of the most influential theories on public participation, in which participation is described as a ladder. Arnstein, a former U.S. Department of Housing and Urban Development (HUD) official, regards public participation as an eight-rung metaphorical ladder. The rungs are organized into three levels: nonparticipation (manipulation and therapy), tokenism (informing, consultation, placation), and citizen power (partnership, delegated power, citizen control). Interlaced with this description are anecdotal stories describing both flawed participation and successful examples where power was delegated to community representatives (Arnstein, 1971:2).

However, this theory has been criticized on the following grounds. First, it offers little guidance for planners seeking to design processes that conform to the standards proposed. In the second place, the citizen control section describes one approach as giving grants to grassroots organizations; however, the author concedes that full neighbourhood self-government seems unlikely in the future. Third, aside from criticizing the usual methods used by formal planning to incorporate citizen input like public meetings and special committees, Arnstein has little to say about how these processes can be improved. The fourth criticism springs from the little provision supplied to those, who might disagree that citizen control should be the proper goal of citizen participation. Finally, Arnstein’s theory radically eliminates any role for the rational or technical

expertise of planners, and assumes citizen power will result in good planning decisions (Goodspeed, 2008:22).

The other notable theory on public participation was the one put forward by the American Planning Association (Jones, 1990:12), presenting a wide variety of outreach, data gathering and participation methods. Furthermore, the theory provides confidence about the effect of public participation on planning; arguing it is not only needed just for ethical reasons, but also to create better plans, which are more likely to be implemented. The hypothesis of the theory was that “[d]oing things democratically take more effort and more time, but it is worth it for the quality of product that emerges and the sense of commitment that people will have toward it” (Jones, 1990:12). In addition, four principles underpin the theory, namely: deprofessionalisation, decentralization, demystification, and democratization. Although this theory did not get much criticism, its application was limited, because it already puts more emphasis on data collection, a field, which is better served through existing literature on research methodology and scientific data collection in general (Brody S.D. et al (2003:248)

The “Public Participation Benefits Theory” of Creighton (2005:9), defines participation as informing the public, listening to the public, engaging in problem solving, and developing agreements, within a framework where government officials retain decision-making authority. This author argues participation can have a number of benefits, like improved quality of decisions, minimizing cost and delay, consensus building, increased ease of implementation, avoiding worst-case confrontations, maintaining credibility and legitimacy, anticipating public concerns and attitudes as well as developing civil society. Creighton further proposes a process of decision analysis, process planning, and implementation planning, and provides a range of possible “tools” to reach and engage citizens, pointing out that more than one-third of U.S. residents receive news online. The theorist notes the following, “This is a new enough area that I have little to offer in the way of advice on how to use these forms of communication more effectively. But it is worth your time to tune in to bulletin boards or list services that focus on topics related

to your public participation program[me] and then consider how to use these media to reach audiences you cannot reach through conventional media” (Creighton, 2005:9).

Despite the diversity in Creighton's theory and other approaches, some researchers have identified the prevalence of numerous common themes (Brody et al, 2003:251). A study proposing clearer regulation of participation organizes these themes into five areas. This framework provides a contemporary summary as to which form participation should take according to stated professional theories:

- (1) Objectives: provide information to as well as listen to citizens; empower citizens by providing opportunities to influence planning decisions;
- (2) Timing: involve the public early and continuously;
- (3) Targets: seek participation from a broad range of stakeholders;
- (4) Techniques: use a number of techniques to give and receive information from citizens and, in particular, provide opportunities for dialogue;
- (5) Information: provide more information in a clearly understood form, free of distortion and technical jargon (Brody et al, 2003:251).

The “collaborative approach hypothesis” is another theory on public participation worth mentioning. In this theory, Innes and Booher (2004) urge the abandoning of the existing model of participation, for a collaborative approach that “should be understood as a multi-way set of interactions among citizens and other players who together produce outcomes” (Innes & Booher, 2004:419). These authors argue that the legally required methods of public participation, in particular public hearings and review and comment procedures “do not work,” and antagonize the public, pit citizens against each other, polarize issues, and discourage participation. Recognizing that “governance is no longer only about government but now involves action and power distributed widely in society,” the theorists advocate a set of approaches that are “inclusive of stakeholders and that put dialogue at their core” (Innes & Booher, 2004:420). The authors describe the differences between currently legally required participation methods and the proposed

collaborative approaches as “one-way talk vs. dialogue; elite or self-selecting vs. diverse participants; reactive vs. involved at the outset; top-down education vs. mutually shared knowledge; one-shot activities vs. continuous engagement; and the use for routine activities vs. for controversial choices”. While the theorists acknowledge the two approaches can coexist, the practical obstacles for replacing the existing techniques with collaborative ones are significant, and the list include everything from open meetings, laws, costs of collaborative efforts, and the “hubris of elected officials” (Innes & Booher, 2004:422). In addition, this theory suggests the next steps for advocates, which include “developing an alternative practice framework,” a daunting task that may not be possible given the significant expense and lack of specificity in the proposal.

Besides the theories mentioned above, there are several others dealing with public participation. However, the theories above were selected because of popularity and influence in the study of public participation. Nonetheless, despite the professional consensus about “good” public participation, its practice ranges according to local preference, availability of funds, and the values of government officials. Despite the proliferation of theory, techniques, and evaluations, the legal requirements of participation remain the same in many communities.

## **2.4 International and local context of public participation**

It is important to look at international and local statutory instruments separately, in an attempt to contextualize the legal framework of public participation, here in South Africa, due to the difference in scope and intent, with international laws being largely acting in a facilitating framework, while local laws are regulative. Both international and local legal frameworks governing the conduct and practice of public participation in South Africa are discussed below.

### **2.4.1 International context**

International laws and treaties, with some reference to public participation, have bearing on South Africa. Since 1994, the country has become party to most relevant international human rights and other treaties, relevant to delivery of public services, including the African Charter on Human and Peoples' Rights and other international human rights instruments; with the notable exception of the International Covenant on Economic, Social and Cultural Rights. South Africa has submitted reports to the treaty-monitoring bodies, though not always on time (Peterson, 2006:5). In addition, South Africa has ratified the African Union (AU) Convention on Preventing and Combating Corruption, and similar documents at United Nations (UN) and Southern African Development Community (SADC) level, as well as the SADC protocols on education and health (Peterson, 2006:6). South Africa also spearheaded the development of other non-binding documents relating to the functioning of the public service, including the Charter for the Public Service in Africa, the New Partnership for Africa's Development (NEPAD), and the NEPAD Declaration on Political, Economic and Corporate Governance. Furthermore, South Africa has committed itself to the achievement of the Millennium Development Goals and the Dakar Framework for Action on Education for All (Open Society Foundation for South Africa, 2007:1).

It is important to note that no international statutory instruments specifically govern how member states should implement its public participation policies. This is because of the overwhelming differences between member states and the varying policies as well as the level of importance attached to public participation. Therefore, the international treaties provide an enabling environment, under which member states can implement public participation policies in a manner that specifically suits each local environment. However, at international level, many countries have initiated processes of strengthening public participation schemes, following the adoption of Principle 10 of the Rio Declaration in 1992 at the Earth Summit. Principle 10 promotes public participation in environmental decision-making and access to information and justice in

environmental matters (Peterson, 2006:9). Even though public participation is a legally significant notion, the principle is – at best – still emerging as a binding norm of international law (Bottriell & Segger, 2005:8).

Provisions to ensure public participation are now standard in nearly all treaties on sustainable development. Moreover, it is broadly recognized that decision-making quality will improve if public access to information, participation and justice are secured. However, the “right” to public participation, access to information and especially to justice (with a corresponding duty upon States), is still being recognized in human rights law related to sustainable development; and has only just begun to be broadly implemented in practice. Similarly, in most countries, at national level, specific provisions in legislation permit and encourage participation and access to information and justice, rather than a general constitutional principle (Bottriell & Segger, 2005:8).

Yet, without being defined as a principle of customary law, the requirement that States shall provide effective avenues for public participation, could be normative; in the sense of a guide for practical decision-making processes, at both international and domestic levels. In this context, the processes that have come to be accepted in international law on sustainable development; may have generated a legitimate expectation, derived from international discourse over the last three decades; that is States and other actors should ensure some avenues for public participation in international processes related to sustainable development (Bottriell & Segger, 2005:8).

It is both possible and legitimate for some norms to remain solely at the pre-legal stage of development, yet provide moral suasion for particular types of behaviour or serve as steps towards the development of substantive legal norms. Although international treaties governing and promoting public participation are, still few and divided along sectoral lines, it is important to look at some of them that have been signed amongst member states so far.

The 1966 International Covenant on Civil and Political Rights (United Nations General Assembly, 1966a) declares that every citizen has the right to participate in “the conduct of public affairs, directly or through freely chosen representatives [t]o vote and to be elected at genuine periodic elections, which shall be by universal and equal suffrage and shall be held by secret ballot, guaranteeing the free expression of the will of the electors”. The 1966 International Covenant on Economic, Social, and Cultural Rights illustrates the importance of access to information, stating, “Education shall enable all persons to participate effectively in a free society”. The 1992 Convention on Biological Diversity specifically mentions the need for participation by women at “all levels of policymaking and implementation”, public participation in environmental impact assessments and the inclusion of non-governmental bodies or agencies as observers in the Meetings of the Conference of the Parties (COP). According to the Climate Change Convention, it is the duty of the State to “promote and facilitate” public participation to address climate change and develop adequate responses (United Nations General Assembly, 1966:2).

The 1994 Convention to Combat Desertification reiterates many of the elements of the Biodiversity and Climate Change Conventions, though it is more explicit in highlighting public participation. It specifically notes:

1. the importance of participation from women and youth at all levels;
2. that decision-making is to involve local communities; and
3. the role of non-governmental organisations in facilitating and promoting awareness (United Nations General Assembly, 1994:1).

The 1998 Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters provides that “access to information, public participation in decision-making and access to justice in environmental matters are necessary for the fulfilment of the right to live in an environment adequate for personal health and well-being”. IUCN’s Draft International Covenant on Environment and Development, notes the right of all persons to “participate in relevant decision-making processes” (United Nations General Assembly, 1999:1). The 1994 Draft UN

Declaration on Indigenous Peoples recognizes the rights of indigenous peoples to participate “in political, economic, social and cultural life of the State,” and that this right is “at all levels of decision-making in matters which may affect their rights, lives and destinies.” (United Nations General Assembly, 1994b:3). The ways in which people participate can be determined through “procedures determined by them, in devising legislative or administrative measures that may affect them”, if the people so choose.

#### *2.4.2 Strengthening participation (Uganda as a case study 1)*

Participation in public expenditure management by poor people themselves, or by the civil society organisations and parliaments who represent these citizens, is emerging as a major new arena for political activity and economic policy-making, in developing countries at all levels of government. This brief, analyses the challenges facing the three main stakeholders in participatory budgeting (PB); governments, civil society and legislatures in effective engagement with participation. A series of policy recommendations is offered focusing on how these key domestic stakeholders can better contribute to successful participatory budgeting programmes.

Civil Society Organizations (CSOs) can act as intermediaries between citizens and governments at all levels. At a local level, CSOs may conduct a community needs assessment, to collect information about citizens’ demands and convey these to budget-making authorities. In addition, these organizations can help coordinate consultation meetings between members of the community, grassroots, religious organizations and municipal governments. At higher levels of government, CSOs are more likely to advocate on behalf of poor people, for example, by ensuring that a national budget is sufficiently focused on poverty reduction. In some cases, civil society advocacy will involve limited contact with governments and be more focused on external pressure and “campaigning”. Alternative budgets are an example of an advocacy tool used by CSOs in a variety of countries, to make the case for specific spending and revenue raising priorities in the official budget.

In other cases, as now occurs in Uganda, CSOs will actually be partners in government budget formulation processes (see Case Study 1). The Uganda Debt Network (UDN) is an advocacy coalition of over 100 NGOs in Uganda. Since 1999, it has been conducting budget analysis, tracking and performance evaluation, as well as working at local and district level, organizing budget consultations between local governments and communities. The UDN has since expanded its budget monitoring activities from two to 17 districts in Uganda. It conducts quarterly field surveys, using researchers and community members, to track the government's actual spending on poverty relief and other issues (Shultz, 2002:19).

The organization is represented at several levels in the national budget process, including on the finance ministry sector and poverty eradication working groups, and is consulted on medium term expenditure framework issues. The budget process in Uganda is now described by UDN as being a highly transparent one, and Uganda is seen as an example for other nations, especially in Sub-Saharan Africa. Since its formation in 1996, the UDN has developed an unprecedented relationship with the government. "Over time", explains Zie Gariyo, the head of the Centre, "interaction [with the government] deepens as experience deepens, and friendships and relationships are built." The strength of these relationships varies across levels of government and government departments, with the UDN affirming that it has a much stronger relationship with the Ministry of Finance than the Ministry of Agriculture, for example. Gariyo acknowledges that a potential pitfall of the UDN's work is that the organisation might become too close to the government and lose its critical voice. However, this author also points to the lasting gains made by the UDN because of this relationship; such as, the fact that community-based monitoring of public expenditure at local level is now incorporated into budget processes at several levels of government. The UDN states that the challenge now is for it to maintain its capacity to "keep up" with government budget-making processes. Currently, this network only has two or three staff members capable of engaging with high-level government budget work. Its capacity is further constrained by the fact that at any given time some staff must be in

the field to collect the kind of data about public spending and service delivery at the community level, which will add value to government budget formulation processes.

Since the 1980s, many Sub-Saharan African countries have been undergoing structural reforms with a view to promoting efficient service delivery. Decentralisation, defined as the transfer of authority from central to local governments to perform certain duties, is seen as one of the public sector reform strategies to increase service delivery. Decentralisation in Uganda began in 1986 with the coming into power of the National Resistance Movement, which aimed at promoting democracy and enhancing local participation. In Uganda, political decentralisation developed alongside financial decentralisation. The goal of political decentralisation was to promote people's participation in the democratic process of Uganda. This took the form of Administrative Units – Resistance Councils (RC), one running from the village to district levels. Financial decentralisation, alternatively, attempted to assign responsibilities and taxes between the centre and local governments, to enable the transfer of grants and other resources to different parts of the country as well as to improve service delivery.

In the following section, this research paper reviews different government; public and academic documents as well as findings of other researches, such as, UN reports about decentralisation and service delivery in Uganda. Based on these sources the paper attempts to answer the following questions:

- To what extent does decentralisation increase service delivery?
- To what extent does decentralisation increase efficiency, participation, accountability and effectiveness?
- What are the challenges of implementing decentralisation in Uganda?

Decentralisation, in most developing countries, arose in the 1970s out of the dissatisfaction with the centralised systems of national planning and administration that were the by-products of former colonial systems. These systems had been emphasised in the 1950s and the 1960s during the struggle for independence. The 1970s saw a

need to involve more people in the planning as well as decision-making process, and to direct planning to people's needs.

In the 1990s, the World Bank regarded decentralisation as a necessary part of structural reform to promote efficient use of resources and to address local needs of developing countries. Thus, Golola (2003:256) argues, "The process of decentralisation in Sub-Saharan Africa has coincided, and perhaps even dictated by, efforts by the donor community to reorient aid policies". Apart from these internal and external donor pressures for countries to decentralise, globalisation played a major role in the decentralisation movement. Decentralisation comes as a response to the global demand for equity, accountability and efficient service delivery. Decentralisation is opposed to centralised government systems, which had minimal responsiveness to local needs. It is argued, therefore, that decentralisation makes possible speedier and more responsive public service attuned to local or individual needs. It enhances efficiency, through reduced bureaucracy (Pollit, Birchall & Putnam 1998:1). Muriisa (2007) argues that decentralisation offers two main benefits to the people; freedom to access and freedom to decide. The former implies that decentralisation enables people to voice individual needs and to access certain resources through the chosen representatives. The latter entails that within a decentralised framework, people take autonomous decisions without influence from the central government.

Turner and Hulme (1997) are of the opinion that improved decision-making and greater efficiency and effectiveness are promoted, through delegation within organisations and coordination between organizations. According to Braun and Grote (2000), participatory local governments are more responsive to local needs; elected officials are more accountable as well as responsive to the people than officials of central governments are, and people are more involved in decision-making. Golola (2003:259) presents four main objectives of decentralisation, and all have improved service delivery as the main component:

- (1) to transfer real power to the districts and therefore reduce the workload of officials at the centre;
- (2) to bring administrative and political control to the point where services are delivered;
- (3) to improve financial accountability through establishment of clear links between tax payment and service provision; and
- (4) to improve the capacity of local councils to plan, finance and manage the delivery of services to the constituencies.

Hutchinson (1991) reviews a number of country experiences with decentralisation. In Mexico, decentralisation was seen as strengthening operational efficiency and management of health services at the level of state governments as well as linking the planning of health services more closely to overall national planning of the country. In Papua New Guinea, decentralisation was a method of creating regional autonomy with a view to increasing appropriate responses to local needs and quicker decision-making. In Tanzania, decentralisation aimed at increasing participation of the people in planning and improving coordination between the relevant agencies, reducing duplication of services and utilizing available resources more effectively. In South Africa, decentralisation was employed as a means of redressing past inequities created by the apartheid regime.

Kayizzi-Mugerwa (1998:36) argues that the main objectives of decentralisation in Uganda are increased democracy, accountability and responsiveness, and the improved capacity of the local people to participate in the decision-making process, especially with regard to service delivery, and to promote local ownership of the programmes. Faguet (2000) shows that in Papua New Guinea devolution increased popular participation in government and improved the planning, management and coordination capacity of provincial administrators. In Senegal and New Zealand, decentralisation attempted to bring services nearer to people.

## **2.5 Legal and local context of public participation**

### ***2.5.1 Legal context***

In showing that sustainable development cannot do without public participation, there have been several efforts on the part of the South African government and the civil society to create platforms, which can enhance public participation at grassroots. The most common civil society organisations are South African NGO Coalition (SANGOCO), South African Council of Churches (SACC) and the People's Budget Coalition (PBC). Deepening progressive civil society participation, within a new democratic state, meant that many of the common economic and social policy positions held by coalition partners could be channelled through one voice (Thompson, 2009:1).

Against this backdrop, PBC was formed to enhance public participation and monitoring of the national budgetary process, to widen the parameters of debate on economic and social policy in South Africa, and to use the People's Budget as a tool for mass mobilisation and action. To do this, the PBC aims to increase the effective use of the budget as an instrument for reconstruction and development, and specifically to ensure that the budget is planned and allocated in such a way that it meets the basic needs of the poor. This is done so that it leads to the creation of decent jobs as well as ensuring the majority of people are assisted to get access to basic services and skills, and that it supports democratic and participatory governance. While the PBC is a high-level civil society initiative, it boasts of being rooted among active members of its respective organizations, who are in turn elected at grassroots level, thereby ensuring effective public participation. A challenge for the PBC is to ensure that its policy views reflect those of the many ordinary community members, workers, church parishes, and community-based organisations that it represents.

The school of thought proposed by scholars like Robert Chambers (1994:4) that development projects and programmes cannot be overly successful without the public participation of the intended beneficiaries, can be found in the examples of development

projects that have not been very successful in a local context. An example is that of the Duncan Village in East London, where the Buffalo City Municipality is currently involved in a planning initiative aimed at housing the residents of Duncan Village. Much debate exists over the appropriate methods to use in redeveloping this densely populated shack town. Planners are striving to meet the challenges associated with this kind of community redevelopment, such as, adequate housing, limited land availability, appropriate urban forms, and government requirements for housing subsidies.

However, despite the thoughtfulness of development policies and an increased awareness of local circumstances in Duncan Village, the Buffalo City Municipality has still not been able to implement an effective system of participatory planning (Kay, 2006: 512). As a result, housing and development strategies are still not effectively reaching community based organizations, families and individuals, and local residents are still not empowered to effect substantial change in the community. This is largely due to a strong desire by the local government to maintain a coherent master plan, a culture of civil resistance within Duncan Village, and an untested local political system. Robins (2002) responds to the challenges planners have encountered, when trying to implement redevelopment plans for the shantytowns of South Africa. The anthropologist mentions, “although there are no clear and obvious answers to these questions, it is only through further fine-grained ethnographic research in specific sites that planners will get closer to understanding the micro-politics and improvisational strategies” of those who live in these shanty towns” (Robins, 2002:1).

As the forced removals of Duncan Village were planned at the same time as the construction of the Mdantsane Township, the government was unable to remove the entire population of Duncan Village at once, because sufficient housing had not been constructed in the new township. In the mean time, African resistance to forced removals grew in intensity throughout the 1960s and 70s and eventually disrupted the government’s attempt to relocate residents to Mdantsane (Kay: 2006:511).

The same problem with implementing projects without proper and extensive public participation can be found in the Coega IDZ project, just outside Port Elizabeth, where at first glance, quite comprehensive and detailed public participation processes seem to have been conducted (Bond, 1999:1). Conversely, this is doubtful if one considers the history of the project, which is vexed in controversy and public dispute that is threatening to all, but stall it (Burger & Bradshaw, 2002:2). The proposed Coega development is popularly presented as of great necessity in the South African and Eastern Cape context, but at the same time may have far-reaching implications for the region, environment and community surrounding it. Since the idea was first raised, the proposed project evoked much conflict and controversy, because of the absence of consultation with communities, who would be, in any way, affected by the project (Bond, 1999:3). It is not only the validity of the public participation processes, conducted in connection with the project, which was questioned, but also other processes including the project's economic viability, its environmental impact and the public accountability of the concerned development agency (the Coega Development Corporation). Of importance is also the uncertainty surrounding the commitment of possible foreign investors tied to the IDZ through the arms procurement deal.

All this controversy and public disputing have cast serious doubts upon the public participation processes conducted in connection with this project, and it is the aim of this paper to try and find some answers for this state of affairs (Burger & Bradshaw, 2002:4). Apart from the theoretical sources utilized, a wide range of media articles, official and unofficial documentation, which were produced with regard to the Coega project, were accessed to glean information.

Looking at ecological and conservation issues public participation is a legal requirement of an Environmental Impact Assessment (EIA) process, allowing interested and affected parties the opportunity to provide viewpoints as well as influence the process and decision being made (Republic of South Africa, 2006). This has come at a time in South Africa when it is vital to address apartheid policies, which have prevented any form of

participation in decision-making processes; especially by black people, leading to marginalization and grave injustices (Wiseman & Roussouw, 2004:3). Hence, there is a need for including “invisible” stakeholders and marginalized communities to enhance democracy and improve environmental outcomes (Scott & Oelofse, 2005:2).

Environmental policies and procedures in South Africa make vast references to the role and importance of public participation as a tool in environmental decision-making. This indicates that public participation is a key process for the public to air views, which is critical for communities like the one in South Durban, where there is a history of environmental and social injustice, because of noxious industries located in close proximity to the community. Industrial development had reshaped South Durban to be the largest industrial node in the city known as the “South Durban Industrial Zone”. This context sparked community resistance with the coalition of community organizations to form the South Durban Community Environmental Alliance (SDCEA), being the dominant environmental organization within the region for the past twelve years. SDCEA is currently active in various environmental issues that affect the community and South Durban region.

Previous research reveals a common complaint in South Africa is the fact that in spite of laws and policies, lack of implementation is the critical issue. The solutions to problems of state action are to be found in robust engagement between oversight bodies and the executive. The absence of a vibrant, independent legislature inhibits the discourse on policy direction and implementation (Scott & Oelofse, 2005:5). Under optimal circumstances, the debate should go beyond Parliament and involve other stakeholders, such as, civil society organizations including academics and representatives of affected communities themselves. Looking at the laws, which have been enacted in South Africa to administer public participation, the Constitution of South Africa can be regarded one of the most important documents urging public participation at all levels of public governance. Section 195(1)e of the South African constitution states, “People’s needs must be responded to, and the public must be encouraged to

participate in policymaking.” This is a clear, unambiguous directive to ensure that the South African public is central to policy-making (South Africa, 1996:107).

Legally, all South African state departments are required to engage in strategic planning, under legislative mandates providing for departments to set out priorities and indicate how these will be achieved. Strategic plans usually span a four to six year period; and are presented in standardised formats. Both the health and education departments have plans and visions that emphasise access and quality of service. There is, however, a lack of co-ordinated time frames between national departments of government or between similar provincial departments (Open Society Foundation for South Africa, 2007). In other words, there is a need for more alignment and harmonisation of plans at national and/or provincial levels. Ideally, departmental planning should have the benefit of input from a wide range of external and internal stakeholders. In South Africa, there are various consultative forums, these are mechanisms for input into the development of strategic plans. For example, “imbizos” (open meetings with communities) are held in the various provinces and there are regular meetings between the executive counterparts in the various provinces and the respective ministers.

The research for this report could not determine whether the inputs made at public participation forums, indeed, find its way into final policy documents. For example, the Department of Education has a structured way of consulting its external stakeholders, including teachers’ unions and parent bodies (Open Society Foundation for South Africa, 2007). The Constitution also provides a framework for the functioning of the public service and the responsibilities of the executive in relation to management of the public finances that is critical for public service delivery. For the purposes of this study, four statutory instruments are used to show the extent to which the state has tried to incorporate public participation within its legislative framework.

The Public Finance Management Act (PFMA) was adopted by parliament in 1999. It is intended to positively impact on budget transparency and participation, providing financial controls and improved accountability. Requirements include regular reporting and the assignment of accountability by national and provincial departments. The PFMA is an important measure for public financial management in South Africa. This act was one of the first pieces of legislation to demand monthly actual expenditure reports from departments to treasuries, and audited financial statements to the legislatures within seven months of the end of the fiscal year. It sought to bring state-owned enterprises under the transparent scrutiny and accountability not yet exercised by the legislature (South Africa, 2000:3). The Municipal Finance Management Act, 2003 (Act 56 of 2003) is the only legislation prescribing the need for municipalities to consult all communities falling under their jurisdiction in the course of municipal planning and budgeting (South Africa, 2003a).

While the above may be contained in legislation, the actual practice undermines effective consultation. In recent interviews conducted by NALEDI among 77 people in Durban (KwaZulu-Natal), only two people indicated participating in the city's budget processes (Thompson, 2009:3). Most people claimed incognizance concerning city budget processes, indicating that advertisements for ward meetings to discuss the budget, gave insufficient short notice. This means that the budget cycle of the municipality could not possibly be shared with the communities. The Municipal Systems Act, 2000 (Act 32 of 2000) contains sections dealing with local community participation in the development of Integrated Development Plans (South Africa, 2000). This guides local municipalities on how to ensure community participation, specifying processes, timelines et cetera. While legislative provisions are progressive, the reality within many communities is different. The media use of alerting communities about meetings are not universally accessible across municipalities and the notice for such meetings as well as the period set aside for consultation with communities is often too short. The timing of these community meetings tends to marginalise large sections of the local community in cases where these are held during the day when employed people are at work.

With the aim to secure stakeholder input to the development of a new environmental policy, this process resulted in the adoption of the National Environmental Management Act (NEMA) in 1998. As far as its procedural environmental rights are concerned, NEMA is considered one of the most modern and innovative environmental framework statutes in the world. On the national level, the South African government has introduced what is commonly known as the Batho Pele Principles, which are found in the white paper on transforming Public Service Delivery (1997b) and epitomises the evolution of public participation in South Africa. Batho Pele means “people first”. With these principles the government has established the importance of the South African public and the people’s valued input through participatory means and called “for a shift away from inward looking, bureaucratic systems, processes and attitudes as well as a search for new ways of working, which put the needs of the public first, is better, faster and more responsive to the citizen’s needs” (White Paper on Transforming Public Service Delivery,1997b).The “people first”, bottom–up approach is derived from the recognition that the total dependence on professionals to implement development initiatives is grossly inadequate and contributes to greater underdevelopment (Oakley, 1991:4).

### ***2.5.2 Local context***

Historically, South Africa’s housing process is characterised by the previously disadvantaged being deprived of housing and property rights, which led to rental and service boycotts by communities, thus challenging the legitimacy of the government of the time. The current housing policy is rooted in the pre-1994 era as the policy was framed “in the course of National Housing Forum negotiations to address what (some influential) stakeholders saw as the threat of ‘uncontrolled’ urbanisation and the ‘perilous politicization’ of housing question” (Khan & Ambert, 2003:4). The emphasis on housing delivery is compounded by the fact that the country’s housing shortage, according to the National Housing Department, was at 2,2 million in 1997. Due to an ever-increasing population, this figure is estimated to increase by 204 000 every year

(NHC, 2000b).The housing shortage is the result of the apartheid regime, which allocated the provision of housing along racial and class lines. This resulted in a large proportion of South Africans living in informal settlements or receiving inadequate housing, exacerbated by unhealthy living conditions. Many of the problems created by this system persist today.

To address the above-mentioned problems, Developmental Local Government is mandated to provide the “[c]reation of liveable integrated cities, towns and rural areas” (Housing Act, 1997a). As housing is a fundamental right of every citizen, it is government’s responsibility to take reasonable measures, to realise this right progressively (NHC, 2000b). Because of the recognised housing crisis, the Development Facilitation Act 67 of 1995 was formulated to introduce the measures and procedures to be used to speed up the implementation of development programmes relating to land and thus housing delivery. The Housing Act of 1997 is the supreme law governing housing delivery. According to its vision for housing development, local government is to establish and maintain habitable, sustainable and stable public and private residential areas so as to ensure viable communities and households in areas that have access to economic, educational, social and health opportunities (Housing Act, 1997a).

The identified developmental outcome for housing is necessary, due to inferior housing and services delivered to the previously disenfranchised in the apartheid era as well as the location of housing settlements, which were established away from economically active areas. According to Porteous & Naicker (2003:212), a review of the critical literature on the South African housing policy reveals there is consensus in that one of the housing subsidy scheme’s key shortcomings is the continued tendency to locate subsidised housing on the peripheries of South African cities. Another problem with housing delivery is that far more housing subsidies are approved than are paid out. In terms of public participation, the housing Act of 1997 states that inhabitants of communities, affected by land development, should actively participate in the process,

which coincides directly with the IDPs of all municipalities. Unfortunately it has not occurred as intended as “[p]articipation is often interpreted to mean acquiescence and voluntary contribution of labour and resources by low-income ‘beneficiaries’ who have no real influence on a project’s goals and design or in establishing the rules within which it must operate” (Hassen, 2003:126). Developmental local government has basic characteristics, to mention but a few:

- Maximizing social development and economic growth;
- Integrating and coordinating;
- Democratizing development, empowering and redistributing; and
- Leading and learning.

In terms of housing development and its participation component, integrating and coordinating will be discussed in terms of integrated Development Plans (White Paper on Local Government, 1998c).

## **2.6 Integrated development plans**

To ensure that constituents within municipal jurisdictional areas have access to adequate housing, municipalities have to operate within the framework of national policy and provincial guidelines. Municipalities set aside, plan and manage land for housing and development in line with the housing priorities identified in the integrated development plans (IDPs). To ensure safe and healthy living areas, municipalities have to initiate, plan, co-ordinate and facilitate appropriate housing development within its boundaries (Provincial Budgets and Expenditure Review, 2001/02–2007/08:68). Integration and coordination involves the responsibility of local government to align standard visions and goals for all municipalities.

This has resulted in what is commonly known as IDPs, which “provide powerful tools for municipalities to facilitate integrated delivery with their locality” (White Paper on Local Government, 1998c). The IDP process is defined as “a participative process to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and

geographical areas and across the population, in a manner that provides sustainable growth, equity and the empowerment of the poor and marginalized ...” (White paper on Local Government, 1998c). IDPs provide developmental objectives for the short, medium and long term and are a compulsory requirement for all local municipalities. Nine steps have been formulated for implementing an IDP: An assessment of the current social, economic and environmental reality as stated in the White Paper on Local Government (1998c):

A determination of community needs through close consultation.

- Developing a vision for development in the area.
- An audit of available resources, skills and capacities.
- A prioritization of needs in order of urgency and long-term importance.
- The development of integrated frameworks and goals to meet these needs.
- The formulation of strategies to achieve the goals within the specific time frames.
- The implementation of projects and programmes to achieve key goals.
- To use the monitoring tools to measure impact and performance.
- Develop new strategies for urban management and innovative methods to improve and sustain the physical environment and infrastructure.

The most significant aspect of IDPs is the constant element of public participation in partnership with the local municipalities to achieve pre-determined goals. This ensures that the public “owns” the process of development. Without this element of public participation, IDPs would fail. Due to this recognised fact, the Municipal Systems Act 32 of 2000 dedicates an entire chapter to public participation (Municipal Systems Act, 2000 a). This Act encourages a culture of development, which includes public participation. Municipalities are mandated with the responsibility of creating an environment conducive to public participation in line with the IDPs of the various municipalities. In addition, the Act also mandates municipalities to work toward “developmentally oriented planning”, to ensure that it is aligned with various sections of the constitution (1996) and the objectives of local government, furthermore providing various mechanisms and procedures to accomplish goals. Coupled to the Municipal System Act (2000a) is the

Municipal Structures Act, 1998. (Act 117 of 1998) which, in terms of public participation, stipulates that a Municipal Council must annually review:

- the needs of a community;
- its priorities to meet those needs;
- its processes for involving the community;
- its organizational and delivery mechanisms for meeting the needs of the community and its overall performance in achieving these objectives.

The various acts mentioned above should all be aligned in such a manner to work toward housing delivery in an interdisciplinary manner, to optimise results with the aid of public participation. Integrated development planning, performance management and working together with local citizens and partners have been identified as tools and approaches for Developmental Local Government (National Capacity Building Strategy for Local Government, 2003:6). In spite of the above-mentioned Acts, the desired results have not always been achieved. The progress, which municipalities have made in terms of realising IDP goals, have been minimal, as 60% of municipalities are still not implementing performance management systems and only 75% of municipalities had completed IDPs by June/July 2002. This is a reflection of the lack of capacity within local government and its municipalities as core systems and structures, which include performance management, IDPS and review of delivery mechanisms, which have yet to be consolidated.

Public participation within the IDP process can only be considered successful if everyone within a specific community has had the opportunity to lodge and air individual interests or opinions. This does not necessarily mean the participation of everybody within the entire life cycle of development initiative. The successes of IDP are dependent on common understanding and interpretation of the concept of public participation as a point of departure. Once this understanding has been established, the public participation strategies can be decided upon within the phases as will be indicated in chapter 3.

The South African government has come a long way in addressing past injustices and current legislation is proof of the desire to learn from failed past practices, but internal capacity needs attention as “it is crucial that the ‘facilitative potential of local authorities’ be developed and exercised to the full” (CSIR, 2000:26).

## **2.7 Conclusion**

This chapter has attempted to examine critically the correlation between the empirical significance of public participation in international and national context, in which public participation operates. It further illustrated that even though democracy is essential in reinforcing public participation, the role of civil society and especially local government and its role in aligning development practices with existing legislation, is extremely important. It is a struggle that can only be fought and won by a committed community, government structures and institutions of this society. The post 1994 democratic constitutional framework provides a basis for such commitment to be translated into meaningful action, which is much needed in this era of housing, poverty, hunger, unemployment and HIV/AIDS. However, for a number of historical and present reasons outlined in the context of this chapter, public participation in the South African Municipalities is at a very low level. Most importantly perhaps, councillors and officials must realise that community participation is not a neutral endeavour. To this end, all stakeholders are expected to utilize international and national guidelines on public participation, to learn from past mistakes and create more successful, context specific approaches, more specifically. The IDP can ideally be the vehicle to create an environment in which public participation and all its strategies are the culture/norm.

## CHAPTER THREE

### RESEARCH METHODOLOGY

#### 3.1 Introduction

This chapter presents the research methodology and design of the study. It describes and justifies the methods and processes utilized in order to collect data that was used in answering the research questions. On this basis, the chapter addresses technical as well as operational issues of research methodology and in addition reviews different research methods, accounting for how the study was conducted. Consequently, a conclusion is drawn at the end of the chapter to provide a base for the next chapter.

#### 3.2 Research design, methodology and sampling

Stratified random sampling was used to pick up the project beneficiaries, because it was not technically and logistically possible to include all project beneficiaries in the survey. To that end, only selected strata of beneficiaries were randomly chosen, in order to ensure that all the project beneficiaries received an equal opportunity of being selected. The random sample was stratified to ensure the inclusion of beneficiaries from all age groups, simultaneously considering gender equity. The sample also included other community members, municipal personnel who worked on the project as well as officials from other ministries and government departments, from which data were collected and analyzed. Kothari (2003:12) defines research as the pursuit of truth with help of study, observation, comparison and experiment, that is, the systematic method of finding solutions to a research problem identified. Kothari (2003:13) further argues that the process of research is a systematic method that includes the following in logical sequence:

- a) Enunciating or defining the research problem.
- b) Formulating the hypothesis/research questions from the research problem.
- c) Designing the appropriate research process.
- d) Collecting facts or data to help answer the research questions.

- e) Analyzing the data.
- f) Reaching certain conclusions from the analyzed data hence answering research questions.

Processes (c), (d) and (e) constitute what is termed as research method for it enables the researcher to obtain the data necessary to answer the research questions and hence solve the problem articulated in the problem statement. Research methodology, in contrast, is inclusive of the research methods and encompasses the overall approach to the research process from definition to selection of the appropriate research method and analysis of data as well as drawing conclusions from the analysis, hence it entails all the mentioned steps from (a) to (f).

### **3.3 Data collection instruments**

In order to categorize and review the different research methods, a discussion of the different types of research may be sufficient. Different research problems require different research methods. Research can be categorized into four categories, which are relevant in this research. The categorization is adapted and merged with the definition used by Shao (1999:151). The classification is based on the approach the research takes. The categorization aids in locating the particular research being carried out and hence facilitates the choosing of the appropriate research method. This author defines a questionnaire as a formal set of questions or statements designed to gather information from respondents that accomplish research objectives. The questionnaire may have either structured, semi-structured or unstructured questions. Structured questions are conveniently easy and take less time to answer, because options are available to respondents, who can tick individual practices, opinions or attitudes, best described. The disadvantage is that these questions restrict the respondent in choice, because the available options for selection may not be exhaustive to describe the situation of the respondent. Conversely, unstructured questions are not restrictive to respondents.

In contrast, interviews can be defined as the "task of gathering information" or "a face-to-face discussion between two people, directed toward some specific purpose." It is also defined as the complex "process of dyadic communication with a predetermined and serious purpose designed to interchange behavior through the asking and answering of questions" (FIFRA, 2002:1).

Data were collected through questionnaires and interviews. The questionnaire survey was used for the original project beneficiaries, who moved to Tyutyu in 1985 as well as for project beneficiaries, who settled in the area at a later stage. In both target groupings, open-ended and closed-ended questionnaires were employed. This action was taken to obtain extensive information from project beneficiaries, without restricting individuals in any way. Care was taken to ensure that in open-ended questionnaires the answers were relevant to the study. The questionnaire survey was distributed and administered by the Community Development Worker (CDW), who also collected the questionnaires after the exercise. The response rate on the administered questionnaires was 100%.

Face to face, interviews were employed wherever possible especially for public officials, NGO personnel as well as various stakeholders, who worked on the project previously. Wherever possible, group interviews were also conducted to get the collective opinion of the project beneficiaries. The data collection exercise took one month. Besides the questionnaire and interview survey, participant observation was used as a research method. This included visiting the project site under study and assessing the present state relative to the stipulated project goals and objectives. Furthermore, the method included meeting and interacting with intended project beneficiaries. This action enabled the researcher to observe the project first hand and view the environment under which the project was implemented. In addition, the method permitted the researcher to assess the different reports from the various organisations against the actual prevailing situation. The main disadvantage with this method is the danger to develop stereotypes and bias, especially considering that the observation is usually limited to a short period.

Therefore, what may be observed at a particular time may be different from what transpires in the day-to-day livelihoods of the Tyutyu Community.

Besides direct observation, participation and situational research analysis, other research methods were employed to obtain data for the study. The researcher participated in the projects under study when attached to the Department of Local Government and Traditional Affairs. Consequently, the researcher attended meetings and workshops where policy for the area was formulated. The knowledge and experience of being part of the administration under which the Tyutyu area falls, were sometimes used as the basis for some of the arguments in this study.

With regard to the documentary survey, the researcher consulted various primary sources, in order to elicit some information on the South African Housing policy and the statutory instruments on housing and local government. These included statutory instruments pertaining to housing and public participation like the Social Housing Act 16 of 2008. Other policy documents consulted include the National Housing Code of 2000. These were important in providing the bigger picture and were useful in seeing how different public participation projects, in different areas, have fared so far. Use was also made of the various government reports and policy documents on the state of housing both in the Eastern Cape and at national sphere of government.

### **3.4 Conclusion**

The research design and methodology were scientifically followed. The questionnaire and interview surveys were employed to create variables and determine issues of importance, when the respondents gave answers to the questions. This also assisted the researcher to quantify the information according to the way each participant responded to a particular question. The choice for using an observation was due to the fact that the researcher had to look at the project itself, its impact on the community and the physical conditions under which the respondents lived in Tyutyu Village. Documentation assisted in gaining a deeper understanding of existing housing policies, project managers' applied action plans as well as departmental strategic plan documents.

## CHAPTER FOUR

### DATA ANALYSIS

#### 4.1 Introduction

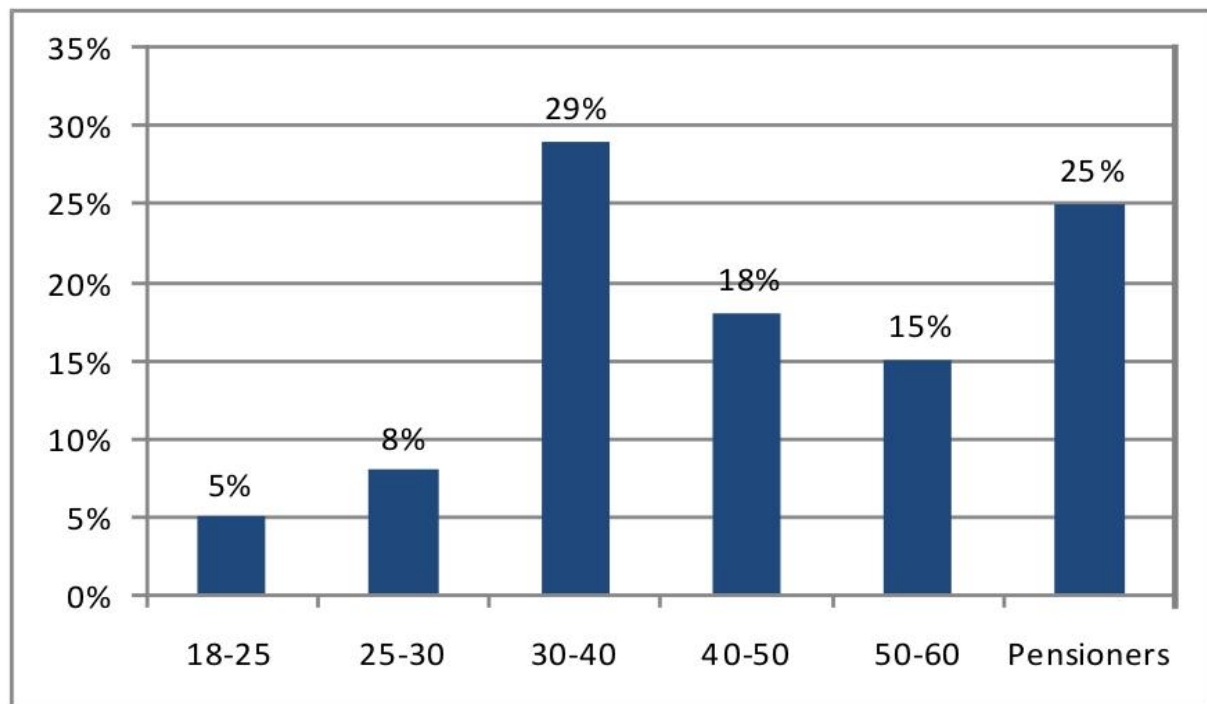
This chapter is an analysis of the results that were drawn from the study, which was conducted in Tyutyu Village. The first part examined the quantitative analysis and evaluated the synthesised statistical data drawn from the survey. The next part scrutinized the qualitative data analysis that included non-numeric results like observation and sentiments of the interviewed community members. Nowhere in the analysis are the names of the respondents mentioned, to ensure anonymity.

#### 4.2 Quantitative analysis

##### 4.2.1 Demography

Below is a graph showing the age groups of the survey respondents.

**Table 4.1: Age group of respondents**

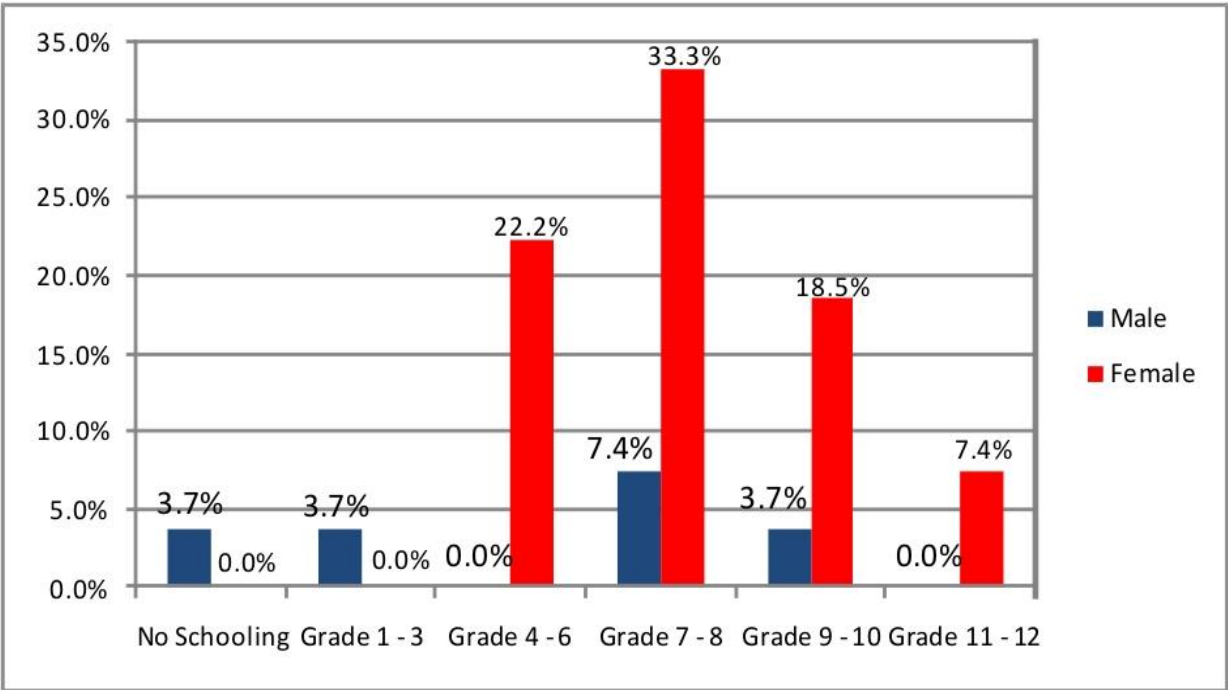


The majority of the respondents are elderly people, constituting 25% pensioners. It can be deduced that between the ages of 18 and 25 years, which represent 5%, there is no equal distribution or representativity across all stakeholders in evaluating citizen participation in low-income housing settlement, something, which compromises the needs of other sections of the population. The rest of the respondents being middle aged, represent 8% being below the age of 30 years.

**4.2.2 Education**

The table below shows the education level of the respondents.

**Table 4.2: Education level of respondents**



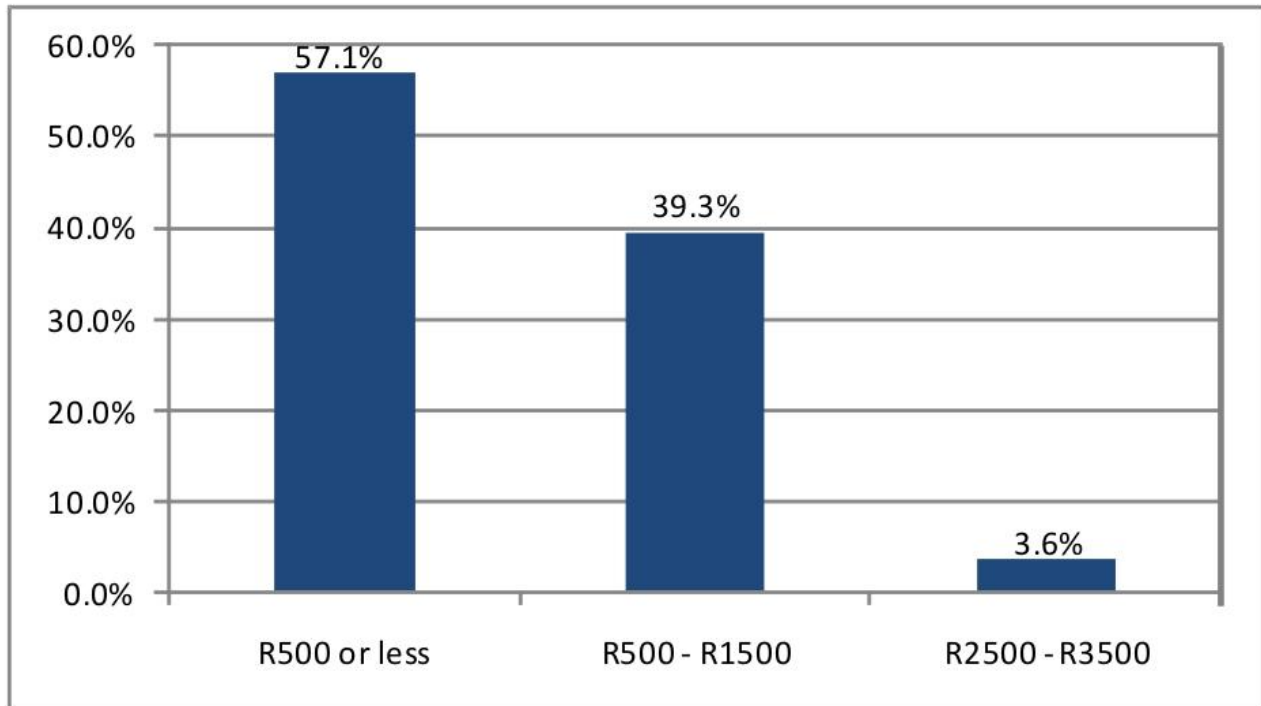
The majority of the respondents have primary and secondary schooling. As reflected on the graph the majority were female, representing 33.3% accounting for both primary and secondary education, with 3.7% having no schooling at all. All the respondents in the survey have no tertiary education, which may have the effect of limiting the kind of housing the participants can access. In fact, only two of the respondents reached Grade

12, which is equivalent to NQL Level 4; the qualification level for entrance into most tertiary colleges and degree programmes.

#### **4.2.3 Income and livelihoods**

The graph below shows the income levels of the survey respondents.

**Table 4.3: Monthly income levels**



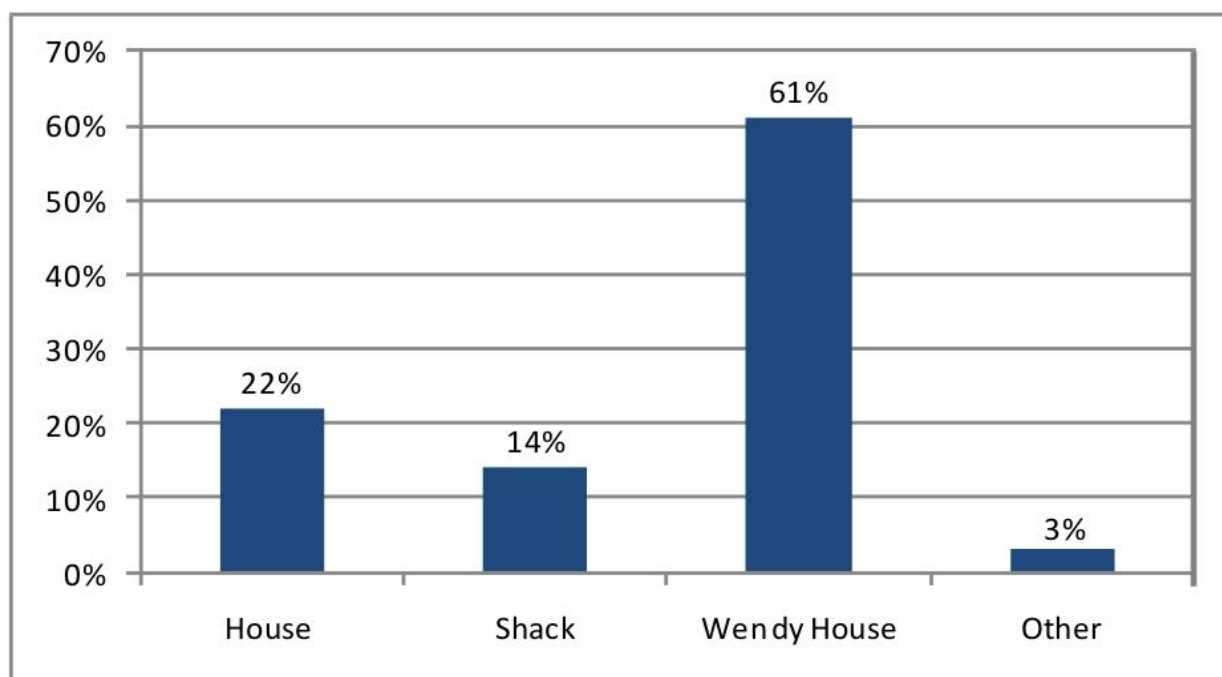
The majority of the respondents, 57%, have an income of up to R500.00 per month. Only 4% earn between R2 500.00 and R3 500.00, while the rest (40%) earn between R500.00 and R1 500.00. Poverty levels are also fed by low education levels among respondents. In addition, 40% of the respondents are elderly, which limits the chances of being employed formally and gainfully.

Furthermore, it is also important to know that most of the respondents live with several dependants; relying on the already small and meagre monthly incomes. Moreover, the high number of people per household adds pressure to the little service provision already accruing to the residents.

#### 4.2.4 Relation to Tyutyu Village

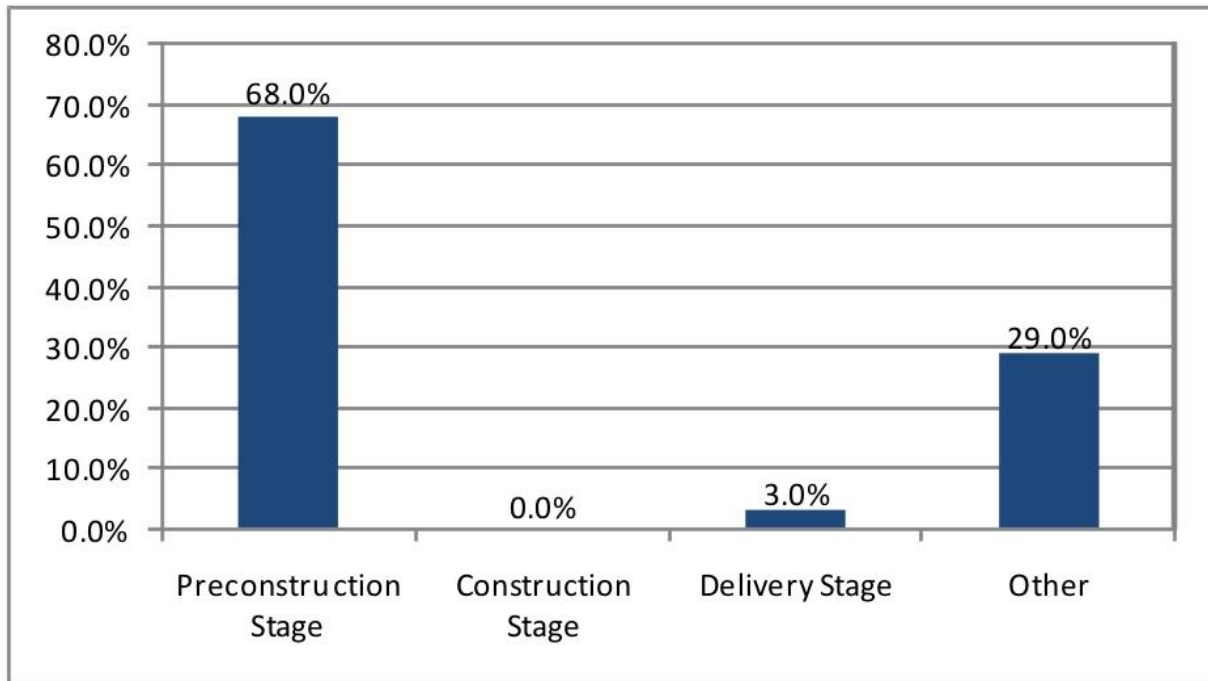
The graph below shows the type of houses the people used to live in before living in Tyutyu.

**Table 4.4: Previous housing types of respondents**



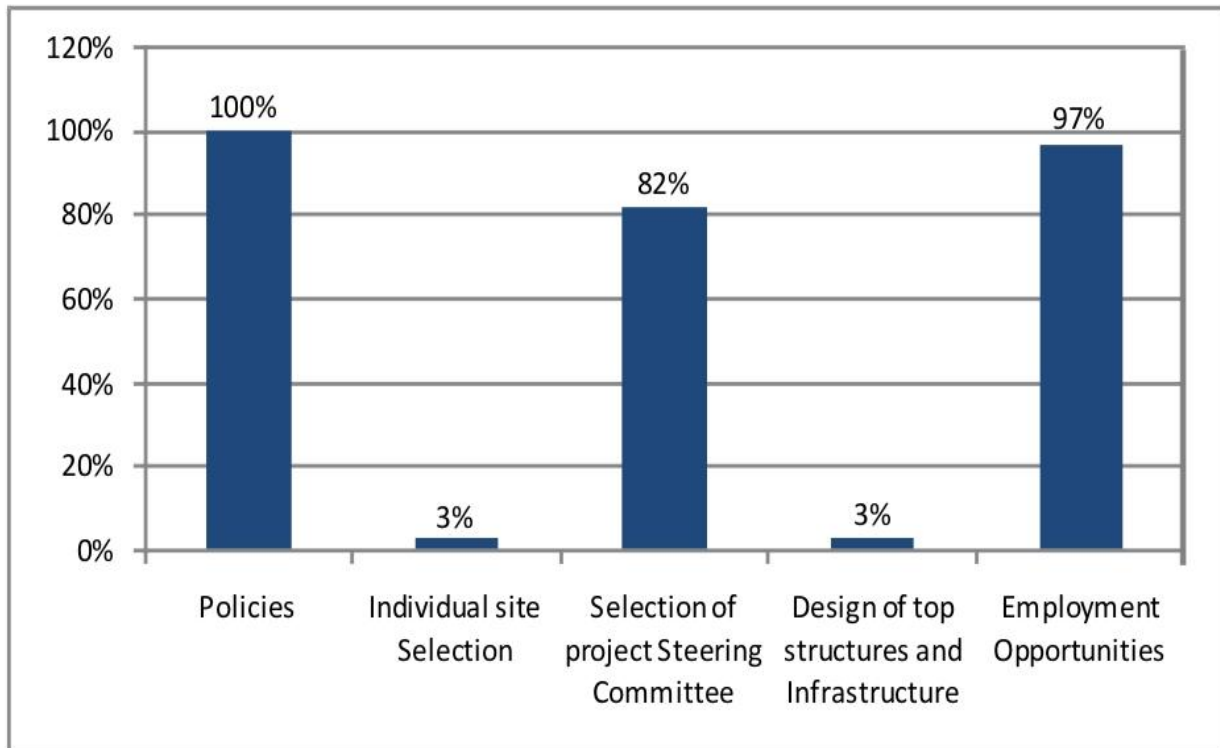
This graph indicates that before moving to Tyutyu Village, 61% of the respondents resided in Wendy houses, living with families. Furthermore, 22 % of the respondents mentioned previously living in small houses, which means the participants are accustomed to living in houses made of bricks, which cannot accommodate a medium family, resulting in having to sleep in night shifts. It is evident that the village under study is unable to meet at least three basic services at once. In addition, all areas of Tyutyu Village have not, yet been provided with basic municipal services.

**Table 4.5: Respondents' stage of participation in the housing project**



The majority of respondents, as observed from the graph, totalling 68% of the respondents, admitted not seeing newspaper adverts and inserts, which were placed in the local newspapers by the government regarding the introduction of the Tyutyu Housing Project. This can be interpreted as a failure by the government to choose the proper participation strategy, as most of the intended beneficiaries have low education levels and given the basic socio-economic status, are least likely to buy or even read newspapers. Therefore, it can be deduced that the government used a mechanism, which was not convenient to and not properly communicated to the Tyutyu Village citizens.

**Table 4.6: Typical content of project meetings**



The questionnaire also covered the content of project meetings to elicit the nature and extent of the public participation involved. Most dominant on project meetings was policies and employment opportunities accounting for 100% and 97% respectively. The selection and election of steering committee members also accounted for 82% of the meetings. Least discussed was individual site selection and housing structures being discussed, totalling only 3% each at convened meetings.

### **4.3 Qualitative analysis**

During the survey, it was observed that most of the respondents reported non-involvement or consultation in the actual process leading to the formation of the Tyutyu Village. This even materialized in the response to the semi-structured questions, which were posed to the Tyutyu community members. It can be deduced from the responses that respondents were only consulted in a limited way on the actual structures that were going to be built, additionally, the eventual structures did not represent the expectations of the occupants, hence the unanimous response of acute dissatisfaction with the

houses in which community members are now residing. However, as pointed out earlier, all the respondents complained that most of the meetings were called at short notice, rendering the forums rather ineffective as members were not given enough time to prepare and attend.

The other crosscutting, which was also pointed out by the respondents is that once elected, the steering committee members become almost invisible and are only apparent when the next elections are held. The same sentiments were also expressed about the councillors, whom the respondents looked up to as the link, with the government and other stakeholders, likely to negotiate improved service delivery in the village.

The other general observation from the survey is the contradiction in what the government should do to alleviate the situation and the practicalities on the ground. Considering the relatively small and limited incomes of the sampled respondents, it is unlikely that anyone will be able to afford the cost, which comes with the services desired.

Besides the questionnaires, interviews were also conducted with the community members. The first broad question was how the community members perceive the steering committee members, who were supposed to be the link with the outside world. The answers were almost unanimous, cutting across gender and age that once elected the steering committee members did not come back to the people. Such members would only be visible when seeking re-election.

There was also an unanimous view that the government had abandoned the people as interpreted by the lack of infrastructural development in the area. Aside from the housing issues, the other most pressing issue, which the community members talked about, was the general lack of employment in the area. This collaborates with the low incomes recorded in the area reflected in Table 3.

As discussed above, respondents were also of the opinion that the houses built are too small. There was also a consensus, again, that the local government should involve the community members in all matters of policy regarding Tyutyu Village.

Although the majority of the citizens do not have a tertiary qualification, the survey revealed that the respondents have an understanding of the constitutional obligation of the local government. This is especially so when it comes to the housing policy. To alleviate the plight, the respondents were of the opinion that the local government should build better houses and provide social services like streetlights and sewerage reticulation systems.

In evaluating the statistical data from the questionnaires administered to the respondents residing in Tyutyu, it becomes evident that housing delivery is not a simple process, but instead a complicated exercise requiring proper planning and forethought. Housing is a form of development and “development must be woven around people, not people around development and it should empower individuals and groups, rather than disempower them” (Gergis, 1999:3). In dealing with people, housing delivery becomes a process that comprises relationships. The public participation strategies utilized in managing those relationships to strive collectively toward a single goal becomes of paramount importance, as it could determine the success or failure of the housing process.

#### **4.4 Conclusion**

In conclusion, it can be pointed out that the main concern for the respondents was that of insecurity, since no individual legally owns the houses currently living in. The second most prominent concern was that there is no consultation whenever the local government decides to make policies and service delivery within the area. Linked to that is also the lack of feedback from the people whom the community see as the link with the government. These include the elected representatives and the local councillor. On this basis, the next chapter raises critical conclusions and recommendations thereof.

## **CHAPTER FIVE**

### **CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Conclusions**

The study deals with the analysis of citizen participation in Tyutyu Village Low-income Housing Settlement. The delays in service delivery are a dire issue everywhere. Government officials are supposed to involve the communities targeted to be assisted in the reconstruction and development programmes, if these officials wish to obtain sustainable results. Consultation is an essential step when dealing with communities, especially in the rural areas. While reflecting on the objectives, the study sought to assess the nature and extent of public participation in Tyutyu Community Project against the housing policies and IDP.

According to the study, indications are that the department under study did not involve the beneficiaries, even the consultation was a predominantly “top-down” exercise. Mainly authorities were consulted, who were expected to pass on the information to the lower ranks. The analysis shows that government, in its implementation of the Tyutyu Housing Project, did not follow the then statutory instruments on public participation in its housing policy. Furthermore, the delay by government to deliver on its mandate and allow the community members to have access to decent houses, has led the Tyutyu community members to resist the idea of Tyutyu being given township status and all the benefits that come with such status, like improved roads, garbage collection, water reticulation services and streetlights. This highly causes great inconvenience for those beneficiaries, who expected social development in the area, but are now suffering, because of improper management from the government’s side. The study outlines below, several solutions on how the above problem of non-participation, by community members, can be resolved.

The first chapter of this research study presented the introduction to the study, which dealt with introducing the reader to the concept of the study under review. It included the statement of the problem of the study, the objectives, the literature review, the research design and methodologies as well as ethical considerations of the study. The challenges outlined in the first chapter include the forceful removal of the Tyutyu community members from individual homes, without the government undertaking public participation steps to get the members' views and eventual concurrence. The conclusion then offered some solutions as to how that kind of disregard for the public participation legislations could be avoided in future housing projects.

The second chapter expounded the literature review of the study, providing strong theoretical underpinnings of public participation. This was aimed at providing different works on the two main subjects of housing policy and public participation. The literature review consists of a collection of different authors, who have petitioned the social problem of housing settlements and its sustainability in rural communities. The first part dealt mostly with an overview of the housing situation in South African and the Eastern Cape Province, especially the legislation that deals with such projects as well as existing housing policy programmes like the IDP. The literature on public participation discussed pieces of legislation, on both international and national levels, that governs public participation and the several ways in which these contribute to the overall success of development projects. The review attempted to prove that the problem under study is really a social problem and that government authorities can combat the problem if committed to seriously mobilizing the people targeted for assistance.

The research methodologies that were followed during the primary research with the Tyutyu community members were addressed in chapter three. The research methodology included a mini-survey of the Tyutyu Village to obtain the primary information from community members. This survey is crucial to the study in that the community members clearly understood the problem and even offered some possible solutions. The survey also included the area councillor and the responsible Municipal Manager. From the survey of the three parties, it appears that all participants clearly

comprehend the problem at hand as well as how it should be resolved. It seems as if there are some challenges facing government on how to translate policy into actual practical action on the ground.

Chapter four of the study provided the analysis of the data that were collected as well as the findings thereof. These include, in brief, a consensus, once again, that the local government should involve the community members in all matters of policy regarding Tyutyu Village. The other finding was that the community feels abandoned by the government. Therefore, the members believe the government should build the houses bigger and better as well as provide social provisions like water and streetlights.

## **5.2 Recommendations**

Based on the critical issues raised in the preceding chapters, the following recommendations are drawn:

The first problem identified during the study is that of non-consultation. In the case of Tyutyu, this started when the people were removed from original homes and secondly when the houses were built without consulting the people first on the design, structure and size. When the government introduced the Tyutyu Village Housing Project, proper consultations were supposed to have been done. To resolve the problem indicated, it is recommended that consultation with project beneficiaries is important, before embarking on any project.

Government authorities should try to initiate possible mechanisms that could contribute to improving citizen participation in housing delivery and put in place Strategic Plans accordingly, thus addressing the requirements that were made by beneficiaries, regarding the developments needed in the communities. Some of the mechanisms that the government could use include newspaper notices to make the people aware of the project. Other mechanisms could be open meetings with the community members, before removal from original homes.

The second problem noted in the study is the non-integration of community members in decision-making. It seems the government planned for the people

instead of planning with the people. Therefore, there was a “top-down” approach, wherein the community members were supposed to adopt whatever decisions were made by the government, even though there was no input from the community members. In the case of Tyutyu Housing Project, the government, without soliciting the input of the eventual project beneficiaries, decided the location, design and structure of the houses for the project beneficiaries. The government even decided to leave out some basic and important services like sewerage, water reticulation, roads and streetlights without enquiring from the community members, whether such services were desired.

To resolve such cases, it is recommended that developments should not only be influenced by the leaders, as was the case in the Tyutyu Housing Project. Rather, development initiatives should come from the people, through elected representatives like the Councillor and steering committee members in the case of Tyutyu Village. Hierarchies are the main reason why people will tend to disagree on issues, because people might be feeling comfortable with a certain leader, whereas some would not want that particular person, due to mistrust or a lack of confidence in the leader. Even though the leader of a community is an overseer, it does not mean that the leader always takes precedence over some of the major decisions that will affect the community. The Municipal Systems Act (Act 32 of 2000) has the participation as a central concept of IDP. This has only been made mandatory recently, but then, when the forced removal took place there were no such legislation. In the case of Tyutyu Village, integrated planning could also have involved participation.

The third problem observed in the study is that there was no research or project feasibility study before the project was embarked upon. Some of the problems expressed by the respondents could have been avoided if there were proper feasibility studies undertaken before the project’s commissioning. In the case of Tyutyu Village, the problem started when the government arbitrarily built small houses for the community members. This was done without looking at the sizes of

the households. Demographic trends, which entail that households grow with time, were also not observed when the houses were designed. Lastly, no feasibility studies were done, specifically looking at income when the government proposed giving Tyutyu township status, which would entail the community members paying some rates. Conducting researches and feasibility studies before embarking on projects is one recommendation that can solve the above-mentioned problem. This also should be coupled with proper budgeting to ensure the availability of adequate resources, and this can only be informed by the background research.

The fourth problem, which is apparent in Tyutyu from the survey, is that the community feels the government should have built better houses to provide social amenities. This is the wish of the community. It is here suggested that government and municipal authorities, in all cases, should respect the wishes of the beneficiaries, because the community members are the ones who understand the developments needed in the communities better. It is unacceptable for government authorities to impose developments on communities, thus consultation should be emphasized. Public involvement encourages dialogue, brainstorming and discussion with specific individuals as it helps to ensure that services are delivered in the best way possible to those who need it. Limited resources are thus well used and the Municipality can demonstrate value for money. Effective public involvement ensures that the views and needs of particular groups, who have experienced discrimination and disadvantage, are addressed and everyone has access to what is available.

Lastly, in the international context, the right to participate in decision-making is enshrined in numerous international agreements. These include the United Nations Declaration on the Rights of Persons belonging to National or Ethnic, Religious and Linguistic Minorities (General Assembly resolution 47/135 of 18 December 1992) and the United Nations Declaration on the rights of indigenous peoples (General Assembly resolution 61/295 of 13 September 2007). The afore-mentioned declarations encourage states to set up systems of government and administration that allow minorities and indigenous peoples to participate in decision-making and

implementation. Legislative procedures should allow representatives of minorities and indigenous peoples, and minority-representative institutions, a special role – such as, initiation, prior consultation and special voting rights – regarding any bill with a major bearing on minority rights. The public takes an active part when policies are being developed and designed ensuring that minorities have a say in the major decisions, which affect individuals' lives and is essential for the protection of rights. Promoting the participation of minorities and indigenous peoples in public life, therefore, underscores that minorities and indigenous peoples have the right to participate effectively in every step leading to the development and adoption of such measures, with particular attention to the inclusion of a gender perspective.

Many situations around the world demonstrate that an adequate representation of minorities and indigenous peoples in policy- and decision-making by society is instrumental in breaking the cycle of discrimination and exclusion suffered by members of these groups. Furthermore, it dispels disproportionate levels of poverty and related impediments to the full enjoyment of many civic, cultural, economic, political and social rights. Yet minorities and indigenous peoples often remain excluded from effective participation in decision-making, including at the level of the national parliament. One of the criteria for a democratic parliament is that it should reflect the social diversity of the population. A parliament, which is unrepresentative in this sense, will leave some social groups and communities feeling disadvantaged in the political process or even excluded altogether, with consequences for the quality of public life or the stability of the political system and society in general. Increasingly, policy-makers at both the international and national levels are realizing its importance too, not least in the post-conflict reconstruction of multi-ethnic and multi-religious societies, including most recently Afghanistan and Iraq.

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## **ANNEXURE A: PERMISSION LETTER**

TO: TO WHOM IT MAY CONCERN

FROM: HENRY JACOB FESTUS SSEKIBUULE

DATE: MAY 2010

SUBJECT: REQUEST FOR PERMISSION TO CONDUCT RESEARCH

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The above matter refers:

Permission is hereby requested for student, Henry Jacob Festus Ssekibuule, Student Number 200909702, from the Faculty of Management and Commerce, with the University of Fort Hare, to conduct research in your department or community. The study entitled “An Evaluation of Citizen Participation in low-income Housing Settlement in the Eastern Cape Province South Africa”.

**THE CASE OF THE TYUTYU HOUSING PROJECT IN BUFFALO CITY MUNICIPALITY: (1985 – 2010)**

The study is conducted as part of the Mini-dissertation for a Masters degree in Public Administration with the University of Fort Hare.

The findings of the study will be made available on request, after completion, and if you have any queries please feel free to contact the researcher at 0713479364.

Thank You, \_\_\_\_\_

**HENRY JACOB FESTUS SSEKIBUULE**

## **ANNEXURE B: QUESTIONNAIRE**

### **CITIZEN PARTICIPATION IN LOW-INCOME HOUSING SETTLEMENT QUESTIONNAIRE**

#### **OVERVIEW**

The Tyutyu Village Housing Project, which is located in the Buffalo City Municipality, is an initiative, which was started in 2000, with the aim of alleviating housing shortages in the area. Formerly, the area was made up of mud houses that were constructed by the former homeland Ciskei government. Later on shacks were added in the area. Originally, these structures were meant to form an agricultural rural village settlement.

#### **RESPONDENTS**

This questionnaire has been prepared for the participation of project beneficiaries only. These are the people currently living in Tyutyu Village.

#### **GUIDELINES**

Please note that the information gathered during this research will be handled in a responsible manner, within the confines of research ethics.

#### **PROCESS**

The researcher and/or field assistants will administer the questionnaire, based on the direct engagement with respondents.

#### **COMMUNICATION**

The researcher and/or field assistants will engage the respondents in both Xhosa and English. However all responses will be captured in English.

#### **DISCLAIMER**

This questionnaire has been prepared for a research project undertaken to fulfill the requirements of a Masters Degree in Public Administration at the University of Fort Hare.

### A. Background Information

Questionnaire number.....

Interview Date: /.../.....

Area:.....

Name of the Enumerator: .....

### B. Socio-economic Information

#### 1. AGE

18-25	1
25-30	2
30-40	3
40-50	4
50-60	5
Pensioner	6

#### 2. GENDER

Male	1
Female	2

#### 3. HIGHEST STANDARD PASSED

Didn't attend school	1
Grade 1-3	2
Grade 4-6	3
Grade 7-8	4
Grade 9-10	5
Grade 11-12	6

4. NUMBER OFDEPENDENTS

1-2	1
3-4	2
More.....	3

5. ARE YOU EMPLOYED?

Yes	1
No	2

6. WHAT IS YOUR HOUSEHOLD INCOME BEFORE DEDUCTIONS?

0-R500	1
R500-R1500	2
R1 500-R2 500	3
R2 500-R3 500	4
>R3 500	5

### C. Public Participation in Housing Information

7. HOW LONG HAVE YOU BEEN LIVING IN THE TYUTYU AREA?

1-5 years	1
5-10 years	2
10 and more	3

8. BEFORE MOVING INTO THIS HOUSE, WHERE DID YOU LIVE?

Family member	1
Friend	2
Own home	3
Other	4

9. WHAT TYPE OF STRUCTURE WAS IT?

House	1
Room in a house	2
Shack	3
Wendy house	4
Other	5

10. HOW MANY PEOPLE LIVE IN THE HOUSEHOLD WITH YOU?

people	1
--------	---

11. ARE YOU SATISFIED WITH YOUR CURRENT HOUSE

Very satisfied	Satisfied	Dissatisfied	Very Dissatisfied
1	2	3	4

12. DID YOU, AS AN INDIVIDUAL PARTICIPATE IN THE PROCESS LEADING TO THE PROVISION OF HOUSING IN TYUTYU PROJECT?

Yes	1
No	2

13. EXPLAIN

.....

.....

.....

.....

.....

.....

.....

.....

IF ANSWERING YES TO QUESTION 12, PLEASE ANSWER THE FOLLOWING QUESTIONS

14. IN WHICH OF THE FOLLOWING STAGES OF THE HOUSING PROJECT, WERE YOU INVOLVED?

STAGES	YES	NO	
Planning stage/Pre-Construction stage			1
Construction stage			2
Delivery stage			3
Other			4

15. WERE YOU AWARE OF NEWSPAPER INSERTS AND ADVERTISEMENTS THAT WERE PLACED REGARDING THE TYUTYU HOUSING PROJECT?

Yes	1
No	2

16. WERE YOU AWARE OF ANY BRIEFINGS AND SMALL GROUP MEETINGS, WHICH WERE CONDUCTED?

Yes	1
No	2

17. HOW MANY OF THE MEETINGS DID YOU ATTEND?

All of them	1
Some of them	2
None of them	3

IF SOME OR NONE OF THEM, WHY?

.....

.....

.....

.....

18. AT THE MEETINGS YOU ATTENDED, WHICH OF THE FOLLOWING WERE DISCUSSED?

Meeting Content	Yes	No	
Policies			1
Individual site selection			2
Street naming			3
Selection of Project Steering Committee			4
Design of top structures & infrastructure			5
Employment opportunities			6
Utilisation of labour intensive methods			7

19. DO YOU FEEL THAT THE PROJECT STEERING COMMITTEE SHOULD HAVE DONE THE SCREENING OF THE POTENTIAL BENEFICIARIES?

Yes	1
No	2

20. MOTIVATE

.....

.....

.....

.....

.....

21. DID YOU RECEIVE ANY RESPONSE SHEETS AND QUESTIONNAIRES?

Yes	1
No	2

22. DID YOU UNDERSTAND THE RESPONSE SHEETS AND QUESTIONNAIRES WHICH WERE HANDED

Yes	1
No	2

23. WERE YOU ASSISTED IN FILLING OUT THE RESPONSE SHEETS AND QUESTIONNAIRES IN ANY WAY?

Yes	1
No	2

24. WERE YOU GIVEN A CHOICE IN TERMS OF:

Option	Yes	No	
House size			1
Extra finance			2
Bath			3
Dividing wall			4

25 WHO, FROM THE COMMUNITY WERE INVOLVED IN THE PROCESS, IN YOUR OPINION?

Involvement	Yes	No	
Community as whole			1
Community leaders			2
No Involvement			3
Doesn't know			4



## Interview Guide for Municipal, Housing, Officials and Ward Councilors

# GENERAL

### OVERVIEW

The Tyutyu village housing project which is located in the Buffalo City Municipality is an initiative which was started in 2000 with the aim to alleviate housing shortage in the area. Formerly, the area was made up of mud houses that were constructed by the former homeland Ciskei government. Later on shacks were added in the area. Originally, these structures were meant to form agricultural rural village settlement.

### RESPONDENTS

This questionnaire has been prepared for the participation of Municipal, Housing-Officials and Ward Councillors Only. These are the professional people who are mandated to deal with the technical issues, administration and service provision in the area under study. It is therefore important to get their input on the Tyutyu Village project.

### GUIDELINES

Please note that the information gathered during this research will be handled in a responsible manner within the confines of research ethics.

### PROCESS

The researcher and/or field assistants will administer the questionnaire based on the direct engagement with respondents.

### COMMUNICATION

The researcher and/or field assistants will engage the respondents in both Xhosa and English. However all responses will be captured in English.

### DISCLAIMER

This questionnaire has been prepared for a research project undertaken to fulfill the requirements of a Masters Degree in Public Administration at the University of Fort Hare.

## QUESTIONS

1. Please indicate your designation and the number of years on the job?
2. In what way have you been involved in the Tyutyu Village Project?
3. What programmes, projects or activities has your department/unit been involved with in the Tyutyu Village?
4. Indicate the budget or monetary values allocated for Tyutyu Village?
5. In your opinion, does the municipality's policy framework support the implementation of public participation in housing?
6. Do the Tyutyu Village programmes, projects or activities involve the participation of sector departments (provincial or national)? If Yes, What was the nature of participation? (e.g. Financial Support, Project Management Support, Project Advisory Support etc)
7. Can you describe any successes/challenges encountered in the Tyutyu Village Project?
8. Where challenges were involved, did you manage to resolve them, and what role, if any, did you play in the management thereof?
9. Do you believe the community of Tyutyu Village is happy with the way the Municipality delivers services; if not what do you think are the challenges and what needs to be done?
10. Is there a housing policy in the Municipality, if its there, can you briefly describe how it has been applied in relation to Tyutyu project?
11. In your view, has your department/unit added value to the Tyutyu Village Project? Please justify your answer and indicate sources of evidence where applicable?
12. Please comment briefly on other housing projects you are involved in and the challenges thereof.
13. Do you collaborate on housing projects with the office of the Mayor/Speaker, if yes, what was the nature of the relationship in regard to Tyutyu Village project?
14. General comments on the challenges of housing and public participation and how best this can be resolved.

## **ANNEXURE C: COVERING LETTER**

TO: PARTICIPANTS

FROM: HENRY JACOB FESTUS SSEKIBUULE

DATE: MAY 2010

SUBJECT: RESEARCH INTERVIEWS

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The above matter refers:

Thank you very much for taking some of your valuable time to participate in this research project about “An evaluation of citizen participation in low-income housing settlement in the Eastern Cape Province of South Africa.”

### **THE CASE OF THE TYUTYU HOUSING PROJECT IN BUFFALO CITY MUNICIPALITY :( 1985 – 2010)**

The study is conducted by Henry Jacob Festus Ssekibuule as a part of the dissertation for a Masters Degree in Public Administration with the University of FORT HARE.

As a member of the community, your ideas and judgment are extremely important. As a participant in this study, all your feedback will be treated confidentially and your identity will not be disclosed during the analysis. The information will only be used for the purposes of the research project.

The interview will take about 10-15 minutes of your time to complete and should you have any queries please feel free to contact me at 0713479364.

The findings of the study will be made available on request after completion.

Thank You, \_\_\_\_\_

**HENRY JACOB FESTUS SSEKIBUULE**

**ANNEXURE D: EDITORIAL LETTER**

**SOLI DEO GLORIA**  
**Language Editing & Proof Reading**  
**Hani Sammons**  
D. Litt.et Phil (University of Johannesburg)

Cell: 073 778 1801

E-mail: [SDGproofed@gmail.com](mailto:SDGproofed@gmail.com)

**STATEMENT**  
**TO WHOM IT MAY CONCERN**

I hereby state that I have edited and proof read the document:

AN EVALUATION OF CITIZEN PARTICIPATION IN LOW-INCOME HOUSING  
SETTLEMENT IN THE EASTERN CAPE PROVINCE OF SOUTH AFRICA  
THE CASE OF THE TYUTYU HOUSING PROJECT IN BUFFALO CITY  
MUNICIPALITY: (1985 – 2010)

BY

HENRY JACOB FESTUS SSEKIBUULE  
MINI-DISSERTATION SUBMITTED IN PARTIAL FULFILMENT OF THE  
REQUIREMENTS FOR THE DEGREE OF MASTERS IN PUBLIC ADMINISTRATION  
IN THE  
FACULTY OF MANAGEMENT AND COMMERCE  
UNIVERSITY OF FORT HARE  
SUPERVISOR: PROF MH KANYANE  
COMPLETED 17 AUGUST 2010

as requested by the examiners and student.

Kind Regards

Hani Sammons

[D.Litt.et Phil \(University of Johannesburg\)](mailto:D.Litt.et Phil (University of Johannesburg))

SOLI DEO GLORIA

Language Editing and Proof Reading

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31 August 2010

