The State of Citizen Participation and Collaborative Governance in South Africa

BY

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Abstract

The Mini-dissertation begins with a discussion of development aid as a promoter for good governance and political transformation, which includes the practice of citizen participation and collaborative governance as tools of governance and political transformation.

This mini-dissertation proposes the further development of citizen participation and collaborative governance in South Africa. This is driven by the conviction that more can be done to enhance the practice of the two concepts in the current democratic dispensation and moral standing of the country.

The study further gives various perspectives as to how the process of citizen participation and collaborative governance is already taking place. However the researcher contends that more can be done to improve the practice of the concepts, so that all who could be involved in the process get on board.

DEDICATION

This thesis is dedicated to my father and mother, Ntai Elliott Makoetje and 'Mareitumetse Makoetje, my sister, Reatile Makoetje, and my partner Seabelo Mabe. Thank you for believing in me always, supporting and encouraging me to go on. I love you and God Bless you always

Declaration

(I)   I, Reitumetse Paballo Makoetje, declare that the thesis (or interrelated publishable manuscripts/published articles or mini-thesis) that I herewith submit for the Masters of the Arts Degree, for the Programme in Governance and Political Transformation at the University of the Free State, is my independent work, and that I have not previously submitted it for a qualification at another institution of higher education."

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Reitumetse Paballo Makoetje

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ACRONYMS

ANC – African National Congress

AU – African Union

BCE – Before Common Era

CDWs – Community Development Workers

CEOs- Chief Executive Officer

CGP – Collaborative Governance Regimes

CITI – Cape Information Technology Initiative

CSOs- Civil Society Organisations

DCG-Deliberative Collaborative Governance

IASS – International Association for Public Participation

IDD - International Development Department

IDP – Integrated Development Plan

ICT – Information and Communication Technology

IEC- Independent Electoral Commission

IGR – Intergovernmental Relations

MECs – Members of the Executive Council

NEPAD – New Partnership of Africa's Development

NCOP – National Council of Provinces

NDP – National Development Plan

OAU – Organisation of African Unity

PCOs – Parliamentary Constituency Offices

PDCs – Parliamentary Democracy Offices

RSA – Republic of South Africa

SADC – Southern African Development Community

SOEs – State Owned Entities

SoLG – State of Local Government

VAP – Voting Age Population

NGOs- Non-Governmental Organisations

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Chapter 1

Introduction/Orientation

1. Background and Motivation

The state of Citizen Participation and Collaborative Governance in South Africa, as the topic for this research, aims to highlight the important role that citizens could play within their respective communities as well as in their governments, and for which they are held accountable and liable. The research topic further aims to emphasize how governance can be undertaken through collaborative measures between citizens and government, as well as parastatal and non-governmental organisations. It explores the meaningful contribution of citizens towards governance.

Although there is research available on citizen participation and collaborative governance, there is still much to be done. It is essential that more research is conducted on these two concepts, because more can be said which can make a meaningful contribution towards the world of governance. It is also important to investigate whether these two concepts are existent in South Africa, be it through governing structures, the school systems, and even through everyday life.

As an example, the South African government has spent money for communication purposes. Government departments, as well as district and municipality authorities have either a communication unit or several personnel who are responsible for communication activities. Following the State of the Nation Address in 2003 by former president of the Republic of South Africa, Thabo Mbeki, there was the creation of programmes such as the Community Development Workers (CDWs), placed in districts and municipalities (Rasila & Mudau, 2013:13). Another key illustration of citizen/public participation can be seen in Chapter 4 of the South African Constitution (RSA. 1996), which calls for the active involvement and participation of the citizenry and interest groups in governance.

The International Association for Public Participation (IASS) has developed seven values for public/citizen participation in the development and implementation of public participation procedures:

- Public participation is grounded on the belief that those who are affected by a decision have a right to be involved in the decision-making process;

- Public participation is grounded on the promise that the public's contribution will influence the decision;

- Public participation promotes decisions that are sustainable by identifying and communicating the requirements and interests of all contributors, including decision makers;

- Public participation identifies and facilitates the participation of those potentially affected by or are interested in a decision;

- Public participation solicits input from participants in planning how they participate;

- Public participation offers participants the information they need to contribute in a meaningful way; and

- Public participation makes participants aware of how their contribution affected the decision.

(Gima, 2012:2)

Citizen Participation and Collaborative Governance will be discussed in a broader context. This will include how both concepts have become a focal point in the governing systems of countries all over the world, with emphasis on the governing system of South Africa. Over the years, the changes in governing systems, as well as the distribution of power, have resulted in gaps that do not enhance the credibility and authority of governments.

Although these two concepts can be viewed separately, they can also be defined collectively along the lines of sustainable development. This is to indicate that development can be defined as the movement from existing attitudes and standards of living or any other situations that are no longer conducive to the aspiration of the society in search of those that can meet the goals and aspirations of the society (Rasila & Mudau, 2013:13).

The published literature on the two concepts used for this research derives from various books such as **Key Concepts in Governance** by Mark Bevir (2009). Also used are journal articles and published policy papers and reports on issues that are relevant to the topic at hand.

Citizen participation may be defined as a process whereby ordinary people take part (be it voluntary or obligatory, acting on their own initiative or as part of a group) in

discussions with the goal of influencing a decision involving significant choices that could affect their communities (André, 2012:1).

"Globally, there has been an emphasis on the need to promote new forms of interaction among state, civil society and the private sector" (Van der Walt, 2007:34).

In several countries, citizen participation is regarded as a necessary component of governance. The concept has received formal legislation in South Africa. Chapter 4 of the South Africa Municipal Systems Act 32 of 2000 provides for communities to effectively participate in government (Mothepu, 2013:4).

On the other hand, collaborative governance as seen by Frank A and Denie S Weil (reported in Donahue, 2004:1) is "*a new level of social/political engagement between and among the several sectors of society that constitutes a more effective way to address many of modern societies' needs beyond anything that the several sectors have been able to achieve on their own".*

The two concepts are therefore interrelated and have a common ground in the role they play in government.

For a better understanding of the concepts (citizen participation and collaborative governance), it is important to understand each one in its own right.

To understand Collaborative Governance, it is essential to examine the key elements separately. Firstly, 'governance' is said to be a variety of things; a fad, a framing device, a bridging concept, an umbrella concept, a descriptive concept, an empty signifier, a weasel word, a fetish, a field, an approach, a theory and a perspective (Levi-Faur, 2012:3).

Governance can be used as a specific term that describes the changes that can occur within the nature and role of a state following the public-sector reforms of the 1980s and 1990s. Again, the term can be used to describe any pattern of rule that arises either with the state being dependent upon other states or the state itself playing a limited or role whatsoever. Furthermore, governance can be used to refer to patterns of rule, those that include a kind of hierarchical structure (National, Provincial and Local), that is often thought to have existed prior to the public-sector reforms of the 1980s and 1990s (Bevir, 2009:3).

However, the term 'collaborative', according to Donahue (2004:1) refers to a situation in which firms, non-profit organizations and other outside agents work to towards a collective goal. This is not because they are forced to do so or paid, but because participation advances their own interests as well. The concept may also relate to a mandated and induced assistance - both conceptually and practically.

Therefore, collaborative governance, as a concept, is seen by Zadek (2007:6), as a multi-stakeholder or public-private partnership essentially on collaborative initiatives between state and non-state, commercial and non-profit actors that have been born out of the participants' pragmatism. Zadek further contends that new forms of collaborative governance are likely to provide radical measures of understanding the practice of accountability in modern times.

Collaborative governance also refers to attempts to create and conduct policies that involve the participation of non-governmental and non-traditional and political actors. Bevir (2009:47) thus refers to collaborative governance as a specific attempt to bring all relevant stakeholders together for a face-to-face discussion platform, during which policies are developed. The actors from civil society who are interested in a policy play an active role in the policy process from the initial discussions over the agenda to completion.

Over the past few years, there has been a trend of experimentation with public/citizen participation in several countries. Since the recent successes with the Brazilian approach of participatory budgeting processes in Porto Alegre, many other countries across the globe, have now introduced wide-ranging governance reforms. These are purely aimed at stronger citizen engagement in the public decision-making process and ensuring better representation of historically marginalized social groups (Piper & Von Lieres, 2008:1).

A significant development in today's governing systems has been the inclusion of collaborative governance, allowing the three spheres of government (national, provincial and local) to come together in working towards a common goal, to better the development of the country.

In previous governmental dispensations, certain racial groups were excluded from the activities that took place within the country (Legislative Sector SA, 2013:12). In

modern times, governments call for the citizens to play an active role within their respective structures of governance.

In summarizing, collaborative governance is an interactive process in which myriad actors with various interests, perspectives and knowledge are brought together. The hope, in the end, is that the resultant policies, will be better conceived, be more suitable for local contexts, more workable and more legitimate than would policies formed through more closed policy-making processes (Bevir, 2009:47).

Citizen Participation, on the other hand, encompasses how the citizens of a community can play a more active role within the governments they depend on and how they can strengthen ties and develop their country further (Draai, 2010:137).

However, in the State of Local Government (SoLG) publication (Van Donk, 2013:12), the term 'active citizenship' is used instead of 'citizen participation'. The former, as outlined in the National Development Plan and the Mvula Trust papers, is an active process and status associated with holding rights. Active citizenship is a multi-dimensional image that includes vertical relationships (citizen engaging with the state) and horizontal relationships, which is, citizens engaging the spheres of government (Van Donk, 2013:12).

2. Problem Statement

The significant point of departure for this study is the importance of citizen participation and collaborative governance within the South African governing structure. Their existence is regarded as an important aspect of democracy. Based on this background, the question asked is: **What is the value and significance of citizen participation and collaborative governance within the transformative governance framework in South Africa?**

In addressing the problem, the following questions can also be taken into consideration:

- What is meant by Citizen Participation?
- What is meant by Collaborative Governance?
- Why is it so important to bridge these two concepts in order to understand governance in South Africa?

- What mechanisms are set in place to assist in making these concepts understood effectively?
- How can the impact of the two concepts be improved within governance in South Africa?

Citizen participation is about citizens engaging in governmental affairs, especially with policy planning and development, to regulate the output of government (Mothepu, 2013:13). Van der Molen et al (2001:60) in Mothepu (2013:13) define citizen participation as a dynamic connection by people who have a feeling of belonging to the policy processes and who play an active role in determining the productivity of government.

In recent times, the concepts 'citizen participation' and 'collaborative governance' have been easy to understand but have also been problematic to implement. It is more so in places or regions of the world that do not understand how these two concepts are practised. If citizens, do not understand their right to know how these two concepts work to meet their basic needs, it becomes a problem, which in the end results in strikes, protests or any other violent agitations that will bring attention to the ordinary citizens.

There are several problems associated with citizen participation. For instance, the community may not have a proper communication channel with their leaders. This creates the illusion that even though they voice out the problems that confront the community, their leaders seem to do nothing about their plight. In the end, it is assumed that the leaders are in power only for their own selfish ends, to the neglect of the needs of the community at large.

Citizen participation also includes the dynamics of citizen involvement. In South Africa, the Batho Pele principles not only provide guidelines to collective mechanisms but also determine the scope of information policies that promote and strengthen citizen participation (Schoeman, 2007:191). **Consultaion:** being the first Batho Pele principle, makes emphasis on the involvement of citizen participation that all stakeholders should be consulted on the nature, quality and quantity of services to be provided in order to determine the needs as well as expectations if the people. This method of consultation can be done through customer surveys, campaigns, izimbizos and workshops (Department of Public Service and Administration, 2017).

Collaborative governance has become a recent problem in the country, with issues such as health service delivery and crime prevention mechanisms; citizens are not satisfied with the services they have a right to, which creates a problem and causes several alarming issues within the communities they live in (Draai, 2010:137).

Although citizen participation has benefits, it also has several challenges that hinder the way in which citizens are to be engaged within their respective governing systems. These can also be viewed as detrimental to citizen and government working relations. Such challenges may result from poor administration in participatory governance. They include:

a. The slowness in developing policies at both national and local levels and the uneven and often symbolic implementation of both;
b. Uneffective ward committees, and
c. Processes of public consultation (Piper & Von Liebers, 2008:9).

For collaborative governance to go on smoothly and to benefit all, networks have been set up to ensure that collaborative interactions are both vertical and horizontal. This eventually minimises the 'silo syndrome'. It thus requires a level of responsibility on the part of stakeholders, to learn and transfer from their interactions in the networks (Draai, 2010:136).

Collaborative networks hold the ability to facilitate a process of relationship and open dialogue between citizens and government. Information is shared to create mutual understanding of issues that challenge service delivery. Such networks also foster trust amongst stakeholders who cooperate both within and across the networks in partnership (Draai, 2010:137).

The external influence in African politics has been a major obstacle to citizen participation (Kabemba, 2003:8). Governments within the SADC region have adopted poverty alleviation strategic documents, though most of these documents have been drafted by experts from the World Bank or the International Monetary Fund, with little participation from the people within those countries. The adoption of these documents does not enhance citizen participation, as governments do not consult citizens and unilaterally implement imposed social policy (Kabemba, 2003:8).

With every concept and its implementation within government, there also come several challenges. With collaborative governance, the networks are not created in an equal manner; some are created to be sophisticated and well run, while others are seen as awkward and poorly run. Most are somewhat in between the two extremes. Ironically, some leaders choose to collaborate in order to improve performance or to better serve the public, others may collaborate only to be free-riders and obtain benefits without commensurate effort (O' Leary, 2014:8).

From the New Tactics in Human Rights website (2010: Internet), an open dialogue on the *Strengthening Citizen Participation in Local Governance*, one participant identified three adjustments with the use of tactics that promote a more effective and sustainable approach to citizen participation in local governance. These are: understanding and using formal institutions of power, electing and appointing local officials, and bringing together citizens' groups and government officials to jointly formulate programme plans.

3. Aims and Objectives of the Study

3.1. Aims

The aim of this study is to determine the exact status of citizen participation and collaborative governance within South Africa and how it should be included in everyday life.

There are several success applications of citizen participation and collaborative governance world-wide. Some of these applications will be shared in this mini dissertation. A few have been experienced in South Africa and others can be used as an impetus for improving the practice of the two concepts.

Not only will the study focus on how these two concepts can be effectuated in everyday life, but also how the policies, mechanisms as well as bodies can be enhanced to move citizen participation and collaborative governance forward into a new era of governance. With that said, the study will also assist in the improvement of the basic functioning of these concepts, for future generations to learn from.

The successful experiences of other countries can be incorporated into the practice of citizen participation and collaborative governance in South Africa. Countries such

as Uganda and Kenya have created mechanisms by which both concepts can be understood and undertaken by citizens. For example, both countries have adopted the system of the annual Budget Conference, during which each level of government (national to local), gives citizens the opportunity to have a voice in the choice of priorities for the year to come (IDD Research News, 2002:2)

The research also aims to highlight the importance of citizen participation, how individuals as well as stakeholders and government can get the citizens of various communities involved in playing an active role in their own governing structures.

With all this set out as aims, it is also important to make special mention of collaborative governance. Not only is this an action that government takes but it is also important to understand that collaborative governance does not end with the governing structures of the country, the citizens of the communities themselves are included within this cycle.

3.2. Objectives
The following are the objectives of this study:

- To understand and gain insight into what is meant by citizen participation. This includes an exploration of how society at large can play an active role in government and in their own communities;
- To grasp the meaning and role of collaborative governance, both in governing structures of the South African government and the general society;
- To understand how citizen participation and collaborative governance can be enhanced as aspects of the relationship between the citizens and government;
- To analyse and evaluate the status of citizen participation and collaborative governance in South Africa;
- To bridge the gap between citizens and government; and
- To assist citizens and government to find a common ground on how to work together as one unit to better the working relations between communities and government.

The entire mini dissertation highlights the importance of collaborative governance and citizen participation in any sphere of government.

4. Methodology

The methodology to be used will be the qualitative method of research:

Qualitative research refers to 'the insiders' perspective on social action' (Coetzee, 2015:26). Qualitative research attempts to always study human action from the insiders' perspective, as asserted by Babbie & Mouton (2001). The goal of this form of research is defined as describing and understanding, rather than explaining and predicting human behaviour. The method of observation and analysis is to stay close to the research subject (Coetzee, 2015:26).

Qualitative research is normally found in the form of text, written words or phrases that describe people, actions and events within social life. With the exception of the occasional content analysis study, qualitative researchers rarely use statistical analysis. The qualitative approach to research seems to be more aligned with ideographic explanations. Researchers who use this type of research often rely on interpretative or critical social science: they are more inclined to using a transcendent perspective, by applying logic in practice and following a non-linear research path (Coetzee. 2014:22).

For the purposes of this mini-dissertation, the method of study to be used is the qualitative method. A substantial amount of research will be based on scholarly literature (articles and journals); books written on citizen participation and collaborative governance will also be used to understand the link between the concepts as well as the strategies that can be used to enhance their practice within the framework of governing structures.

5. Research Design

Chapter one offers a general overview of the study. This consists of the background and motivation of the study, research problem, aim of the study and research methodology.

Chapter two defines **citizen participation** and highlights its significance in communities as well as government. The origins and importance of citizen participation in the South African context is also covered in the chapter, which further highlights the conditions under which citizens can participate in governance. The

chapter finally delves into the emergence of techniques that promote effective citizen participation.

Chapter three gives an insight into what is meant by **collaborative governance**. The chapter takes a look at the definition of the concept, as well as its aims and objectives. The chapter also provides a historical overview of collaborative governance in South Africa, as well as how the practice of the concept has impacted on the South African government.

Chapter four is on assessment and challenges, focused on the status of citizen participation and collaborative governance in South Africa. Relying on the theories from the previous chapters, this chapter examines the successes, the challenges and what more can be done to enhance citizen participation and collaborative governance in the governing structures of South Africa.

Lastly, chapter five provides the findings of the research and the recommendations given to enhance the practice of citizen participation and collaborative governance. The chapter also summarises what each of the previous chapters entails.

Chapter 2

Citizen Participation

1. Introduction

"Globally, there has been an emphasis on the need to promote new forms of interaction among state, civil society and the private sector."

(Van der Walt, 2007:34)

Citizen participation occurs within governance and has been considered a key component of governance in several countries. Chapter 4 of the South African Municipal Systems Act 32 of 2000 offers legislation aimed at community participation; it also highlights modalities and organisations through which communities can successfully participate in government (Mothepu, 2013:4).

"South Africa is a multiparty, representative democracy, under a constitution which is sovereign and which does entrench human rights." (Buccus et al, 2007:9). Simply put, lack of citizen participation in local government was regarded as one of the deep-rooted problems in South Africa. Consequently, with the dawn of democracy in 1994, the South African government has made known of its commitment to citizen participation, through numerous acts and policies created (Mothepu, 2013:164).

Citizen participation in South Africa, within local government, is stipulated in Section 152 of the Constitution of South Africa (1996). The provision requires for the indigenous establishments have a duty to inspire the participation of societies and community organisations in the troubles of local government. This means local governments as well as municipalities are lawfully bound to guarantee that citizen participation takes place where it is needed.

In this chapter, citizen participation will be viewed as an important element in the South African government. We need to investigate how citizen participation can be enhanced within the community as well as government. The rest of the chapter will analyse and view examples of how citizen participation has evolved over the years in South Africa.

2. Definition of Citizen Participation

First and foremost, it is important to define "citizen". Pericles defines 'citizen' in 431 BCE as: *"an Athenian citizen does not neglect the state because he takes care of his own household, and even those of us who are engaged in business have a very fair idea of politics. We alone regard a man who takes no interest in public affairs, not as harmless, but as a useless character, and if few of us are originators, we all sound judges of policy"* (Heywood, 2007:440). In essence, a citizen is a member of a political community or state, endowed with a set of rights and a set of obligations.

It may also be helpful to consider the term 'citizenship' in an effort to define citizen participation. 'Citizenship' has become a term that has been valued in democratic theory. It involves participation in the political, community and social spheres. It may also refer to new opportunities created to share methods that will strengthen participation across boundaries (Gaventa and Valderrama, 1999:4). *Citizenship as participation can be seen as representing an expression of human agency in the political arena, broadly defined; citizenship as rights enables people to act as agents* (Lister, 1998:228).

Citizen participation involves voluntary or interactive participation in local, state and national issues that do involve governmental decision-making (Milakovich, 2010:2). With this said, citizen participation involves a willingness by both the citizens and government associations to accept pre-defined civic responsibilities and roles. Citizen participation also refers to each contribution that is recognised, valued and perhaps used within decision-making (Milakovich, 2010:2).

Furthermore, citizen participation can be defined as a process in which individuals take part in the process of decision-making in the institutions, programmes and environments that affect them. Participation takes a variety of forms, such as advisors on boards or committees, policy makers on neighbourhood councils, which influence municipal policy, and residents in the local community organizations, which develop block and neighbourhood activities. Citizen participation within social movements (for example, the anti-apartheid movement) has also influenced social policy (Florin & Wandersman, 1990:43).

According to the United Nations Public Administration Glossary, citizen participation implies the involvement of citizens in a wide range of policy-making activities. These

include the determination of levels of service, budget priorities and the acceptability of physical construction projects to orient government programmes towards community needs. Such involvement helps build public support and encourages a sense of cohesiveness with neighbourhoods (United Nations, 2008).

As defined in the Citizen Participation Handbook by Hadder & Zacharch (2002:15), citizen participation is regarded as a community-based process, whereby citizens establish themselves as well as their goals at the grassroots level and work through non-governmental community organisations to influence the decision-making process. Citizens get mostly involved in development when the issue at hand relates directly to them. Citizen participation mostly arises when all stakeholders cooperate and see the change they want to effect.

In the field of Political and Administrative Sciences, citizen participation is also defined as citizen action that influences or seeks to influence policy decisions or as an action that incorporates the demands and values of citizens into public administration services (Zimmerman, 1986).

Citizen participation can then be viewed in two ways:

1. Political participation, by means of voting in elections or getting involved in political proceedings; and
2. Administration participation, keeping a close watch on administration operations (Young Suh, 2004:6).

As seen with the above definitions, citizen participation largely refers to citizens engaging within their communities as well as government.

3. Origins and Importance of Citizen Participation

The idea of citizen participation has its origins in democratic political beliefs, more particularly in relation to the notion of participatory democracy. In the United States, the quest for citizen participation in government decision-making was revitalised in the 1960s, by a number of civil rights movements (Milakovich, 2010:2).

The idea originated from the anxiety of minority groups who needed a greater voice for determining policies and programmes that directly affected the United States. The urban poor community in the 1960s focused more on organizing themselves and

confronting their leadership to demand change. Their participation was legally recognised with the development of federal model cities and community-action programmes (Milakovich, 2012:2).

Within the last few decades, several countries in Central and Eastern Europe have undergone some form of transformation in their political and economic structures. In these processes, the issue of involving citizens in the decision-making process has become an important element in government. Very often citizens do not understand, or lack knowledge regarding, their own privileges and accountabilities, and therefore are not able to express their views as well as concerns. According to Holder & Zakharchenko (2002:15), even though the process is slow and tiresome, the countries within this region are making great efforts to reinforce their democratic systems.

With contemporary independent administrations, local governments are empowered to ensure citizen participation occurs. This is a necessity in a democratic administration. Clapper (1996) asserts that, for a democratic government to be existent, the public at large or individuals must administer or, at the very least, be enthusiastically involved in their government.

Local governments are placed in contemporary democratic structures and are required to take into consideration the requests of the indigenous people. Local government is anticipated to work with the residents for citizen participation to occur (Mothepu, 2013:166).

According to Reddy (1999:9), local government is the closest form of administration with the ability to take government to the resident population. In addition, it makes citizens aware of how their participation in political developments can impact on their lives. Citizens can, without difficulty, partake in local government since it is closer to them. They are able to access their councillors easily for the reason that these councillors live in their neighbourhood.

3.1. Advantages of Citizen Participation

The advantages of citizen participation can be seen largely through the practice of the United States Government. Citizen participation in public activities appears to hold a sacrosanct part within the United States political culture. The enthusiasm for

integrating the role of citizens into democratic policy-making was however not limited to the United States. According to Irvin and Stansbury (2007), other countries also saw the need to create wide-ranging mechanisms to involve citizens in the governing process.

The central idea of citizen participation is an acknowledgement that citizens' contribution in what was called a Jeffersonian democracy would create a greater public interest in the decision-making process (Irvin & Stansbury, 2007:2). The authors go on to develop a table of advantages of citizen participation in government decision-making processes.

Figure 1: Advantages of citizen participation in Government decision-making

	Advantages to Citizens	**Advantages to Government**
Decision Process	▪ Education (learn from and inform government) ▪ Persuade and enlighten government ▪ Gain skills for activist citizenship	▪ Education (learn from and inform citizens) ▪ Persuade citizens; build trust and allay anxiety or hostility ▪ Build strategic alliances ▪ Gain legitimacy of decisions
Outcomes	▪ Break gridlock; achieve outcomes ▪ Gain some control over policy ▪ Better policy and implementation	▪ Break gridlock; achieve outcomes ▪ Avoid litigation ▪ Better policy and implementation

(Irvin & Stansbury, 2007:7)

The following are other elements that express the advantages of citizen participation, in the view of Irvin & Stansbury (2007:3-6):

- *Education:* The more involved and informed citizens become, the more they understand difficult situations and can see holistic community-wide solutions;

- *Political Suasion*: Even if the government truly collaborates with their citizens or merely works in winning over citizens' opinions, the key hypothesis in successful political suasion is the social influence of citizen participants;

- *Empowerment*: Community activists can have regular contact with key-government decision-makers, and can influentially convey their own viewing platform in a non-confrontational atmosphere, as political persuasion works in the opposite direction of empowerment;

- *Breaking Gridlock*: In some communities, traditional political discourse can fragment into obstructionist manoeuvres, bringing decision-making to a complete stop; and

- *Environmental Management*: citizen participation in environmental policy formulation is useful for informing regulators of exactly where volatile public backlash is likely to occur, and for winning the sympathies of a few influential citizens in places where opposition to environmental regulation is strongest.

3.2. Disadvantages of Citizen Participation

Every advantage faces a possible disadvantage, hence Irvin & Stansbury (2007:7) further present some disadvantages of citizen participation in the table below:

Figure 2: Disadvantages of citizen participation in Government decision-making

	Disadvantages to Citizens	Disadvantages to Government
Decision Process	▪ Time consuming (even dull) ▪ Pointless if decision is ignored	▪ Time consuming ▪ Costly ▪ May backfire, creating more hostility toward government
Outcomes	▪ Worse policy decision if heavily influenced by opposing interest groups	▪ Loss of decision-making control ▪ Possibility of bad decision that is politically impossible to ignore ▪ Less budget for implementation of projects

(Irvin & Stansbury, 2007:7)

4. Importance of Citizen Participation

The concept of citizen participation has occupied an important place among researchers, academics, politicians and public administrators. The importance of citizen participation in public management is emphasized by several authors as captured in Mothepu's (2013) research paper:

- Participation is seen as a way for local authorities to obtain facts on the local conditions, needs, desires and attitudes of the community. Such information is seen as vital in reaching implementable resolutions within the policy management process (Bryson, 1993:3); in Mothepu (2013)
- Participation is a way of ensuring that individuals that would be affected by proposed policies have the chance to express their views and to attempt to influence public officers regarding the desirability of proposed policies (Hanekom, 1987:34); in Mothepu (2013)

- Participation provides an opportunity to involve and educate the public because people are likely to be dedicated to a project if they are involved in its planning and preparation. In the view of Conyers, (1982:102), in Mothepu (2013) they can identify with it and even see it as their plan;

- Participation guarantees the democratisation of the planning process in particular and that of the public management in general. Benveniste, (1989:45), in Mothepu (2013) contends that most countries consider participation in local government as a basic democratic right of the people;

- Participation promotes equality among citizens, in line with the democratic principle that citizens need equal opportunity to influence the process of policy development and planning if they so wish (Aktinson, 1992:7); in Mothepu (2013)and

- Participation ensures that the demands of central control are balanced with the unique requirements of communities. In the view of Atkinson, 1992:48), participation in the policy management cycle could empower citizens in relation to public officials. This may ultimately overcome bureaucratic dysfunctions. On his part, Jaakson (1972:18) In Mothepu (2013) argues that the more distant any form of government is from public accessibility, the more likely the planning of unpopular projects or programmes.

5. Goals of Citizen Participation

It is important to understand that citizen participation comes with goals, goals that indicate that citizen participation is essential in governments across the world. Van der Molen et al (2001:63) gives the following goals:

- **Citizen participation can be used as an approach to improve government**. This means citizen participation alters the roles of community members and the administration with the goal of satisfying the desires of people;

- **Citizen participation is a global crusade shifting from centralised state control to the provincial and local levels of government**. Governments are called upon to respond to the requests of the people, but doing so from the centralised state makes the process slow. That is why in contemporary times, governments are shifting to local governments;

- **Citizen participation facilitates a strong civil society**. When citizens constantly partake in issues of governance, they provide information the government may require, and in turn, they make their requirements known to government. Civil society organisations will also be robust because each association will attempt to make its voice heard by their government;

- **Citizen participation provides information to citizens**. If citizens have participated in the decision-making process of their governments, it gives them the opportunity to know what exactly is happening within their local area;

- **Citizen participation advances the public policy procedure**. If citizens have contributed in the public policy procedure, it means the government will have a responsive policy which addresses the needs of the citizens;

- **Citizen participation increases public sector effort**. The work of the municipal sector is to provide facilities to its citizens. When people participate, there are times they can volunteer for the public sector but mostly for their own communities;

- **Citizen participation redeploys political authority and community forces at work**. At times, political office bearers (for example ward councillors) may feel superior to their communities and avoid consultation. However, through participation, citizens can make civil servants alert, hence relocating power and community dynamics;

- **Citizen participation outlines the social framework as to how policies are expressed**. Policies are intended to report certain communal matters that show up. The social context of policies can only be expressed if citizens participate in the process of policy creation; and

- **Citizen participation can increase yet may not guarantee the acceptability of programmes and projects.** In the past, governments executed programmes without considering how the citizens may feel about them. However, through citizen participation, such programmes will address the needs and desires of citizens since the beneficiaries would have taken part in their formulation or would have understood their rationale. This means citizen participation can increase the chances of a project being acceptable to the community it is intended for.

6. Conditions under which citizens can participate

Certain conditions are to be met for citizen participation to be effective. Irvin & Stansbury (2007:16) suggest the following indicators:

Low-Cost Indicators:

- Citizens who are ready to be volunteers for developments that help the community;
- Key participants who are not geologically isolated, meetings can be effortlessly reached;
- Citizens who have adequate means of attending consultations without impairing their capacity to provide for their families;
- A community which is homogenous, as like-minded people and smaller groups speed up the decision-making process; and
- The subject discussed does not require representatives to master complicated information rapidly.

High-Benefit Indicators:

- Issues are gridlocked and as a citizen, the command is to break such a gridlock;
- Aggression towards government entities is seen as too high and the agency must seek support from the community members on a more successful instrument policy;
- Community members with a strong influence within the community must be eager to serve as representatives;
- The group facilitator has the confidence and trust of the representatives; and
- The issue at stake should be one the stakeholders consider critical and that requires immediate attention.

7. Categories of Citizen Participation

Cloete and Meyer (2006:114-115) mention four categories of people who can include themselves in the process of citizen participation:

- **Category 1**: Political representatives, who are democratically elected, such as mayors or councillors. These individuals are voted by the citizens to act on their behalf and take part in decision-making on matters that concern them.

  South Africa and Brazil have two distinctive methods of electing political representatives at government levels.

  In Brazil, the president, governors, mayors and senators are chosen through the majoritarian system, while parliament members and city councillors are elected through a proportional open list (The Brazil Business, 2016: Internet).

  In South Africa, there are also two types of election systems that take place every 5 years. In the national and provincial elections, the citizens vote for a political party and not the individuals. The political party then gets a share of seats in parliament in direct proportion to the number of votes it got in the election; then each party decides on the members to fill the seats won. This is known as the proportional representation voting system (IEC, 2016: Internet). The municipal elections, that take place every 5 years as well, is a mixed or hybrid system, making use of both the ward system and the proportional system (IEC, 2016: Internet).

- **Category 2**: Leaders of recognised organisations in the communities with particular interests and from particular sectors (such as cultural, religious, recreational, youth and business). When the issue at stake is specific to the interest of any such group, the representatives need to come from the group. These leaders would then be required to give feedback to the members of the group.

  Organisations such as NEPAD and the United Nations Women division are organisations that committed to fighting various challenges facing the world we live in. For example, NEPAD has a programme called the Human Capital Development (Skills, Youth, Employment and Women Development), which addresses the issues of economic and social exclusion of the youth, by facilitating the creation of opportunities as well as employment. (NEPAD, 2016: Internet).

- **Category 3**: Individual opinion leaders in communities. Some individuals in the community wield influence due to their profession or views on a certain area of life (on issues such as health, medics and health employees are the individuals to access, as they have an opinion which most of the residents can accept).

  One major issue in modern South Africa was the Fees Must Fall campaign by all students at various learning institutions across South Africa. In October 2016, the Economic Freedom Fighters leader, Julius Malema, regarded as a very outspoken politician, called on students at higher education institutions of learning to join in the Fees Must Fall campaign (The Citizen, 2016: Internet).

- **Category 4**: Ordinary members of the community taking place in mass activities (public meetings and marches). In this case, any member of the social order can contribute to transformation.

  For example, in Pakistan, the media is playing an important role in creating political awareness amongst the citizens. It has assumed the watch dog role in democracy, by providing unbiased information to its viewers through talk shows, current and international affair programmes as well as comedy shows on political themes. The media, especially with citizen journalism, can also be used to measure the impact of participation (New Tactics in Human Rights, 2012: Internet).

8. The South African Legislative Sector and Citizen Participation

The Best-fit approach for public participation within the South African legislative sector comes in the debate form of the **Best Practice approach** versus the **Best-Fit approach**. An international evaluation panel concluded that there is a necessity for the SA legislative sector to shift from concepts of best practice to that of **best-fit** in the inclusive public participation framework. Therefore, currently, legislation and policy incorporates several principles of best practice and the enactment of public participatory systems and programmes consumes seemed to have tumbled far short of public opportunities (Public Participation Framework, 2013:21).

In a diverse and complex society, such as South Africa, citizen participation is seen as a vital measurement of democracy. The South African Constitution endorses a

participatory democracy, which calls for the active involvement and participation of the citizenry (Grima, 2014:19).

A dominant feature of today's governing systems is the inclusion of collaborative governance, whereby the three branches of government (national, provincial and local) all come together in working towards a common goal, to better the development of the country (Legislative Sector, 2013:12). In modern times, governments call for the inclusion of citizens to play an active role within their respective governments. This is in contrast to past dispensations when certain racial groups were excluded from issues of governance.

The International Association for Public Participation (2007) established seven (7) values for use in the development and implementation of public participation processes:

- Public participation rests on the belief that those (being the citizens) who are affected by a decision have the right to be involved within the decision-making process of an issue;
- Public participation includes the assurance that the public's contribution will and can influence a decision;
- Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision-makers;
- Public participation seeks out and facilitates the involvement of those potentially affected by or are interested in a decision;
- Public participation seeks input from participants in designing how they participate;
- Public participation provides participants with the information they need to participate in a meaningful way; and
- Public participation communicates to participants how their input affected the decision.

From a constitutional perspective, the South African Constitution guarantees everyone freedom of association. This right is essential for the formation of civil society organisations. From a legal point of view, South Africa has a legal framework

which both enables civil society organisations to establish themselves as legal structures and then regulates the way in which these legal structures must operate (Department of Social Development, 2009:28).

The right to use information is not only a Constitutional Right (Section 32 (1)) (RSA, 1996), but a significant aspect for active citizen or public participation, in a way that is meaningful for most of the public. The public (including children, people with disabilities, people living in rural or urban areas and people with limited education due to the inheritance of the past) have the right to access information in time and in a way they can most understand and digest (Selebalo, 2011). The Parliament of the Republic of South Africa has proclaimed that *information provided to the public remains a vital focus of Parliament* (RSA, 1996).

The Constitution of South Africa makes provisions in Sections 59, 72 and 118, regarding public participation within the National Assembly, the National Council of Provinces and Provincial Legislatures. It also calls for collaboration between the legislatures and their respective committees. The Houses or committees must execute their business in a transparent manner.

As with the Constitution of South Africa, the People's Parliament believes that public participation is an essential pillar for strengthening democracy. It recognizes the hard work of the legislatures over the past 18 years in realising the Constitutional necessities as well as addressing issues of concern raised by important court judgements (for example the Doctor for Life International vs. Speaker of the National Assembly and Others [2006] SA 416 (cc)) (People's Parliament, 2012:4).

The People's Parliament has reviewed and discussed two areas of importance that will strengthen achievements:

- The responsibility to keep citizens informed:

  - Sound public participation requires that residents are kept informed of their representatives' main concerns, activities as well as choices. Despite the current efforts made, information about the legislatures remains limited. To address this, legislatures ought to empower the media that can publicise the legislatures' programmes, inform citizens of their mandate and empower and provide feedback.

➢ Records of the legislatures' proceedings (those such as committee meeting minutes) should be circulated widely and punctually.

➢ The slow follow up on issues raised by the community as well as inadequate feedback undermines participation.

• Inclusivity:

➢ A range of diverse philosophies and sentiments are the live wire of any democracy. Countless measures must be created in ensuring that all public participation forums are accessible and receptive to both positive and negative voices. The People's Parliament suggests that the leadership in legislatures, as seen with political parties as well, must provide guidance in this regard.

➢ Enterprises created by legislatures must ensure that citizens left out because of overbearing social system, geographical localities and other obstacles have an effective way of engaging. Efforts need to be made to address such challenges.

➢ Public representatives should not only engage with citizens in formal settings but should also be accessible outside customary platforms.

(People's Parliament, 2012)

Figure 3 on the next 2 pages shows the nature of public participation within the South African Legislative sector. This model was advanced as a visual representation of who are the main role-players within the public participation field and the devices used to effect participation (Public Participation Framework, 2013:27).

Figure 3: Best-Fit Approach to Pubic Participation

Input	Mechanism	Output
Incorporation of this project to the APP Project Plan and Appraisal Stakeholder Analysis and Engagement Public meeting Held Visits to Pre-identified sites and Projects: Undertaken	**Taking Parliament to the People** (NCOP Sitting)	Consolidated Report on Sitting Tabled Report forwarded to relevant Gov. Dept. for Implementation Monitoring by relevant Committees Undertaken Follow up visits by relevant Committee undertaken Feedback to Stakeholder by Executive Officer or committee
Incorporation of the Project to APP Project Plan and Appraisal Stakeholder Analysis and Engagement Logistics Undertaken Community Readiness and Awareness Cluster/Multi-Party Visits Undertaken	**Taking Parliament to the People** (Provincial Legislature Sitting)	Consolidated Report on sitting tabled Follow up visits undertaken by Executive Officer and Committee Follow up Report tabled
Incorporation of the Project to APP Project Plan and Appraisal Stakeholder Analysis and Engagement Consultation with District/Local Government undertaken Logistics undertaken Invitations issued	**Sectorial Parliament (People's Parliament)** Women, youth, workers, senior citizens, people with disabilities	Consolidated Report on sitting tabled Report forwarded to relevant District/Local Government for Implementation Monitoring by relevant Committee undertaken Follow up visits undertaken by Executive Officer and Committee

Input	Mechanism	Output

Written Petitions Received

Petitions

Referral to Committee

Petition tabled

Input sought from relevant Government Department if required

Petition debated and resolved

Need identified

Stakeholder Analysis and Engagement

Pre-Education Needs

Logistics undertaken

Invitations issued

Pre-Hearing, Hearings and Post Hearings

[Education and Outreach workshops, Institutional tours, Community education, Information disseminated via various channels

Feedback to stakeholder by relevant Executive Officer and Committee

Report on Hearing/Submission tabled

Public Education Programme Requirements

Stakeholder Analysis and Engagement

Implementation Plan Developed

Logistics undertaken

Education, Outreach and Information Dissemination

Public Education/Awareness workshops and Outreach undertaken [As per schedule]

Reporting in Implementation tabled in the House

Feedback to Stakeholders by Executive Officer and Committee

Office of the Speaker: National Assembly, NCOP Legislatures

Committees: Chairpersons, Chair of Chairs

Parliamentary Constituency Offices (PCOs)

Parliamentary Democracy Offices (PDCs)

(Public Participation Framework, 2013:26-27)

9. The South African View of Citizen Participation

In South Africa, the issue of community participation in local development activities has been endorsed through the new structures of developmental local governments and the Integrated Development Plan (IDP). Developmental local governments within the country have programme obligations that prepare their IDPs for the promotion of development in their area of authority (South Africa, 2000). It is also specified that developmental local governments ought to involve communities and community based organisations in carrying out local development (South Africa, 2000).

Since 1994, South Africa has created a variety of structures to ensure several sections of the society participate in socio-economic issues. To facilitate the practical implementation of public or citizen participation, the government has introduced and implemented various initiatives. These include:

- I**mbizo**: This is where the political leadership of government (the president, deputy president, members of cabinet, premiers, members of the executive council, mayors) accompanied by other senior government officials hold public meetings to engage with communities on issues of government policies and service delivery; and

- **Community Development Workers (CDWs):** These are community-based resource persons who collaborative with other community workers to help fellow community members to obtain information and resources from government departments. The aim of this initiative is to facilitate community participation in government initiatives.

(Public Service Commission, 2008:15)

In a paper by Aklilu, Belete and Moyo (2014), they put together a list of scholars who have been reviewing community participation in the municipal integrated development planning process.

A study carried out by Maphunye and Mafunisa (2008) sought to analyse the relationship between the IDP and public participation in the country's new democracy. They contend that the key challenges to effective citizen participation within the IDP include lack of public participation, non-existence of information,

inadequate skills for public participation, population diversity, negative attitudes and perception towards public participation and the costs of public participation.

Several other scholars have conducted case studies in other parts of the country. Tshabalala and Lombard (2009) conducted their research in the Govan Mbeki Municipality, assessing the role of community participation in the IDP process. Their study indicated that the community's participation was incomplete due to the failure of the municipality to create an empowering environment for significant grass-root participation.

South Africa's democracy is built on the principles of accountable governance as well as public or citizen participation, most notably within the decentralised structures of government which have a purpose to support and ensure the active participation of citizens. Section 152 (1)(e) of the South African Constitution requires local government to "encourage the involvement of communities and community organisations in the matters of local government" (Dawson, 2014:5).

South Africa has come forth with a new term 'Citizen Based Monitoring', which is defined as an approach used for the monitoring of governmental performance that emphasises the involvement of ordinary citizens, reinforces public accountability and promotes service delivery (Dawson, 2014:4). This approach can be understood further as a key element of public/citizen participation, which is distinct for two main reasons:

1. It places citizens at the centre of the monitoring process, which includes deciding what is to be monitored, how the monitoring should take place and the recourse required.
2. Citizen-based monitoring emphasises the importance of public participation in government planning and the budgeting process, together with the constant monitoring at the point of delivery.

The overall purpose of the citizen-based monitoring approach is to embrace citizen participation throughout the delivery cycle that drives accountability, and finds local resolutions (Dawson, 2014:4).

There is also a legal dimension to the citizen-based monitoring approach. This is evident in the *White Paper on Local Government of 1998,* which highlights the

purpose of active citizen participation in local government as well as service delivery and refers to the role of citizens within the monitoring process (DPME, 2013:5).

Apart from the White Paper of 1998 and the citizen based monitoring approach, another policy that contributes to the notion of citizen participation is the *National Development Plan* (NDP), which focuses on the active contribution of citizens in developmental processes, through the term 'active citizenship'. The NDP recognizes that the product of government actions has been to reduce rather than increase the incentive for citizens to be direct participants. The NDP also proposes that the state provides active support and incentivise citizen engagement to advance development within communities and hold government to justification (National Planning Commission, 2011).

The legislative and policy frameworks created by the government aimed at the contribution of citizens throughout the service delivery cycle, in reality highlights a great disconnection between policy intents, government practice and the experiences of citizens on the ground. The way the government responds to protests within the country and to opposition by social movements as well as community-based organisations, suggests condemnation, suppression and violence which wear down the already existing relationship between the state and citizens (Dawson, 2014:6).

Beyond the legal and policy basis for public participation, citizen-based monitoring ought to be seen as an important mechanism for government's accountability that can contribute to a more effective and efficient means of service delivery. Involving the community in the planning and budgeting process is decisive in ensuring that plans are met regarding the real needs of communities and priority given to the most susceptible and disadvantaged, as the constitution and basic human rights norms need (Dawson, 2014:6). The citizen-based monitoring approach can be used to strengthen the connection between citizens and government by demonstrating the disposition to take citizens expectations and experiences seriously and thus respond to their difficulties (Plangemann, 2013).

10. Conclusion

Citizen participation does not just end at the conceptualisation phase. Participation involves so much more than attending meetings or visiting political office bearers' offices; it also refers to contributing to one's local community be it through a big project or a small project.

Citizens within a state become more comfortable with their governments when they are included in the activities of their government. In South Africa, several institutions have been created entirely to promote such participation. Bodies such as the Public Protector, policies and frameworks such as the White Paper on Local Government of 1998 and the National Development Plan are all aimed at ensuring that normal people are included in the activities and decision-making processes of their country's government.

Government is not just comprised of elected political office-bearers; it is about individuals as well as citizens keeping those that are elected in the know of activities that take place in their communities. This ensures that there is mutual trust, cooperation and faith in the government that is meant to uphold the constitution of the country. Those in power are expected to deliver services, protect and serve the country and its citizens in the best way possible.

The emergence of citizen participation within the South African government has become an important tool for bridging the gap between citizens and government. In recent times, citizens are able to address their concerns to their governments, through meetings e.g. imbizos or in open dialogue with the leaders at their own level.

This chapter has discussed citizen participation from different perspectives with the highlight on how the concept can be improved in the processes of governance.

Chapter 3

Collaborative Governance

1. Introduction

From the previous chapter on citizen participation, it is important to state that for citizens to feel they have an active role to play in government activities there must be an open channel that brings together citizens and their government to cooperate towards achieving a common goal. This is collaborative governance, the subject of this chapter.

"The essence of collaborative governance is a new level of social/political engagement between and among the several sectors of society that constitutes a more effective way to address many of modern societies' needs beyond anything that the several sectors have therefore been able to achieve on their own. Our sense of the increase of this phenomenon led us to believe this subject needed to be systematically explored."

Frank A. & Denie S. Weil in Donahue (2004:1)

Collaborative governance obviously comprises two distinctive terms: 'collaborative' and 'governance' which need to be examined individually. 'Collaborative' means working in conjunction with others. It implies that actors (individuals, groups or organisations), cooperate in some form of endeavours. The participants are co-labouring with others on terms and conditions that can vary enormously (Wanna, 2008:3). 'Governance' on the other hand simply refers to the relations among associations, methods and conducts that determine how power is applied, how decisions are taken on issues of concern to the public and private spheres, and how citizens as well as other stakeholders have their say (Abrams et al, 2003:11).

As a term, collaborative governance, as seen by Zadek (2007:6), is a multi-stakeholder or public-private partnership essentially on collaborative initiatives between state and non-state, commercial and non-profit actors that have been born out of their participants' pragmatism. New forms of collaborative governance are likely to provide the most radical measure of understanding and practice of accountability in more modern times (Zadek, 2007:6).

Collaborative governance as a concept defines what and how government activities should be conducted, and ensures that all are to be included in the full activities of civil society.

This section describes the theoretical history of the concept, its origins, aims and objectives. It also aims to highlight the importance of collaborative governance within governments of respective countries and more importantly, how its emergence has impacted on the South African governing system.

2. Definitions of Collaborative governance

A paper by Shilong Wang (2014:264) relates how Professor Dohahau at Harvard University initially came up with a 'public-private collaborative way and thus defined collaborative governance as the concerted effort from the manufacturers, except the government, with a shared authority to pursue a public objective as decided by the authority.

As indicated earlier, the term 'collaborative governance' brings together two basic concepts: *Collaborative* which is to co-labour, and to cooperate in achieving mutual goals. Cooperation is grounded on the essence of mutuality. *Governance,* on the other hand, means to drive the processes that impact on the resolutions and arrangements within the private, public and civic sectors (Henton et al, 2005:3).

Ansell & Gash (2007:2) express collaborative governance as the "arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage programs or assets".

As defined by Emerson et al (2011:2) collaborative governance can also be regarded as the processes and structure of public policy decision-making and management that engages people constructively across the boundaries of public agencies, levels of government and the public, private as well as civic spheres. This is in order to carry out a public purpose that could not otherwise be accomplished.

The idea of collaborative governance generally refers to a group of stakeholders, usually from multiple sectors, who work together to develop and implement policies that are more responsive to the needs or interest of those stakeholders than is

typical of those achieved through top-down approaches to policy formulation (Robertson & Choi, 2009:3).

Another view of collaborative governance is provided by Morse & Stephen (2012:566). They define it as a term that comprises various interweaving threads of public administration scholarship that include, among others, inter-governmental and interagency collaboration, decentralisation, cross-sector partnership, public service systems, consensus building and public engagement.

Ansell and Gash (2007) highlight six important principles in respect of collaborative governance:

- The collaborative governance is a medium initiated by public agencies or institutions;
- Participants in the governance forum include those of non-government players;
- Participants are involved directly within the decision-making process, not just to be consulted;
- The governance forum is formally structured;
- The governance forum seeks to make decisions by compromise; and
- The focus of collaboration is purely on public policy or public management.

Another recognised definition of collaborative governance is provided by Vagen, Hayes & Cornforth (2014:1240). According to them, it comprises the various forms of networks as well as partnerships that are gathered in the form of actors that come across government or public agencies alongside private and not-for-profit stakeholders in the collective crafting and implementation of public policy.

2.1. How collaborative governance works

Governments and citizens, as well as the private sector and other interest groups can all have a share within the collaborative governance network. Henton et al, (2005:10-11) put forward three general categories of collaborative governance:

- ***Forums for Public Deliberation:*** Such forums involve participants from the public. The discussions show varied points of view and encourage changes in thinking which culminate in collective recommendations for action by

respective public officials. With such forums, consultations can take place amongst the public alone, or can include the public or government, where the statistics obtained can be used as a means of knowing what is going on;

- **Community Problem Solving:** This denotes a place-based, inter-organizational collaboratives comprising the public, government and private groups (who over a period of specific time, try to address problems together). For example, these collaboratives work on creating a safer and less violent community, creating new low-income housing, among others. Rather than focusing on agreement making, such collaboratives plan, coordinate and implement the collective policy; and

- **Multi-Stakeholder Dispute Resolution:** The ideal method of conflict resolution brings together stakeholder groups that represent different interests and points of view. These include environmentalists, business interests and government representatives. Specific agreements are then reached through negotiation and consensus building. According to Henton et al (2005), multi-stakeholder dispute resolution focuses on establishing common ground and reaching agreements.

2.2. Phases of collaborative governance

The collaborative process in wide-ranging phases or levels is common within governments

Table 1: Phases of collaborative governance

Assessment	Initiation	Deliberation	Implementation
Is collaboration necessary? Are preconditions in place? Who are the stakeholders? Who might fill key roles (sponsor, convener and facilitator)?	How to frame the issues? How to engage stakeholders? Who/what else is needed? What kind of process?	How to develop effective working groups? What ground rules? How to invent options and decide? How to facilitate mutual learning?	Who will do what? How to broaden support? What kind of governance? How to monitor progress?

(Moore & Stephen, 2012:567)

Assessment: The first phase of collaborative governance deals with initial conditions that could engender partnership success and the assessment of the necessity and possibility of collaboration. This phase then involves assessment which includes the following:

- understanding of contextual influences (those of the history of collaboration and involvement of other recognised disincentives or pressures);
- identifying stakeholders;
- general consensus on the problem or the logic of shared purpose; and
- A sense of urgency or commitment to achieve solution through collaboration.

Initiation: Moving from assessment to initiation, it is important to understand the conditions necessary for collaboration, as well as the potential for collaborative success. The process of initiation includes the following:

- Categorising convener and patron roles which may include the classifying of resources;
- Organising stakeholders, to be able to develop a working group as well as process design; and
- The initiation phase emphasizes 'soft skills' of convening relationship development together with team-building.

Deliberation: After commencing the process with a number of stakeholders and gaining their commitment to somehow work together, the deliberation stage begins. At this stage facilitation skills become essential, The components in this phase include:

- establishing basic rules;
- discussions a part of an agreeable learning process; and
- Reaching collaborative agreements

Implementation: As soon as the partners have agreed on the expected outcomes and means of reaching such, the implementation stage begins. This stage includes:

- the designing of governance structure;
- building constituency support or finding other champions; and
- Over-seeing agreements, assessing outcomes and the managing the partnership.

The implementation phase is considered as a phase where many partnerships struggle. In spite of agreements and plans made, it can occasionally be difficult for the partners to change or follow through (Moore & Stephen, 2012:569).

It is important to observe though that there is only a thin line of demarcation between the phases and in fact there is often some iteration between the deliberation and implementation phases. Moore & Stephen further contend that each phase has a great deal of variation in terms of the particular elements and ordering of events.

Considered in a broad manner, each phase of the collaborative process is characterised by different competences. According to Milward & Provan, (2006), the assessment phase calls for analytical skills while the initiation phase requires net-

working and persuasion. On the other hand, deliberation involves group dynamics and implementation is about a 'constellation of net-work management competences'.

2.3. Requirements for collaborative governance

Structuring and maintaining an effective community policing programme involves a lot more than just making decisions to be able to work together. Havenstein (1996) in Newham and Masuku (2007:11) proposes a number of important issues that can assist in designing collaborative efforts:

- **Incentives** - National and provincial levels of government can motivate collaboration by making required funds available or demanding evidence of strong partnership as pre-requisite for providing such funds;
- **Leadership** - There needs to be strong leadership to facilitate collaboration because the junior staffs of an organisation are unlikely to work well together without such leadership. Traditional attitudes against collaboration may need to be challenged and this can only be ensured by the strong leadership of the agencies involved;
- **Commitment** - The success of collaboration depends on individuals who are fully committed and who do not view the process as a pastime activity. Hence, collaborative activities need to be given expression in job descriptions;
- **Cultural Realignment** - Actual collaboration entails the management of transformation. Conventional ways of doing things will often need to be substituted if significant development is to be made. The new structures or approaches have to be developed by the stake-holders concerned to ensure a 'buy-in'; and
- **Network roles** - Collaborative inventiveness can be sustained by the practitioners, who will carry out inter-agency activities alongside other responsibilities. However, if collaboration needs to be expedited swiftly, individuals could be identified to develop relationships with those in other organisations. These individuals could be seconded into multi-agency groups which may then operate from separate offices.

3. Historical overview of Collaborative Governance

3.1. International View

For much of the last 200 years, the public sector (government) or the private sector (profit or non-profit entities), addressed most societal needs as independent entities. When there was a need for both sectors to be involved, a range of methods were employed, from formal contracting for service to independent philanthropy by the private sector, that supplies the services (Weil, 2011:Internet).

In the past decades, governments around the globe have been struggling to cope with a growing range of challenges. These challenges are emerging now when the public has been generally disinclined to support tax increases, more for the remote governments and for social policy purposes. The public is inclined to believe that governments are wasteful and fail to represent its interest and has a low regard for the public sector (Jung et al, 2009:2).

The first independent agency established in 1905, the Interstate Commerce Commission, in the United State of America, was created to provide rate management and regulation for the burgeoning and out of control railroad industry. Since the creation of the commission, mandatory, statutory regulation has blossomed at all levels - federal, state and local - to a point where virtually all private activities today have dealt with some form of regulatory management. That regulation has provided society with an increasing measure of security and balance. It has also resulted in friction, costs and uncertainty that in so many sectors have impeded innovation and growth (Weil, 2013: Internet).

Referring to Korea and the United States of America as international examples, governments from the local up through the national level have responded in many ways (Jung et al, 2009:2).

3.2. The South African View

Collaboration in this era is a foundation of hope. The language of discourse, participation and compromise has increasingly become today's idealistic vision of social organisation, from South Africa's post-Apartheid Truth and Reconciliation Commission to the engagement with Iran over the development of nuclear proficiencies (Zadek, 2006:4).

In South Africa, once the country achieved independence in 1994, the government led by the African National Congress (ANC) stressed the importance of collaboration as central to the country's renaissance. This was seen to provide a strong image in line with Nelson Mandela's call for a "rainbow nation". With developments such as the Truth and Reconciliation Commission, the country began a period of political and economic experimentation with collaboration at the centre of its development model. (Zadek, 2006:8).

Collaborative governance in South Africa can also be associated with co-operative governance, which involves the sharing of goals, the sharing of information, joint planning ventures and budgeting, as well as co-operation regarding policy development and implementation (Hughes, 2010:4).

The principles of co-operative governance and inter-governmental relations are explained in detail in Chapter 3 of the South Africa Constitution. Section 41 states the following:

All spheres of government and all organs of state within each sphere must:

- *preserve the peace, national unity and the indivisibility of the Republic;*
- *secure the well-being of the people of the Republic;*
- *provide effective, transparent, accountable and coherent government for the Republic as a whole;*
- *be loyal to the Constitution, the Republic and its people;*
- *respect the constitutional status, institutions, powers and functions of government in the other spheres;*
- *not assume any power or function except those conferred on them in terms of the Constitution;*
- *exercise their powers and perform their functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in another sphere; and*
- *co-operate with one another in mutual trust and good faith by*
  - i. *fostering friendly relations;*
  - ii. *assisting and supporting one another;*

iii. *informing one another of, and consulting one another on, matters of common interest;*

iv. *co-ordinating their actions and legislation with one another;*

v. *adhering to agreed procedures; and*

vi. *avoiding legal proceedings against one another*

(Constitution of South Africa, 1996:41)

Stakeholder interactions within collaborative governance networks involve processes such as showcasing and benchmarking best practices by the process of mediation, self-regulation and arbitration. Collaborative networks hold the ability to facilitate in the process of relationship building and creating an open dialogue between citizens and government (Draai, 2010:137). In essence, information is shared with each party involved, and there is a mutual understanding of issues that challenge service delivery within the country.

On the other hand, collaborative networks have the ability to engender levels of trust in government, as well as levels of trust among public officials of different spheres of government, as they have a responsibility to develop a broader understanding of issues as well as institutional arrangements that impact on service delivery (Draai, 2010:137).

4. Emergence of collaborative Governance around the globe

Collaborative governance does not in principle entail transformative effects on any one class of partner. Governments can carry on representing the public interest, called to account, hopefully, through democratic processes. Civil society and labour organisations can be party to collaborative governance while maintaining their extensive perspectives and complex, dynamic, organic, value-based accountability (Zadek, 2006:20).

Over the years, governments around the world have been under pressure to make important changes within their institutional frameworks, to improve their overall efficiency and effectiveness. To enact this process of transformation, public organisations have been called upon to change the way they are designed and managed (Robertson, 2011:8).

Several scholars connect the concept of collaborative governance with the study of intergovernmental cooperation dating back to the 1960s, whereas other scholars trace it as far back to the birth of American federalism (Emerson et al, 2011:3).

The most important concept in collaborative governance is the collaboration and cooperation, which exists between governments, enterprises, non-governmental organisations or between the government and other two sectors (Wang, 2014:265) Regarding the inevitability of collaborative governance, Julian Le Grand analyses the difficulties that occurred in the provision of social services of education, health and housing by the private sector in the United Kingdom Post Thatcher Era, with the inclusion of the concept 'quasi-markets" (Le Grand, 1991: Internet).

Therefore, seen as a new trend in governance, collaborative governance can reinforce the collaboration between citizens and government, improve public participation, manage interest dispersal and endorse the improvement and clarification of social contradictions (Wang, 2014:265).

4.1. Integrative Framework for Collaborative Governance

'Integrative framework' is defined in collaborative governance as the processes and structures of public policy decision-making and management that engage people, across the boundaries of public agencies, levels of government and/or the public, private and civic spheres, to carry out a public activity that could not otherwise be accomplished (Emerson & Nabatchi, 2015:721).

This framework also introduces 'collaborative governance regimes' as a concept, which is referred to as a particular mode or system for public decision-making in which cross-boundary collaboration represents the prevailing pattern of behaviour and activity (Emerson et al, 2011:6) The Collaborative Governance Regimes are directly aimed at the public goal-directed network; they are distinguishable from the other collaborative activities in several ways:

- **First:** Collaborative governance regimes have a wide range of public policy or public service orientations;
- **Second:** They are cross-organizational systems involving a range of autonomous organisations representing different interests and or jurisdictions;

- **Third:** Collaborative governance regimes enable repeated interactions among their participants through structured processes over time; and
- **Fourth:** Collaborative governance regimes develop institutional and procedural norms and rules that foster collaboration.

(Emerson & Nabatchi, 2015:721)

Figure: 4: Collaborative Governance Regimes
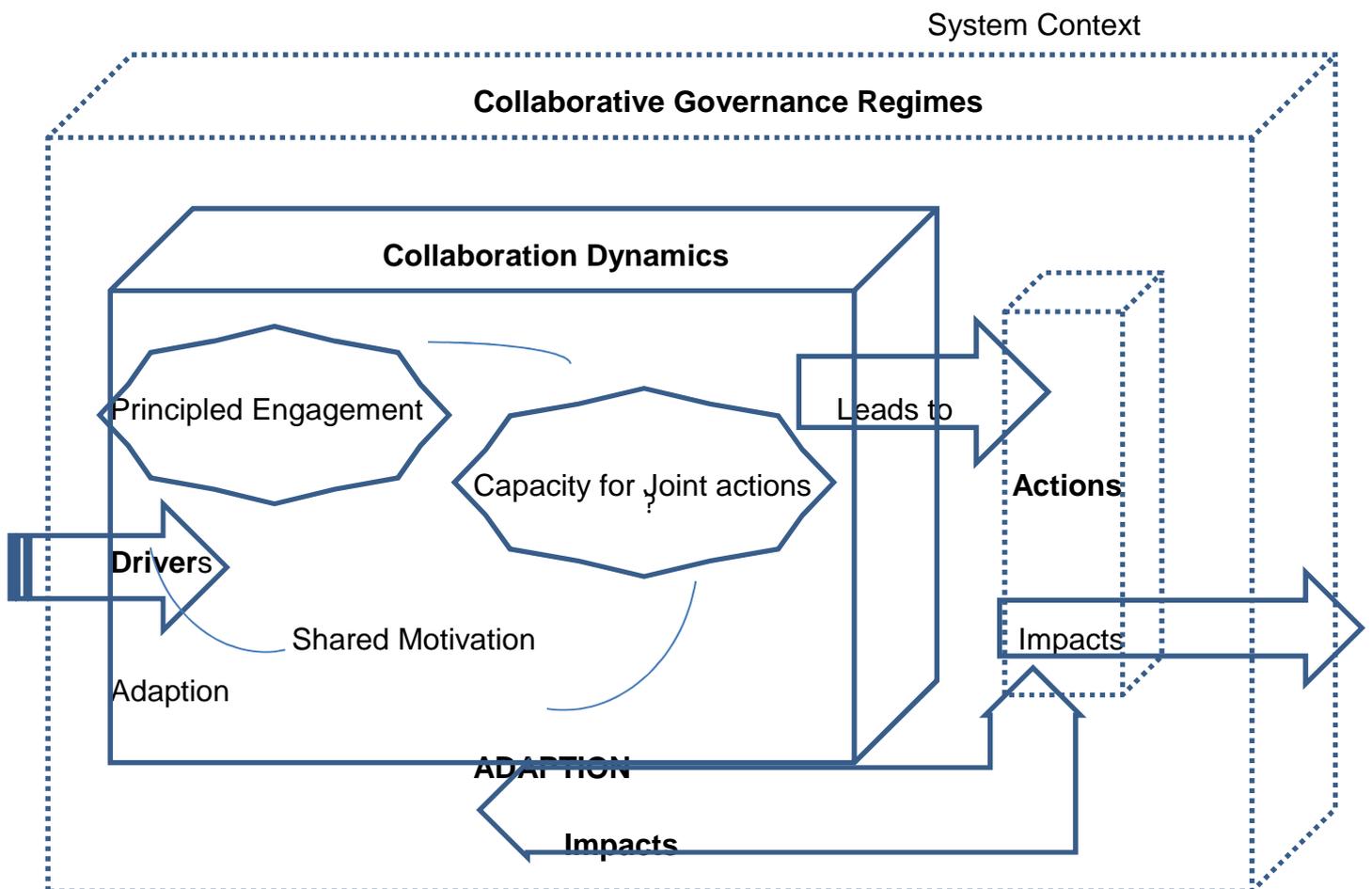
(Emerson & Nabatchi, 2012:722)

Figure 4 illustrates the integrative framework for collaborative governance through a series of interrelated dimensions representing the surrounding context. The Collaborative Governance Regime (CGR) encompasses the iterative cycling of collaboration dynamics as well as the collaborative actions derived from those dynamics. To explain how the collaborative governance regime works, the starting

point is the system context, shown in the outer box. It represents the political, legal, socio-economic, environmental and other influences which affect and are affected by the CGR (Emerson & Nabatchi, 2015:721).

Figure 5: A Model of how Collaborative Governance Works
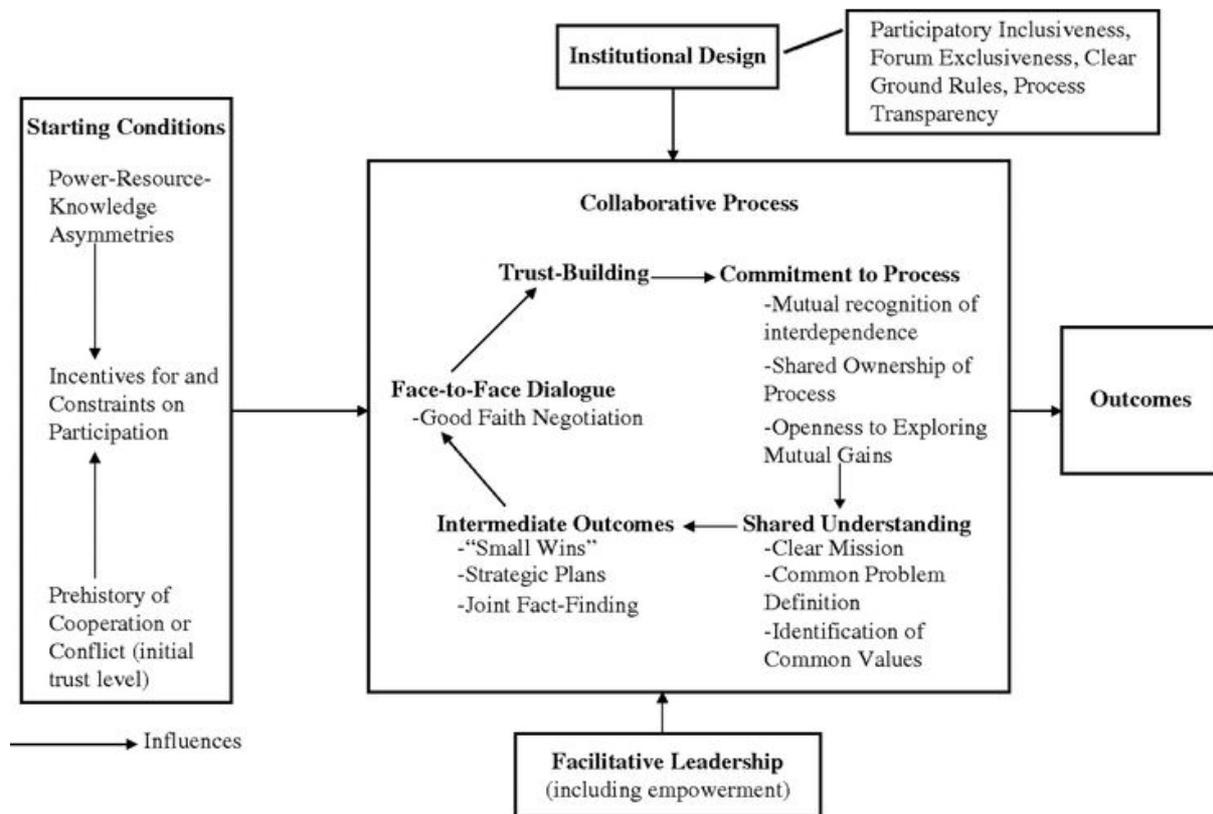
(Ansell and Gash (2007:550)

Figure 5 is a graphic illustration of the fundamental outcomes provided by Ansell and Gash (2007:550). This contains three general variables (conditions, institutional design and leadership variables) for the collaborative process. Each one of these variables can be disaggregated into a more fine-grained variable. Collaborative process variables are treated as primary in the model, represented as either critical contributions to or context for the collaborative process.

Starting conditions set the basic level of trust, conflict and social capital that become resources or liabilities during collaboration. Institutional design sets the basic ground rules under which collaboration takes place. The collaborative process is considered to be highly iterative as well as non-linear, and is represented as a cycle (Ansell & Gash, 2007:550).

Collaborative governance may also be viewed through a model; it can as well be seen through principles. While each of the processes in the spectrum of collaborative governance is considered to be different, all still need to be conducted in accordance with the following democratic principles:

- **Transparency and Accountability**: Consultations should take place in the public eye. When agreements are reached, mechanisms must happen to ensure that parties involved follow through based on their commitments made. An accountable process ensures that all participants in the process are answerable to those they represent;

- **Equity and Inclusiveness**: Various interests and all who are needed to work on the issue at stake must be present or represented. This principle considers how far the process allowed input from those outside and to what extent it then properly considered all the issues raised;

- **Effectiveness and efficiency**: Good processes must be considered to produce outcomes that make practical sense in so many ways;

- **Responsiveness and deliberativeness**: Public distresses need to be realistically dealt with. This characterises a development in which views are exchanged, arguments are critically examined and shared knowledge is built up in a context of civility, respect and trust;

- **Forum neutrality and impartiality:** The process should be steered impartially, in an atmosphere which allows participants to share responsibility for setting ground rules and producing outcomes. An impartial process treats all parties equally. This is a distinct quality of the process that makes for good deliberation; and

- **Consensus-Based decision making**: This applies only within the collaborative decision-making process, where decisions are made through compromise rather than majority rule.

(Policy Consensus Initiative, 2010:10; Ministry for the Environment, 2013: Internet).

To further understand collaborative governance, it is important to note three key features: *effective public involvement*, *the role of government as a facilitator*, and *institutional capacity*.

- *Effective public involvement*

Governments strive for the involvement of citizens in embarking upon social and environmental projects, the reason being, citizen participatory democracy is crucial to acquire consensual consequences in public policies. Several scholars recommend that public contribution is crucial to beginning the state-citizen relationship in modern governance (Newman et al, 2004; Sullivan & Skelcher, 2002; Beresford, 2002).

In addition, citizens' involvement has brought about a number of positive changes, including the extension of democracy and the growth of civil society (Kim, 2010:72). Innes and Bocher (2004:422-423) see the purpose of participation as: selecting what the public desires; contributing citizens' opinions grounded on local knowledge to the decision-making process; promoting fairness and justice; securing legitimacy for public decisions and meeting legal obligations.

- *The role of government as a facilitator*

Regarding the role of government in governance, there are two discrete understandings: the state restructuring and the excavating out of the state (Rhodes, 1996). Several authors contend that government still plays a significant role as the facilitator, adapting itself to a collaborative governance era, because government has strived to retain legitimacy by expanding decentralization and public involvement and has enhanced accountability by establishing close relations with other stakeholders (Durose & Rummery, 2006; Kjaer, 2004; Carnoy &Castells, 2001).

Kooiman and Vliet (1993) present the role of government in a governance era as follows: monitoring for coping with complexity; navigation for governing dynamics and integration for dealing with diversity. Therefore, the change of government's role can be interpreted as the reconstitution of the state rather than governing without government (Kim, 2010:78).

- *Institutional capacity*

The goal of collaborative governance is seen as creating and promoting institutional capacity, because this capacity guarantees the capability if civil society and effective consequences (Healey, 2006; Healey, 1998). Innes and Booher (2004) regard institutional dimensions as institutional capital.

4.2.   Deliberative Collaborative Governance (DCG)

Deliberation should play a major part in the role in collaborative governance. Deliberation usually requires participants to commit a significant amount of their own time to be involved in governance (Gollagher &Hartz-Karp, 2013:4).

Gollagher and Hartz-Karp (2013) coined the term 'Deliberative Collaborative Governance (DCG)', which they argue could be the most effective way of resolving 'wicked' problems. The term was created to address some of the key criticisms of two related approaches - Deliberative Democracy and Collaborative Governance.

The newly devised term, Deliberative Collaborative Governance (DCG), reframes deliberative governance to focus on the transformative reform that is visualised - a new form of collaborative governance that is solidly grounded on discursiveness and descriptive representativeness. This term brings together the elements of the broad field of collaborative governance with that of deliberative governance (Weymouth & Hartz-Karp, 2015:6).

In a paper by Weymouth and Hartz-Karp (2015:8), they use a definition originally used by Gollagher and Hartz-Karp (2013) to define deliberative collaborative governance as involving any governance action in which:

- Ordinary citizens participate - with one or more government agencies or other stakeholders - in performing tasks, for example: setting priorities, crafting/analysing policy proposals, devising plans and recommending actions;
- Participants deliberate together concerning options for actions or policy; and
- The public's role is that of full partner with influence sufficient to secure positive responses from the other stakeholders.

5. Collaborative governance in South Africa

Governance has become a well-researched concept, with a common element underpinning the concept. Governance seeks to expand stakeholder interaction beyond the boundaries of government for reasons that pertain to policy implementation, monitoring and evaluation (Draai, 2010:136).

In a paper by Enaleen Draai (2010:136) that reflects the development of the Batho Pele learning network, created by the Department of Public Service and

Administration, collaborative governance is seen as an interactive forum that inculcates amongst stakeholders the idea of client-oriented public services. Stakeholder interaction within collaborative governance networks involves processes such as showcasing and benchmarking best practices by a process of mediation, self-regulation and arbitration.

Much like reconciliation, collaborative governance is a process. Collaboration requires parties to learn and come to terms with past systems to find common ground and forge new ways forward that are mutually beneficial (Zubra, 2014:139). Collaborative governance in South Africa is not just known through government institutions but also through other contributing factors throughout the country.

Collaborative governance does not merely end at the relationship between the government and its people; it also refers to the collaborative effort between South Africa and other countries, all in favour of creating a better relationship globally.

The following section illustrates the relationship between economies as well as the environment.

5.1. Collaborative economic governance

Most economies in Africa rely on agriculture, mining and other extractive industries that have adverse effects on the environment. In addition to this, the issues of poverty, hunger and the scourge of pandemics such as HIV/AIDS, malaria and tuberculosis are prevalent on the continent. The New Partnership for Africa's Development (NEPAD) calls for new innovative ways to deal with such problems (Unisa, 2007:14).

The advent of democracy has seen the restrictions on South African businesses being lifted, and as South African business confidence has burgeoned, many companies set out to conquer the continents' markets (Landsberg, 2012:28).

After 1994, motivated by Ubuntu, South Africa's foreign policy methodology was categorised by co-operation, collaboration and the construction of partnerships over those of conflict and competition. All departments that represent South Africa internationally were converted within the first decade of democracy. These departments went from preserving apartheid to formulating, implementing and representing South Africa's significances of democracy, human rights, socio-

economic development, peace, security and solidity in the global arena (South Africa in the global arena, 2014:148).

South Africa has contributed to two noticeable elements of the African renaissance throughout the first decade. This period witnessed the transformation of the continent's political architecture with the transition from the Organisation of the African Union (OAU) to the African Union (AU), as well as the acceptance of the New Partnership of Africa's Development (NEPAD), as the social development proposal for Africa and the framework for its commitment with the north and other international actors (South Africa in the global arena, 2014:148).

An important issue to consider is that collaborative governance also involves collaborative networks, networks that have become commonplace as government is limited in terms of financial and human resources, in particular the skills and expertise to improve service delivery, which is also complex and therefore needs a multifaceted approach (Draai, 2010:136).

By the end of 2007, South Africa had become a large foreign investor, excluding the mining and energy sector, in the rest of sub-Saharan Africa; the Republic's economic interactions straddled the fields of trade, science and technology, taxation, aviation, culture, tourism, telecommunications, constructions, financial services and others (Landsberg, 2009:25).

5.2. Collaborative environmental governance

Not only does South Africa have economic governance, it also has environmental governance, which will be outlined in this section.

As defined by Borrini-Feyerabend et al (2004:69-70) in Müller (2012:3), co-management is a form of collaboration, seen as a partnership which consists of relevant role-players who implement a management agreement. According to Hara (2003:20), this is based on the principle that local communities have a role in conservation and management, and that partnership with government is essential.

Due to their frequency over the years, environmental issues are often regarded as "impressive" and governments find it very difficult to deal with them (Müller, 2008:6).

In a paper written by Craig W. Thomas (2008:5) on *"Evaluating the Performance of Collaborative Environmental Governance"*, collaborative environmental governance is a reference to any local, state or federal effort created to solve an environmental problem with partnerships amongst public, private as well as non-profit organisations.

Collaborative governance is relatively a new form of environmental governance hailed as delivering outcomes which are more democratic, less openly political and considered better for the environment. Collaborative governance can be alluring to a number of interests. To the business world, it offers more flexible and less costly regulations than those centralised; to divide local communities, it provides greater awareness, understanding and peace with the ultimate goal of economic sustainability; to environmentalists, it offers environmental outcomes that are better and less stressful to reach. (Brower, Coffey & Peryman, 2010).

In the United States of America, collaborative environmental governance has come to the forefront in the wake of perceived failures in both managerial and adversarial modes of policymaking and implementation. In Australia, on the other hand, regional collaborative environmental governance has been practised since 1990 within the Natural Resource management programme. And in New Zealand, collaborative environmental governance is acknowledged informally here and there, and recently, a proposal was made to delegate water management within the Canterbury region to the sub-regional collaborative groups (Brower, Coffey & Peryman, 2010).

5.3. Political Collaboration

Collaborative governance can also be found within inter-governmental relations, which is defined as the way in which different spheres of a governmental hierarchy relate to one another. Two things are important when defining inter-governmental relations: firstly, the forms of interactions between various levels of government (vertical interactions) and between equal governmental jurisdictions (horizontal interactions) within a state. And secondly, coordination and cooperation are the main objectives of intergovernmental relations (Kahn, Madue & Kalema, 2011:4).

Ile (2010:53) defines inter-governmental relations as the interactions, relationships and the conduct of officials in governmental activities while seeking the achievement of common goals. He further emphasises the aim of inter-governmental relations as

the enablement of governmental activities through efficiency and effectiveness in delivering services, to sustain democracy and strengthen delivery capacity across all spheres of government for the common good.

The South African Constitution of 1996 establishes the framework of inter-governmental relations. It sets out principles of cooperative governance and the importance of relations between national, provincial and local government. Section 40(1) of the constitution states that South Africa is one sovereign, democratic state" (RSA, 1996). The constitution provides the framework as to how inter-governmental relations can operate. It also refers to the three spheres of government, which are distinctive, interdependent and interrelated. These spheres are the national, provincial and local levels (Kahn, Madue & Kalema, 2011:64).

Chapter 3 of the Constitution states that all spheres must respect the 1996 constitutional status, institutions, powers and functions of government in other spheres. It further emphasises in Section 41(1) (f) that the three spheres of government must not assume any power or function except conferred on them and that the three spheres must exercise their powers and functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in another spheres. The Constitution also recommends that the different spheres of government cooperate with one another in mutual trust and good faith (RSA, 1996).

6. Conclusion

Collaborative governance does not just end with the interactions between governments and citizens, it goes beyond that. It also includes interactions between the private sector and government, the private sector and the community, non-governmental organisations and citizens, countries with other countries and many other collaborative networks that are used to better relationships throughout the world.

On the other hand, citizen participation, also discussed in this research, involves aspects of collaborative governance, be in it the local community or government itself. The government in South Africa has created bodies or institutions that assist the ordinary individuals in collaborative governance, and the role they could play as citizens in their local areas or on a bigger platform.

There are categorises that are essential that ensure that governance is conducted in an orderly manner. Along with these categories are the phases of collaborative governance, which assist in catering for the needs of those involved and those who are to benefit from the process. These phases also ensure that a channel of communication is created, between the citizens and government, be this through meetings e.g. council and imbizos and conclusions are reached in order to achieve agreed goals.

The references to the South African Constitution which highlight the importance of intergovernmental relations, with other countries across the globe, show us that governance is not limited, but broader than it has emerged in the world.

Chapter 4

Assessment and Challenges

1. Introduction

Based on previous chapters, it could be argued that citizen participation and collaborative governance have become two important and relevant concepts used to understand the relationship between citizens and government. The two concepts have become so interrelated that they cannot be regarded as separate entities.

To recap, citizen participation, defined in chapter 2, involves the voluntary or interactive participation in the local, state or national issues that do involve the steps in government decision-making (Milakovich, 2010:2). On the other hand, collaborative governance, in chapter 3, was defined as the multi-stakeholder or public-private partnership that is essential to collaborative initiatives between state and non-state, commercial and non-profit actors that have been born out of the participants' pragmatism. The new forms of collaborative governance are likely to provide the most radical measure of understanding, and practice of, accountability in modern times (Zadek, 2007:6).

This chapter (chapter 4), focuses on the evaluation and findings of the research of this mini-dissertation. It is a reflection on the content of the previous chapters. It also provides possible solutions to the problems that are faced in the governance of South Africa. The findings emerged through papers published by government institutions, regional and international organisations and other information published on the two concepts.

2. Status of Citizen Participation in South Africa

Before 1994, the apartheid-led government in South Africa suppressed public participation and excluded majority of citizens from issues of governance and service delivery. The practice of critical engagement was therefore severely frowned upon.

With the democratic evolution of 1994, there was a clear pledge to allow discussion and participation by residents as users of public service. This was a far cry from the dispensation when voices of citizens were stifled. With the advent of democracy, the constitution made public participation a fundamental concern. The concern was expressed clearly in White Papers which clearly articulated government's intent and

also invited extensive consultation and public participation (Public Service Commission, 2008:14).

With the emergence of the 1994 elections, many structures were created to afford sections of the social order the opportunity to express views on socio-economic issues. Among these were the National Economic Development and Labour Council (NEDLAC) which offered a platform for government and sections of the private sector to discuss matters related to socio-economic policy. Another of these structures is the National Anti-Corruption Forum which is a coalition against corruption, with government and the citizenry as role-players. With both of these forums in place, the era of public participation was born (Public Service Commission, 2008:15)].

In facilitating the execution of public or citizen involvement, the South African government has since implemented various initiatives, some of which are:

- **Izimbizo**

The political leadership of government, those that include the President, Deputy President, Members of the Cabinet, Premiers, Members of the Executive Council, Mayors, Councillors, accompanied by senior government officials, hold public meetings to engage with communities on issues of government policies and service delivery. Cabinet Ministers also conduct their ministerial **izimbizo**, wherein national ministers and provincial members of the Executive council (MECs) embark on public meetings to engage citizens about matters of their respective portfolios.

- **EXCO Meets the People**

This is the provincial initiative whereby the Premier and Members of the Executive Council within a province engage with the community on matters of government policy and service delivery issues.

- **Public Hearings**

Public hearings of different types are organised by different organs of the state, including Parliament and the National Council of Provinces (NCOP) to engage with the public on policy and service delivery.

- **Ward Committees**

Ward committees are statutory bodies created in terms of the Municipal Structures Act (Act No. 117 of 1998). The purpose of ward committees is to assist the democratically elected representatives of the ward (Councillors) to carry out their mandate. Ward committee members are members of the community representing the needs of the people in areas where they live.

- **Community Development Workers (CDWs)**

These are community-based resource persons who collaborate with other community workers to help fellow community members to obtain information and resources from government departments. The aim of CDWs is to facilitate community participation in government initiatives.

- **Citizen Satisfaction Survey**

The survey is used to engage with citizens to establish their views and expectations on service delivery. A citizen satisfaction survey provides a thorough basis and sets a proactive agenda for citizens and government to engage in dialogue to improve the delivery of services to the public. Most government departments use citizen satisfaction surveys to solicit feedback from the citizens on the quality of the services they render.

- **Citizens Forums**

This mechanism is used to facilitate public participation in the public service. The purpose of citizen's forums is to evaluate the delivery of services throughout the country and to enable the active involvement of people affected by government programmes in service delivery improvement processes. (Public Service Commission, 2008: 14-15)

With the emergence of new innovative forms of citizen participation, eGovernance has become a means by which governments and the public sector can participate in discussions for improved service delivery. EGovernment is the use of Information and Communication Technology (ICT) to transform government by making it more

accessible, effective and accountable for citizen to engage (Matavire et al, 2010:153).

Based on the fundamental human right of access to information, the South African Constitution places obligation on the state to provide wide access to government information. With this obligation, the government, in partnership with private organisations, has launched several ICT programmes throughout the country. Some of these programmes include: the Cape Gateway Project or the Cape Information Technology Initiative (CITI), all present in the Western Cape (Matavire et al, 2010:155).

With regards to citizen participation, the South African Government adopted a programme called the Community Based Monitoring Framework in 2013. It is a programme used to monitor government performance [used to focus on the experience of ordinary citizens to strengthen public accountability and drive service delivery improvements (Development Cooperation Forum, 2015:5)].

Upon the adoption of the national monitoring framework, South Africa began to initiate a three-year pilot program, from 2013 to 2015, which was implemented in three phases:

- A community satisfaction survey instrument used to gather citizens' perceptions about service delivery in government facilities, those that include hospitals, clinics, police stations, welfare offices;

- Data is analysed and shared with the citizens, government facilities officials and civil servants; and
- Multi-stakeholders' engagement ensues whereby a social contract is developed between government facilities and citizens for priority delivery areas. Besides, actions as well as performance agreements are determined between government facility officials, provincial administration's management and national government. (Development Cooperation Forum, 2015:5)

Certain lessons can be highlighted from the South African experience of the Community Based Monitoring Framework:

- This framework was developed, adopted and piloted with multiple stakeholders, who all have roles included in the CSO's;

- Specific responsibilities are allocated to citizens, to proactively engage with government facilities, and to collect and analyse feedback which should be made available in the decision-making process;

- The essence of the programme is mutual learning, where both citizens and various levels of government are learning how to make citizen-based monitoring work in a spirit of cooperation;

- Capacity-building is necessary for both citizens and for local officials in terms of establishing systems and processes that increase their responsiveness to citizens' needs; and

- Doing a community and staff survey allowed for perspectives from both sides of the service delivery process to emerge; it also exposed challenges that facility official's face, which includes lack of capacity, budget limitations and lack of information. (Development Cooperation Forum, 2015:5).

2.1. Theory of Citizen Participation

The theory of citizen participation is derived from the Best Practice Approach that focuses on Public Participation. This theory was highlighted in chapter two, a chapter based on the definitions and origins, as well as the views from South Africa and the international world about citizen participation

The Best-fit approach for public participation within the South African legislative context comes in the debate form of the **Best Practice approach** versus the **Best-Fit approach**. An international evaluation panel discovered that though there are lessons to be learned from the international experience of public participation in legislative processes, South Africa needs to be inclined towards the ideas of best-fit rather than that of best practice in the design of a comprehensive public participation framework.

Figure 3 on pages 42 and 43 (Chapter 2) illustrates the structure of public participation within the South African Legislative sector. The model was developed as is a visual presentation of the key role-players in public participation and the main mechanisms that are to be used to achieve public

participation. The model also shows the high level processes involved in each of the mechanisms. (Public Participation Framework, 2013:27)

In a diverse and complex society, such as South Africa, citizen participation is a vital measurement of democracy. The South African Constitution proclaims a participatory democracy, which calls for the vigorous contribution and participation of the population (Grima, 2007:19).

An essential aspect of today's governing systems has been the inclusion of collaborative governance; where the three branches of government (national, provincial and local) all come together in working towards a common goal, to better the development of the country. In the previous dispensation of governance, certain racial groups were excluded from the activities that took place within the country (Legislative Sector, 2013:12). However, in modern times, governments call for the inclusion of citizens to play an active role in governance.

The International Association for Public Participation (2007) established seven (7) values for use in the development and implementation of public participation processes:

- Public participation rests on the belief that those (being the citizens) who are affected by a decision have the right to be involved within the decision-making process of an issue;
- Public participation includes the assurance that the public's contribution will and can influence a decision;
- Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision-makers;
- Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision;
- Public participation seeks input from participants in designing how they participate;
- Public participation provides participants with the information they need to participate in a meaningful way; and
- Public participation communicates to participants how their input affected the decision.

From a constitutional perspective, the South African Constitution guarantees everyone freedom of association. This right is essential for the formation of civil society organisations. From a legal point of view, South Africa has a legal framework which both enables civil society organisations to establish themselves as legal structures and then regulates the way in which these legal structures must operate (Department of Social Development, 2009:28).

The right to use information is not only a Constitutional Right (Section 32 (1)) (RSA, 1996), but a significant aspect for active citizen or public participation, in a way that is meaningful for most of the public. The public (including children, people with disabilities, people living in rural or urban areas and people with limited education due to the inheritance of the past) have the right to access information on time and in a way they can most understand and digest (Selebalo, 2011). The Parliament of the Republic of South Africa has proclaimed that *information provided to the public remains a vital focus of Parliament* (RSA, 1996).

The Constitution of South Africa makes provisions in Sections 59, 72 and 118, regarding public participation within the National Assembly, the National Council of Provinces and Provincial Legislatures. It also calls for collaboration between the legislatures and their respective committees. The Houses or committees must execute their business in a transparent manner.

As with the Constitution of South Africa, the People's Parliament believes that public participation is an essential pillar for strengthening democracy. It recognizes the hard work of the legislatures over the past 18 years in realising the Constitutional necessities. It also addresses issues of concern raised by important court judgements (for example the Doctor for Life International vs. Speaker of the National Assembly and Others [2006] SA 416 (cc)) (People's Parliament, 2012:4).

The People's Parliament has reviewed and discussed two areas of importance that will strengthen achievements:

1. The responsibility to keep citizens informed;

   - Sound public participation requires that residents are kept informed of their representatives' main concerns, activities as well as choices. Despite the current efforts made, information about the legislatures

remains limited. To address this, legislatures ought to empower the media that can publicise the legislatures' programmes, inform citizens of their mandate and empower and provide feedback;

- Records of the legislatures' proceedings (those such as committee meeting minutes) should be circulated widely and punctually; and
- The slow follow up on issues raised the community as well as inadequate feedback undermines participation.

2. Inclusivity

- A range of diverse philosophies and sentiments are the live wire of any democracy. Countless measures must be created in ensuring that all public participation forums are accessible and receptive to both positive and negative voices. The People's Parliament suggests that the leadership within legislatures, as seen with political parties as well, must provide guidance in this regard;
- Enterprises created by legislatures must ensure that citizens left out because of overbearing social system, geographical localities and other obstacles have an effective way of engaging. Efforts need to be made to address such challenges; and
- Public representatives should not only engage with citizens in formal settings but should also be accessible outside customary platforms.

(People's Parliament, 2012)

3. Status of Collaborative Governance

After the first democratic elections in South Africa in 1994, the government was faced with several challenges. The government realised that the goal of any state should be the advancement of general welfare and peace, while ensuring development. This could only be realised through the promotion of intergovernmental relations and co-operative governance, an issue that has become a priority of the South African government today. There is a common understanding that for the new South Africa to be a developed one, policies need to correct the social imbalances through an integrated, participatory and partnership-orientated governance, planning and management system (Malan, 2008:226).

In a paper by Enaleen Draai (2010:136) that reflects the development of the Batho Pele learning network, created by the Department of Public Service and Administration, collaborative governance is seen as an interactive forum that inculcates amongst stakeholders the idea of client-oriented public services. Stakeholder interaction within collaborative governance networks involves processes such as showcasing and benchmarking best practices by a process of mediation, self-regulation and arbitration.

Much like reconciliation, collaborative governance is a process. Collaboration requires parties to learn and come to terms with past systems to find common ground and forge new ways forward that are mutually beneficial (Zubra, 2014:139). Collaborative governance in South Africa is not just known through government institutions but also through other contributing factors throughout the country.

Collaborative governance does not merely end at the relationship between the government and its people; it also refers to the collaborative effort between South Africa and other countries, all in favour of creating a better relationship globally.

3.1. Theory of Collaborative Governance

In this section, only the South African view of collaborative governance will be used in an effort to unveil how this process is currently taking hold in the country.

Collaboration in this era is a foundation of hope. The language of discourse, participation and compromise underpins modern South Africa's vision of social organisation. This is evident from the establishment of the post-apartheid Truth and Reconciliation Commission to the engagement with Iran over the development of nuclear proficiencies (Zadek, 2006:4).

With the end of apartheid in South Africa, the ANC-led government saw the importance of collective action in order to provide an authoritative image, which was set out within the context of Nelson Mandela's call for a "rainbow nation". With improvements created such as the Truth and Reconciliation Council, set a new period for a decade of political and economic experimentation in collaboration as a focal new principal of the South African development model (Zadek, 2006:8).

Collaborative governance in South Africa can also be associated with co-operative governance, which involves the sharing of goals, the sharing of information, joint planning ventures and budgeting, as well as co-operation regarding policy development and implementation (Hughes, 2010:4).

The principles of co-operative governance and intergovernmental relations are explained in detail in Chapter 3 of the South Africa Constitution. Section 4 states the following principles:

> *All spheres of government and all organs of state within each sphere must:*
>
> - *preserve the peace, national unity and the indivisibility of the Republic;*
> - *secure the well-being of the people of the Republic;*
> - *provide effective, transparent, accountable and coherent government for the Republic as a whole;*
> - *be loyal to the Constitution, the Republic and its people;*
> - *respect the constitutional status, institutions, powers and functions of government in the other spheres;*
> - *not assume any power or function except those conferred on them in terms of the Constitution;*
> - *exercise their powers and perform their functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in another sphere; and*
> - *co-operate with one another in mutual trust and good faith by-*
>   - i. *fostering friendly relations;*
>   - ii. *assisting and supporting one another;*
>   - iii. *informing one another of, and consulting one another on, matters of common interest;*
>   - iv. *co-ordinating their actions and legislation with one another;*
>   - v. *adhering to agreed procedures; and*
>   - vi. *avoiding legal proceedings against one another*
>
> (Constitution of South Africa, 1996:41)

Stakeholder interactions within collaborative governance networks involve processes such as showcasing and benchmarking best practices by the process of mediation, self-regulation and arbitration. Collaborative networks hold the ability to facilitate in the process of relationship building and creating an open dialogue between citizens and government (Draai, 2010:137). In essence, information is shared with each party involved, and there is a mutual understanding of issues that challenge service delivery in the country.

On the other hand, collaborative networks have the ability to engender levels of trust in government, as well as levels of trust among public officials of different spheres of government, as they have a responsibility to develop a broader understanding of issues as well as institutional arrangements that impact on service delivery (Draai, 2010:137).

4. Challenges of Citizen Participation in South Africa

Over the years, public/citizen participation has been viewed as a dialogue between the Executive and the People. Public participation is considered an essential factor in facilitating Parliament's role of oversight within the Executive - it allows citizens to put into practice their own constitutional right by holding government departments as well as parastatals accountable for their actions (Selebalo, 2011: Internet).

Though the global drive for promoting public/citizen participation holds considerable promise and benefits for sustainable development, the implementation of the concept is not without challenges. A study conducted by the World Bank identified the following to effective public/citizen participation:

- **Lack of government commitment to accept a participatory approach**: public/citizen participation is often seen as a lengthy time-consuming process;
- **Reluctance of project officials to give up control over project activities:** officials are often not approachable and do not accept the importance of citizens' views. This is because officials consider themselves specialists in their field;
- **Lack of incentives and skills amongst project staff to inspire them to adopt a participatory approach:** officials require a set of skills to be able to cooperate with diverse communities and appreciate the different dynamics of

society. Short of incentives, officials do not go an extra-mile to include the public in deliberations;

- **Limited measurements of local-level participation and inadequate investment in community capacity-building**: community members require information about obtainable platforms for participation. They need to be capacitated on how to get involved in matters that affect their lives so that they appreciate the status thereof and make a meaningful contribution. For example, disadvantaged communities are often put on the side-lines from the decision-making process due to factors such as time constraints, limited access to the media and lack of education (Selebalo, 2011: Internet);

- **Participation initiated at a very late stage**: frequently communities are not involved at the launch of programmes or projects; they are only brought on board when initiatives meet a brick-wall; and

- **Lack of trust between government and communities**: the absence of transparency and openness often stifles public participation. With past experiences, certain communities have lost faith in government departments.

<div align="right">(Public Service Commission, 2008:11).</div>

It is important to consider these challenges when designing any public/citizen participation initiative. Governmental departments need to understand that communities deserve the right to be involved in initiatives that would affect their lives. (Public Service Commission, 2008:11).

A paper done by Hopolang Selebalo (2011: Internet), for the Institute for Security Studies, throws more light on the existing challenges that confront citizen participation in South Africa. Among others, public expenditure is a challenge, with ministers often reluctant to disclose (or unable to explain) how funds are spent within governmental departments. An example is the case of the former Defence Minister, Lindiwe Sisulu, who defended her absence at a committee hearing with the Standing Committee on Public Accounts, by referring to the dire state of her department's finances (Selebalo, 2011: Internet).

5. **Challenges of Collaborative Governance in South Africa**

According to the United Nations eGovernment Survey (2014:76), government institutions and their modes of operation are still largely dependent on early 20th

century models of public administration whereby issues are tackled through a sectorial perspective.

The challenges facing collaborative governance measures in New Zealand are similar with those faced in South Africa. These include:

- A different understanding of the word 'collaboration' and what 'to collaborate' means;
- Tensions between central and local government;
- Tensions between central government and non-governmental organisations;
- Fear of loss of power, loss of credibility, loss of control, suboptimal outcomes, loss of resources and loss of authority;
- Lack of Trust;
- Difficulties in making the bureaucracy understand the importance of collaboration; and
- Lack of media freedom (O'Leary,2014: v)

6. Successes and Failures

With every endeavour, there are successes and there are failures. This section of the mini dissertation focuses on the successes and failures that South Africa has had with citizen participation and collaborative governance.

6.1. Citizen Participation

Viewed by the International Peace-building Advisory Team (2015:6), regular citizen participation as well as engagement can lead to benefits such as:

- Better development outcomes for example, improved health, water, sanitation and education;
- Enhanced practices of participation: Individuals learn the civil skills requisite for making their voices heard;
- Creation of 'citizenship': Individuals become more aware of their right to be involved in issues that affect them and they become more confident in expressing their views;
- Societies becoming more inclusive and cohesive: Despite the diversity in society, there is the accommodation of different voices and issues in public discourse;

Although there are successes of the process of citizen participation, there are also failures. In the South African context, these include:

- Problems of participation: Individuals either do not have the means of transportation means and the convenient time to go and participate in public hearings. Usually the time allocated for these meetings is not convenient for most people, they are at work. The language in some instances is too complex, people have difficulty in understanding what is being said; and

- Problems related to processing the participation: There is improper documentation of the various points or arguments raised by the community. Sometimes, the views of the community, are treated selectively, those that confirm a certain version or option are privileged over dissenting views. (International Peace-building Advisory Team, 2005:5)

Other failures associated with citizen participation are the following:

- The citizens themselves make it difficult for stakeholders to influence a section of the population;

- The decisions reached by a group are likely to be ignored, despite the amount of effort put into their formulation; and

- Regions are geographically too large, or other issues arise, which make it hard for regular face-to-face meetings. (Irvin & Stansbury, 2007:17)

6.2. Collaborative Governance

Huxham and Hibbert (2008:46), mention five types of collaborative success:

1. Achieved Outcomes: While some people may see the outcome of a project as beneficial, others may consider it a waste of public funds. To measure success therefore, stakeholders need to consider both sides of the coin.

2. Getting the process to work: Success should not be measured only in terms of the end product. The success of each stage in the process is equally important so this has to be monitored, the first stage being to take time to recognise them.

3. Reaching developing milestone: Setting plans and milestones is essential to any good project planning within partnership. It helps to measure success. The milestones may be the outcomes of larger or smaller initiatives but even

although relatively small achievements can be important to participants, especially if they mark points at which hostilities cease and the partnership starts to work effectively.

4. Gaining recognition from others: Individuals seem to value partnership processes that work and outcomes that make a difference to the community they serve, not by simply being ends in themselves. This brings recognition to both the individuals involved in the process and their organisations as well.

5. Acknowledging personal pride in championing a partnership: Individuals seek to be able to identify with the success that is achieved and see it as their own. It is not unusual for individuals to acknowledge or even promote their own role in the partnership.

Vangen and Huxham (2010) also suggest five successful collaborative perspectives:

1. Substantive outcomes: the better use of public funds, improvements in the public service delivery and enhanced citizen awareness.

2. Highly productive processes of collaboration are measures of organisational success.

3. Emergent milestones: starting to take account of each other's interests, holding of jointly organised events and achieving major final targets.

4. Recognition of collaboration by those not directly involved in the scheme.

5. Success of the collaborative process gives a sense of personal pride and self-fulfilment.

Despite official policy on collaborative governance, government officials are occasionally unwilling to co-operate with each other and with the communities. Various reasons are given for this lack of co-operation and collaboration. Du Plessis (2005:20) suggests the following among them:

- No comprehensive policy and legislative agenda - new initiatives are taken independently;

- Developmental, economic and environmental issues are often dealt with independently of one another;

- The lack of implementation of policies, principles and legislation;

- The mandate of different government departments in legislations overlaps or contradicts one another;

- The misinterpretation or misunderstanding of policy and legislation;

- The roles and responsibilities of role players are not clearly spelt out;

- The lack of efficiency and effectiveness of decision-making;

- Bureaucracy;

- Lack of clarity on which legislation should take precedence: collaborative governance or citizen participation;

- The confusion between government officials that interferes with decision-making on developmental issues;

- The consequences of policy or legislation are not always considered;

- There is a lack of capacity at certain levels of government to implement newly created policies, legislation and programmes of government;

- The lack of trained personnel with the necessary capacity;

- The lack of needed infrastructure;

- The lack of financial resources and equipment; and

- The unwillingness to cooperate.

7. Link between Citizen Participation and Collaborative Governance

Although public/citizen participation and collaborative governance are recognised as two concepts used for and are essential for strengthening resilience of at-risk communities, a recurrent criticism is that resilience is power blind, makes a retreat from the state and makes communities more responsible for their own affairs, through self-organisation and self-reliance (Desportes, Waddell & Hordijk, 2016:65).

According to Ekstrom, Moser and Torn (2011:1), in Despotes, Waddell and Hordijk, make use of actors as barriers of obstacles that delay, divert or block the process of collaboration from taking place, but which can be overcome with concert effort, creative management, change of thinking, prioritisation and related shifts in resources, land uses of institutions.

Ekstrom et al (2011) provide a list of barrier types which include:

- Resources: shortages of staff and requires skills, a failure to integrate local knowledge or expertise, the lack of capacities to carry out certain initiatives and the lack of funding or funding mechanisms to support governance processes;

- Institutional and regulatory: the laws and formal structures in place, which could impede and delay the governance process;

- Cultural and behavioural: the way people might think about and define as issue, the way people perceive others, and the information and knowledge people value, which shapes their perceptions;

- Participation and engagement: who is or is not allowed to participate taking into account the logistics as well as the politics and power relations that might discourage active participation; and

- Communication and information: the lack of information, information that is misinterpreted or inappropriately communicated and the absence of correct channels of communication.

8. Conclusion

This chapter has highlighted the status of both citizen participation and collaborative governance from the South African view point.

With the change of government coming about in 1994, these two concepts found expression in the Constitution of the country and were considered essential in moving the country forward. The creation of bodies such as Izimbizos and ward committees entrenched citizen participation. Such developments were also seen as collaborative measures whereby government officials and citizens joined hands to address the challenges faced by respective communities.

The theory of citizen participation invariably includes elements of collaborative governance in it. The theory suggests a means by which government and citizens engage each other in executing government functions.

The status of collaborative governance in the country has become more visible following the 1994 general elections, when government realised need for the advancement of peace and the general well-being of it citizens and how government must conduct itself for the better.

Both citizen participation and collaborative governance in South Africa faced a number of challenges that are being addressed over the last few years. Although the

government has found innovative ways to counter and address these challenges, they still have to do more to move the country forward, paving the way for other national challenges to be overcome.

Chapter 5

Findings and Recommendations

1. Introduction

During the course of the study, **The State of Citizen Participation and Collaborative Governance in South Africa,** as the topic for this dissertation, has been explored extensively with insights from the practice of the concepts, Citizen Participation and Collaborative Governance, in countries around the world.

This last chapter provides the findings as well as recommendations in respect of the two concepts in the South African governing system. Before outlining these findings and recommendations, the chapter will run an overview of the preceding chapters of this study.

2. Overview of the Study

2.1   Research Methodology

Chapter one gave the motivation for writing of this mini-dissertation, which explores the concepts of collaborative governance and citizen participation as two important aspects of governance. The chapter also examined the interdependence of the two concepts and stated the research question: **What is the value and significance of citizen participation and collaborative governance within the transformative governance framework in South Africa?**

The problem statement highlighted the challenges South Africa faces in the application of citizen participation and collaborative governance.

The chapter then listed the aims and objectives of the research, which were:

- To understand and gain insight into what is meant by citizen participation: how ordinary people can play an active role in government and their own communities;
- To understand the role of collaborative governance, both in national and local structures of the South African governing system;
- To understand how citizen participation and collaborative governance can be enhanced as aspects of the relationship between the citizens and government;

- To analyse and evaluate the current status of citizen participation and collaborative governance in South Africa; and
- To assist citizens and government to find common ground on how to work together in order to better the working relations between communities and government as a whole.

Lastly, the chapter specified quantitative research as the researcher's chosen methodology. There was also an insight provided on the research design for this work.

2.2 Citizen Participation

The second chapter **citizen participation** gave the definition as viewed from the early times of the 400 BC to the modern definitions provided by various scholars as well as international organisations such as the United Nations. The importance of citizen participation over the years, and its advantages and disadvantages were discussed. Citizen participation was defined as a process in which individuals take part in decision-making processes that involve programmes that affect them. Participation takes a variety of forms. Citizens may participate as advisors on boards or committees, policy makers on neighbourhood councils, which influence municipal policy, and members of local community organizations, which develop neighbourhood activities. Citizen participation within social movements (for example, civil rights movements) has also influenced social policy (Florin & Wandersman, 1990:43).

Within the South African legislative sector, the creation of the best practice approach made it easier for citizens to understand the active role they can play when making their voices heard. In return the government too can play a more active role in engaging more with the people.

The last part of the chapter outlined the South African view of citizen participation. This was seen largely through the Integrated Development Plan (IDP), the Constitution, the White Paper on Local Government and the National Planning Commission.

2.3   Collaborative Governance

Chapter 3, **Collaborative Governance,** began with the definition of the concept. As defined by Emerson et al (2011:2), 'collaborative governance' is regarded as the processes and structure of public policy decision-making and management that engages people constructively across the boundaries of public agencies, levels of government and the public, private as well as civic spheres, to carry out a public purpose that could not otherwise be accomplished.

The chapter included an explanation of how collaborative governance works, with particular focus on the various phases of its practice.

The next section traced the history of the practice of collaborative governance both in South Africa and other parts of the world. The emergence of collaborative governance from a term to an active mechanism is seen through the integrative framework for collaborative governance.

The last section of the chapter dealt with collaborative governance in South Africa. It explored the actions taken by government and explained its various dimensions, including economic governance, environmental governance and political collaboration.

2.4.   Evaluation and Challenges

This chapter, **Evaluation and Challenges,** offered an assessment of the status of citizen participation and collaborative governance in South Africa. Using the theory from both chapters two and three, citizen participation and collaborative governance in South Africa were assessed. Furthermore, this chapter gave an overview of the challenges faced by South Africa today and what can be done to overcome them to move the country forward.

3. Findings and Interpretations

This section will focus on the findings emerging from the research.

3.1.   Citizen Participation

The state of citizen participation in South Africa is captured in figure 3 of chapter 2 which shows the process of public participation.

Langton (1978:17) in Masango (2001:105) defines 'citizen participation' as a purposeful government activity in which citizens take part. Also of importance is the fact that those citizens may participate in government activities as an individual or as a group.

Citizen participation entails a variety of activities but the most important element in any democratic society is citizen voting rights. This can be seen through the South African 2014 General Elections. The Independent Electoral Commission (IEC) registered 25.3 million voters, consisting of all citizens over the age of 18. (Schulz-Herzenberg, 2014:1). Table 2 illustrates the percentage of voting age population (VAP) registered to vote in 2014, during the years of 2011 and 2013.

Table 2: The percentage of voting age population

Province	Registered Voters	VAP 2011 Census	% Voter Registration	VAP 2013 Estimate	% Voter Registration
Eastern Cape	3 240 059	3 794 352	85.4	3 915 700	82.7
Free State	1 449 488	1 685 198	86.0	1 728 500	83.9
Gauteng	6 063 739	7 860 280	77.1	8 268 000	73.3
KwaZulu-Natal	5 117 131	6 096 509	83.9	6 251 200	81.9
Limpopo	2 440 348	3 004 795	81.2	3 227 300	75.6
Mpumalanga	1 860 834	2 389 406	77.9	2 475 500	75.2
North West	1 669 349	2 120 381	78.7	2 193 500	76.1
Northern Cape	601 080	711 843	84.4	733 700	81.9
Western Cape	294 133	3 771 271	78.0	3 894 200	75.5
Out of Country	6 789	0	0	0	0
Total	**25 390 150**	**31 434 035**	**80.0**	**32 687 600**	**70.61**

(Schulz-Herzenberg, 2010:2)

Being a registered voter in any country is considered to be an important element of citizen participation. Not everyone can be in a position of power within the government, but they too have a voice in the way they wish to be heard through the power of their vote.

Citizen participation in South Africa has been evident in the Integrated Development Plan (IDP); communication between government and the citizens has also been demonstrated through izimbizo and community development workers (CDWs).

Like in other countries, the practice of citizen participation in South Africa has had challenges. The following are some of those:

- The reluctance of government to be committed to the adoption of the participatory approach;
- The unwillingness of the project officials to give up control over project activities;
- Limited capacity of local-level participation and insufficient investment in community capacity-building;
- Participatory measures starting at a late stage; and
- The mistrust between government and communities.

According to Reddy (1999:9), local government is the closest form of administration meant to take government to the resident population. Citizens can with no trouble partake in local government since it is more near to them. They can access their councillors more easily as they share neighbourhoods.

Citizen participation has categories which can be found in most countries around the globe:[1]

- Category 1: **The election of political representation in governments**. This saw Brazil and South Africa as case studies to further understand how the process is carried out. Brazil uses the majoritarian system in choosing members of the executive such as the president, governors, mayors and senators while the country uses the proportional open list in the election of members of parliament and city councillors. South Africa, on the other hand, gets votes in the elections as per political parties, after which parliamentary seats are allocated to be filled by members of the respective political parties;
- Category 2: **Leaders of organisations within communities**. These include leaders of cultural and religious groups who fight for the greater good of their communities;

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[1] Refer back to pages 37-38 where it has been discussed.

- Category 3: **Opinions of community leaders**. Residents of particular areas relate to and are affected by the opinions of such leaders; and

- Category 4: **The community as whole.** The broad community membership takes part in the activities that take place within the area.

These four categories have facilitated the understanding of the process of citizen participation by government, stakeholders and the community as well.

Imbizos were the political instruments used in the past to effect citizen participation in South Africa. Through such forums community members were able to partake in the decision-making process. Today, imbizos are still used to host public gatherings, where the members of the executive branch come together to engage with the members of the community to address issues of concern and to work out solutions.

With the new democratic dispensation which came into place in 1994, government further introduced the Integrated Development Plan (IDP), which is used in municipalities to outline the plans and projects that are to be implemented within their area of jurisdiction. Furthermore, the Community Development Workers (CDW) are resourceful persons in the collaborative process who have information and resources from government departments, and who aim at helping the community.

The importance of citizen participation is captured in papers such as the White Paper on Local Government (1998) and the National Development Plan (2014). Both documents are aimed at the advancement and understanding of citizen participation.

With the recent developments in citizen participation within governance in South African government, the practice is now seen as an essential tool for bridging the gap between citizens and government. In recent times, citizens are able to address their concerns to their governments, through meetings e.g. imbizos or open dialogues with the leaders at their own level.

In a sense, then, it could be argued that citizen participation is taking root in South Africa's governing structures.

3.2. Collaborative Governance

As defined in chapter 3, of this mini-dissertation, collaborative governance is a term that is frequently used to express the arrangement of one or more public agencies that directly engage with non-stakeholders in a collective decision- making process

that is either formal or informal. It aims to make or implement public policy or manage programs as well as assets (Anell & Gash, 2007:2).

Collaborative governance is not regarded as merely a term, it is seen as an interactive mechanism between government, citizens, private sector and other bodies of interest that have a shared interest in the collaborative process. There are three categories that exist in the functioning of collaborative governance:

- **Forums for public deliberation**: Such forums involve citizens who make necessary points that public officials need to address;
- **Community Problem Solving**: By this means, government, Citizens and private entities all come forth to find solutions to the problems faced in the community; and
- **Multi-Stakeholder Dispute Resolution**: If a solution cannot be found between government and the community, a stakeholder group is called in to be an arbitrator. Through a series of negotiations, a common ground is found to resolve the problem.

Form the information in chapter 3, it could be said that collaborative governance cuts across the world, as it finds expression in the constitutions of most countries. For South Africa, it has become more of a way of operating the government, in many ways. It could be through collaboration with government itself or through departments working with one another. It could also be between government and organisations (NGOs for example) or between government and parastatals.

In a paper by Enaleen Draai (2010:136), the Batho Pele learning network, created by the Department of Public Service and Administration, is seen as an interactive forum that inculcates amongst stakeholders the idea of client-orientated public services. Stakeholder interaction within collaborative governance networks involves processes such as showcasing and benchmarking best practices by a process of mediation, self-regulation and arbitration.

The Constitution of South Africa highlights the importance of collaborative governance in Chapter 3, emphasising the need for government and all organs of the state to come together to move the country further. The practice and importance of collaborative governance in South Africa can be found more in the Batho Pele

Principles. Collaborative governance can also be seen through collaborative economic governance, where government and the economic field join forces. This is observable in the country's working relationship with NEPAD, African Union, and companies.

Collaborative governance can also be embraced in the care for the environment. In a paper written by Craig W. Thomas (2008:5) on "Evaluating the Performance of Collaborative Environmental Governance", collaborative environmental governance is defined as any local, state or federal effort created to solve an environmental problem with partnerships amongst public, private as well as non-profit organisations.

Collaborative governance can further be viewed from a political dimension, through intergovernmental relations. In this way, different spheres of a government hierarchy relate to one another. There are two main interactions in intergovernmental relations: vertical interactions (between various levels of government), and horizontal interactions (between equal governmental jurisdictions within a state). Besides, coordination and cooperation are the main objectives of intergovernmental relations (Kahn, Madue & Kalema, 2011:4).

Collaborative governance also requires that key concerns of the community are addressed so that ultimately the goal for which collaborative governance was initiated is achieved. This ensures that those in government and those outside government all have a say on how they wish to have their country governed.

Chapter 4 delved into the challenges of collaborative governance. However, in order to understand how South Africa faces their own challenges, it was essential to see them through the eyes of the New Zealand government, which had the same problems associated with South Africa. This chapter has shown that collaborative governance has become a very important aspect within government as it impacts on the working relationship between government and citizens, government and stakeholders or parastatals or organisations, but also among government entities.

4. Recommendations

The section gives the recommendations based on the research.

4.1. Citizen Participation

Even with challenges, the practice of citizen participation can be a success, if appropriate strategies are put in place.

In a study, the Public Service Commission (2008:34) gives the following recommendations regarding public/citizen participation:[2]

- **Guidelines/policies on public participation**: Governmental departments should develop guidelines or policies in respect of public participation. These will provide direction for critical engagement with citizens. These guidelines/policies need to clearly articulate the objective of public participation and the process to be followed during engagement with citizens. While developing these guidelines, the views of all stakeholders should be considered.

- **Institutionalisation of public participation:** Departments at both national and provincial levels of governance should institutionalise public participation as a mechanism for service delivery and good governance. In order to institutionalise public participation, departments should ensure that public participation units are established and are provided with the necessary financial and human resources to facilitate effective citizen engagement.

- **Departments to familiarise themselves with citizens forum toolkit:** There is need for government departments at both levels (national and provincial) to be familiar with the Public Service Commission's Citizen Forum Toolkit as a public participation practice. The toolkit enables departments and citizens to find solutions to programme specific issues, rather than focusing on the department's issues in its entirety.

- **Use of findings contained in Citizen Satisfaction Surveys:** Those departments need to make use of the findings contained in reports on Citizen Satisfaction Surveys as a measure to gauge the level of citizens' satisfaction with services provided. These findings will assist departments to engage with citizens and address their concerns.

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[2] This is the authors own recommendations and contributions towards the study

- **Training of officials involved in public participation:** There is a need for departments to ensure that officials involved in public participation have the requisite training to enable them effectively to engage with citizens. Also essential are skills especially in areas such as conflict management, negotiations and understanding community dynamics.

4.2. Collaborative Governance

The Collaborative Governance Council that was created in the State of Minnesota (The United States of America) was charged with making recommendations to the Governor and Legislature in order to increase the level of collaboration in government. The Council worked to identify obstacles to collaboration within the state. The Council concluded that local governments want to find a more efficient way of delivering services (Collaborative Governance Council Legislative Report, 2011:1).

Insights from the recommendations that the Council made can be used to enhance collaborative governance in South Africa. There are two in particular:

- The legislature should not impose 'service delivery regions' or consolidate local units of government; and
- The legislature should find ways to collaborate with others like local units of government, non-profit organisations and the private sector based on their specific needs. The collaborative efforts should focus on efficiency and excellent service delivery.

(Collaborative Governance Council Legislative Report, 2011:5)

In a review paper, the Presidential State Owned Entities (SOE) Review Committee (2012:29) also gives the following recommendations regarding collaborative governance:

- Amendment of the Inter-governmental Relations Act: The amendment of the IGR act will enforce compliance to Section 41 of the Constitution of the Republic of South Africa. This will in turn enforce collaboration by providing protocols and resources that affect collaborative mechanisms. It will also outline consequences of the failure of the various spheres of government and SOEs to collaborate;

- Inclusion of collaboration in mandates and performance criteria: Mandates and performance criteria for state-owned entities should require these entities to collaborate and cooperate to effectively utilise their resources and contribute to achievement of relevant national outcomes, particularly in cases where the mandates overlap or duplicate;

- Institutional oversight of collaboration: The institutional oversight functions of executive authorities should mandate and monitor collaboration of state-owned entities that they oversee;

- Intergovernmental Relations-Forums (IGR) for key projects: The appropriate IGR forums should oversee collaboration on key projects that contribute to achievement of national outcomes;

- A framework for effective collaboration: IGR forums that involve ministers, director-generals, chairpersons and CEOs should provide leadership for collaboration and cooperation, which spills down to government and state-owned entities;

- Policies encouraging and mandating collaboration: Government policies need to encourage state-owned entities to collaborate and cooperate with each other and with all spheres of government to optimally utilise assets of the state; and

- Clear policy framework for relationships of National SOEs towards provincial and local governments: The development of a clear policy framework on the responsibilities and roles of National SOEs towards provincial and local governments in supporting their strategies for development and improved service delivery should be mandated and implemented.

5. Conclusion

Extensive research, by means of scholarly papers, policy documents, journal articles, newspaper articles and other relevant information discussing the research topic, have all assisted in a further understanding of the terms 'collaborative governance' and 'citizen participation'. This section provides the conclusion that is derived from the preceding chapters. This final section is in relation to the aims and objectives set out in Chapter one. The study sets out to investigate the state of citizen participation and collaborative governance in South Africa.

The main aim of the study was to determine the exact status of citizen participation and collaborative governance in South Africa and how it should be included in everyday life. It has been observed (in chapter 2) that citizen participation has become crucial to the manner in which citizens are perceived by their government. This is evident in the formulation of policies, plans and even its inclusion in the Constitution. With the creation of meetings (Izimbizos), it has become clear that citizens do not need to be in government or have a high level governmental position to play an active role within their governing structure.

Collaborative governance (in chapter 3) is not seen as just the interactive relationship between government and its citizens, it is also the interaction between government and stakeholders, government and the private sector, the private sector and the community, as well as non-governmental organisations and citizens. South Africa has further made collaborative governance important through government functioning, through council meetings, meetings with the community, called imbizo. The constitution further gives importance to collaborative governance by stipulating it in Chapter 3.

With the main aim of the dissertation addressed, it is now important to address the objectives stated in chapter 1 (the research methodology):

- **To understand and gain insight into what is meant by citizen participation. This includes an exploration of how society at large can play an active role in government and in their own communities.** Chapter 2, which is entirely based on citizen participation, gave the definition, origins and principles that were created to enhance the relationship between government and its citizens.

- **To analyse and evaluate the status of citizen participation and collaborative governance in South Africa.** Chapters 2, 3 and 4 examined the practice of the two terms. In summarising the discussions of the said chapters, it could be said that the practice of the two concepts has improved significantly in South Africa in recent times. The Best-Fit Approach mentioned in chapter 2 gives a clear elucidation of the process of citizen participation and collaborative governance in South Africa.

- **To bridge the gap between citizens and government.** The fact that an effective practice of collaborative governance and citizen participation helps bridge the divide between government and the people was emphasised in chapters 4 and 5. The eGovernance programme was cited as one tool that through which the country achieves this, as the programme makes it easy for the government and citizens to interact with one another.

- **To assist citizens and government to find a common ground on how to work together as one unit to better the working relations between communities and government.** This was catered for in chapter 5. The chapter suggested the power of voting during national and local elections as one way to enhance the relationship between the government and communities. With younger people eager to play a more active role in their communities and government, the voter registration rate has been increasing in recent times.

6. Recommendations

This section provides recommendations in respect of the practice of citizen participation and collaborative governance, from an objective perspective.

- Citizen participation has become an important element in the way ordinary citizens can play an active role in their governing system. As seen in other countries, the system of EGovernance has become an emerging mechanism. It may work for technologically advanced countries; it can work in South Africa too, as it is also becoming a technological powerhouse;

- It is true that through the White Paper on Local Government, the Inter-governmental Relations Act, the Public Participation Framework, the South African Constitution and other policy frameworks, the South African government fosters the process of collaborative governance. However more can be done by getting more people involved, not just politicians, businessmen, the ordinary citizens, but university students and high school students as well. One day they will be the leaders of the country;

- With collaborative governance, the media already plays an active role as the in-between mechanism for government and the citizens. It can be enhanced further by having a nationwide channel that is dedicated entirely to citizen participation and collaborative governance. It should cover the working

relations between government (national, provincial and local, as well as internationally) and citizens (through community meeting, public hearings, developing new polices). The channel should televise all such collaborative activities. Nothing should be hidden in the country; and

- Although political parties have their own means of operation through envisioning the perfect society they wish to live in, most were created out of the political imbalances that existed in the country. To foster collaborative governance, instead of parties fighting one another on issues, why can't they come together one time every month to tackle the issues of governance? Or even better to tackle the issues of citizen participation?

7. Proposal for Future Research

The prime aim of the study was to highlight the state of citizen participation and collaborative governance in South Africa. The study defined the two concepts individually and as compliments of each other. The aim of the study was also to give insight into what could be done further to enhance the process of citizen participation and collaborative governance in South Africa.

The problem statement was: **What is the value and significance of citizen participation and collaborative governance within the transformative governance framework in South Africa?**

Much can be said about these two concepts, but in working along the transformative governance framework, a lot can be seen to contribute to the enhancement of their practice in South Africa. The best-fit approach to citizen participation is a clear demonstration of how the citizen participatory process and collaborative governance methodology must take place in the country. This model has shown the step-by-step approach the stakeholders involved, citizens and government, must adopt to ensure the effective practice of the concepts.

In writing this thesis, my own understanding of how citizen participation and collaborative governance have emerged since their introduction within South Africa has been enhanced. It is become apparent that the two concepts have recognition and have become salient aspects of governance. Not surprisingly, they have constitutional backing. The constitution encourages the further creation of polices

entirely dedicated to the practice of the concepts to address the issues faced by the ordinary citizens.

It has further been learned that the government of the Western Cape has created the EGovernance programme that will make citizens to understand what their government does on their behalf. It would be more helpful to the country if this initiative were to be implemented in other provinces, and later moved to the National level of government.

It would be of importance that the education department further makes provisions for the primary level students to further get involved in the process of citizen participation.

I have further learned that government, no matter which level it is, is important and accountable to its citizens. They are responsible for their actions and if some means are not existent within the country, they can borrow from other countries, which at some stage faced the problems South Africa is facing today.

Citizen participation and collaborative governance have become important concepts in the South African government, and will continue to be important throughout the country.

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