



RESEACH REPORT BUQS 7027

**AN ASSESSMENT OF PUBLIC CONSULTATION STRATEGIES IN SOUTH AFRICAN
INFRASTRUCTURE PROJECTS: A CASE OF THE GAUTENG FREEWAY
IMPROVEMENT PROJECTS (GFIP)**

**Mzwandile Peter
1148924**

**A dissertation submitted to the Faculty of Engineering and the Built Environment,
University of the Witwatersrand, in fulfilment of the requirements for the degree of
Master of Science in Building (In the Field of Project Management in Construction)**

DECLARATION

I declare that this research report is my own original work. It is being submitted for the Degree of Master of Science in Building (In the Field Project Management in Construction) at the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination at any other University.



M.L. Peter (The above declaration is acknowledged)

(Signature of Candidate)

ABSTRACT

There is a growing concern about the implementation of public infrastructure projects in South Africa. Most public projects in South Africa are plagued with public resistance, and the implication of this public resistance has dire consequences to the economy. The Gauteng Freeway Improvement Projects (GFIP) is one example of a public project that has faced unprecedented public resistance from various stakeholders including trade unions, civil society actors and citizens due to the failure of the Gauteng Provincial government to adhere to public consultation prior to the implementation of the project. There is therefore a need to assess the consultative regimen in public service infrastructure projects in South Africa.

The aim of the study is to assess the inclusiveness and transparency of public consultation processes in South Africa prior to the implementation of public infrastructure projects.

The study used GFIP as a case study to assess public consultation strategies in South African infrastructure projects. The study made use of the interviews as a tool for collecting primary data. Data was collected from individuals whose organisations were involved in the GFIP and have working knowledge of the GFIP and the e-tolling system.

The main finding of the study is that South African government failure in implementing public infrastructure projects is exacerbated by the one size fit all approach used by government when engaging with the public. Government must move away from the approach of providing service to the communities, government must use public participation to understand what the community requirements are. The study further suggest that public participation must be an iterative design process throughout the various stages of the life cycle of the project.

Key words: Public Participation, Public Consultation, Democracy, Public Infrastructure Projects, PPP, GFIP.

ACKNOWLEDGEMENT

“Up, you mighty race, accomplish what you will” Marcus Garvey.

I would like to acknowledge all those who made it possible for me to complete this study: family members, colleagues, the respondents, and my supervisor Prof: N Khatleli.

My sincere gratitude to my supervisor Prof: N Khatleli for his guidance and support throughout the various stages of this research project. His input has been valuable and thus propelled me to go beyond what I thought was my limit.

A special acknowledgement to my wife and daughter who have sacrificed their personal time with me in order to give me the space to focus on my studies. They continue to be my source of inspiration.

And lastly, I would like to thank the Almighty for the grace that enabled me to reach this stage of the course. This research project has been a personal testimony to me that *“i can do all things through Christ”*

1. Contents

List of Abbreviations	ix
List of Table	x
List of Figures	xi
CHAPTER 1: INTRODUCTION	1
1.1. Introduction.....	1
1.2. Background to the Study.....	1
1.3. Problem Formulation	3
1.4. Problem statement.....	4
1.5. Primary research question	4
1.6. Secondary Research Questions	4
1.7. Research Aim	5
1.8. Research objective.....	5
1.9. Research methodology	5
1.10.1. Research method, philosophy, approach and design	5
1.10.2. Case study method	6
1.10. Study population.....	6
1.11. Sampling and sample size	7
1.12. Research instrument and data collection methods.....	7
1.13. Data analysis.....	8
1.14. Significance of the research	8
1.15. Scope of the study.....	8
1.16. Limitations of the study.....	9
1.17. Assumptions of the study	9
1.18. Chapter Outline.....	10
1.19. Conclusion.....	11
CHAPTER 2: LITERATURE REVIEW	12
2.1. Introduction.....	12
2.2. Private Public Partnerships (PPPs) and their proliferation in Africa.....	12
2.2.1. Definition of PPPs	12
2.2.2. PPPs in Africa	13
2.3. Public participation	14
2.4. The history of public participation	17
2.5. The dynamics of public participation in South Africa	17
2.6. Democracy as an enabler of public participation.....	19
2.7. Types of democracy.....	20

2.7.1.	Representative democracy	20
2.7.2.	Direct democracy.....	20
2.7.3.	Participatory democracy.....	21
2.8.	Democratic governance in South Africa	21
2.9.	The importance of public participation	22
2.10.	Ladder of public participation.....	24
2.11.	Methods of participation	26
2.11.1.	Public hearings	27
2.11.2.	Surveys	27
2.11.3.	Focus groups	28
2.11.4.	Elections	28
2.11.5.	Public meetings	28
2.11.6.	Open meetings	28
2.11.7.	Referendum.....	29
2.12.	Public consultation strategies	29
2.13.	Public participation continuum.....	32
2.14.	The theoretical foundations of public participation.....	33
2.14.1.	The stakeholder's theory.....	34
2.14.2.	Political theory.....	35
2.14.3.	The democratic theory.....	35
2.15.	Conclusion.....	36
CHAPTER 3: RESEARCH METHODOLOGY		37
3.1.	Introduction.....	37
3.2.	Research philosophy and approach.....	37
3.2.1.	Research philosophy	37
3.2.2.	Research approach.....	38
3.3.	Research method	38
3.3.1.	Qualitative research	38
3.3.2.	Case study method	39
3.4.	Research scoping, population and sampling	40
3.4.1.	Research scoping.....	40
3.4.2.	Study population.....	40
3.4.3.	Sampling and sample size	40
3.5.	Research instrument.....	41
3.6.	Data collection	41
3.7.	Data analysis.....	42

3.8.	Ethical considerations.....	42
3.9.	Validity and Reliability.....	43
3.9.1.	Credibility	44
3.9.2.	Transferability	45
3.9.3.	Dependability	45
3.9.4.	Confirmability	45
3.10.	Conclusion.....	46
CHAPTER 4: RESEARCH FINDINGS PRESENTATION		47
4.1.	Introduction.....	47
4.2.	Participants' demographic profile.....	47
4.3.	General overview information.....	50
4.3.1.	Knowledge of the GFIP and the e-tolling programme	50
4.3.2.	GFIP and the e-tolling programme implementation	52
4.3.3.	Participants' understanding of public participation	53
4.3.4.	Participants' knowledge of public participation policy and legislation	55
4.4.	Assessing the nature of public participation processes in the planning of public infrastructure projects	56
4.5.	Analysing the transparency of the consultative process when implementing projects.	58
4.6.	Identifying what feedback mechanisms have been allowed for or initiated during the consultation process	60
4.7.	How public participation can be used by government to implement policy and be a platform to address community needs?	63
4.8.	Conclusion.....	67
CHAPTER 5: DATA ANALYSIS.....		68
5.1.	Introduction.....	68
5.2.	Analysis of the study findings	68
5.2.1.	Respondents' knowledge of the GFIP and the e-tolling programme.....	68
5.2.2.	GFIP and the e-tolling programme implementation	68
5.2.3.	Participants' understanding of public participation	71
5.2.4.	Participants' knowledge of public participation policy and legislation	72
5.2.5.	Assessing the nature of public participation processes in the planning of public infrastructure projects	73
5.2.6.	Analysing the transparency of the consultative process when implementing projects.	77
5.2.7.	Identifying what feedback mechanisms have been allowed for or initiated during the consultation process.	79

5.2.8. How public participation can be used by government to implement policy and be a platform to address community needs?	82
5.3. Conclusion.....	88
CHAPTER 6: CONCLUSION AND RECOMMENDATIONS	90
6.1. Introduction.....	90
6.2. Summary of the study.....	90
6.2.1. Summary of the introduction of the study	90
6.2.2. Summary of the literature review	93
6.2.3. Summary of the research methodology	96
6.2.4. Summary of the Research Findings and Analysis of Research Findings.....	97
6.3. Recommendations	100
6.3.1. Recommendations to improve practice.....	100
6.3.2. Recommendations for future research.....	101
6.4. Conclusion.....	101
REFERENCE	102
ANNEXURE 1: ETHICAL CLEARANCE CERTIFICATE	109
ANNEXURE 2: QUESTIONNAIRE.....	110

List of Abbreviations

Abbreviation	Description
GFIP	GFIP Gauteng Freeway Improvement Plan
E-TOLL	E-TOLL Electronic Tolling
ETC	ETC Electronic Toll Collection
ORT	Open Road Tolling
IAP2	International Association for Public Participation
PPM	Public Participation Model
SANRAL	South African National Roads Agency
SAICE	South African Institution of Civil Engineering
ANC	The African National Congress
DA	The Democratic Alliance
EFF	The Economic Freedom Fighters
SACP	The South African Communist Party
COSATU	The Congress of South African Trade Unions
NUMSA	The National Union of Metal Workers of South Africa
OUTA	The Oppositions to Urban Tolling Alliance
FMF	The Free Market Foundation
BUSA	Business Unity of South Africa

List of Table

Table 2. 3 The objectives of public participation	16
Table 4.2. 1 Interview Participants' Demographic Profile.....	48
Table 4.2. 2 List of organisations and number of participants interviewed	49
Table 4.3. 1 Knowledge of the GFIP and the e-tolling programme	51
Table 4.3. 2 GFIP and the e-tolling programme implementation.....	53
Table 4.3. 3 Participants' understanding of public participation	54
Table 4.3. 4 Participants' knowledge of public participation policy and legislation	55
Table 4. 4 Assessment of public participation methods in the GFIP	58
Table 4. 5 Analysing the transparency of the consultative process when implementing projects	60
Table 4. 6 Identifying what feedback mechanisms have been allowed for or initiated during the consultation process	62
Table 4. 7 Assessment of successes and Failures of public participation on the GFIP	66

List of Figures

Figure 2. 10 Arnstein's ladder of citizenship participation	26
Figure 2. 11 An illustration of Burke's (1968) five strategies of citizen participation	30
Figure 2. 13 The continuum of public participation	32

Figure 3. 1 The research 'onion'	37
--	----

Figure 4. 4 Assessment of public participation methods in the GFIP	58
Figure 4. 5 Analysing the transparency of the consultative process when implementing projects	60
Figure 4. 6 Identifying what feedback mechanisms have been allowed for or initiated during the consultation process	63
Figure 4. 7 Assessment of successes and Failures of public participation on the GFIP.....	66

CHAPTER 1: INTRODUCTION

1.1. Introduction

This chapter introduces the study and seeks to assess public consultation strategies in South African infrastructure projects through a case study of the Gauteng Freeway Improvement Project (GFIP). The chapter presents the research problem, research objectives and the aim of the study. The study also discusses the research problem, research objectives and assumptions of the study. Finally, the chapter will outline a brief summary of the research study chapters.

1.2. Background to the Study

Sub-Saharan Africa has implemented the least number of Road Infrastructure projects with 204 kilometres of roads per 1,000 square kilometres, lagging behind the world average of 944 kilometres per 1000 square kilometres in 2016 (Ashurst, 2016). World Bank's study ranks Sub-Saharan Africa at the bottom of the list of other developing regions when it comes to infrastructure performance, further highlighting that the region also has the lowest road density which has been on the decline over the past 20 years (Calderon, Cantú & Chuhan-Pole, 2018). Ashurst (2016) highlights the impact of the low road density in Sub-Saharan Africa's fast-growing cities due to urbanisation such as congestion, pollution and accidents, as well as the negative impacts on economic development. The impact of congestion on commuters particularly manifests in the social relationships and families where most time is spent on the road travelling to and from work, cutting down on family and social time (Department of transport Presentation to the Gauteng E-toll Review Panel, 2014). This challenge has resulted in the utilisation of alternative transport infrastructure funding models using different forms of user-fee collection systems and methods (Kyei and Chan, 2016). Kyei and Chan (2016) highlight the increasing use of Public-Private Partnership (PPP) in transport infrastructure in Sub-Saharan African countries such as Nigeria, Mozambique, and South Africa, owing to its success in the developing world.

Road infrastructure is hailed as the backbone of a growing, productive and modern economy and well-maintained transportation infrastructure make movement of goods, services and freight much easier, thereby promoting trade and commerce (Ittmann, 2017). For a growing and developmental state such as South Africa, road infrastructure is requisite for future economic growth. Road infrastructure helps solve both long term and short-term economic problems through short-term and long-term investments such as providing jobs in the short

term and having a multiplier effect in the long-term, through reducing congestion and carbon emission, benefiting business by reducing costs of transport and increasing productivity and mobility (Lenz, Skender & Mirković, 2018). From 1999, the government of South Africa has followed other countries in ensuring financing and improving public capital assets, serve public interest and ensure public goods and service delivery through public-private partnerships (PPPs) (Fombad, 2013). The South African government has sought to address the challenge of poor infrastructure and roads through policies aimed at improving its existing roads, improving the country's freeways through making use of the e-tolling system (Matsiliza, 2019).

With South Africa's Gauteng Province being the country's industrial and financial hub, and the nation's biggest contributor to the total gross domestic product (Mailovich, 2019), the provincial government sought to provide public services through a privately funded scheme to upgrade and improve its major roads, in a bid alleviate congestion and strengthen the economy targeting the freeway network as part of the Gauteng Freeway Improvement Project (GFIP) (Matsiliza, 2019). The GFIP refers to, and is the name given to the South African National Roads Agency (SANRAL)'s project that resulted from the agency's feasibility study conducted in 2004 which found that Gauteng roads needed major upgrade and overhaul processes in order to maintain and support the province's economic growth (Parrock, 2015). The feasibility study also found that there was danger of slackening of economic growth in the Gauteng Province if measures were not taken to accommodate population growth, the changing trends in public transport usage by citizens in the province and the allure of the province a job-seeker destination in South Africa (Parrock, 2015). The Gauteng Freeway Improvement Project (GFIP) was initially expected to contribute up to R29 billion into the South African economy and an estimated R13 billion into the provisional gross geographic product and creation of up to 30 000 direct jobs for the duration of the project (SANRAL, 2009). the province (Matsiliza, 2019). The proposed improvements under the GFIP included increasing the capacity of existing road networks and adding new roads where this was deemed necessary (SANRAL, 2009). In October 2007, the government launched the Gauteng Freeway Improvement Project (GFIP). SANRAL then published project details and presented to cabinet, the funding mechanisms, user pays method and location toll points and proposed toll tariffs, all of which were approved by the cabinet, leading to SANRAL introducing an open road tolling (ORT) system to avoid causing road congestion (Matshidze & Root, 2017).

Implementation of PPPs have not been spared criticism especially given that the general public is often excluded from the decision-making process, wherein negotiations take place in private environments under the guise of commercial responsibility and proprietary rights, with very little input from citizens (Fombad, 2013). The lack of public consultation has also negatively impacted the GFIP. The success of the e-toll system, although celebrated by the

South African government and SANRAL, has been met with mixed feelings especially given the socio-economic impact on road users, and the top-down approach adopted by the government on imposing the e-toll system as a way of repaying the costs incurred in the GFIP project (Matsiliza, 2019). Lack of public participation in the planning and implementation phase of the e-tolls project led to massive protests by various actors including COSATU, OUTA and community members (Pacariz, 2014). Furthermore, lack of proper consultation is cited as one of the critical factors that were overlooked in the GFIP project, leading to excessive project costs due to delays in implementing e-tolling system and utter rejection of the e-tolls by various stakeholders (Matsiliza, 2019).

The GFIP project and the e-tolls saga in South Africa shows that the failure to recognise public participation in providing public services through privately funded schemes will result in public opposition of the project from various stakeholders and ultimate project failure. Therefore, there is a need for various stakeholders in the society to be given an opportunity to have a say in processes that have a direct bearing on their lives and livelihoods. Stakeholder representatives must be incorporated into the governance structure of the projects and to ensure that they are actively involved throughout the life cycle of the project (Fombad, 2013).

1.3. Problem Formulation

Public–Private Partnership (PPP) in transport infrastructure has gained considerable attention in developing regions following its success in the developed countries. However, Sub-Saharan Africa (SSA) is among the developing regions with few transport PPP projects and among the regions with high number of failed projects (Kyei and Chan, 2016). Amongst the challenges cited for the high failure of infrastructure project is lack of public participation. Fombad (2013) who argues that the general public was excluded from the decision-making process, which exclusion led to dissatisfaction and criticism of the implementation of the GFIP. Public consultation has become widely used and a common feature in policy making and decision making processes, as it affords engagement with stakeholders and other individuals with an interest in the policy and decision making process and increases transparency in the process on matters that may impact people's lives (Campbell, Tabiri-Essuman, Gallo, Verdiel, Mandava, Azhar & Powell, 2017). Isopi et al., (2014) note that consultation can lead better outcomes in decision making processes especially when participants or stakeholders have prior substantial knowledge about the decision and the problem being consulted on. It is therefore important to achieve social impact through public consultation and this calls for consultation strategies to comprise of a series of opportunities for purposes of creating understanding about the decision among those who will be affected by such decision or those with an interest in it (Marzuki, 2015). There is a need for public participation mechanisms that

accommodate all individuals and their areas of interest, taking into account the realities and disproportions that exist among the vulnerable groups in society such as women, people living with disabilities and people from rural areas (Tshoose, 2015).

Therefore, this study will unpack the role that public participation has in mobilising the affected stakeholders and how can public participation be used as a strategy to engage and facilitate the needs of citizens and agree on deliverables when implementing public infrastructure projects of a similar nature as the GFIP.

1.4. Problem statement

Most public projects in South Africa are beset with public resistance, some even unacceptability. The impact of this discontentment is that some of the critical infrastructural developments are frustrated with dire consequences to the economy. The Gauteng Freeway Improvement Projects (GFIP) with its attendant e-toll system is one example of a public project that has faced significant public resistance from various stakeholders including trade unions, civil society actors and citizens due to the failure of the Gauteng Provincial government to adhere to public consultation prior to the implementation of the project.

1.5. Primary research question

The study's primary research question is as follows: How transparent and inclusive is the South African Public Consultation process in the implementation of public infrastructure projects?

1.6. Secondary Research Questions

From the primary question, the following secondary research questions have been identified:

- What is the nature of public participation processes in the planning of public infrastructure projects?
- How transparent is the consultation process in the implementation of public projects in South Africa?
- How are stakeholders identified during the public consultation process?
- What are the public feedback mechanisms during the consultation process?

1.7. Research Aim

The research aims to assess the inclusiveness and transparency of public consultation processes in South Africa prior to the implementation of public infrastructure projects.

1.8. Research objective

In order to achieve the primary goal of the research, the following objectives of the study have been identified:

- To assess the nature of public participation processes in the planning of public infrastructure projects.
- To analyse the transparency of the consultative process when implementing projects.
- To investigate the process followed during public consultations to identify stakeholders.
- To identify feedback mechanisms that have been allowed or initiated during the consultation process.

1.9. Research methodology

Research methodology refers to the methods in which research data is collected, analysed and interpreted with the aim of achieving the objectives of a study. According to Collis and Hussey (2014), research methodology as the overall approach to the research process and research design as the map that has to be followed with an aim to address the study's research problem and research objectives.

1.10.1. Research method, philosophy, approach and design

The study will adopt a qualitative research method which is used to provide answers to questions on experience, meaning and perspectives of the study participants and the data collected (Hammarberg, Kirkman & De Lacey, 2016). Hammerberg, Kirkman and De Lacey (2016) highlight that qualitative research techniques include small group discussions to probe beliefs, attitudes and concepts of normative behaviour, semi-structured interviews to seeks participants' views on a focused topic, or in-depth interviews to understand an experience from the participants' personal perspectives.

The study will adopt the interpretivist research philosophy which is grounded on the belief that methods used to understand knowledge about human and social sciences differ from those used in physical sciences, considering that human science interprets the world and acts

accordingly on the basis of such interpretation while the world on the other hand does not (Hammersley, 2013). Saunders et al., (2016) notes that the primary focus of research within the interpretivist philosophy is the way human beings endeavour to make sense of the world around them, emphasising that humans are different from physical phenomena, and that human beings and their social worlds cannot be studied in the same way as physical phenomena.

The study will adopt an inductive research approach. According to Saunders et al., (2016), an inductive approach is used to bridge the gap between what is observed and the conclusion, wherein the conclusion is deemed to be supported by the observations undertaken.

The study will be exploratory in nature, and as such, exploratory actions will be undertaken to discover and learn about something. Saunders et al., (2016) argues that through an exploratory research, the researcher conducts the research to gain new insights, discover new ideas or increase knowledge about a phenomenon.

1.10.2. Case study method

The study will focus on the Gauteng Freeway Improvement Project (GFIP), a case which is unique to South Africa's Gauteng Province as this phenomenon is only applicable to Gauteng highways. The main focus of the study will be on the extent of public consultative processes implemented by the Gauteng provincial government in implementing the GFIP. This study will be a snapshot exploratory inquiry constructing a case study that will explore the impediments to public consultation strategies when the Gauteng provincial government implemented the GFIP. Due to the unique nature of this study and its targeted focus on GFIP, the study will not be widely generalisable, as it is based on a case study applicable to the Gauteng Province. Furthermore, the study will focus on individuals with appropriate information concerning public participation strategies on the GFIP.

1.10. Study population

Saunders et al., (2016) define population as the full set of cases in a study. For this study, the population will consist of the implementing agencies and organisations that have been active, vocal and critical of how the GFIP project was implemented in the Gauteng Province. Due to the unique nature of this study, these organisations will be pre-identified on the basis of the work that they have done on the GFIP or the basis of their criticism or favour of the GFIP.

1.11. Sampling and sample size

According to Saunders et al., (2016), it is impossible to collect all the data available due to time, money or access restrictions. Therefore, a sampling strategy is often used to reduce the amount of data by considering data from a sub-group rather than all possible cases or elements. To this end, 17 organisations will be identified, and purposive sampling technique will be applied with the intention to only interview participants with abundant insight and information concerning public participation process on the GFIP. Leedy and Ormrod (2015) submit that purposeful sampling is a selection of those individuals that will provide the most information about the topic under investigation. For this study, 22 participants will be identified and interviewed from the target population. The sample size of respondents will be driven by the quality of feedback that the researcher received from respondents on public participation strategies implemented on the GFIP.

1.12. Research instrument and data collection methods

The study will make use of a questionnaire as a research instrument to collect data. Saunders et al., (2016) refer to a questionnaire as a method of data collection wherein participants are required to respond to the same set of questions. The questionnaire contains the specific investigative questions to each research objective for which data needs to be gathered. The questionnaire will be developed by the researcher guided by the research objectives and research questions of the study.

Wu and Patel (2015) highlight the importance of using appropriate data collection methods to gather the relevant information that will inform the issues being investigated. This study will make use of the following data collection methods: (1) combination of structured questionnaires comprising of open-ended leading questions as well as semi-structured interviews; and (2) participant observation and conversations. Open ended questions will encourage the participant to disclose all relevant information about their thoughts and explanations on the topic being investigated by the study. The leading questions will guide the conversation and ensured that the participants or respondents stayed on topic, thereby enabling the researcher to draw reliable responses from participants. The semi-structured interviews will facilitate the natural flow of the conversation between the participants and the researcher.

1.13. Data analysis

Leedy and Ormrod (2015) submit that, resolution of a research problem is dependent on how the researcher interprets the meaning of the data, and that data analysis is inductive reasoning, sorting and categorising of a large body of information into small sets of abstract, underlying themes. The data collected from the interviews will be arranged according to the research objectives of the study. Data collected through interviews will be analysed using thematic analysis, the data will then be coded and grouped into meaningful commonalities before it is interpreted, and findings are recorded.

1.14. Significance of the research

The findings of the research will hold significance in public infrastructure projects in South Africa and will contribute significantly to the public consultation and public participation regimen when it comes to privately funded infrastructure projects in South Africa. With its recommendations on public consultation strategies, the study will make recommendations for future research and enrich the field significantly. The study will help the government at policy level to come up with sound policy guidelines that are informed by the constitution. The study will also assist implementing agencies and project teams to formulate stakeholder engagement plan that can be engaged by stakeholders at different levels. This will help entrench transparency and inclusivity and aid in arresting the current public outcry that has engulfed South African infrastructure projects.

1.15. Scope of the study

The following Scope have been identified in this study:

- The research only focuses on assessing public consultation processes in the implementation of public infrastructure projects and uses the case study of the Gauteng Freeway Improvement Projects (GFIP). The study therefore will not focus on other projects implemented in other provinces or those implemented nationally. Furthermore, the study is confined to public consultation and public participation in these projects and will not extend to discuss other components of the GFIP.
- The research will not quantify cost of the public participation on projects.

1.16. Limitations of the study

- The research's focus only on one public infrastructure project in Gauteng and there may be difficulties in replicating the results of this study elsewhere.
- The study evaluates a policy to regulate public participation only for public infrastructure projects.
- This study focused solely on public infrastructure projects and not on other disciplines.
- This study does not include an analysis of the different public infrastructure projects in South Africa, to compare and determine how the GFIP fared when it comes to public participation compared to other similar projects.

1.17. Assumptions of the study

The following assumptions have been made in this study:

- Public participation encourages transparency and accountability by government administration to the citizens (Fombad, 2013).
- Successful projects have a public consultation policy and are implemented during the feasibility stage.
- The government will scrap the user pay principle open road tolling (the e-toll system) in favour of an additional fuel levy increase.
- Funding the GFIP debt through the South African fiscus will result in credit rating downgrade to below investment grade as the county will struggle to service its debt.
- Failure by SANRAL to recover the cost of GFIP from the road users will result in failure to implement and maintain future road infrastructure and this will lead to unprecedented congestion on the existing road network.
- GFIP Failure will impact negatively on the country's economy (Ittmann, 2017).
- The performance of the South African economy will be dependent on the implementation of the second phase of the GFIP and the expansion and refurbishment of alternative transport systems.

1.18. Chapter Outline

The study has been structured and organised according to the following chapters:

Chapter one: Introduction

This is an introductory chapter that presents the background and fundamental concepts to the study. The study's research problem and research objectives are highlighted, as well as the assumptions of the study.

Chapter two: Literature review

The themes covered in the literature review are organised around the research problem, and objectives of the study and include topics such as public participation, its history, its importance, its benefits, methods of public participation, democracy as an enabler of public participation and public consultation strategies, among others.

Chapter three: Research methodology

This chapter provides a detailed discussion on the research methods, design and techniques used for collecting and analysing data in order to assess public consultation strategies in South African public infrastructure projects using the Gauteng Freeway Improvement Projects as a case study.

Chapter four: Data presentation

This chapter presents the findings of the study in response to the research questions and objectives of the study. The chapter discusses in detail, the demographic profile of the interview respondents and their responses to the interview questionnaire.

Chapter five: Analysis of the research findings

Chapter five analyses the information obtained from the research interviews, and links it to the research methodology and the literature review, highlighting any confirmations or contradictions and similarities between primary and secondary data findings.

Chapter six: Conclusion and recommendations

This chapter presents a summary and conclusion of the study. It further presents recommendations for successful public consultation strategies in public infrastructure projects in South Africa. It further makes recommendations for future research in the field.

1.19. Conclusion

This Chapter has outlined the background to this research, including a detailed analysis of Sub Saharan and South Africa's poor road infrastructure and the lack of funds to refurbish the roads in a bid to boost the economy and promote trade. The study introduced the PPPs as an avenue that South Africa has used to address public infrastructure renovations and problematized the general public's participation in decisions on public infrastructure projects. The research problem, research aims and objectives, the research question and significance of the study themes were also discussed. The study also briefly outlined the literature review that informed the study and discussed the limitations on the focus of the study on this chapter.

CHAPTER 2: LITERATURE REVIEW

2.1. Introduction

This chapter explores previous literature related to, or assessing public consultation strategies in infrastructure projects, with a specific focus on central themes of public participation, its history, its importance, its benefits, methods of public participation, democracy as an enabler of public participation and public consultation strategies, among others. The literature review first discusses private public partnerships (PPP) and their proliferation in Africa, given that the GFIP falls under, and has been undertaken as one of the PPP projects.

2.2. Private Public Partnerships (PPPs) and their proliferation in Africa

2.2.1. Definition of PPPs

Public-private partnerships (PPPs) are defined as cooperative agreements made between multinational corporations and governments with an aim to finance, construct and maintain infrastructure projects (Dykes & Jones, 2016). Yescombe (2018) defines PPPs as long-term agreement or contracts between the public sector (governments) and the private sector (private companies) wherein risk is significantly transferred to the private sector which bears the responsibility for designing, constructing, upgrading, financing, operating and providing maintenance of public infrastructure. The private sector investment expected to be repaid from revenues generated by the public infrastructure under the terms of the PPP agreement and at the end of the PPP contract, the public infrastructure becomes property of the public sector (Yescombe, 2018). Seeletse (2016)'s definition adds the dimensions of economic development and the expertise of each partner as components of the definition of PPPs. Seeletse (2016) defines PPPs as formal cooperative ventures agreed upon between the public and private sectors which hinge upon the expertise of each party in the agreement for the provision of public needs through apposite of resources, rewards and risks of the project and further opines that PPPs should be strictly entered into for purposes of economic development.

Under South African law PPP is defined as a contract between a public-sector institution and a private party, where the private party performs a function that is usually provided by the public-sector and/or uses state property in terms of the PPP agreement. Most of the project risk (technical, financial and operational) is transferred to the private party. The public sector pays for a full set of services, including new infrastructure. (Public Private Partnership Manual Module 1, 2015).

2.2.2. PPPs in Africa

While PPPs have been implemented more widely globally, Africa's involvement in these partnerships is only recently gaining momentum, with African governments who are struggling to source funds for infrastructure developments resorting to PPPs in order to meet the societal demands of population growth and linkages with other countries for trade and other demands (Dykes & Jones, 2016). Developing countries and those countries in Sub-Saharan Africa are finding PPPs as a sustainable and viable source of financing infrastructure development (Yescombe, 2018). Yescombe (2018) attributes the growth of PPPs in Africa to increased efficiency in operations and delivery of projects by the private sector, access to technological advancement and innovation and reduced government budgetary constrictions through access to private capital for large-scale infrastructure projects. According to Seeletse (2016), developed countries' development and advancement is at the backdrop of PPPs, and developing countries are also catching up to the benefits of PPPs to develop their economies and people. South Africa has followed suit by embracing PPPs for development and advancement and the results of PPPs in South Africa show a high record of failure of these projects, with very few successes (Seeletse, 2016). Although authors admit that the success of the PPPs in South Africa have not been formally or systematically tracked, and further that the failures of the projects are also not statistically known, there seems to be consensus that the first PPP project in the country was undertaken between 1998 and 2000 under SANRAL for the construction of the N3 and N4 toll roads (Seeletse, 2016). Seeletse also makes mention of the Gautrain Project which was launched in 2007 as one of the successful PPP projects in South Africa, which project connected together, Johannesburg, Pretoria and OR Tambo International Airport through a high-speed train, a project that is funded through a user-pay principle. From the above examples, it is clear that PPPs are increasingly becoming popular in Sub-Saharan Africa and more specifically, in South Africa.

To implement successful PPP projects in Sub-Saharan Africa countries will have to undertake extensive public engagement campaigns. PPPs can entail difficult decisions over tariffs, tolls, and fees to ensure financial sustainability for investors. Public protests against a range of PPP in Sub-Saharan Africa pose a challenge for governments seeking to ensure attractive returns to investors (The Economist Intelligence Unit, 2015). According to Fombad (2013) a built-in mechanism for public participation throughout the PPP process would enhance accountability and also amplify the concerns of stakeholders, including those who may be adversely affected. Khatleli (2020) advocates for a public participation legislation or guidelines and that public participation should be executed at a project implementation level and its should not be regarded as a nuisance that causes delays and adds to the cost of the project

2.3. Public participation

Papa (2016) asserts that public participation and involving the general public in decision making and governance processes is a rudimentary principle of our democracy. Citizen participation has been defined as a process that enables citizens to respond, highlighting their public concerns, voicing their opinions about decisions that have an impact on their lives, and taking responsibility for changes that they want to see or experience in their public lives (Papa, 2016). Papa (2016) highlights the relevance of public participation in influencing government decisions, noting that involvement of the general public has become a condition and one of the essentials when it comes to implementing public programmes and projects.

The South African government holds public participation in high regards, both as a right entrenched in the South African Constitution and as a cornerstone of democracy and public service delivery (Maphazi, Raga, Taylor & Mayekiso, 2013). The South African government is accordingly mandated to set up public participation systems and structures in order to promote good governance (ibid). Maphazi et al., (2013) define public participation as a process that presents an opportunity for citizens or individuals to influence public decisions and further emphasise that it is a component of the democratic decision-making process. Newig, (2018) conflates public participation with participatory governance and define it as a process of public decision making that involves the private sector, civil society and the general public through varying degrees of collaboration. This level of collaboration makes it possible for decision makers to delegate decision making authority to the various stakeholders engaged.

Bobbio (2019) views public participation as a procedural tool through which policymakers seek to include new actors (citizens) in a policy network, thereby entrusting them with some design-related responsibilities. In summarising the definitions of public participation, Maphazi et al., (2013) highlight the following elements of public participation:

- It is applicable to administrative decisions,
- It is not solely providing information to the general public but also includes interaction between the general public and the decision-makers
- It entails a process where participants have some level of impact or influence on the public decisions being undertaken
- The notion of participation has various meanings and must be understood as encapsulating informing the public, listening to the public, engaging in problem-solving and developing agreements (ibid).

Uittenbroek, *et al* (2019) highlight the benefits of public participation in decision making processes such as facilitating acceptance of and support for the public decisions being made,

gathering local knowledge and expertise and providing the relevant information. Maphazi et al, (2013) also highlights the benefits of public participation in the public projects planning process as obtaining information and ideas on public issues; gaining public support for planning decisions; evasion of long-drawn-out conflicts and costly delays in the project implementation; securing stakeholder and citizen goodwill that can transcend to future decisions; garnering a spirit of cooperation and trust between the decision maker and the general public. In concurrence with Maphazi et al, (2013) and Uittenbroek et al, (2019)'s benefits of public participation, Glucker, et al (2013) goes a step further and sums up the nine objectives of public participation which are:

- i. *Influencing decisions* – whereby public participation those who are or will be affected by a decision are afforded an opportunity to influence such a decision.
- ii. *Enhancing democratic capacity* – whereby through public participation, participants are afforded an opportunity to develop their active citizenship skills which include articulation of issues of interest, communication and cooperation.
- iii. *Social learning* – whereby public participation facilitates deliberation between participants who then learn from each other this way.
- iv. *Empowering and emancipating marginalised individuals and groups* – whereby power gets distributed within society, thereby empowering previously disadvantaged groups in society
- v. *Harnessing local information and knowledge* – thereby improving the quality of the decision output through provision of relevant information and knowledge to the decision makers
- vi. *Incorporating experimental value-based knowledge* – whereby the quality of the decision output will be increased through provision of experimental value-based knowledge
- vii. *Testing the robustness of information from other sources* – to increase the quality of the decision output by testing and enhancing information from other sources that decision makers may have.
- viii. *Generating legitimacy* – whereby the decision-making process is legitimised, lending legitimacy to the decision makers and facilitating successful implementation of the project
- ix. *Resolving conflict* – thereby contributing to early identification of conflict and conflict resolution prior to decisions being made, thereby contributing to successful implementation of projects.

The table below summarises the nine objectives of public participation.

Table 2. 1 The objectives of public participation

Objectives of public participation	
Normative rationale	
1. Influencing decisions	Public participation will enable those who are affected by a decision to influence that decision.
2. Enhancing democratic capacity	Public participation will enable participants to develop their citizenship skills (such as interest articulation, communication and cooperation) and, at the same time, provide participants with an opportunity to actively exercise citizenship.
3. Social learning	Public participation will enable deliberation among participants and thus lead to social learning.
4. Empowering and emancipating marginalized individuals and groups	Public participation will alter the distribution of power within society, thus empowering formerly marginalized individuals and groups.
Substantive rationale	
5. Harnessing local information and knowledge	Public participation will enhance the quality of the decision output by providing decision-makers with environmentally and/or socially relevant information and knowledge.
6. Incorporating experimental and value-based knowledge	Public participation will increase the quality of the decision output by providing decision-makers with relevant experimental and value-based knowledge.
7. Testing the robustness of information from other sources	Public participation will increase the quality of the decision output by testing the robustness of information from other sources.
Instrumental rationale	
8. Generating legitimacy	Public participation will legitimize the decision-making process, thus providing legitimacy to the authority and facilitating project implementation.
9. Resolving conflict	Public participation will contribute to the identification and resolution of conflict before final decisions are made and thus facilitate project implementation.

Source: Glucker *et al.*, (2013)

From the above, it is clear that public participation is not only crucial for decision-making processes through its multi-objective components, it is also a critical factor in the successful implementation of a project, especially public infrastructure projects. Matsiliza (2019) highlights lack of public participation in the planning and implementation phase of the e-tolls project as having led to the mass protests by various actors including COSATU, OUTA and citizens, and excessive project costs due to delays in implementing e-tolling system and utter rejection of the e-tolls by various stakeholders.

Furthermore, it is clear from above definitions public participation and the objectives of public participation that public participation is one of the elements of good governance which promotes efficiency and accountability in the public sector. Public participation is also an enabling element of democracy because through it, citizens are involved in government affairs. As such, public participation cannot be separated from the practice of public administration.

2.4. The history of public participation

Public participation has its roots in Colonial New England and dates as far back as the mid-1960s when it was institutionalised to afford citizens a voice in public decisions (Maphazi, et al., 2013). Following the introduction of public participation for developmental and general planning, the notion initially comprised of the act of public consultation and public appeal wherein the public was given limited opportunity to voice their disagreement with what decision makers offered on existing plans and proposals (Beresford, 2019). Since then, public participation has presented with challenges which include the question of who should get involved (public involvement) and the methods of involvement such as public meetings, verbal and written methods of participation which tend to exclude and discriminate people on the basis of class, gender, age, disability and other social shortcomings (ibid). In present times, public participation has become standard practice and a necessity for a successful democracy (Maphazi, et al., 2013).

2.5. The dynamics of public participation in South Africa

As highlighted earlier, public participation is a cornerstone of South Africa's democracy and is entrenched in the highest law of the land, the South African Constitution (Maphazi, 2013). Lues (2014) reiterates that the South African Constitution states that citizens should be consulted on issues of interest and on those issues that affect them, and further that they should also be afforded opportunities for actively engaging in decision-making process. Chapter 1 of the South African constitution spells out clearly that the people shall govern therefore submitting that government policies should reflect the will of the people. Section 118 of the South African Constitution (1996) reads thus:

“(1)A provincial government must; (a) facilitate public involvement in the legislative and other processes of the legislature and its committee; and (b) conduct its business in an open manner, and hold its sittings and those of its committees, in public, but reasonable measures may be taken- (i) to regulate public access, including access of the media to legislature and its committees; and (ii) to provide for the searching of any person and, where appropriate, the refusal of entry to, or the removal of any person (2) A provincial legislature may not exclude the public, including the media, from a sitting of a committee unless it is reasonable and justifiable to do so in an open and democratic society.”

Section 152 of the South African Constitution (1996) also speaks of democracy, accountability, and encourages public participation and involvement in local government matters. As a result, citizen participation- as an aspect of democracy- is now a common feature in the making and

implementation of public policies. Sebola (2017) argues that the purpose of public participation in South Africa is to ensure that all actors that are or stand to be affected by a public authority's decision have a right to be consulted and to contribute to the decision-making process.

Literature shows that public participation and participatory processes in South Africa are tarnished by lack of transformation characterised by lack of service delivery, corruption, lack of consistent feedback, limited involvement of stakeholders and lack of experience on the side of planners and decision makers (Tshoose, 2015). Scholars argue that in instances where public participation exists, it tends to be brief, sporadic – that is only aimed at paying lip-service and decorative purposes to specific stages of public projects planning and programming, and with very little feedback being given (ibid). Sebola (2017) highlights the challenge of how public participation is communicated to the stakeholders as being problematic in the South African context, noting that both communication and getting people to participate in policy decisions is extremely difficult. Literature highlights the challenge of lack of use of effective communication tools by the public authorities when communicating with the general public, unwillingness of the general public to participate, including those stakeholders willing to participate but unable to do so due to barriers such as language, distance and lack of resources on the one hand, and those who are able to participate but unwilling to do so because they have no interest in politics, see no benefit in participating or those who do not trust the government to genuinely consider their inputs in decision making (Sebola, 2017). Van Belle and Cupido (2013) note that South Africans are passive and not active when it comes to public participation and involvement in general, and this challenge is also coupled with the fact that most citizens find it difficult to correctly communicate their wishes and some do not know how to use the available mechanisms for public participation correctly. There is therefore a need to invest in public participation as an ongoing, evolving process that should lead to perception and mind set change on the part of the general public, with government committing to explore and find new systems, methods and platforms that facilitate public participation (Van Belle & Cupido, 2013).

In South Africa, the most commonly used public communication platforms is the “Imbizo”.

The Nature of the imbizo is that people are mobilised to meet and listen to government officials (Baloyi and Lubinga, 2017). These public communication platforms or public hearings appear to be appropriate platforms because they are open to everyone. However, without deliberate attempts to including the disenfranchised member of the public, these platforms are likely to see only the views and needs of those that are already politically active being addressed (Koski et al., 2019).

Therefore, it may be argued that public hearings may not be the best forum to ensure

effective participation, simply because the way in which they are currently implemented is not inclusive enough. The government needs to expand public participation and improve inclusivity. Within its mix government can deploy tactics such as community forums, neighbourhood coalitions and petitions to influence policy development. For a credible and inclusive public participation strategy the government will have to make use of a structured public participation and mobilization (ibid).

2.6. Democracy as an enabler of public participation

Democracy has enabled public participation in public service decision making. Lues (2014) highlights that democracy does not only pertain to the rights of citizens but is also about what they need in order to contribute to strengthening and sustaining democracy. Tshoose (2015) defines democracy as a two-pronged notion, firstly, as a form of government in which all citizens have, and exercise the right to make political decisions in accordance with the system of majority rule, also referred to as direct democracy; and secondly, democracy as a form of government where citizens elect representatives to make public decisions on their behalf. Democracy therefore ultimately requires citizen participation, without public or citizen participation and involvement, democracy is empty and meaningless (Maphazi, et al., 2013). Lues (2014) argues that democracy cannot be effective on its own, but effectively relies on the government and its citizens for it to be sustained. Maphazi et al. (2013) notes that the indispensable principle of democracy entails public participation wherein citizens are enabled to participate if they so choose, through effective communication channels, and further that the ultimate mark of democracy is embodied in the freedom of citizens or the general public to choose to participate or not.

Democracy is a universal value whose normative framework includes the Universal Declaration of Human Rights (1948), the International Covenant on Civil and Political Rights (1966), the African Charter on Human and People's Rights (1981) and in the South African context, the Constitution of South Africa (1996). Tshoose (2015) argues that democracy protects the interests of citizens by giving them opportunities to influence government policies and decisions by taking part in the decision-making process, given that government policies and decisions impact their wellbeing. Public participation is said to be key in providing platforms for citizens to voice out their interests, and without democracy, the opportunities for citizens to participate in the affairs of the government would not exist (Tshoose, 2015). Lister (2012) highlights the need for ensuring that no citizens, including minorities, are excluded from exercising their power through participating in the affairs of the government.

2.7. Types of democracy

Modise (2017) and Muronda (2017) discuss the three broad categories of democracy, namely, representative, participatory, and direct democracy. The three types of democracy will be discussed in detail below.

2.7.1. Representative democracy

Representative democracy is said to be the most common type of democracy which is adopted by many modern day governments, especially in countries with a high population of citizens owing to the fact that it affords citizens to choose and elect into office, political leaders who undertake law-making and political decision making on their behalf (Modise, 2017). Bevir (2009:179) also provides a similar definition for representative democracy and argues that “it is a type of democracy in which the citizens of the state exercise their popular sovereignty through legitimately elected representatives... by voting in elections”. Bevir further points out that while the very tenet of representative democracy requires that the elected representative acts in the interests and in furtherance of the will of the citizens who elected him/her, this however does not mean that the representative acts as a proxy for his electors, rather the representative uses discretion to make decisions on behalf of those who elected him/her. Modise (2017) gives an example of representative democracy, of citizens or individuals electing members of Parliament to represent them in parliament. Muronda (2017) and Modise (2017) highlight that a select group of individuals are chosen to represent society at large through a popularity contest and popular will of the citizens who elect them. Modise (2017) highlights one of the disadvantages of representative democracy of the elected representatives not earnestly serving the interests of the citizens, given that they serve in chambers for example, in parliament, and further notes the weakness of this type of democracy, where representatives are elected on the basis of opinions of a particular group in society, based on popularity and not on political education, knowledge, integrity or their capability to solve problems.

2.7.2. Direct democracy

Direct democracy is seen as achieving the goal of enabling citizens to participate in political government processes which include decision making processes and policy making processes (Modise, 2017). Modise (2017) defines direct democracy as an undisturbed undertaking of authority by the general public for purposes of influencing government decisions by making use of multiple mechanisms in place that facilitate citizen participation in government affairs and processes. Asimakopoulous (2016) defines direct democracy as the

type of democracy whereby each citizen represents themselves through voting directly on issues that concern them or their community. Modise (2017) argues that with direct democracy, citizens have major influence on the government's decision-making mechanisms as the responsibility of running public or government affairs is transferred from national government to the general public. With the citizens in charge, transparency in the decision-making process can be achieved.

2.7.3. Participatory democracy

Modise (2017) highlights the need for a more participatory approach to democracy to afford citizens an opportunity to engage closely in the government's political affairs. Participatory democracy is seen as a vital instrument in promoting accountability in government as it facilitates citizens' awareness of government's programs and policies and the processes of achieving or undertaking them (ibid). Modise (2017) points out that South Africa is essentially following a representative democracy model and argues that within this context, participatory democracy is about whether citizens should be afforded the right to participate in decision making processes where these decisions affect them, irrespective of the fact that South Africa is a representative democracy. It is argued that citizens should participate in the thinking and speaking processes especially where such processes will have an impact on their lives and interests, and they should not delegate these processes to the elected representatives (Modise, 2017). Renkamp (2015) asserts that citizen participation only contributes to the legitimacy of decisions and raises citizens' level of satisfaction with democracy when it is conducted fairly and transparent. When citizens are empowered with participation rights and reliable regulations this elevates the role citizens play: Instead of protesting, and obstructing projects, their participation could become more constructive and lean towards finding solutions (Renkamp, 2015).

2.8. Democratic governance in South Africa

27 April 1994 goes down to history as a momentous day that instilled hope, opportunity and aspirations for the previously oppressed, marginalised and disadvantaged black people in South Africa when they exercised their democratic right to vote for the very first time in their lives (Masipa, 2018). The opportunity for the majority of the South African population to vote for the leader of their choice had the positive impact of transforming a nation ravaged by racial tensions and divisions, inequality and exclusion into a democratic state (Wittenberg & Pirouz, 2013). Euphoria was high due to the envisaged notion that South Africa finally belonged to all who live in it, with black and white citizens working together to build a new society with its foundations on democratic principles (Nkondo, 2016). Masipa (2018) notes that democratic

South Africa inherited a country with challenges of unemployment, poverty and high levels of inequality for the majority of the citizens and the democratic governance in the country allows citizens to voice out their discontent for these challenges through protest action. Masipa (2018) highlights the challenges of inequality, unemployment and poverty as leading to the fragility of South Africa's democracy. Masipa (2018) also notes that poverty and inequality in South Africa causes citizens to become sceptical and distrust political institutions and the government who are entrusted with transforming their lives.

As highlighted earlier, the South African Constitution is the basis for a democratic South Africa, and the country's democratic government has been hailed by many for its majority rule and protection of minority rights (Lues, 2014). Before 1994, there were no democratic structures or systems that afforded all South African citizens to participate in electing leaders of their choice, but post 1994, all citizens have the opportunity to actively participate in the democratic governance of the country and enjoy wide ranging rights including voting rights, having the backing of the government's commitment to promote participatory democracy (Van der Walddt, 2014). Lues (2014) notes the post 1994 involvement of citizens and their importance in the governance of the country, ensuring accountability and government's responsiveness to their needs; and the opening up of opportunities and equal access of all citizens across race, to all that the country had to offer. The 1996 Constitution further directs the South African government to implement devolution of democracy to the three spheres of government with an aim to afford citizens opportunities to participate in decision making processes and political affairs of the country (Lues, 2014). Citizen participation has therefore been given priority in the national agenda and South Africa has been praised as a success story of democracy, given its transition from a repressive rule authoritarian to a democratically governed state which respects and upholds the rule of law (Tshoose, 2015).

2.9. The importance of public participation

Public participation in government matters keeps the general public abreast of the latest developments in their community and promotes a robust civil society because it provides community members and other local based stakeholders an opportunity to be engaged in civil society matters aimed at community development (Chaney, 2016). Marzuki (2015) opines that public participation plays a key role in educating citizens about the government's development programmes while at the same time influencing the social and personal changes among members of the general public through incorporating the diverse interests of the general public by according them their right to participate in the decisions that have a bearing on their lives. Sebola (2017) acknowledges that the very reason why citizens must participate lies in having their interests and needs recognised as part of the entire government system, with citizens

being seen as engines and co-owners of the government policies. Bobbio (2019) highlights the importance of public participation in empowering people, thereby putting in practice democratic ideals, which are to obtain consensus or citizens' inputs and their knowledge when complex or misunderstood problems are experienced. Marzuki (2015) further highlights that through public participation, government authorities stand to gain better understanding of stakeholders' needs and demands which in turn leads to improved and resource planning and management on the one hand and enables citizens to reduce political and administrative problems. Public participation also helps in stimulating information exchange between stakeholders including the general public, government and non-governmental organisations, which further enriches the shared understanding and relationship between the various actors (Marzuki, 2015). Glucker et al., (2013)'s objectives of public participation discussed in 2.2. above also allude to the importance of public participation, of influencing decisions, enhancing democratic capacity, facilitating social learning, empowering and emancipating marginalised groups, harnessing local information and knowledge, incorporating experimental value-based knowledge, testing the robustness of information from other sources, generating legitimacy and resolving conflict.

Marzuki (2015) argues that public participation as a participatory process is not always utilised for purposes of designing the substantive elements of the public policy but can also be undertaken for normative purposes such as ensuring democratic implementation of a policy or project, and giving marginalised or most affected groups a voice and an opportunity to be heard. Sebola (2017) highlights that citizens' participation secures citizens' ownership of the policies formulated and adopted by the government. Bobbio (2019) highlights that oftentimes, public participation has been manipulated by the government when they need resources that are difficult for them to raise wherein they use participation as a tool that can provide cognitive resources (including information, practical knowledge and insights from various stakeholders including citizens) and political resources (which include consensus and legitimacy that policy makers require in order to garner support on problematic issues, avert conflict and limit any disaffection from the general public). For public participation to be significant the participants must have assurance that their inputs will be considered and implemented (Khatleli, Baloyi, Gushu and Khan, 2020). Public participation must afford stakeholders increase transparency on matters that may impact their lives (Campbell et al., 2017). André, Enserink, Connor and Croal (2006) further highlights that governments must ensure that the interests, of the underrepresented are considered and given a fair chance to influence decisions. Matsiliza (2016) links massive protests against GFIP by various actors including COSATU, OUTA and community member to a lack of transparency and inclusiveness in the planning and implementation phase of the GFIP and the e-tolls project.

2.10. Ladder of public participation

Sherry Arnstein discusses eight types of participation in A Ladder of Citizen Participation (1969). Often termed as "Arnstein's ladder", she defines citizen participation as the redistribution of power that enables the have-not citizens, who are often excluded from the political and economic processes, to be deliberately included in the future (Papa, 2016).

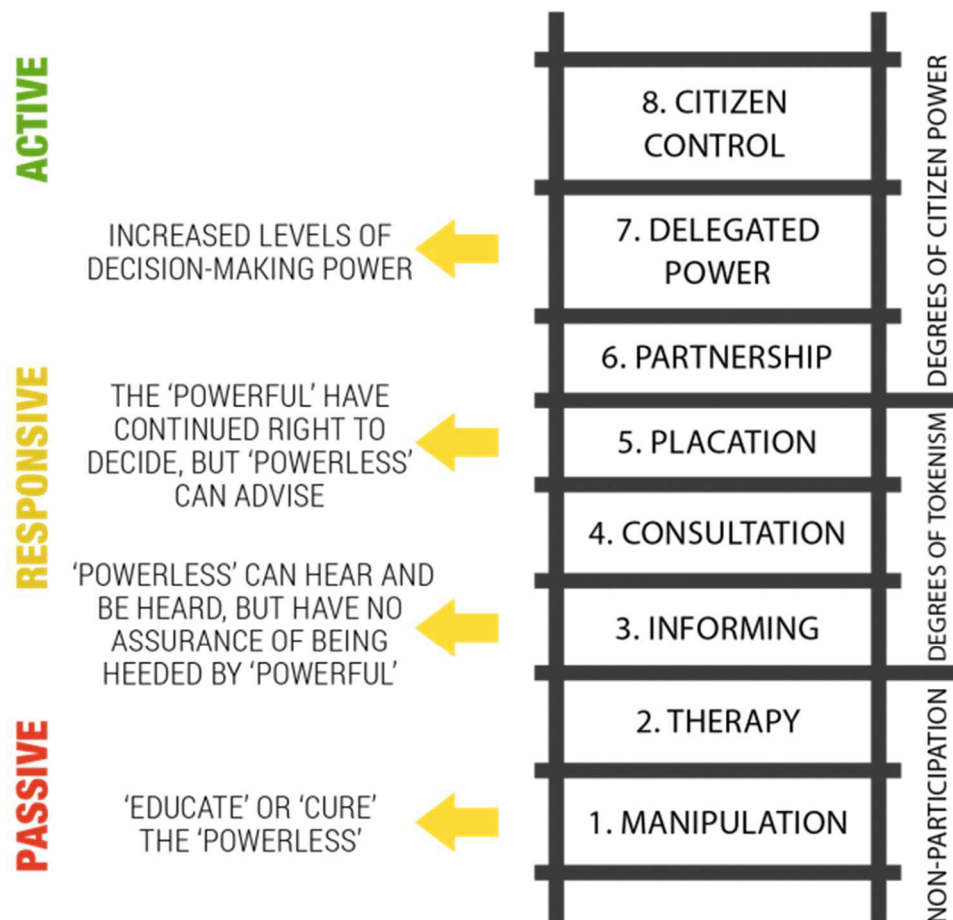
Figure 1. below shows Arnstein's ladder of citizenship or public participation and how the various degrees of power that citizens have on each of the 8 steps. Mdlalose (2016) discusses the Arnstein ladder of public participation which comprises of the following:

- *Citizen control*: This is when citizens organise themselves into specific units for purposes of taking decisions with an aim to ensure that government (or municipal council) fulfils its responsibility to the general public. As shown in Figure 1 below, with citizen control, citizens or the general public are active with increased decision-making power.
- *Delegated power*: It refers to the power that the government delegates to lower structures of government to take decisions, especially on public participation-related matters to close the gaps between institutions and the people that the same institutions are mandated to serve. As shown in Figure 1 below, with delegated power, citizens are still active and have decision-making powers – they have a say and what the general public says is considered and heard.
- *Partnership*: This is when government partners with or works together with stakeholders or community members to promote good governance, in some instances, extending to stakeholders sitting in meetings to observe the progress made in the implementation of public projects and governance issues. As Figure 1 below shows, the partnership model also has citizens as active decision-makers, with power to influence decisions.
- *Placation*: This refers to attempts by the government or decision makers to placate citizens through responding to and implementing suggestions from the stakeholders or the community being served by the government. As shown in Figure 1 below, the stakeholders do not hold decision-making power, but merely play an advisory role – decision-making power lies with those who are powerful or those with resources and citizens' participation in this case becomes more of a token than active participation. Citizens are therefore more responsive to what the decision makers bring to the table and are not active in their participation.
- *Consultation*: This is when stakeholders come up with public projects and programmes that can be implemented using the limited resources available to the government

institution, ensuring that government development or public infrastructure plans are in line with, and satisfy the will of the people that the government purports to serve. As shown in Figure 1 below, consultation also has citizens playing an advisory role, with their participation amounting to tokenism, with the powerful making the final decisions and holding the decision-making powers. Just like placation above, citizens are responsive to already-determined agendas or projects and are not actively involved from the onset.

- *Informing:* This refers to the government's duty to inform the community and provide information through various channels including public and open meetings and sharing reports with the general public. As shown in Figure 1 below, informing also has citizens as respondents to projects already decided upon, wherein being informed is a mere token where the citizens "the powerless" can obtain information and have opportunities to be heard by the powerful or decision-makers who cannot assure citizens that their contributions will necessarily be taken into consideration.
- *Therapy:* This refers to the responsibility that government has not to make or implement decisions that will have a negative impact on the lives of stakeholders and communities without first consulting them and informing them about the implications of such decisions. With therapy, citizens do not participate in the decision making, and although the citizens can obtain information and be heard by the decision-makers when they voice out their opinions, they cannot be assured that their contributions will be taken into account
- *Manipulation:* This is when stakeholders are manipulated by the government, though fake consultations which are aimed at legitimising a process without meaningful or real consultation process taking place. With manipulation, there is non-participation by the citizens who play a passive role in decision-making process.

Figure 2. 10 Arnstein's ladder of citizenship participation



Source: Arnstein, S. (1971)

The implementation of the Gauteng Freeway Improvement Project (GFIP) and its accompanying e-toll system is a good example of manipulation where the government alleged to have consulted the general public in Gauteng through public hearing meetings on the introduction of e-tolls when in actual fact, the Gauteng Province stakeholders did not support the e-toll system and have continue to display their revolt through non-payment of the e-toll fee since the system was implemented.

2.11. Methods of participation

A credible public participation process identifies all the affected stake holders and make use of various participatory methods to effectively involve everyone. It should be borne in mind that there is no model for public participation which is applicable to all situations. Participation methods may take different forms because the social-economic situations and differing project needs (Mathabatha and Naidoo, 2004). Rowe and Frewer (2013) note that public participation comprises of a number of procedures that are meant to consult, involve and inform the public,

especially ensuring that those affected by a public decision contribute to the decision-making process. With public participation, input of the stakeholders is therefore key, as it differentiates public participation methods from other forms of communication (Rowe & Frewer, 2013). The authors highlight the existence of a range of public participation methods which range from those methods that stimulate inputs from participants in the form of opinions such as public opinions, surveys and focus groups; to those methods that provoke judgements and decisions that lead to actual policy such as consensus and conferences (Rowe & Frewer, 2013). The methods of public participation will be discussed below.

2.11.1. Public hearings

Mikuli and Kuca (2016) note that public hearings denote a discussion about a specific topic that is open to the general public with an interest on the issues, including private persons, and they highlight the prerequisite of personal presence of interested stakeholders in the public hearings, for an interactive debate between participants. Castro (2013) views public hearings as a public participation tool that responds to the demands made by the general public as opposed to generating frustration, also one that promotes and facilitates individual leadership qualities, personal growth and informed citizenry. Uittenbroek (2019) places public hearings in the category under participation practices that aim to inform. Castro (2013) makes reference to Fiorino's four criteria for public hearing and involvement, namely (1) direct participation of inexperienced people in the decision making process, (2) participation of citizens in collective decision making, (3) the available time for a face to face discussion, and (4) the opportunity for citizens to participate in decision making processes at an equal footing with administrative officials and technical experts. Mikuli and Kuca (2016) opine that the notion of public in public hearings refers to the fact that a number of participants are involved and further that the procedure for participation is open to any interested party. Castro highlights criticism levelled against public hearings, that stakeholders from the low-income bracket and minors for instance are often under-represented and are often unable to make meaningful contributions to the public debates during public hearings. Castro (2013) further highlights that those who often attend public hearings are not representative of the population and tend to be dominated by those stakeholders who are able to invest or make substantial contributions.

2.11.2. Surveys

Surveys are used to gather information from a group of participants for example when feedback on a service is required. Ponto (2015) defines survey research as a collection of data from a sample of people through their responses to questions. In short, there are pre-determined questions that respondents or participants who are participating in a decision-

making process must answer, which makes up the feedback that government authorities or decision makers receive from participants. Uittenbroek (2019) categorises public surveys as a participation practice that seeks to extract knowledge from stakeholders. Ponto (2015) also highlights that surveys have historically enabled collection of data from large a population with an aim to obtain information and have the population provide feedback. Phillips (2017) highlights the benefits of surveys which include the fact that they can be administered in person, by internet or by other media; the low costs associated with administering surveys, their speedy administration and their being easy to use.

2.11.3. Focus groups

Focus group allows participants to highlight how they feel about certain issues. Focus groups are used to collect data on the participants' knowledge, attitudes and experiences through an interactive process (Doria, Condran, Boulos, Curtis Maillet, Dowling & Levy. (2018). Uittenbroek (2019) categorises focus groups as a participation practice that aims to extract knowledge from stakeholders or participants. Data is collected from a purposely selected participant, not from a random sample, with the person conducting the focus group assuming the role of a facilitator, moderating a discussion between the participants (Nyumba, Wilson, Derrick & Mukherjee, (2018).

2.11.4. Elections

Elections are another method for citizens' involvement in decision making (Netswera 2012). Tshoose (2015) concurs that citizens exercise their participatory democracy through periodic voting, thereby publicly participating in the governance process. Elections held at regular intervals enable citizens to elect individuals who will represent them. Elections are considered a method of public participation because it is assumed that elected representatives are elected on the basis of their ability to represent the wishes of the people.

2.11.5. Public meetings

Public meetings are one of the traditional methods of public participation which have been criticised amongst other things for not affording participants with enough time to understand the complexities of issues requiring public participation (Uittenbroek, 2019). Public meetings offer the community an opportunity and platforms for discussing together with political leadership in person, articulating their needs and challenge and receiving feedback.

2.11.6. Open meetings

Open meetings are most commonly associated with local governments and town hall–style meetings, but they are held at all levels of government. Open meetings are a method of public participation that is open to all community members. Unlike closed meetings and other restrictive meetings, open meetings welcome all members of the public and are a rich method of participation because they are broadly representative of the community. They are convened to discuss policy issues such as proposed budget (Schroeder et al., 2004).

2.11.7. Referendum

Referendums have become a notable substitute to representative democracy especially when it comes to constitutional and political matters (Podolnjak, 2015). A referendum is potentially inclusive as it involves all members in deciding on a matter through vote-casting and is an instrument of citizen involvement that allows the people to decide on controversial matters (Kersting, 2011). The outcome of a referendum is binding; thus, it is a method that secures public input in policymaking. For example, citizens can vote to endorse a new bill or policy. Referendums are usually preceded by educational campaigns to enlighten the citizens on the issue at hand, so their votes are well-informed. committees provide decision-makers with the community's perspectives. They are a method of public participation because they represent the community.

2.12. Public consultation strategies

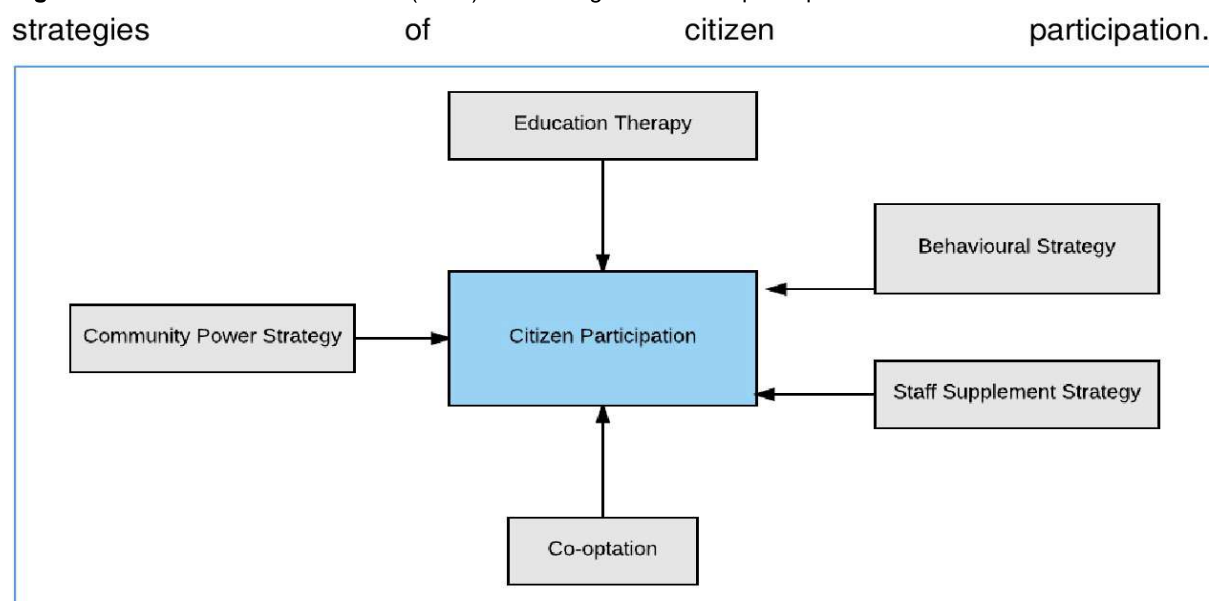
Public consultation is highlighted as a key ingredient for any deliberative process (Isopi, Nosenzo & Starmer, 2014). Public consultation has become widely used and a common feature in policy making and decision making processes, as it affords engagement with stakeholders and other individuals with an interest in the policy and decision making process and increases transparency in the process on matters that may impact people's lives (Campbell, Tabiri-Essuman, Gallo, Verdiel, Mandava, Azhar & Powell, 2017). Isopi et al., (2014) note that consultation can lead better outcomes in decision making processes especially when participants or stakeholders have prior substantial knowledge about the decision and the problem being consulted on. It is therefore important to achieve social impact through public consultation and this calls for consultation strategies to comprise of a series of opportunities for purposes of creating understanding about the decision among those who will be affected by such decision or those with an interest in it (Marzuki, 2015).

There is a need for public participation mechanisms that accommodate all individuals and their areas of interest, taking into account the realities and disproportions that exist among the vulnerable groups in society such as women, people living with disabilities and people from

rural areas (Tshoose, 2015). Tshoose (2015) proposes consultation strategies that involve provision of simplified information in a bid to accommodate different languages, both spoken and written modes of communication and provision of transport to the meeting to ensure maximum inclusion and participation.

Burke (1968) encapsulates five possible citizen participation strategies that can be employed by decision makers in the implementation of public projects. Burke argues that while there can be many problems in an attempt to encourage citizen participation, some dilemmas can be avoided by adopting a strategy of participation specifically designed to fit the role of that particular society or organisation. Figure 2 below provides these strategies.

Figure 2.12 An illustration of Burke's (1968) five strategies of citizen participation



Source: Burke (1968)

Mdlalose (2016) discusses Burke's five citizen participation strategies that can be adopted by governments during the public participation process in the implementation of public projects. The five strategies are briefly discussed below:

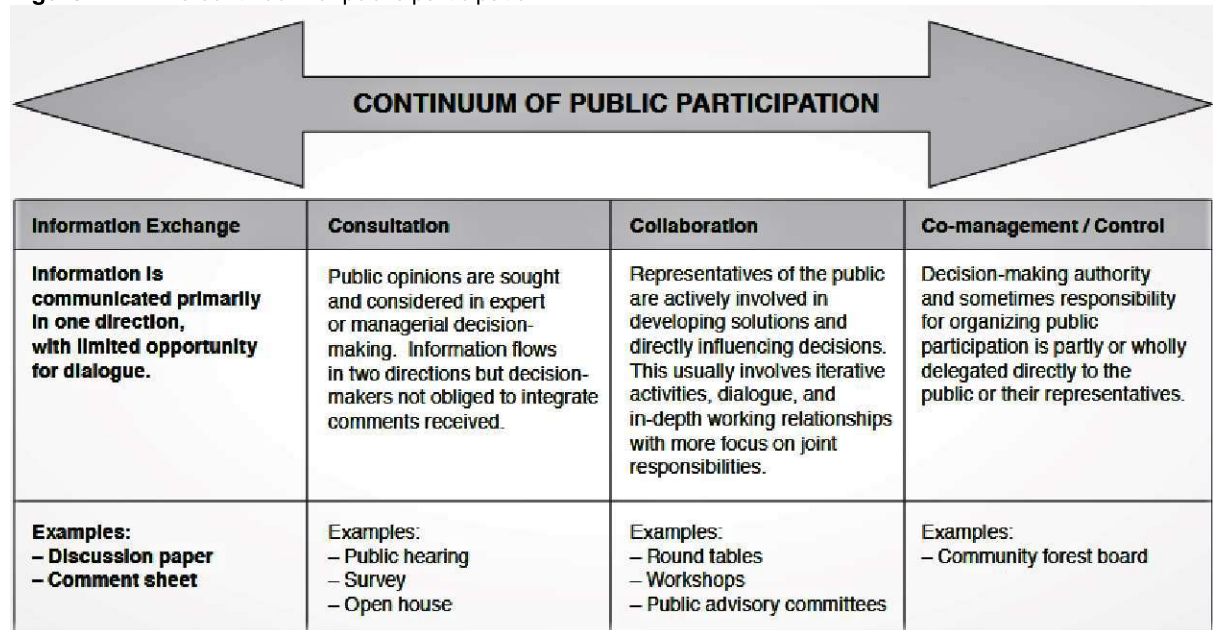
- *Educational therapy* – a strategy aimed at increasing trust, self-confidence and responsibility of the general public when it comes to decision making processes. The strategy primarily focuses on providing training and education to the stakeholders or participants to facilitate their participation in governance, social and economic development and all other government processes. This strategy emphasises training for stakeholders, to enable them to value and appreciate cooperation as a problem-solving method, and in turn, learning how democracy works. To this end, this strategy encompasses encouraging citizens or stakeholders to make their own decisions on what is good to them. This strategy also involves the process of encouraging people to make their own decisions on what is good for them.

- *Behavioural change* – a strategy commonly practiced in the political environment, and is divided into two practices namely when an individual belief has been subjected to the influence of a group which belongs to a political party; and the notion that individuals and groups resist decisions that are imposed on them and that when this happens they will ensure they participate in development of policies that prioritise justice. Using this strategy requires that decision makers work together with groups and communities that exists in the community where a public project is being undertaken in order to facilitate stakeholders' change of behaviour and create common interests. Burke (1968:289) is of the opinion that this strategy of citizenship participation is dependent on specific conditions such as participants' having "a strong sense of identification with the group, and that they feel assured that their contributions and activities are meaningful both to themselves and to the group".
- *Staff supplement* – a strategy which encourages community participation through encouraging their participation as volunteers to boost the government workforce, adding to the expertise of government officials assigned to public participation activities. Through this strategy, public community members become part of the decision-making staff and attempts to "supplement the expertise of the planning agency's staff with the expertise of particular citizens" (Burke, 1968: 290).
- *Co-option* – a strategy wherein the government relies on the support of stakeholders for the provision of services and maintenance of infrastructure that was constructed by the government. This strategy entails participation of citizens in the decision makers' team in a bid to prevent any form of obstacles coming from other citizens in achieving the decision makers' goals. Thus this strategy seeks to neutralise any influence or power that stakeholders may have that opposes the goals of the decision makers and Burke notes that when this happens, citizens therefore viewed by the decision makers, as "potential elements of obstruction and frustration" (Burke, 1968:291).
- *Community power* – a strategy that exploits the community by capturing and using the influential individuals in the government to achieve the government objectives. The government or the decision makers must keep these influential individuals satisfied for its sustenance.

2.13. Public participation continuum

Krishnaswamy (2009) describes four simple stages of public participation, the continuum of participation is relevant to public participation philosophy as it allows participants to measure the extent of their participation and the impact it has on decision making. As depicted in figure 3 below, the continuum shows that the extent of public participation increases as one goes through the stages.

Figure 2. 12 The continuum of public participation



Source: (Krishnaswamy, 2009)

The four stages in the continuum of public participation are discussed below.

- Information exchange:** The exchange of information is presented as the initial stage of public involvement. This stage uses publicly administered questionnaires as a standard tool for the exchange of information wherein members of the public are requested to complete the questionnaires appropriately. Although it is an efficient way of bringing together stakeholders within a setting such as a community, the main drawback of information exchange is that the members of the community do not have the opportunity to hold conversations face to face with the planners and decision makers (Marzuki, 2015).
- Consultation:** The consultation stage of public participation continuum affords the general public opportunities to contribute to decision making processes through a two-way flow of information between people and the authorities, although there is no obligation on the part of the authorities to take into account the views from the general public (Krishnaswamy, 2009). The danger of having the policymakers or the

authorities merely involving the general public as an empty, non-committal gesture in the consultation stage is possible, therefore, the public's involvement is minimal, and their contributions can be ignored (Sebola, 2017).

- **Collaboration:** In the collaboration stage, there is active involvement of public representatives in decision – making processes. Sebola (2017) cites the shortcoming of this stage in the public participation continuum, which is the fact that the general public is represented by representatives when it comes to making the decisions that affect them, and further notes however, that this is mitigated by the fact that the same representative receive their mandate from the general public.
- **Co-management/control:** This is the final stage of the public participation continuum which refers to the public control of the decision-making process (Marzuki, 2015). This stage affords the general public more control over the decision-making machinery either by way of delegation or co-management (Sebola, 2017). The control stage gives the citizens public direct access to decision making enabling them to actively influence the decisions being made. Authors highlight that co-management or control stage of the public participation continuum is the ultimate of public participation as it involves the general public as active influencers of the decision-making process who control the process (Sebola, 2017; Marzuki, 2015).

There are similarities between the continuum of public participation and Arnstein's Citizen Participation Ladder, as they both show that the scope of citizenship participation increases as one goes up the ladder or goes on to the next stage of the continuum. Both the citizen participation ladder and the public participation continuum highlight that public participation involves a two - way flow of information.

2.14. The theoretical foundations of public participation

Gilbert and Stoneman (2015) defines theory as an explanatory tool whose purpose is to understand, predict and explain phenomena that is otherwise difficult to understand. This study discusses three theories, namely social learning theory, democratic theory and the theory of public choice, that were identified to question the philosophy of public participation.

In addition, the ' ladder of public participation and the citizens ' consultation strategies support the said theories. The following section is a presentation of the theoretical framework and model on public participation.

2.14.1. The stakeholder's theory

Amoah, Kajimo-Shakantu and Van Shalkwyk (2019), Atkin and Skitmore (2008) and Li, Ng, Skitmore and Li (2015) discuss the stakeholder's theory. According to Li et al., the stakeholder concept was introduced in the 1960s for the first time by researchers at the Stanford Research Institute in reference to the concerns those groups without whose support the organization would cease to exist. Stakeholders are defined as individuals or groups who either benefit from or are impacted negatively or harmed by, or have their rights violated by corporate actions of those in power or authority (Amoah, Kajimo-Shakantu, & Van Shalkwyk, 2019). Another definition put forward entails reference to those who can influence the project process including its final results, those whose living conditions are either positively or negatively affected by the said project, or those people who stand to receive direct benefits or losses from the implementation of such a project, decision or action (Amoah et al., 2019). Although mostly applied in the business environment, this theory is also applicable within the public participation context where the actions of policy makers as holders of power and final decisions can harm the lives of those who have less power, for example the citizens. Atkin and Skitmore (2008) allude to this when they note that the implementation and application of the stakeholder theory has extended to other fields such as the construction industry and is no longer applicable only to its original field of corporate strategic management.

As a model of participation, the stakeholder's theory mandates participation of every stakeholder including groups of people who have a legitimate interest in participating in a process to ensure that they do indeed benefit from a process, and further, to ensure that there is no pre-determined prioritising of one group's interests and benefits over the other group (Amoah et al., 2019). In the theory's broader applicability beyond the corporate strategic management field to public participation in public infrastructure projects, the theory entails that policy makers and the government should understand the success of the public projects can be influenced greatly by the participation of various stakeholders. Atkin and Skitmore (2008) highlight that the concept of stakeholders has increasingly been used in a number of disciplines including media, government communications and the academia. The term stakeholder now refers to government, project initiators; the general public, end-users; civil society actors, media; and the 'project-affected groups' (Li et al., (2015).

Underpinning this theory is the fact that in most instances, the government in its capacity as the primary decision maker, is often under pressure to get a project such as the GFIP project approved for various reasons, including budgetary reasons; and on the other end of the spectrum, the people affected by the project such as the GFIP infrastructure project such as the citizens in Gauteng Province, are more concerned about the negative impacts that the

implementation of this project would cause, for example, the disturbance, inconvenience and losses, prompting them to urge the government to be sensitive to their grievances. Public participation becomes the medium of reconciling the interests of the government and those of the stakeholders in a process that is meant to arrive at a final decision that is favourable to all parties.

2.14.2. Political theory

The political theory is what Kelsen refers to as “the democratic expression of a political relativism and a scientific orientation that are liberated from miracles and dogmas and based on human understanding and critical doubt” (Baume, 2013). Metz (2012:319) describes this theory “a new theology that sees eco-socio-political crises as fundamental predicaments of theology and that attempts to overcome them in productive reduction”. Modise (2017) opines that political theory is a science that engages a thinking in theology on the basis of the lived experiences of the people at grassroots level. According to political theology, theology must come to terms with the denials of historical innocence through historicism and with the denial of its social innocence through ideological criticism in both its bourgeois” (Modise, 2017). Authors highlight that political theology has two general categories, namely the descriptive and normative. According to Modise, the descriptive accounts look at how theology functions in political contexts and how normative accounts ought to function, and normative accounts usually assume that the right kind of theology correlates with the right kind of political function. Metz (2012) argues that theology should address the crises of the descriptive, which is what is happening on the one hand, and what ought to happen, that is the normative, on the other.

As a foundational underpinning of this study, the political theory focuses on what is happening when it comes to public participation in public infrastructure projects such as the GFIP (the descriptive), and what ought to happen, given the constitutional underpinnings of democratic processes such as public participation.

2.14.3. The democratic theory

Muronda (2017) highlights that the democratic theory originates from the political theory and is preoccupied with finding meaning and definition of democracy with its accompanying concepts. The theory asserts that democracy comprises of the following components; (1) institutions, free and fair elections, civil and political rights, civic association and referenda; and (2) that a democratic government is that is people-oriented, one that listens and accommodates all citizens’ views (Muronda, 2017). According to Baume (2013) this theory originated from Kelsen and opines that the democracy theory is not peripheral but is instead

closely connected to his thinking about law, which led him to adopting the legal positivism on his reflection of the characteristics of democracy. Baume notes that Kelsen understanding of democracy considers conflicts of interest to be the central objects of enquiry, and resolutions of these conflicts occur only through compromises.

For this study, the theory of democracy gives credence to the general public's exercise of their democratic rights, their right to participate in public administrative or policy related decisions that affect their lives and interests, especially where these impacts will be negative. The right to be heard and the right to reject decisions of public projects such as the GFIP where these decisions negatively impact on citizens underpin this study.

2.15. Conclusion

This Chapter has discussed in detail the various components of this study, laying down a strong literary foundation for the study. Specifically, the concepts of PPPs have been discussed, including their proliferation into South Africa. The concept of public participation has been discussed comprehensively including its origin, contextualisation under democracy and the South African constitution; as well as the various dimensions of public participation including its definition, the objectives of public participation, its benefits, public participation strategies, the ladder of public participation, amongst other considerations of public participation. Lastly the study discussed the theoretical foundations that underpin this study on its discussion of public participation.

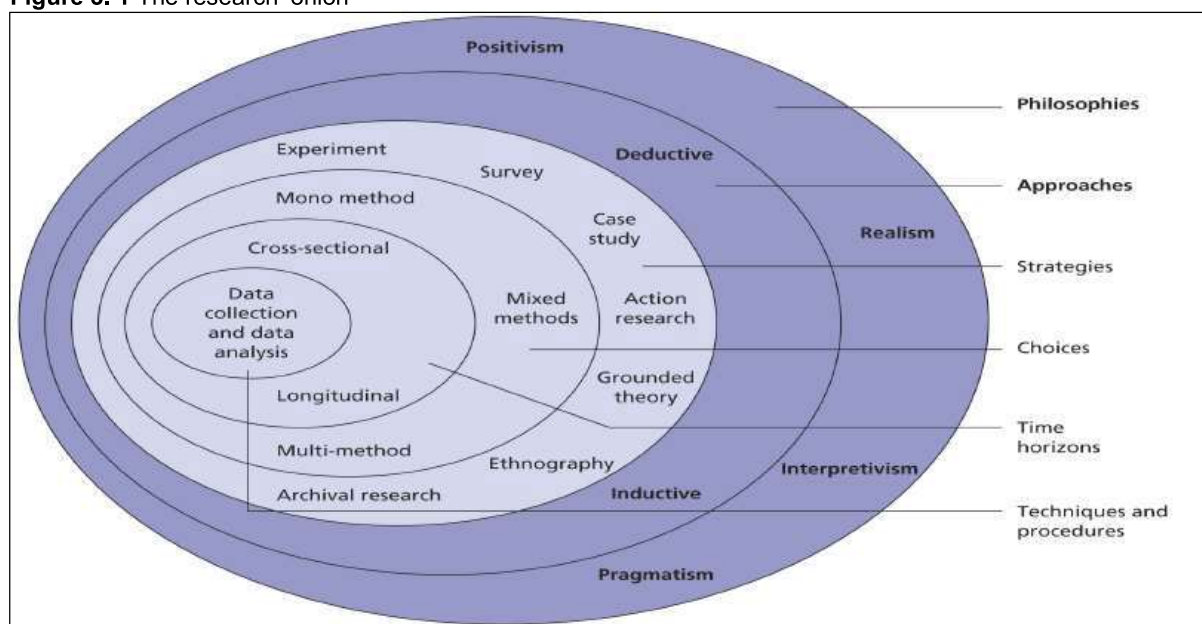
CHAPTER 3: RESEARCH METHODOLOGY

3.1. Introduction

This chapter presents the methodology used to guide the study. Collis and Hussey (2014) describe research methodology as the overall approach to the research process and research design as the map that has to be followed with an aim to address the study's research problem and research objectives. Saunders, Lewis and Thornhill (2016) present a research methodology working plan in the form of a research 'onion', as shown in Figure 3.1 below. The research 'onion' has been used to guide this chapter and inform the study.

Other research considerations such as the research philosophy, research approach, research instrument, ethical considerations and the delimitations of the study are discussed in this chapter as well.

Figure 3. 1 The research 'onion'



Source: Saunders et al., (2016:124).

3.2. Research philosophy and approach

3.2.1. Research philosophy

The most outer layer of the research 'onion' represents the research philosophy of the study. Saunders et al. (2016) describes the research philosophy as referring to a collection of beliefs about the development of knowledge in a particular field. The most suitable research

philosophy for this study is the interpretivism philosophy which is grounded on the belief that methods used to understand knowledge about human and social sciences differ from those used in physical sciences, considering that human science interprets the world and acts accordingly on the basis of such interpretation while the world on the other hand does not (Hammersley, 2013). Saunders et al. (2016) notes that the primary focus of research within the interpretivist philosophy is the way human beings endeavour to make sense of the world around them, emphasising that humans are different from physical phenomena, and that human beings and their social worlds cannot be studied in the same way as physical phenomena. Creswell (2007) points out that with the interpretivist philosophy, the researchers gain in-depth understanding of the phenomenon, including its complexity within its inimitable context, as opposed to the generalised understanding of the base for the whole population. The study made use of a case study – the Gauteng Freeway Improvement Projects (GFIP), in a bid to understand and assess the phenomenon of public consultation in South African infrastructure projects. The study made use of structured interviews and open-ended questionnaires, to obtain primary information from participants.

3.2.2. Research approach

The next layer of the research ‘onion’ as shown in Figure 3.1. above, represents the research approach. According to Saunders et al., (2016), an inductive approach is used to bridge the gap the logic argument between what is observed and the conclusion, wherein the conclusion is deemed to be supported by the observations undertaken. In this case, the research is data driven. The study is exploratory in nature, as exploratory actions were undertaken to discover and learn about something. Ibid (2016) argues that through an exploratory research, the researcher conducts the research to gain new insights, discover new ideas or increase knowledge about a phenomenon.

3.3. Research method

3.3.1. Qualitative research

Qualitative research methods are used to provide answers to questions on experience, meaning and perspectives of the study participants and the data collected qualitatively cannot be quantified or measured (Hammerberg et al., 2016). Ibid (2016) highlight that qualitative research techniques include small group discussions to probe beliefs, attitudes and concepts of normative behaviour, semi-structured interviews to seeks participants’ views on a focused topic, or in-depth interviews to understand an experience from the participants’ personal perspectives. Furthermore, a qualitative research method consists of systematic gathering of,

organising, describing and interpreting of textual, verbal and visual information (Hammerberg et al., 2016).

Being more flexible, qualitative methods enable researchers to explore a phenomenon in-depth. They refer to individual experiences and are textual. They allow a greater level of adaptation and spontaneity between the participants and the researcher. They use words rather than numbers as data for analysis (Patton & Cochran, 2002). Participants are free to choose their own words and to enter in greater detail, much more than what is feasible in quantitative studies (Mack et al., 2011). An advantage of qualitative methods is that the collection of a relatively small sample of the population is sufficient. That said, sampling has to be made according to clearly defined criteria and the sample size must be adapted to the resources and the time available (Mack et al., 2011).

The study adopted a qualitative research approach for purposes of exploring a specific reality that has been identified for this research, and to gain insights into participants' views and experiences. The study made use of questionnaires and interviews as its qualitative tool. Seeletse (2016) defines an interview as a conversation between two or more people with a specific clear objective in mind, for example, to obtain information from interviewees which they have on a specific issue. As such, the researcher sought the opinions, beliefs and feelings of the respondents about the adequacy of public consultative processes that were followed when implementing a user-pay tolling system to manage Gauteng freeways. Qualitative research also provided opinions on how public consultative processes in infrastructure projects could be improved in future. Qualitative research interprets social actors' experiences, opinions and feelings (Eyisi, 2016). Qualitative research is used to answer questions about experience, meaning and perspective, most often from the standpoint of the participant (Hammarberg et al., 2016).

3.3.2. Case study method

As highlighted above in 3.2.2 above, a case study was chosen as it presented the best chance of gaining an in-depth understanding of the phenomenon, in this case, the Gauteng Freeway Improvement Project (GFIP) was used as a case study to assess consultation in South African infrastructure projects. According to Yin (2003), case studies are extensively used in various disciplines to obtain deeper understanding of a targeted situation to contribute to a theory. A single case may be selected purposively because it provides an opportunity to observe and analyse a phenomenon (Saunders, Lewis, & Thornhill, 2016). The research analysed existing data on GFIP to provide a background and draw inference on the impediments of public consultation strategies on the GFIP.

3.4. Research scoping, population and sampling

3.4.1. Research scoping

The study focused on the Gauteng Freeway Improvement Project (GFIP), a case which is unique to South Africa's Gauteng Province as this phenomenon is only applicable to Gauteng highways. The criterion for deciding whether the study is a "critical case" is generally decided by asking using the following statements: "If it happens there, will it happen anywhere?" (Etikan et al., 2015). Conversely, a single case may be selected purposively because it provides an opportunity to observe and analyse a phenomenon (Saunders et al., 2016). The main focus of the study was on the extent of public consultative processes implemented by the Gauteng provincial government in implementing the GFIP. This study is a snapshot exploratory inquiry constructing a case study that will explore the impediments to public consultation strategies when the Gauteng provincial government implemented the GFIP. An exploratory qualitative inquiry permitted the researcher to explore more effectively the experiences of the participants (Leta-Leroux, 2019). Due to the unique nature of this study and its targeted focus on GFIP, the study cannot be widely generalisable, as it is based on a case study applicable to the Gauteng Province. Rahman (2017) suggested that qualitative research cannot be regarded as generalizable, because too many contextual variables can shape the findings. Furthermore, the study will focus on individuals with appropriate information concerning public participation strategies on the GFIP. Etikan et al., (2015) Describes purposive sampling as a deliberate choice of participants due to the qualities the participant possesses.

3.4.2. Study population

Saunders et al., (2016) define population as the full set of cases in a study. For this study, the population consisted of the implementing agencies and organisations that have been vocal and critical of how the GFIP project was implemented in the Gauteng Province. Due to the unique nature of this study, these organisations were pre-identified on the basis of the work that they have done on the GFIP or the basis of their criticism or favour of the GFIP.

3.4.3. Sampling and sample size

According to Saunders et al., (2016), it is impossible to collect all the data available due to time, money or access restrictions. Therefore, a sampling strategy is often used to reduce the amount of data by considering data from a sub-group rather than all possible cases or elements. To this end, a total of 22 organisations were identified, and purposive sampling was

applied with the intention to only interview participants with abundant insight and information concerning public participation process on the GFIP. Leedy and Ormrod (2015) submit that purposeful sampling is a selection of those individuals that will provide the most information about the topic under investigation. For this study, a total of 36 participants were identified and interviewed from the target population. The sample size of respondents was driven by the quality of feedback that the researcher received from respondents on public participation strategies implemented on the GFIP. As highlighted earlier above, the sample size adequacy was purposive, and was not driven by the actual number of respondents. Therefore, the researcher's discretion determined the reasonable sample to address the research question.

3.5. Research instrument

The study made use of structured questionnaires comprising of open-ended leading questions and semi-structured interview as a research instrument to collect data. Saunders, Lewis and Thornhill (2016) refer to a questionnaire as a method of data collection wherein participants are required to respond to the same set of questions. The questionnaire contains the specific investigative questions to each research objective for which data needs to be gathered. The questionnaire, in Appendix B, was developed by the researcher and guided by the research objectives and research questions of the study.

3.6. Data collection

At the heart of the research 'onion', as shown in Figure 3.1, are aspects of data collection and data analysis. The data collection instrument used in the study is discussed in the section below.

Wu and Patel (2015) highlight the importance of using appropriate data collection methods to gather the relevant information that will inform the issues being investigated. As highlighted in 3.3.2 above, this study used a case study as its data collection method. Farquhar (2013) notes that a case study research is made up of multiple data sources, usually using different data collection techniques. This study made use of the following data collection methods: (1) combination of structured questionnaires comprising of open-ended leading questions as well as semi-structured interviews; and (2) participant observation and conversations. Open ended questions encouraged the participant to disclose all relevant information about their thoughts and explanations on the topic being investigated by the study. The leading questions guided the conversation and ensured that the participants or respondents stayed on topic, thereby enabling the researcher to draw reliable responses from participants. The semi-structured interviews allowed the conversation between the participants and the researcher to flow

naturally and maximised collection of relevant raw data. The researcher afforded the participants the comfort and space to speak freely, giving information that enriched the study. Interviews were conducted face to face.

The primary data was gathered from interviews with 22 participants drawn from institutions that have been vocal in criticism or in favour of the tolling system introduced by the GFIP. The participants consisted of stakeholders with abundant knowledge about public consultation in the GFIP. Pre-determined questions were used, and the data collected was coded and will be presented through tables.

Both primary and secondary data was collected for the study. The primary data as highlighted above, was collected through one on one interviews with the selected respondents. The secondary data was collected through the analysis of the most relevant documentation and sources on GFIP including SANRAL reports; civil society organisations' reports; newspapers; case law and rulings, advisory panel reports and all relevant information to the research relating to the implementation of the GFIP.

3.7. Data analysis

As highlighted in 3.6 above, data analysis is at the centre of the research onion presented in Figure 3.1 above. Leedy and Ormrod (2015) submit that, resolution of a research problem is dependent on how the researcher interprets the meaning of the data, and that data analysis is inductive reasoning, sorting and categorising of a large body of information into small sets of abstract, underlying themes. The data collected from the questionnaires and interviews was arranged according to the four research objectives of the study, as broad themes, namely: (1) Assessing the nature of public participation processes in the planning of public infrastructure projects; (2) analysing the transparency of the consultative process when implementing projects; (3) investigating the process followed during public consultations to identify stakeholders; and (4) identifying what feedback mechanisms have been allowed or initiated during the consultation process. Data collected through interviews will be analysed using thematic analysis, the data will then be coded and grouped into meaningful commonalities before it is interpreted, and findings are recorded.

3.8. Ethical considerations

De Vos (1998) describes research ethics as a set of moral principles that guides the conduct of researchers and provides the participants with behavioural expectations of Consent regarding participation. Qualitative researchers must be sensitive to ethics because the research topic, face-to-face interactive data collection, and the research design nature of the

study. The research design involves selecting information rich informants but also adherence to research ethic. Saunders et al. (2016) recommend that the ethical issues that may potentially been countered need to be identified and addressed early in the during the research design stage of any research project.

Ethical considerations in research are important (Akaranga, 2016). In adhering to the ethical considerations, the study ensured that each participant was requested to complete a consent form, as shown in Appendix A and it covered the following aspects:

- Voluntary participation and withdrawal of participants at any stage of the interview process, for any reason and without notice.
- Informed consent of each participant as well as guarantee of privacy and confidentiality of information obtained from each participant throughout study.
- No identified potential risks as a result of participation in study.
- Participant's input and not identity is required for the study. The findings of the research were recorded in such a way that participants could not be identified, instead, appropriate codes were used in place of the participants' names or identity.

In addition, all participants were informed in advance about what was expected of them in the interview. Participant were also informed about, and their permission was obtained prior to the use of audiotape equipment during interviews. Participants were further given a copy of their transcript to check and modify where necessary.

3.9. Validity and Reliability

Qualitative research is largely criticised for its lack of scientific results, given its research findings which consist mainly of participants' opinions which are also subject to the researcher's bias (Noble and Smith, 2015). To address these shortcomings, trustworthiness (validity and reliability) of the qualitative data collection methods and the data collected should be established. To further bolster the reliability and validity of the study the researcher requested the interviewees to review the data records, interpretations and validate if these represents their views and is reflective of their feedback during the interviews. During this review the interviewees made appropriate adjustments where applicable and the researcher incorporated these in the final narratives. (Lietz and Zayas, 2010) recommends member checking by asking feedback from the research participants to corroborating the research findings. Member checking has reduced researcher bias and interpretation and increased the reliability and validity of the research findings (Birt et al., 2016). Noble and Smith

define validity as referring to the integrity and application of the research methods applied in the research study and the precision with which the study findings reflect the accuracy of the data collected. Reliability on the other hand describes the consistency applied in the data analytical process (Noble & Smith, 2015). Leedy and Ormrod (2015) describe validity as the extent to which the instrument measures what it is intended to measure and reliability as the consistency with which a 39-measurement instrument yields a certain, consistent result when the entity being measured has not changed. Noble and Smith (2015) suggest that qualitative research must incorporate strategies to improve trustworthiness of the research findings which strategies include thorough record keeping, showing a clear decision trail and ensuring that interpretations of data are consistent and transparent; including rich and detailed verbatim descriptions of participants' accounts to support the study findings; and data triangulation, whereby different methods and perspectives help produce a more comprehensive set of findings. Merriam and Tisdell (2015) recommends that the following strategies be employed to ensure validity and reliability of the qualitative research study: triangulation where multiple investigators, sources of data or data collection methods are used to confirm emerging study findings; member checks and respondent validation where the findings of the study are taken back to the people from whom they were derived and asking them if the findings are plausible; peer review or examination whereby the researcher discusses the study process, congruency of emerging study findings, raw data and tentative interpretations with colleagues; and providing enough description (rich, thick descriptions given by respondents during the interview process) to contextualise the study in such a way that readers will be able to determine the extent to which their situation match the research context, and further, whether the research findings can be transferred.

Nowell, Norris, White and Moules (2017) describe trustworthiness as one of the ways that can be employed by researchers to convince the readers and themselves that their study findings are authentic. The authors further propose that trustworthiness can be achieved through making use of the following criteria of credibility, transferability, dependability and confirmability. These criteria support Noble and Smith's validity and reliability criteria for qualitative research and will be discussed below.

3.9.1. Credibility

Nowell et al., (2017) provides that credibility refers to the complementarity between interview respondents' views and the researcher's representation of them in such a way that when the reader comes across their experience, they can recognise it. Such techniques as data collection triangulation, researcher triangulation and rigorous observation are often used to address credibility of qualitative research findings. This study used data collection triangulation

whereby the research findings of the study were supported and analysed against the literature review on each of the research objectives and the questionnaire questions.

3.9.2. Transferability

Transferability is concerned with the generalisability of the study findings, that is, notwithstanding the researcher's lack of knowledge or lack of coverage of all the sites that require applying the research findings to, thick descriptions of the study findings can be provided to enable those who desire to transfer findings to their site (or a different site) to do so, to achieve transferability (Nowell, et al., 2017). The study provided thick descriptions of the study findings, including first-hand reflections and narratives from respondents in the form of direct quotes of what they said.

3.9.3. Dependability

Nowell et al., (2017) argue that researchers should ensure that the research process adheres to logic traceability and clear documentation to satisfy the principle of dependability. The study has been clearly documented in a logical and traceable manner, and the study findings have been organised around the research objectives and questions.

3.9.4. Confirmability

Tobin and Begley (2008) remark that confirmability establishes the researcher's findings and interpretations are derived from the data by requiring a demonstration of how interpretations and conclusions of the study were arrived at. Nowell, et al., (2017) highlight that confirmability gets established when credibility, transferability and dependability principles are achieved, and suggest that researchers must provide reasons for theoretical, methodological and analytical choices of the study throughout the research. To satisfy confirmability, this study has outlined reasons for the methodological and analytical choices made for the study.

In ensuring validity and reliability or trustworthiness of the research findings, the study utilised triangulation method to validate the data collected, wherein the literature review and interview data collection method were utilised. Furthermore, the study included the verbatim explanations and responses from the interview participants, giving respondents' unaltered and first-hand data to answer the research questions.

3.10. Conclusion

The research methodology, method and design of this study has been discussed in detail on this chapter, using the research onion as a guide. The interpretivism research philosophy was adopted which as explained, is suitable for the qualitative research method that was used to gather primary data. An inductive approach to research was used. The study made use of questionnaires and interviews as a tool for collecting primary data. This study also discussed the study population being people and the sample of the study, which sample comprised of individuals or people with working knowledge of the GFIP and the e-tolling system. Purposive sampling technique was employed to select the participants who knew the GFIP project very well especially those whose organisations were involved in the GFIP. The study also discussed the data analysis method, the determination used to measure validity and reliability of the study, and finally a discussion on ethical considerations of the study.

CHAPTER 4: RESEARCH FINDINGS PRESENTATION

4.1. Introduction

This chapter presents the research findings of the study regarding an assessment of Public Consultation Strategies in South African Infrastructure Projects through the lens of a case of the Gauteng Freeway Improvement Projects (GFIP). Part 1 of the interview questionnaire provided for the background information of the participants, making up the demographic data or profile of the participants who were interviewed. Part 2 of the questionnaire comprised of general overview questions that determined participants' knowledge of the GFIP and the e-tolling programme, GFIP and e-tolling programme implementation, understanding of public participation and knowledge of public participation policy and legislative prescripts as well as questions that respond to the study research objectives.

The findings of the study are arranged according to the following broad themes, the participants demographic profile, general overview information and the research objectives. The study's objectives as outlined in chapter one of the research study are the following: (1). To assess the nature of public participation processes in the planning of public infrastructure projects. (2). To analyse the transparency of the consultative process when implementing projects. (3). To investigate the process followed during public consultations to identify stakeholders; and (4). To identify feedback mechanisms that have been allowed or initiated during the consultation process. The study findings of the study are presented in full detail below.

4.2. Participants' demographic profile

As previously mentioned in chapter three, a total of 22 organisations were identified, and purposive sampling was applied with the intention to only interview participants with abundant insight and information concerning public participation process on the GFIP. Out of the 22 organisations, a total of 36 participants were interviewed, comprising of 10 female and 26 male interviewees. Table 1 below shows the gender profile of the participants.

Table 4.2. 1 Interview Participants' Demographic Profile

Gender Profile		Count	Percentage
Gender	Male	26	72.2%
	Female	10	27.8%
Total No of participants		36	100%

Table 2 below shows the profile of organisations that were approached for interviews and the number of respondents from each organisation. Interview participants included officials from SANRAL, Gauteng Provincial Government, Finance Ministry, South African Institute of Civil Engineers (SAICE), The Premier's Office, The Presidency, African National Congress, African National Congress e-tolling task team, Democratic Alliance, Economic Freedom Fighters, South African Communist Party, Congress of South African Trade Unions, South Africa Federation of Trade Unions, Oppositions to Urban Tolling Alliance, Free Market Foundations, Business Unity of South Africa, South African Roads Federation, South African Forum of Civil Engineering Contractors, Automobile Association, Transport Industry Experts and Members of the Advisory Panel. The advisory panel is a 13 Member panel that was commissioned by the Premier of Gauteng David Makhura in 2014 to undertake an assessment of the socio-economic impact of introducing the GFIP and e-tolls in Gauteng. The participants' ages ranged between 35 and 63 years. All participants interviewed were from Johannesburg.

Table 4.2. 2 List of organisations and number of participants interviewed

Interviewee organisation	No of participants	Place of interview
South African National Roads Agency (SANRAL)	1	Johannesburg
Gauteng Provincial Government	1	Johannesburg
Finance Ministry	1	Johannesburg
South African Institution of Civil Engineering (SAICE)	1	Johannesburg
Transport Ministry	1	Johannesburg
Members of the Advisory Panel (2014, Advisory Panel appointed by Gauteng Premier, Mr David Makhura)	13	Johannesburg
The Office of the Premier	1	
The Presidency	1	
The African National Congress (ANC)	1	Johannesburg
The African National Congress (ANC) (E-toll task team)	1	Johannesburg
The Democratic Alliance (DA)	1	Johannesburg
The Economic Freedom Fighters (EFF)	1	Johannesburg
The South African Communist Party (SACP)	2	Johannesburg

The Congress of South African Trade Unions (COSATU)	1	Johannesburg
South Africa Federation of Unions	2	Johannesburg
The Oppositions to Urban Tolling Alliance (OUTA)	1	Johannesburg
The Free Market Foundation (FMF)	1	Johannesburg
Business Unity of South Africa	1	Johannesburg
South African Roads Federation	1	Johannesburg
South African Forum of Civil Engineering Contractors	1	Johannesburg
Automobile Association	1	Johannesburg
Transport Industry Experts	2	Johannesburg

4.3. General overview information

4.3.1. Knowledge of the GFIP and the e-tolling programme

Questions 1-3 on the questionnaire were in connection to the respondents' knowledge of GFIP and the e-tolling system. The questions included the purpose or objective of the GFIP, and the interview respondents' organisations' and their individual interest in the GFIP.

All respondents displayed excellent knowledge of GFIP and the e-tolling programme. Respondents across the interviewed organisations knew and articulated the purpose of the and objectives of the GFIP, with the respondents who criticised the implementation of GFIP

generally highlighting that the project intended to alleviate congestion on the Gauteng Roads, and those who support and are proponents of GFIP implementation went a step further to also highlight the additional objective of the project, of providing a world class infrastructure in the Gauteng Province. Regarding how the e-tolling programme works, all respondents rightly acknowledged that it is a user-pay system. The respondents who are proponents of GFIP went into further detail, highlighting that the system is based on the kilometres travelled on that specific toll road. Responses to the question on the organisational interest in the GFIP revealed that respondents fell into two broad groups, those whose objective was to act as a watchdog of the GFIP process, with an aim to hold the public officials accountable for bad and unlawful decisions (the critics of the GFIP implementation process); and those whose interest was to educate the road users on the e-tolling system, teaching them about how the user-pay principle and the benefits of developing public infrastructure using this model. Respondent (R2) had this to say about his organisational interest, “my organisation intends to find amicable solutions to this discourse especially given that the current model of having citizens who are taxpayers take responsibility for repaying the cost of the GFIP amounts to paying for decisions that the public was not involved in”.

Table 4.3. 1 Knowledge of the GFIP and the e-tolling programme

KNOWLEDGE ON THE GFIP AND THE E-TOLLING PROGRAMME		
Variable	High Knowledge	Low Knowledge
1. Did GFIP meet its purpose or objectives?	22	14
2. Do you understand how the e-toll system works?	30	6
3. Does your organisation have an interest in GFIP?	36	0
	88	20

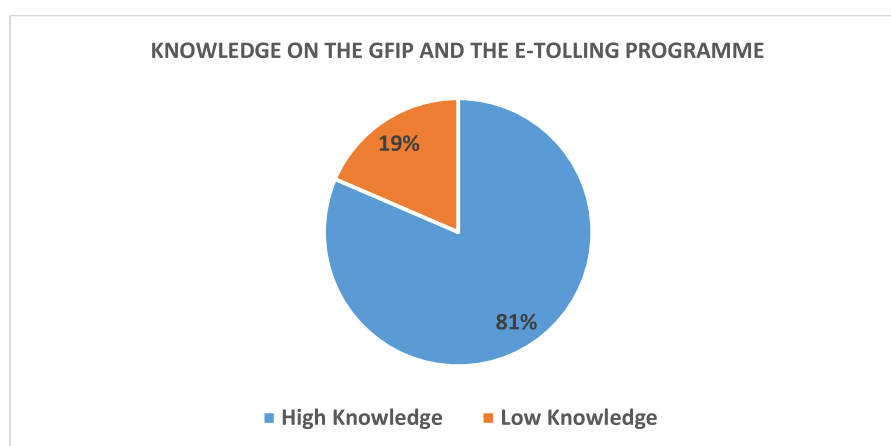


Figure 4.3. 1 Knowledge of the GFIP and the e-tolling programme

4.3.2. GFIP and the e-tolling programme implementation

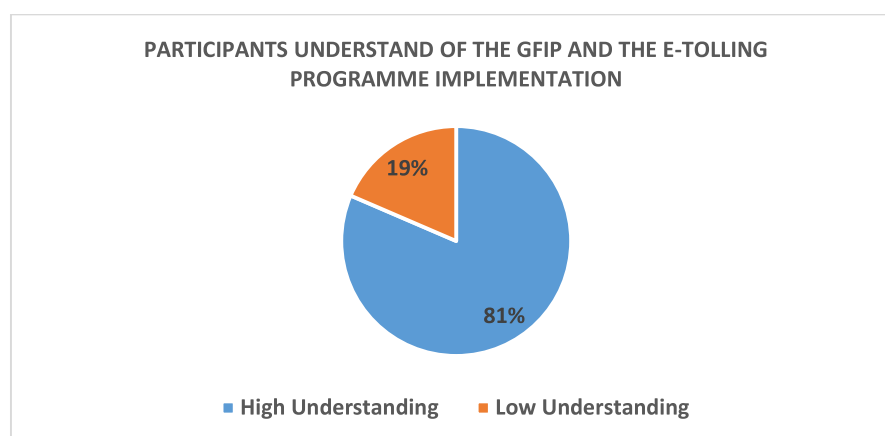
For this section of the questionnaire (question 4-6), interviewees were expected to respond, sharing their views and knowledge and opinions specifically on GFIP and e-tolling programme implementation. The questions posed to the interview participants included enquiries on whether their organisations were involved in the implementation of the GFIP, the processes followed in the implementation of the GFIP and whether the participants felt that their views were taken into consideration during the implementation of the GFIP.

All organisations that were identified for interviews were involved in the implementation of the GFIP. On explaining the processes that were followed in the implementation of the GFIP, respondents who were critical of the GFIP implementation highlighted the short-sightedness of the government in implementing the GFIP especially when it came to ensuring that alternative roads and sufficient public transport was made available to commuters. Respondent (R12) made the following statement, “SANRAL wanted to alleviate congestion on Gauteng roads but they looked at the problem in isolation, if you are going to price urban roads you should first make provision for alternative roads and adequate public transport”. Some participants, especially those who supported the GFIP project defended the project and pointed out amongst other things that congestion on the Gauteng roads necessitated the urgency in implementing the GFIP project. Respondent (R23) had the following to say regarding the process, “SANRAL had to act to address congestion on the Gauteng roads – these roads were necessary, any further delays would have had serious consequences to Gauteng and the entire South African economy”.

Interview participants were divided on whether their views were taken into consideration during the implementation of the GFIP. None of the participants however felt that all views were rejected altogether. Those who criticised the implementation of GFIP admitted that some of their views were considered while others were ignored or not factored in during the implementation phase. Respondent (R28) summed up his dissatisfaction and remarked, “some of our views were considered, some were not, our concern as an organisation was that public participation and advertising were badly done, for example, the notice was too small and hard to notice and the public hearings were conducted on days when most people were on holiday”. Interestingly, the interview results showed that those respondents from organisations that supported GFIP avowed that public participation strategies employed of public hearings could have been improved to ensure that more participants attended, however they felt that their views and those of other participants were adequately considered.

Table 4.3. 2 GFIP and the e-tolling programme implementation

GFIP AND THE E-TOLLING PROGRAMME IMPLEMENTATION		
PARTICIPANTS UNDERSTAND OF THE GFIP AND THE E-TOLLING PROGRAMME IMPLEMENTATION	High Understanding	Low Understanding
4.Was organisation involved in the Implementation of the GFIP?	36	
5.Were the processes followed in the Implementation of the GFIP well thought off?	28	8
6.Do you feel your views were taken into consideration during the Implementation of the GFIP?	24	12
	88	20

**Figure 4.3. 2** GFIP and the e-tolling programme implementation

4.3.3. Participants' understanding of public participation

Question 7 and 8 of the questionnaires focused on the interview respondents' understanding of public participation. Amongst other things, participants were asked about their understanding of public participation and also about whether SANRAL, the Department of Transport, Provincial Department of Transport, Gauteng Provincial Government or the City of Johannesburg had a public participation policy or strategy, and further the provisions of such as strategy or policy if it existed.

Most participants displayed outstanding understanding of public participation and all participants highlighted that public participation is a process, not a once-off event. Among other things, most participants who criticised the GFIP indicated the public participation involved "a process whereby all stakeholders are given ample opportunity to give inputs" as aptly put by Respondent (R19). Respondent18 who criticised the GFIP highlighted one component of public participation as good advertisement of the public project to enable all affected stakeholders to participate and further noted that "the institution conducting the participation process should conduct it with an open mind rather than only seeing it as a

formality that must be conducted to put a stamp on what they would have wanted to do from the beginning”. In contrast however, those respondents who supported the GFIP highlighted the need to only ensure that “the widest possible number of varied stakeholders are invited to participate so that their voices and opinions are heard”, as opposed to having all stakeholders invited.

Upon being probed further on whether SANRAL and the Department of Transport including the Gauteng Provincial Government have a public participation policy or strategy, none of the participants across the spectrum knew of any such policy or strategy. Some participants pointed out that no such policy existed and further that any public participation meetings were merely ad hoc processes that took place sporadically, not as a well-planned out and consistent engagement with stakeholders. Other participants pointed out that the Constitution of the Republic of South Africa requires engaging the public in a fair and meaningful manner on matters that impact them.

Table 4.3. 3 Participants’ understanding of public participation

UNDERSTANDING OF PUBLIC PARTICIPATION		
PARTICIPANTS UNDERSTANDING OF PUBLIC PARTICIPATION	High Understanding	Low Understanding
7.Do you understand of public participation and it processes?	36	0
8. Are you aware of any public participation policy or strategy, used by the government or implementing agencies?	18	18
	54	18

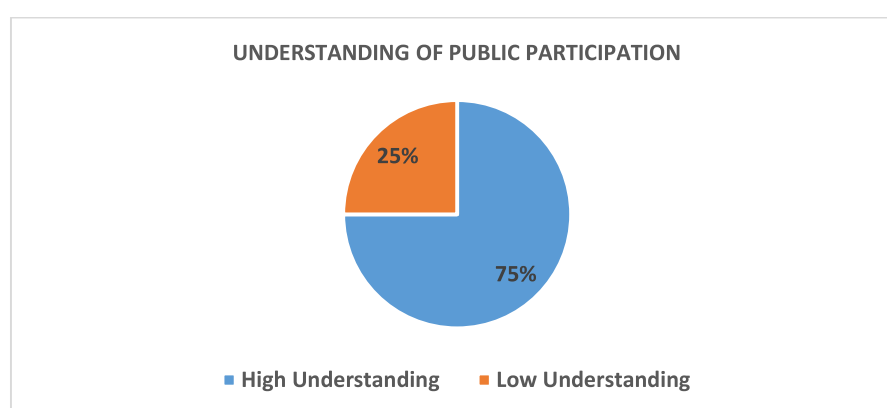


Figure 4.3. 3 Participants’ understanding of public participation

4.3.4. Participants' knowledge of public participation policy and legislation

Questions 9-10 of the questionnaire and the interviews focused on the participants' knowledge of public participation policy and legislation specifically on e-tolls. Questions posed to interview participants in this regard pertained to their awareness of legislation or policy prescripts on enforcing public participation in the e-tolls programme and a follow up question on how they became aware of such legislation or policy.

All participants expressed knowledge of legislation and/or policy enforcing public participation in the e-tolls, more specifically, section 27 of the SANRAL Act. Some participants highlighted the fact that they became aware of the legislation on public participation when they conducted research on the rights of citizens and the general public on the e-tolls matter. Respondent (R35) who strongly opposed the e-tolls had the following to say, "we read up on all the legislation and the Constitutional provisions on public participation to ascertain the rights of the general public". This was not surprising, given that all participants were specifically selected on the basis of the knowledge of the GFIP and the e-tolling system. However, participants who were critical of the GFIP criticised the fact that the legislative provisions, while they existed, they only existed on paper and did not translate into practice. Respondent (R8) pointed out that public participation was snubbed during the GFIP project in instances where public opinion went against the views of the Department of Transport or SANRAL.

Table 4.3. 4 Participants' knowledge of public participation policy and legislation

KNOWLEDGE OF PUBLIC PARTICIPATION POLICY AND LEGISLATIVE PRESCRIPTS		
ARE YOU AWARE OF ANY PUBLIC PARTICIPATION POLICY OR LEGISLATION?	High Knowledge	Low Knowledge
9.Are you aware of any legislation or policy prescripts enforcing public participation in the e-tolls?	36	0
10.Is this legislation or policy accessible or available to the public?	26	10
	62	10

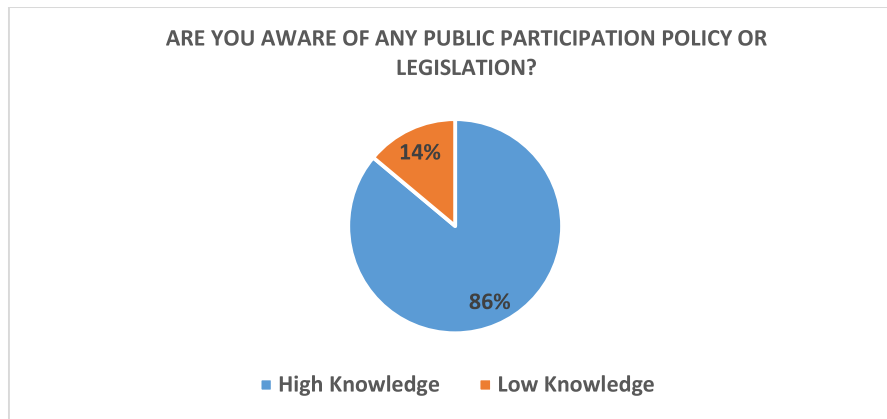


Figure 4.3. 4 Participants' knowledge of public participation policy and legislation

4.4. Assessing the nature of public participation processes in the planning of public infrastructure projects.

Following the general overview questions above on participants' knowledge of the GFIP and the e-tolling system, the implementation of the GFIP and the e-tolling programme, their general understanding of public participation and legislative or policy measures on public participation – the rest of the questionnaire and interviews focused on meeting the study objectives of the study. Questions 11 to 17 were aligned to the first objective of the research study, that is assessing the nature of public participation processes in the planning of public infrastructure projects, in this case, the public participation methods in the GFIP.

Majority (74%) of participants were of the opinion that the public participation methods employed in the GFIP were not adequate, with some participants pointing out that participation was merely a superficial process that amounted to a tick-box exercise. Other participants noted that imperfection of the public participation process being due to the fact that the public participation meetings were planned during the holiday season when most stakeholders residing in the Gauteng province were out of town. Respondent (R36) had this to say, "the consultation process should have been planned outside the holiday season". The interview respondents also criticised the effectiveness of the public participation methods employed. Most respondents were of the opinion that the government had formulated their policy and only then tries to legitimise their policy through a public participation process which lacked credibility. Other participants felt that the normal process of engaging the general public was followed, however public participation was lacking, due to the timing of such participation which was undertaken during the holiday season. However, those participants who were proponents of the GFIP were satisfied with the methods of public participation employed, stating that section 27 of the SANRAL Act was followed. Participants who were opposed to

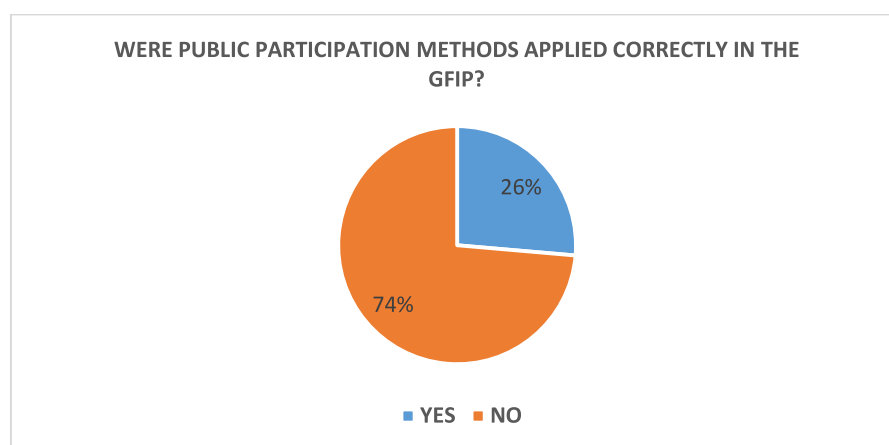
the GFIP were dissatisfied with the public participation methods employed, highlighting that “the methods were grossly insufficient to cater for the input from business and the general public” as Respondent (R21) noted, and another participant went further to express his dissatisfaction with the public participation method employed in the GFIP when he said “we were not able to influence the decision that impacted us in such a serious manner”.

The interview respondents also highlighted their dissatisfaction regarding the timing of the stakeholder engagement, which only took place at a later stage of the GFIP. All participants agreed that stakeholder engagement should have been earlier, with some proposing that the right time for bringing the affected communities and stakeholders to the table to hear their views and concerns about the GFIP should have been at the inception stage of the project. Respondent (R22) had this to say regarding the same, “although a public hearing was held and we made inputs during the hearing, these seemed to be a formality, SANRAL had already committed to go ahead with the e-tolls”, highlighting the dangers of having public participation engagements so late in the process being viewed as a mere formality, tick-box process as previously stated the interview respondents. Participants also expressed their views on the consultation regarding the introduction of e-tolls which some viewed as “very little to none” while some opined that the public participation period should have been extended to afford various stakeholders to give their views and discuss their concerns. Regarding the transparency of the process, participants felt that the process did not meet the required threshold for transparency and therefore lacked credibility and few participants, especially those who supported the GFIP were of the view that the process met the constitutional requirements for public participation.

The interview respondents also shared their views on how public participation methods can be improved. Some participants emphasised the need to adhere to the constitutional provisions and requirements of public participation of relevant stakeholders in a “fair and meaningful manner on matters that impact them” as Respondent (R4) put it. Participants also stressed the need for GFIP implementing agencies to have robust public engagement policies that favour the general public. Furthermore, participants underlined the need for the government and policy makers to “understand that public participation is not a one size fits all” and Respondent (R5) had this to say, “all different problems will require different approaches and will also differ in the extent of public engagement requirements, for example engaging the public on changes in legislation is different from engaging on a public library project”.

Table 4. 4 Assessment of public participation methods in the GFIP

ASSESSMENT OF PUBLIC PARTICIPATION METHODS IN THE GFIP		
WERE PUBLIC PARTICIPATION METHODS APPLIED CORRECTLY IN THE GFIP?	YES	NO
11.Were the public participation methods used in the GFIP adequate?	8	28
12.Were the methods effective?	12	24
13.Are public participation methods applied correctly in the GFIP?	5	31
14.Are you satisfied about how the methods were applied?	14	22
15.Were the affected stakeholders engaged at the right stage of the of the project?	10	26
16.Would you describe the consultative process as robust, adequate and successful process?	8	28
	57	159

**Figure 4. 4** Assessment of public participation methods in the GFIP

4.5. Analysing the transparency of the consultative process when implementing projects.

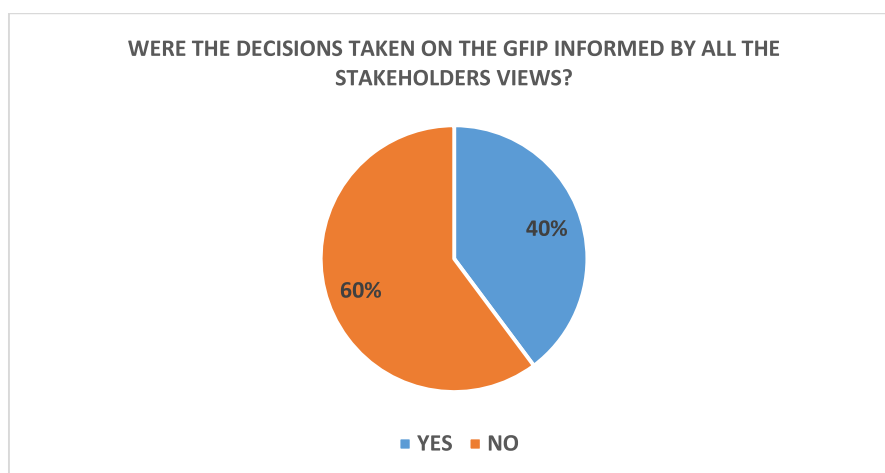
Interview questions 18 – 23 were aligned to objective 2 of the research study and sought to analyse the transparency of the consultative process when implementing public projects such as the GFIP. The interview questions specifically focused on the decision-making in the GFIP and the e-tolling programme after the public participation process. To this end, the questions included enquiries on how decisions were taken in the GFIP following the public participation process, whether public input from stakeholders were included in the decision-making process, who was involved in the decision-making process, the roles of the various decision-making players in the decision-making process, how decisions were implemented and whether the implementation was done in a transparent manner.

Participants who criticised the GFIP implementation process were unanimous in their opinion that the decisions taken following the public participation process did not consider the views of the various stakeholders and their concerns. Respondent (R31) had the following to say, “the implementing agency used public participation to rubber stamp pre-determined decisions”. More specifically, this group felt that in the decision-making process, the glaring omission in SANRAL’s consideration of the stakeholders’ public inputs was on addressing the impact of the economy and the plight of the poor who were in no position to pay e-tolls. Participants who supported the GFIP project were of a different opinion and felt that all inputs of the interested parties were taken into consideration, although not implemented. Respondent (R34) made his point to highlight that stakeholders’ inputs were considered by pointing out that “certain sections of the public and government are exempted from paying e-tolls, for example public transport and government vehicles”. Some participants, who advocated against e-tolls felt that only SANRAL and its implementing agencies were involved in the decision-making process. Respondent (R13) had the following to say “SANRAL failed to implement its constitutional mandate by not engage the general public in a meaningful manner with impartiality”. On the other hand, the interview participants who were pro-GFIP opined that the decision-makers also involved all the affected stakeholders, through the public participation process and consideration of the general public’s inputs in the final decision and further highlighted that the role of the lobby groups and other stakeholders was to represent the views of their constituencies in the decision-making process.

The interview respondents were also divided on their opinions on how the decisions on the GFIP and e-tolling programme were implemented. Lobbying groups against GFIP and the critics of both GFIP and e-tolls maintained their opinion that the decisions were pre-determined before the public participation process while those who supported the GFIP and e-tolls felt that SANRAL and its implementing agencies engaged the public in good faith, to solicit their views and concerns in order to inform the decision-making process. The participants were also divided on whether the decision-making process was transparent, with the critics of the GFIP emphatically pointing out that the process was not transparent while those who supported the GFIP opined that the process was transparent, with Respondent 14 adding that “SANRAL and its implementing agencies are open to scrutiny and all the information of the GFIP is open to the scrutiny of the general public”.

Table 4. 5 Analysing the transparency of the consultative process when implementing projects

ASSESSMENT OF DECISION MAKING IN GFIP AND THE E-TOLLING PROGRAMME AFTER PUBLIC PARTICIPATION PROCESS		
WERE THE DECISIONS TAKEN ON THE GFIP INFORMED BY ALL THE STAKEHOLDERS VIEWS?	YES	NO
How were decisions taken in the GFIP following the public participation process: Were the decisions fair to stakeholders?	14	22
19.Were stakeholders / public inputs considered in the decision-making process?	16	20
20.Were all affected parties of stakeholder's part of the decision-making process?	12	24
21.Did all the stakeholders understand their roles in the decision-making process?	16	20
22.Were the decisions taken based on the consultation outcomes and were they not predetermined?	14	22
23.Was the decision-making process transparent?	14	22
	86	130

**Figure 4. 5** Analysing the transparency of the consultative process when implementing projects

4.6. Identifying what feedback mechanisms have been allowed for or initiated during the consultation process

The interview questions also sought to respond to objective 4 of the research study and to this end, questions 24-30 of the questionnaire were designed to solicit responses that aimed to identify the feedback mechanisms that were initiated or allowed during the consultation process to assess the effectiveness of public participation. To further this objective, questions were posed to interview respondents which focused on the roles of public participation and whether these roles were considered in the planning and implementation phases of the GFIP; the purpose of public participation and whether the purpose was considered during the planning and implementation of the GFIP; the characteristics of public participation and

whether they were considered during the planning and implementation of the GFIP; the principles of public participation and whether they were considered during the planning and implementation of the GFIP; the methods of public participation used in the planning and implementation of the GFIP; participants' opinion on what would have been the suitable timeframe for making comments on the GFIP; and whether public participation was a significantly important step when implementing the GFIP.

On the roles of public participation, all participants shared the same opinion that public participation as the appropriate basis for decision-making process, and some participants went further to also point out that public participation also served as a basis between the general public and the decision makers by strengthening dialogue on public decisions. Some participants also indicated that the role of public participation was considered in the planning and implementation of the GFIP and further that it influenced the public decisions that were made. On the purposes of public participation, the interview respondents highlighted raising public awareness, gathering relevant information from the general public to inform decision-making processes and the purpose of considering alternative policy options. However, participants who opposed the GFIP were of the opinion that SANRAL did not consider the purpose of public participation to explore alternatives that could have been put in place before implementing e-tolls (such as public transport and alternative roads). On the other hand, participants who supported the GFIP opined that the purpose of public participation was considered, and that provision was made for communication between agencies making decisions and the public thought the various public participation platforms that were used. Respondent (R29) had the following to add, "inputs from the various stakeholders were considered. Regarding the characteristics of public participation, all participants were unanimous in pointing out that public participation must be inclusive, transparent and ensure public's access to all the relevant information associated with the public project, to facilitate accountability. However, participants differed on their responses on whether these public participation characteristics were considered in the GFIP, with the critics of the GFIP expressing the view that not all the characteristics of public participation were considered in the project, especially the characteristics of inclusivity, transparency and facilitating accountability. Participants who supported the GFIP were of the opinion that the characteristics of public participation were considered, Respondent (R20) noted that "the process was transparent, and the public has access to all the information associated with the GFIP".

When it came to the principles of public participation, all participants across the GFIP divide highlighted the need to have the decisions involving the needs and interests of all parties or stakeholders communicated properly in the planning and implementation of the public project.

However, the interview respondents were divided on the question whether the public participation principles were considered in the GFIP planning and implementation phases. The respondents who opposed the GFIP opined that the principles of public participation were not followed, and Respondent (R6) had the following to say, “participants were not provided with information on how they needed to participate in a meaningful way”. Pro-GFIP participants on the other hand were of the opinion that the public participation principles highlighted by all participants above were considered, citing that all various stakeholders who were engaged in the public participation process were provided with information on how they needed to participate in a meaningful way and were also informed about how their inputs affected the final decisions. On probing further on how this information on meaningful participation was provided to all stakeholders and further on how they were informed on how their inputs affected the final decision, the participants were vague and not forthcoming with specifics.

All participants highlighted robust and engaging methods of public participation that were employed in the planning and implementation of the GFIP which included public hearings, public enquiries, media including newspapers and radio announcements and pronouncements and government publications. Participants were also unanimous in thinking that a period of 8 to 12 weeks should have been the suitable timeframe for affording various stakeholders to make comments on the GFIP. In overall, all participants agreed that public participation was a significantly important step in the implementation of the GFIP.

Table 4. 6 Identifying what feedback mechanisms have been allowed for or initiated during the consultation process

EFFECTIVENESS OF PUBLIC PARTICIPATION		
WAS THE PUBLIC PARTICIPATION PROCESS FOLLOWED ON THE GFIP EFFECTIVE?	YES	NO
24. Were the public participation roles considered during the planning and implementation of the GFIP?	16	20
25. Was the purposes of public participation considered during the planning and implementation of the GFIP?	9	27
26. Were the characteristics of public participation considered during the planning and implementation of the GFIP?	12	24
27. Were the principles of public participation considered during the planning and implementation of the GFIP?	10	26
28. Was there more than one method of public participation used?	36	0
29. Was the time allocated for public comments adequate on the GFIP?	8	28
30. Do you think that public participation was a significantly important step when implementing GFIP?	12	24
	103	149

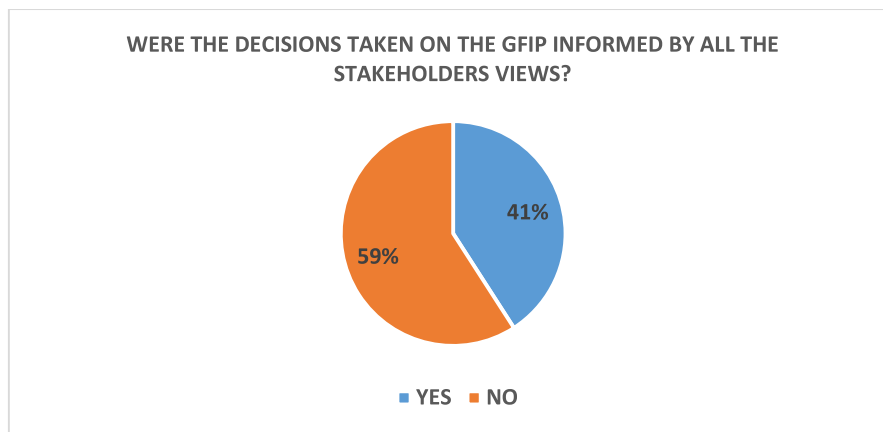


Figure 4. 6 Identifying what feedback mechanisms have been allowed for or initiated during the consultation process

4.7. How public participation can be used by government to implement policy and be a platform to address community needs?

The interviews also sought to respond to object 4 of the research study, to determine how public participation can be used by the government to implement policy and as a platform to address community needs. To this end, questions 31 to 36 are aligned to this objective and further assess the successes and failures of public participation on the GFIP. This section included questions on the major successes of public participation on the GFIP; the major obstacles for public participation on the GFIP; how public participation can be improved in future GFIP projects; whether all stakeholders were happy with the public participation outcomes, highlighting any areas of concerns; how public participation can be improved on road infrastructure projects or public transport infrastructure programmes; and whether participants thought that the GFIP was a successful project that achieved its goal of alleviating traffic congestion on Johannesburg roads.

On the successes of public participation, most participants agreed that there were some successes recorded in the GFIP. Amongst the successes, participants pointed out that public participation afforded the various relevant stakeholders to share with the policy makers and government their views and opinions about the GFIP and how they should engage, pointing out the shortcomings of the process, and further that public participation promoted public awareness. However, interview participants who were opposed to the GFIP and the e-tolling programme expressed scepticism on the successes of public participation and highlighted that although some success was achieved, it was not major. Respondent (R1) summed it up this way, “participants had the opportunity to voice how they think they should participate, this is

not much success". In discussing the obstacles to public participation, the interview respondents highlighted amongst other things, lack of trust in the public participation process and in the GFIP as a whole by other stakeholders and the challenge of coming up with a model that was suitable and satisfactory to all stakeholders. One participant had the following to add regarding the obstacle of stakeholders' lack of confidence, "people don't have confidence that SANRAL and its implementing agencies will act on their interest", further noting that this may have been an added contributor to some stakeholders who had not travelled for the holiday season not attending the public hearings and meetings on the GFIP and e-tolls.

Participants were forthcoming in their views and opinions on how public participation could be improved for future GFIP projects. Amongst the suggestions discussed, the need for SANRAL to consult widely with all affected stakeholders including entities, organisations, businesses and associations for inclusivity was a major recommendation from most respondents. The majority (60%) of the respondents also highlighted the need to afford stakeholders more time for giving inputs, emphasising that a period of 8-12 weeks previously mentioned in an earlier question should be standardised and applied in future projects. Participants also recommended that SANRAL and the government need to take the general public and the various stakeholders affected by the public project being implemented into their confidence from the onset of the project planning and implementation and Respondent (32) highlighted that "this will make the stakeholders feel that they are part of the process". Participants also highlighted that there is a need for SANRAL and the government to be transparent to the general public. Respondent (R11) explained it this way, "they must explain in detail how the system works, the revenue and payback period model, etcetera, none of this was forthcoming in the current scheme".

As highlighted above, the interviews also solicited participants' views on whether all stakeholders were happy with the public participation outcomes. This question pitted the pro-GFIP participants and the critics of GFIP against each other, with the supporters of GFIP responding in the affirmative that on the face of it, all stakeholders were happy, however participants who felt this way also pointed out that it is a major feat to get everyone happy about the outcome of public participation. Respondent (R3) summed this view by stating the following, "although not all stakeholders will be happy with the outcomes, at least the public participation process provided an opportunity to educate the public about the benefits of a user-pay system and roads infrastructure models". The group of participants who opined this way also felt that the outcome of the public participation process in the GFIP will help in future public projects. On the other hand, participants who criticised the GFIP responded to the question with an emphatic no, highlighting that SANRAL was not willing to consider an alternative funding model for the GFIP project which rendered the public participation process

pointless and a tick-box exercise. Respondent (R7) made the following remark in support of his assertion, “SANRAL should have gone into the process with an open mind and a willingness to be influenced”. Participants felt that this was not the case.

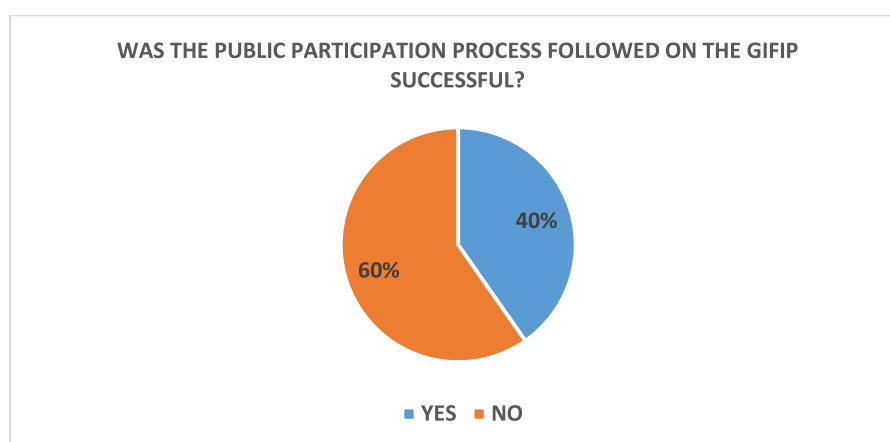
The interview respondents further applied themselves to giving recommendations on how public participation can be improved on road infrastructure projects or public transport infrastructure programmes. Amongst the recommendations, the participants highlighted the need to involve the general public to ensure that their concerns are considered throughout the decision-making process, particularly in the development of decision criteria and options; and the need for government agencies to collaborate with the public in developing decision criteria and alternatives, and in identifying the preferred solution going forward. Respondent (R17) summed the recommendations this way, “stakeholders must be included in the process from the inception phase and they must not be made to feel like decisions are being imposed on them”. The question whether the interview participants thought the GFIP project was a successful one that achieved its goal to alleviate traffic congestion, the interview participants were divided in their response. Those who criticised the GFIP opined that the GFIP was not a success, with some participants explaining that for a user-pay system to work, the requirement is that all users must pay and, serve for a small number of defaulters who the authorities will collect the outstanding amounts from. Respondent (R14) highlighted the challenge with the current GFIP e-tolling user pay system when he said the following:

“The problem is that in this system, less than 40% of people are paying, as a result of people feeling that the scheme, its policies and laws are unjust, too expensive and irrational. This public defiance campaign is too big to overcome. The system will never succeed to raise the level of funds required to repay the loans, on top of the expensive collection process”

The interview participants who supported the GFIP were of the opinion that the GFIP was a huge success and further that the project achieved its purpose of easing traffic congestion on the Johannesburg roads. One participant had the following to add, “with an educated consumer who understands how public infrastructure projects are funded and with a model that is transparent around the cost, there will be a better buy in into the user-pay principle”. Another participant noted the importance of having a consultative process that is carried out in a transparent and inclusive manner to make provision and room for all the comments made by participants.

Table 4. 7Assessment of successes and Failures of public participation on the GFIP

ASSESSMENT OF SUCCESSES AND FAILURES OF PUBLIC PARTICIPATION ON THE GFIP		
WAS THE PUBLIC PARTICIPATION PROCESS FOLLOWED ON THE GIFIP SUCCESSFUL?	YES	NO
31.Were there major successes of public participation on the GFIP?	16	29
32.Were the major obstacles for public participation addressed on the GFIP?	8	28
33.How can public participation be improved in future GFIP projects: and is the current format adequate?	8	28
34.Were stakeholders happy with the public participation outcomes?	17	19
35.Do you think the public participation process on the GFIP needs Improvement?	36	0
36.Do you think the GFIP was a successful project and has achieved its goal of alleviating traffic congestion on Johannesburg roads?	14	22
	99	126

**Figure 4. 7** Assessment of successes and Failures of public participation on the GFIP

4.8. Conclusion

From the interpretation of the interview questionnaire responses, it became apparent that interview respondent's responses were divided into two groups, namely those who supported the GFIP and those who opposed and were critical of the GFIP. As the interview questionnaire results above show, most responses from the group which opposed the GFIP and the e-tolling system were not satisfied with the public participation process for the project and felt that it only served as a tick-box measure, as opposed to a genuine processes seeking to make informed decisions. The group that supported the GFIP and the e-toll system largely felt that the public participation process for the project was successful and further that it served its purpose. However, in some questions, the supporters of the GFIP also highlighted some gaps in the public participation process, for example on the timing of the public participation processes, and also in highlighting that it is not easy to come up with a model that satisfies all parties, especially the general public. In some questions, albeit a few, both groups were unanimous in their responses, for example, in their opinion that not enough time was given for the general public to give their inputs, the need to extend the time given to the public to give inputs to 8-12 weeks, and the need to ensure that the public participation process and the outcomes thereof are presented in a transparent manner. Despite the divergent views of each groups on most questions, all participants across the GFIP divide gave recommendations that were similar and drew from the experiences of the GFIP project.

CHAPTER 5: DATA ANALYSIS

5.1. Introduction

Chapter 4 above presented the primary data findings from the interviews conducted. Amongst other things, the interview responses revealed the mostly divergent views of the pro-GFIP and e-tolls group on the one hand, and the anti-GFIP and e-tolls group on the other hand. As highlighted in the responses from interviewees, all respondents highlighted some gaps in the public participation processes and methods employed in the GFIP and e-tolling programme. This chapter will analyse these interview findings, where possible, with reference to the research methodology chosen, and the literature review (secondary data) findings and assertions.

5.2. Analysis of the study findings

5.2.1. Respondents' knowledge of the GFIP and the e-tolling programme

On the questions regarding the purpose or objective of the GFIP, the interview respondents' organisations' and their individual interest in the GFIP, the study findings highlighted all respondents' excellent knowledge of the GFIP and the e-tolling programme. Furthermore, all interview respondents articulated the purpose of the and objectives of the GFIP, with both groups passionately defending their views and opinions about the GFIP, backing such views and opinions with facts. An analysis of the highly informed calibre of interview respondents reveals that the research succeeded in its purposive sampling method of choosing the participants who are either experts or are highly knowledgeable about the subject matter. The fact that respondents mostly fell into two groups namely, the proponents of the GFIP and those who opposed the project showed that the selection of the respondents by the participant was widely encompassing, ensuring adequate representation of stakeholders across the GFIP spectrum.

5.2.2. GFIP and the e-tolling programme implementation

As shown in the research findings in Chapter 4 of the study, all organisations that were identified for interviews were involved in the implementation of the GFIP, which shows the effectiveness of the careful selection of the participants through purposive sampling, to ensure that participation chosen were one way or the other, involved in the implementation of the GFIP. Table 4.1. which shows the demographic profile of the interview respondents confirms

this careful selection of interview participants across policymakers, the implementing agency, civil society and the decision-makers, amongst others.

The study findings on the question relating to the implementation process of the GFIP, revealed that the respondents who were critical of the GFIP implementation highlight the short-sightedness of the government in implementing the GFIP especially when it came to ensuring that alternative roads and sufficient public transport was made available to commuters. The participants who supported the GFIP project defended the project and pointed out amongst other things that congestion on the Gauteng roads necessitated the urgency in implementing the GFIP project, highlighting that any delays on implementing the project would have had dire consequences for the province and the national economy as a whole. The divergent views of the participants confirm the literature assertions, more specifically, by Fombad (2013) who argues that the general public was excluded from the decision-making process, which exclusion led to dissatisfaction and criticism of the implementation of the GFIP. The fact that the GFIP implementation process was hailed by some interview respondents and decried by others affirms (Matsiliza, 2016) assertion that the GFIP and e-toll system was met with mixed feelings, owing to the socio-economic impact that the project had on the road users, and the top-down approach that was adopted by the government in imposing e-tolls to repay the money spent on the GFIP (Matsiliza, 2016). Furthermore, the study findings revealed interview respondents' polarised opinions on whether their views on the GFIP and the e-tolling system were considered during the implementation of the GFIP. Contributions by participants should influence policy formulation hence for public participation to be significant the participants must have assurance that their inputs will be considering and implemented (Khatleli, Baloyi, Gushu and Khan, 2020). In the case of the GFIP not all the view of participants were taken into consideration as 59% of the respondents felt that their contributions were not considered. These results validate public sentiments made by COSATU and opposition parties that the public participation mechanism that were employed on the GFIP were only a public relations exercise aimed to manage the perceptions of the general `public. Although divided in their responses, none of the participants felt that their views were completely disregarded by the government, however those participants who were opposed to the GFIP felt that public participation was inadequate and the advertising of the GFIP consultations were hard to notice, with the public hearings themselves being held during public holidays when most stakeholders were away on holiday. Government must recognize that the public has a right to be informed early and in a meaningful way about proposals that will have an impact on their livelihoods and must also ensure that interests, of the underrepresented are considered and given a fair chance to influence decisions (André, Enserink, Connor and Croal, 2006). On closer analysis, the grievance from respondents was not on whether the public hearings that

facilitated citizens participation were held or not, and the dissatisfaction was also not based on the fact that the views of those who attended the public hearings were not considered (respondents in fact confirmed that some of their views were considered but not all). The grievance was the fact that the very platform of public participation followed was not a true representation of the population as it excluded some sections of the community particularly the poor and vulnerable. The public participation process also failed to communicate the scope of the project and the repayment plan through e-tolling system. Given the assertions by Marzuki (2015) that public participation plays a key role in educating citizens about the government's development programmes while at the same time influencing their social and personal changes through incorporating the diverse interests through their participation in the decisions that affect their lives, the timing of the public hearings impacted negatively on the participation of citizens who needed to be in attendance. As outlined by Bobbio (2019), public participation empowers citizens and further achieves the goal of putting in practice, the democratic ideals of obtaining consensus or citizens' inputs and their knowledge when complex or misunderstood problems are experienced, the inadequate advertising of the GFIP consultations, government gazettes on GFIP and the lack of public representation during public hearings did not further this goal, but in fact undermined it. As Marzuki (2015) puts it, public participation affords government authorities an opportunity to gain better understanding of stakeholders' needs and demands which in turn leads to improved resource planning and management on the one hand and enables citizens to reduce political and administrative problems. Where public participation fails to meet the standards above, as it was the case with the GFIP, this can be likened to a lack of public participation in the planning and implementation phase of the GFIP and the e-tolls project which Matsiliza (2016) highlights as having led to massive protests by various actors including COSATU, OUTA and community members. The lack of internal stakeholder engagement lead to COSATU a strong ally of the governing party and an alliance partner to rebel (Khatleli, 2016).

From the grievances mentioned by participant it is clear that the South African government does not have a clear protocol on how to conduct public participation for public infrastructure projects. It is evident that the success of public infrastructure projects hinges on proper timing and methods used (Khatleli, 2016). Participants unanimously agree for government to be able to deliver successful infrastructure projects there needs to be a shift from doing the minimum requirement of the legislation. Government must now adopt public consultation as a strategic tool for project strategy and risk evaluation. From initiation stage government must seek to understand and evaluate the needs of the community by using appropriate tools and methods. Infrastructure project budgets must have budget allocation for public participation as this item

will form a huge part of the risk identification process. The allocated budget for public participation will help in resolving some of the complex and technical issue that will arise from the constant engagement between the public and the government as specialist consultants could be called in for their specialities (Khatleli, 2017). There is clearly a missed opportunity by the government implementing agency (SANRAL) to have educated the general public on how infrastructure projects are funded and how the costs are recovered. If the public was taken in confidence at the initiation stage and with a continues public engagement process throughout the life cycle of the project, public sentiments around the lack of transparency and accountability would have been eliminated.

5.2.3. Participants' understanding of public participation

As highlighted in 4.3.3. in Chapter 4 above, most participants displayed outstanding understanding of public participation and all participants highlighted that public participation is a process, one whereby “all stakeholders are given ample opportunity to give inputs”. Participants opined that the process required that “the widest possible number of varied stakeholders are invited to participate so that their voices and opinions are heard”, as opposed to having all stakeholders invited and further that “the institution conducting the participation process should conduct it with an open mind rather than only seeing it as a formality that must be conducted to put a stamp on what they would have wanted to do from the beginning”. The responses from the interviewees correspond with the definitions of public participation put forward by scholars including Maphazi, Raga, Taylor and Mayekiso (2013) who defined public participation as a process that presents an opportunity for citizens or individuals to influence public decisions; Newig, Challies, Jager, Kochskaemper, and Adzersen (2018) who defined public participation as a process or structure of public decision making that involve various actors drawn from the private sector, civil society and the general public at large through varying degrees of communication and collaboration, with the decision makers delegating decision making power to the various stakeholders engaged; and Bobbio (2019) who viewed public participation as a procedural tool through which policymakers seek to include new actors (citizens) in a policy network, thereby entrusting them with some design-related responsibilities. The participants' views that the institutions that undertake public participation must not use it to rubber-stamp the process correspond with Maphazi et al., (2013)'s elements of public participation that are crucial in validating the process, namely; its applicability to administrative decisions; its purpose not to solely provide information to the general public but to also include interaction between the general public and the decision-makers; affording participants to have some level of impact or influence on the public decisions being

undertaken; the need for public participation to encapsulate informing the public, listening to the public, engaging in problem-solving and developing agreements.

Participants who supported the GFIP pointed to the South African Constitution as the public participation policy that governed public participation in public projects while those who opposed the GFIP were of the opinion that there was no public participation policy in South Africa to regulate citizens' engagement in public projects that affect them. Both viewpoints from respondents are supported and affirmed by literature sources. Literature sources highlighted the South African Constitution's provisions that guarantee public consultation of citizens on issues of interest and on those issues that affect them (Lues, 2014). Specifically, section 118 of the Constitution and section 152 of the Constitution were highlighted in Chapter 2 as giving credence for public participation by all spheres of government including the provincial government, and they further highlight citizen participation as an aspect of democracy, as affirmed by Chapter 1 of the Constitution that calls for people to govern. Scholars however argue that Constitutional provisions are not enough on the backdrop of lack of transformation as characterised by lack of service delivery, corruption, lack of consistent feedback, limited involvement of stakeholders and lack of experience on the side of planners and decision makers (Tshoose, 2015). Scholars also argue that in instances where public participation exists, it tends to be brief, sporadic – that is only aimed at paying lip-service and decorative purposes to specific stages of public projects planning and programming, and with very little feedback being given (Tshoose, 2015).

5.2.4. Participants' knowledge of public participation policy and legislation

As highlighted in Chapter 4, all the selected participants possessed excellent knowledge of legislation and/or policy enforcing public participation in the e-tolls, including section 27 of the SANRAL Act. With some participants highlighting that they conducted research on the rights of citizens and the general public on the e-tolls matter, including reading up on all the legislation and the Constitutional provisions on public participation to secure knowledge on the rights of the citizens. Participants' criticism of the legislative provisions which only existed on paper and did not translate into practice was confirmed by Tshoose (2015)'s assertions that policy considerations on public participation are marred by lack of transformation in South Africa and the problems that come with it, service delivery challenges, corruption, lack of consistent feedback, limited involvement of stakeholders and lack of experience on the side of planners and decision makers.

5.2.5. Assessing the nature of public participation processes in the planning of public infrastructure projects.

Majority (60%) of participants were of the opinion that the public participation methods employed in the GFIP were not adequate, with some participants pointing out that participation was merely a superficial process that amounted to a tick-box exercise. Other participants noted that imperfection of the public participation process was exacerbated by the narrow focus on efficiency and economic growth by the implementing agency and this led to objectives such as political legitimacy and trust being ignored. 60% of respondents were of the opinion that the government had formulated their policy on the GFIP and only then tried to legitimise their policy through a public participation process which lacked credibility. Participants who were opposed to the GFIP also displayed dissatisfaction with the public participation methods employed, highlighting that “the methods were grossly insufficient to cater for the input from business and the general public” and 60% of the Participants stated that they were unable to influence the decision that impacted their livelihoods in such a serious manner, because of a manipulated public participation process. The opinions of 60% of the interview respondents support Bobbio (2019)’s argument that in most cases participatory processes promoted by a public authority are often manipulated and only serve to legitimize predetermine decisions, policymakers often display a false openness to manipulating citizens. ‘The respondents’ views also highlight the manipulation type of citizen participation from Arnstein (1969)’s Ladder of Citizen Participation where stakeholders are manipulated by the government, through fake consultations which are aimed at legitimising a process without meaningful or real consultation process taking place. GFIP critics also asked whether merely following the rules constitutes meaningful public participation especially on a project of this size. Participants also stated that government should have revised the public participation process when they received weak participation results, because lack of representations from the public regarding the e-tolls clearly didn’t mean that the public agreed with tolling. The responses from the anti-GFIP group also confirmed the application of the consultation stage of public participation continuum affords the general public opportunities to contribute to decision making processes through a two-way flow of information between people and the authorities, without any obligation on the part of the authorities to take into account the views from the general public (Krishnaswamy, 2009). There are divergent views from participants, the proponents of GFIP seem to have welcomed the efforts of the E-toll Review Panel that was established by the Gauteng Provincial Government and viewed this as an attempt by government to hold a meaningful and inclusive public participation process to deal with the e-tolls. The consultations involved 15 public meetings, with 1636 people participating, and reading 53 written submissions and 67 statements of opposition to e-tolls (E-tolls Review Panel Report ,2015). Even after an

intense participation process such as this those that oppose GFIP still see the consultative process as a platform used by government to coerce the public to continue to pay for the e-toll dept. Opponents of GFIP are unhappy that the panel has advocated that the e-tolls should go ahead despite finding that it had heavy economic costs on the low and middle income classes. It seems that government is still failing to address public sentiments that public participation has a predetermined agenda. Sebola (2017) highlights the danger of having the policy-makers or the authorities merely involving the general public as an empty, non-committal gesture in the consultation stage as having the general public's involvement in the public consultation process being minimal, and their contributions ultimately being ignored.

As highlighted in Chapter 4, the interview respondents also made recommendations on how public participation methods could be improved. Such recommendations including the need to adhere to the constitutional provisions and requirements of public participation of relevant stakeholders in a “fair and meaningful manner on matters that impact them”, the need for GFIP implementing agencies to have robust public engagement policies that favour the general public, and the need for the government and policy makers to “understand that public participation is not a one size fits all”. The respondents’ views above are supported by the assertions made by Maphazi et al., (2013) that the constitutional provisions on public participation presents an opportunity for citizens to influence public decisions. Newig et al., (2018)’s definition of public participation further emphasises these assertions and confirms that public participation is not a “one size fit all process” by pointing out that public participation involves various actors drawn from the private sector, civil society and the general public at large through varying degrees of communication and collaboration, with the decision makers delegating decision making power to the various stakeholders engaged. Glucker et al., (2013)’s nine objectives of public participation re-enforce this finding that public participation is not a one size fits all engagement: by outlining that public participation is aimed at achieving the following:

- i. *Influencing decisions* – whereby public participation those who are or will be affected by a decision are afforded an opportunity to influence such a decision. From the findings and respondents’ views above, this objective of public participation would have been crucial for citizens who were most affected by the GFIP, especially the road users whose socio-economic condition would have been impacted by the e-tolling system.
- ii. *Enhancing democratic capacity* – whereby through public participation, participants are afforded an opportunity to develop their active citizenship skills which include articulation of issues of interest, communication, and cooperation. This objective is in line with the constitutional provisions on public participation, particularly sections 118 and 152 of the

Constitution which link public participation to citizens' exercising their democratic rights. In a country such as South Africa where democracy is a core value enshrined in the Constitution, public participation of stakeholders in a "fair and meaningful manner on matters that impact them" should have been the principal motivation for the public hearings that were undertaken by the government. However, as participants highlighted in their responses, hosting these public hearings during the holiday season excluded a large percentage of citizens who were affected by the GFIP and the e-tolling programme.

iii. *Social learning* – whereby public participation facilitates deliberation between participants who then learn from each other this way. The learning component through public participation is confirmed by some respondents' admissions that they researched and read up on the public participation policies including the SANRAL Act and the Constitutional provisions for the first time in preparation for the public hearings to gain knowledge about the general public's rights when it comes to public participation.

iv. *Empowering and emancipating marginalised individuals and groups* – whereby power gets distributed within society, thereby empowering previously disadvantaged groups in society. "Lack of power is a universal and basic characteristic of poverty. Poverty is not solely a lack of income, but rather is characterized by a vicious cycle of powerlessness, stigmatization, discrimination, exclusion and material deprivation, which all mutually reinforce each other." Magdalena Sepúlveda Carmona (2013). Therefore, the objective of public participation is to achieve a more equitable distribution of (political) power through modifying existing decision structures, this means, that marginalised groups can use public participation to change the social order. In the case of the GFIP it means that government must have made sure that all members of the community are represented, and this would have been achieved by holding public consultation in all the Gauteng communities.

v. *Harnessing local information and knowledge* – thereby improving the quality of the decision output through provision of relevant information and knowledge to the decision makers. As interview respondents highlighted during the interviews, this objective of the public participation through the public hearings was not achieved, as most of the local participants who resided in Gauteng and who were going to be most affected by the GFIP and e-tolling system were away on holiday, and therefore were not able to provide the localised relevant information and knowledge about the negative impacts of e-tolls on their socio-economic outlook (such as their need for alternative roads before the GFIP construction work commenced).

vi. *Incorporating experimental value-based knowledge* – whereby the quality of the decision output will be increased through provision of experimental value-based knowledge.

Knowledge regarding the aspirations and values of affected populations is critical, and public participation must be used to obtain this information. If the implementing agencies had asked from the general public what sort of public road infrastructure do, they what the implementation agencies would not have rolled out a project with a one-dimension objective that focussed only on efficiency and economic growth. Therefore, if the government had incorporated experimental value-based knowledge in the public participation process they would have realised that alternative roads were required to cater to those who do not want to use the GFIP.

vii. *Testing the robustness of information from other sources* – to increase the quality of the decision output by testing and enhancing information from other sources that decision makers may have. For public consultation to be an inclusive process and to properly test the robustness of the information from other sources the government would have to apply a local based solution to the information from other sources. For this process to be successful a variety of sources would have to be consulted, however this was not achieved because of the narrow participation process that was used in the GFIP. This was clear when the government only consider the economic benefits the project will bring but overlooked the potential socio-economic impact on the citizens.

viii. *Generating legitimacy* – whereby the decision-making process is legitimised, lending legitimacy to the decision makers and facilitating successful implementation of the project. As interview respondents pointed out, the public hearings did not meet the objective of legitimising the GFIP and the e-tolling system through the public hearing was not achieved, as respondents felt that the government had already agreed on their GFIP policy and used the public hearing to merely rubber-stamp their decision.

ix. *Resolving conflict* – thereby contributing to early identification of conflict and conflict resolution prior to decisions being made, thereby contributing to successful implementation of projects.

There is enough evidence to suggest that participants feel that the participation method that was used by SANRAL and government were grossly inadequate and failed to identify and address the requirements of the stakeholders that were going to be impacted by the implementation of the GFIP. Khatleli (2014) opines that a stakeholder engagement plan must be at the centre of public participation and through the stakeholder engagement plan the views of the stakeholders can be obtained and addressed. It can now be affirmed that government should have implemented a public participations strategy to Identify the relevant stakeholders. The strategy would have helped in categorizing the different stakeholders according to their knowledge and needs. Categorizing the stakeholders would then speak to how and what are

the appropriate times to engage the different stakeholders and what are the suitable communication platforms that can be used for the different categories of stakeholders.

5.2.6. Analysing the transparency of the consultative process when implementing projects.

Participants who criticised the GFIP implementation process were unanimous in their opinion that the decisions taken following the public participation process did not consider the views of the various stakeholders and their concerns. One participant had the following to say, “the implementing agency used public participation to rubber stamp pre-determined decisions”. More specifically, this group that in the decision-making process, the glaring omission in SANRAL’s consideration of the stakeholders’ public inputs was on addressing the impact of the economy and the plight of the poor who were in no position to pay e-tolls. These views confirmed assertions by Bobbio (2019) that public participation has sometimes been manipulated by the government when they need resources that are difficult for them to raise wherein they use participation as a tool that can provide political resources (which include consensus and legitimacy that policy makers require in order to garner support on problematic issues, avert conflict and limit any disaffection from the general public). This view also affirms the consultation stage of the 4-stages of the continuum of public participation discussed by Krishnaswamy (2009). The consultation stage of public participation continuum affords the general public opportunities to contribute to decision making processes through a two-way flow of information between people and the authorities, although there is no obligation on the part of the authorities to take into account the views from the general public (Krishnaswamy, 2009). According to Sebola, the danger of having the policy-makers or the authorities merely involving the general public as an empty, non-committal gesture in the consultation stage is that the public's involvement is minimal, and that their contributions can be ignored (Sebola, 2017).

As Chapter 4’s research findings revealed, the interview respondents were also divided on their opinions on how the decisions on the GFIP and e-tolling programme were implemented. Some participants, especially the GFIP and the critics of both GFIP and e-tolls were of an opinion that some of the decisions that were implemented, were due to political influence than concern of the public. The decision to exempt registered public transport from e-tolls was received as a move by government to avoid a potential conflict with the taxi industry and not as a measure to alleviate the burden on the working class. The GFIP opponents were of the opinion that the public participation process was not transparent while those who supported the GFIP opined that the process was transparent, with one participant adding that “SANRAL

and its implementing agencies are open to scrutiny and all the information of the GFIP is open to the scrutiny of the general public”.

The literature review highlights the challenge in South Africa where in instances where public participation is undertaken, it tends to be brief, sporadic, with very little feedback being given (Tshoose, 2015). When no feedback is given to participants, this impedes transparency, notwithstanding the fact that the final documents are made publicly available to the general public at a later stage. Sebola (2017) highlights the challenge in South Africa that also negatively affects the transparency factor of public participation processes, of how public participation is communicated to the stakeholders. In Chapter 4 above, the respondents lamented the fact that the advertisements of the public hearings were too small and difficult to see for many citizens who would have benefitted from participating in the public hearings to have their issues and interests heard, and this was further exacerbated by the fact that most citizens were out of the province on holiday on the day of the public hearings. Literature also raises the challenge of lack of use of effective communication tools by the public authorities when communicating with the general public, and the existence of barriers such as language, distance and lack of resources which hinder some sections of the general public from participating (Sebola, 2017). This also negatively impacts on the transparency of the public participation process. To promote and facilitate transparent public participation processes, Van Belle and Cupido (2013) highlight the need for the policy makers or the government to invest in public participation as an ongoing, evolving process that should lead to perception and mind set change on the part of the general public, with government committing to explore and find new systems, methods and platforms that facilitate public participation. To facilitate the collaboration effort that is required to make public participation an ongoing, evolving process and a project facilitation tool on Infrastructure projects. Khatleli (2019) highlights that public participation activities must be an integral part of public infrastructure planning from inception to construction. To demonstrate the role of public participation when implementing infrastructure projects and how public participation can be facilitated during the project life cycle a participatory framework for highly sensitive public infrastructure projects must be used (ibid.). Khatleli (2019)'s recommendation of a participatory framework that should be adopted by government and implementing agencies to facilitate public participation is as follows:

Project Initiation: this stage in the framework requires that the public be involved in developing a participatory strategy, making inputs into the project and also strategies of how to manage their expectations

Project Planning: At this stage the revision of the project plans if necessary are made to accommodate the community's inputs, as the social and environmental impact is very

important. And the communication techniques used are focus group meetings, face-to-face interviews and public forum meetings.

Project Design: here the designs have been fully developed and public concerns should result in altering the original designs if necessary, the expectations of the public should carefully be managed.

Project Construction: It is at this stage that the community should be continuously consulted on issues that emerge at construction including the evaluation of the participatory programme. The framework suggests that this shall be embarked upon with all stakeholders that have been involved in the project utilising public briefing meetings.

5.2.7. Identifying what feedback mechanisms have been allowed for or initiated during the consultation process.

On the roles of public participation, all participants shared the same opinion that public participation as the basis for decision-making process, and some participants went further to also point out that public participation also served as a basis between the general public and the decision makers by strengthening dialogue on public decisions. These views are in line with the literature assertions on the definitions of public participation that it is a component of the democratic decision-making process (Maphazi et al., 2013); that it is a structure of public decision making that involves various actors drawn from the private sector, civil society and the general public at large through varying degrees of communication and collaboration, with the decision makers delegating decision making power to the various stakeholders engaged (Newig et al., 2018); and that it is a procedural tool through which policymakers seek to include new actors (citizens) in a policy network, thereby entrusting them with some design-related responsibilities (Bobbio, 2019). The respondents' views also affirm Glucker et al., (2013)'s nine objectives of public participation, of; influencing, enhancing democratic capacity, social learning, empowering and emancipating marginalised individuals and groups, harnessing local information and knowledge, incorporating experimental value-based knowledge, testing the robustness of information from other sources, generating legitimacy and finally, resolving conflict.

As highlighted in Chapter 4, all participants also indicated that the role of public participation was considered in the planning and implementation of the GFIP and further that it influenced the public decisions that were made. On the purposes of public participation, the interview respondents highlighted raising public awareness, gathering relevant information from the general public to inform decision-making processes and the purpose of considering alternative policy options. These responses were in line with the literature review offerings on the benefits

of public participation in educating citizens about the government's development programmes while at the same time influencing the social and personal changes among members of the general public through incorporating the diverse interests of the general public (Marzuki, 2015). Sebola (2017) agrees with the assertions by Marzuki (2015) when he acknowledges that citizens' participation results in having their interests and needs recognised as part of the entire government system, with citizens being seen as engines and co-owners of the government policies. Bobbio (2019) further highlights the importance of public participation in empowering people, thereby putting in practice democratic ideals, which are to obtain consensus or citizens' inputs and their knowledge when complex or misunderstood problems are experienced.

All participants' views on the characteristics of public participation, inclusivity, transparency and ensuring public's access to all the relevant information associated with the public project to facilitate accountability were in line with the literature offerings on public consultation strategies it was highlighted amongst other things that public participation must afford government's engagement with stakeholders and other individuals with an interest in the policy and decision making process to increase transparency in the process on matters that may impact people's lives (Campbell et al., 2017); lead better outcomes in decision making processes especially when participants or stakeholders have prior substantial knowledge about the decision and the problem being consulted on (Isopi, Nosenzo & Starmer, 2014); achieve social impact which calls for strategies that comprise of a series of opportunities for purposes of creating understanding about the decision among those who will be affected by such decision or those with an interest in it (Marzuki, 2015).

When it came to the principles of public participation, Chapter 4 showed that all participants across the GFIP divide highlighted the need to have the decisions involving the needs and interests of all parties or stakeholders communicated properly in the planning and implementation of the public project. However, the interview respondents were divided on the question whether the public participation principles were considered in the GFIP planning and implementation phases. Although some respondents felt that the principles of public participation were not followed and one and more specifically stating that "participants were not provided with information on how they needed to participate in a meaningful way", other participants felt that the public participation principles highlighted by all participants above were considered, citing that all various stakeholders who were engaged in the public participation process were provided with information on how they needed to participate in a meaningful way and were also informed about how their inputs affected the final decisions. The respondents' views were supported by literature sources. Isopi et al., (2014)'s assertion confirms the principle of providing information to citizens by highlighting the need for

participants or stakeholders to have prior substantial knowledge about the decision and the problem being consulted on. Tshoose (2015)'s principle of having the needs and interests of all participants being included in the planning and implementation of a public project, is confirmed by the respondents' responses. Tshoose (2015) highlights the need for public participation mechanisms that accommodate all individuals and their areas of interest, taking into account the realities and disproportions that exist among the vulnerable groups in society such as women, people living with disabilities and people from rural areas (Tshoose, 2015). Literature made proposals for consultation strategies to involve provisions of simplified information to accommodate different languages, both spoken and written modes of communication and provision of transport to the meeting to ensure maximum inclusion and participation. The findings also confirmed what Castro (2013) refers to as Fiorino's four criteria for public hearing and involvement, namely (1) direct participation of inexperienced people in the decision making process, (2) participation of citizens in collective decision making, (3) the available time for a face to face discussion, and (4) the opportunity for citizens to participate in decision making processes at an equal footing with administrative officials and technical experts.

As revealed in Chapter 4, all participants highlighted robust and engaging methods of public participation that were employed in the planning and implementation of the GFIP which included public hearings, public enquiries, media including newspapers and radio announcements and pronouncements and government publications. Participants were also unanimous in thinking that a period of 8 to 12 weeks should have been the suitable timeframe for affording various stakeholders to make comments on the GFIP. In overall, all participants agreed that public participation was a significantly important step in the implementation of the GFIP. These responses by all participants that public participation should have taken between 8 to 12 weeks, are confirmed by definitions of public participation in literature sources which highlighted that public participation is a process (Maphazi et al., 2013, Newig et al., 2018). The robust and engaging methods of public participation employed by the government confirm the literature offerings that public participation comprises of a number of procedures that are meant to consult, involve and inform the public, and a range of public participation methods which range from those methods that stimulate inputs from participants in the form of opinions such as public opinions, surveys and focus groups; to those methods that provoke judgements and decisions that lead to actual policy such as consensus and conferences (Rowe & Frewer, 2013). Regarding public hearings, literature highlight the prerequisite of personal presence of interested stakeholders in the public hearings, for an interactive debate between participants (Mikuli & Kuca, 2016). This prerequisite for public hearings resulted in the failure of this process due to the fact that some sections of the citizens could not be present at the public hearing for

the GFIP and e-tolling programme, and as a result, were excluded from airing their views. Khatleli (2018) highlights that the inadequacy of communication platforms used by government and the inadequate access given to the public to engage government on proposed plans is central to the project being rejected by the general public. (ibid.) suggests in order to avoiding public defiance like seen in on the GFIP, when implementing future public infrastructure projects, the government should:

- Ensure robust monitoring mechanisms are put in place to ensure consultation is done as prescribed by law.
- The communication methods should be overhauled to reflect the advances in information technology
- Only the methods with a wider appeal and reach should be invested in.
- The culture of thinking and providing for the public should be changed as its paternalistic undertones are resulting in a lot of resistance.

5.2.8. How public participation can be used by government to implement policy and be a platform to address community needs?

On the successes of public participation, participants all agreed that there were some successes recorded in the GFIP. Amongst the successes, participants pointed out that public participation afforded the various relevant stakeholders to share with the policy makers and government their views and opinions about the GFIP and how they should engage, pointing out the shortcomings of the process, and further that public participation promoted public awareness. However, interview participants who were opposed to the GFIP and the e-tolling programme expressed scepticism on the successes of public participation and highlighted that although some success was achieved, they were insignificant. On the obstacles to public participation, respondents' views that there was lack of trust in the public participation process and in the GFIP as a whole by other stakeholders and the challenge of coming up with a model that was suitable and satisfactory to all stakeholders also confirmed the literature sources on challenges within the South African context. Sebola (2017) highlights the challenge in South Africa, of difficulties in getting people to participate in policy decisions, the unwillingness of the general public to participate, including those stakeholders willing to participate but unable to do so due to barriers such as language, distance and lack of resources, and those who are able to participate but are unwilling because they have no interest in politics, see no benefit in participating or those who do not trust the government to genuinely consider their inputs in decision making.

Chapter 4 revealed that participants were forthcoming on giving their opinions on how to improve public participation, which recommendations included the need for SANRAL to consult widely with all affected stakeholders including entities, organisations, businesses and associations for inclusivity; the need to afford stakeholders more time for giving inputs, emphasising that a period of 8-12 weeks previously mentioned in an earlier question should be standardised and applied in future projects; the need for SANRAL and the government to take the general public and the various stakeholders affected by the public project being implemented into their confidence from the onset of the project planning and implementation, to “make the stakeholders feel that they are part of the process”; and lastly, the need for SANRAL and the government to be transparent to the general public. These views affirm the assertions by scholars that public participation is a key ingredient for any deliberative process (Isopi et al., 2014). Other studies also highlight that public participation should increase transparency in the process on matters that may impact people’s lives (Campbell et al., 2017). Literature also highlights that a good public participation or consultation strategy comprises of a series of opportunities for purposes of creating understanding about the decision among those who will be affected by such decision or those with an interest in it (Marzuki, 2015). Furthermore, the respondents’ views on improving future public participation processes confirm Burke’s educational therapy which is aimed at increasing trust, self-confidence and responsibility of the general public when it comes to decision making processes (Mdlalose, 2016). The educational therapy strategy emphasises providing training and education to the stakeholders or participants to facilitate their participation in governance, social and economic development and all other government processes

As highlighted in Chapter 4 above, on whether all stakeholders were happy with the public participation outcomes. The pro-GFIP participants responded in the affirmative that on the face of it, all stakeholders were happy, pointing out that the public participation process provided an opportunity to educate the public about the benefits of a user-pay system and roads infrastructure models. The views of the pro-GFIP and e-tolls respondents confirm assertions by Marzuki (2015) that public participation plays a key role in educating citizens about the government’s development programmes while at the same time influencing the social and personal changes among members of the general public through incorporating the diverse interests of the general public by according them their right to participate in the decisions that have a bearing on their lives. The respondents’ views on public participation facilitating a process of educating citizens about the e-tolling user pay system also support Glucker et al., (2013)’s objective of public participation of facilitating social learning.

On the other hand, participants who criticised the GFIP responded to the question in the negative, highlighting that SANRAL was not willing to consider an alternative funding model

for the GFIP project which rendered the public participation process pointless and a tick-box exercise. Critics further stated that public participation must be an enabler than a compliance tool. Critics also emphasised that there should have been more time allowed to educate the stakeholders on how the system works, revenue collection and payback collection models, and that a robust process will promote an effective public participation process and boost stakeholder confidence in public policy. The views of the anti-GFIP respondents reiterate Arnstein (1969)'s ladder of citizen participation, particularly the placation, consultation, informing, therapy and manipulation steps of the citizen participation ladder. Placation refers to the governments' actions to placate the general public by responding only to some suggestions, not major ones, while withholding active decision-making powers from the citizens whose role in the public participation process is merely advisory (Papa, 2016). Consultation also gives citizens an advisory role, not an active decision-making role, with their public participation merely amounting to tokenism wherein they only respond to already-predetermined agendas or projects (Mdlalose, 2016). Consultation refers to when the government fulfils its duty to inform the public and provide information to the citizens about the public project or a public policy decision, affording victims no real or active decision-making power (Papa, 2016). The informing step on the ladder of citizen participation also amounts to tokenism wherein the citizens can obtain information and can be heard with no guarantees or assurance from the government that their contributions will be considered (Mdlalose, 2016). Therapy refers to public participation processes whereby government implements or take decisions that will impact negatively on the lives of citizens without first consulting them, and although citizens can obtain information and be heard by the decision-makers when they voice out their opinions, they cannot be assured that their contributions will be taken into account (Mdlalose, 2016). Finally, the manipulation step, being the worst form of public participation is when stakeholders are manipulated by the government, through fake consultations which are aimed at legitimising a process without meaningful or real consultation process taking place.

The interview respondents gave recommendations on how public participation can be improved on road infrastructure projects or public transport infrastructure programmes. Amongst the recommendations, the participants highlighted the need to involve the general public to ensure that their concerns are considered throughout the decision-making process, particularly in the development of decision criteria and options; and the need for government agencies to collaborate with the public in developing decision criteria and alternatives, and in identifying the preferred solution going forward. Participants also highlighted the need for stakeholders to be included in the process from the inception phase, without making them feel as if the policy making decisions are being imposed on them. These recommendations affirmed the critical components in the definitions of public participation in literature. For

instance, (Maphazi et al., 2013) highlight the components of affording an opportunity for citizens or individuals to influence public decisions through a public participation process. (Newig et al., 2018) view public participation as the same as participatory governance and refer to both concepts as a structure of public decision making that involve various actors drawn from the private sector, civil society and the general public at large through varying degrees of communication and collaboration, with the decision makers delegating decision making power to the various stakeholders engaged. Bobbio (2019) views public participation as a procedural tool through which policymakers seek to include new actors (citizens) in a policy network, thereby entrusting them with some design-related responsibilities.

The recommendations by respondents above on improving public participation for public infrastructure projects correspond with the literature offerings on the public consultation strategies. Isopi et al., (2014) highlights that it should lead better outcomes in decision making processes especially when participants or stakeholders have prior substantial knowledge about the decision and the problem being consulted on. Scholars also opine that public participation strategies should afford engagement with stakeholders and other individuals with an interest in the policy and decision-making process and further that it should increase transparency in the process on matters that may impact people's lives (Campbell et al., 2017). Marzuki (2015) opines that public participation should comprise of a series of opportunities for purposes of creating understanding about the decision among those who will be affected by such decision or those with an interest in it.

Furthermore, the respondents' recommendations can be analysed using the Arnstein (1969)'s ladder of citizen participation which highlights the redistribution of power that enables the have-not citizens, who are often excluded from the political and economic processes, to be deliberately included in the future (Papa, 2016). Respondents' recommendations for improving public participation are in line with the step at the top of the ladder of citizen participation, the citizen control wherein citizens are very active and have increased decision making power on issues that affect them such as public projects with a socio-economic implication attached to it such as the GFIP. With citizen control, citizens organise themselves into specific units for purposes of taking decisions with an aim to ensure that government (or municipal council) fulfils its responsibility to the general public (Mdlalose, 2016). The recommendations also align with the designated power step on Arnstein (1969)'s ladder of citizen participation. With delegated power, citizens are still active and have decision-making powers – they have a say and what the general public says is considered and heard. The recommendations made by respondents above also fit within the partnership step of Arnstein (1969)'s ladder of citizenship participation. Participation also affords citizens active participation as decision makers, with power to influence decisions (Mdlalose, 2016). Partnership entails having the government,

through a public participation process, partner with or work together with stakeholders or community members to promote good governance, in some instances, extending to stakeholders sitting in meetings to observe the progress made in the implementation of public projects and governance issues (Mdlalose, 2016).

Lastly, the recommendations from the pro-GFIP group fit within the 4 stages of the continuum of public participation, more specifically the collaboration and control stages of the continuum (Krishnaswamy, 2009). In the collaboration stage, there is active involvement of public representatives in decision making processes. Sebola (2017) cites the shortcoming of this stage in the public participation continuum, which is the fact that the general public is represented by representatives when it comes to making the decisions that affect them, and further notes however, that this is mitigated by the fact that the same representative receive their mandate from the general public. The co-management or control refers to the public control of the decision-making process (Marzuki, 2015). This stage affords the general public more control over the decision-making machinery either by way of delegation or co-management (Sebola, 2017). The control stage gives the citizens public direct access to decision making enabling them to actively influence the decisions being made. Authors highlight that co-management or control stage of the public participation continuum is the ultimate of public participation as it involves the general public as active influencers of the decision-making process who control the process (Sebola, 2017; Marzuki, 2015).

On the question whether the interview participants thought the GFIP project was a successful one that achieved its goal to alleviate traffic congestion, as shown in Chapter 4, the interview participants were divided in their response. Those who criticised the GFIP opined that the GFIP was not a success, highlighting that less than 40% of people are paying, resulting in people feeling that the scheme, its policies and laws are unjust, too expensive and irrational. The respondents also felt that the public defiance campaign against e-tolls was too big to overcome, and further that the e-tolling user pay system will never succeed to raise the level of funds required to repay the loans, and the expensive collection process. The responses from the anti-GFIP participants highlighted above support the conclusions by Matsiliza on the importance of public participation for infrastructure projects such as the GFIP, especially when such projects will have a negative impact on the lives of citizens. Matsiliza (2016) highlights that public participation is a critical factor in the successful implementation of a project, especially public infrastructure projects. Matsiliza (2016) highlights lack of public participation in the planning and implementation phase of the e-tolls project as having led to the mass protests by various actors including COSATU, OUTA and citizens, and excessive project costs due to delays in implementing e-tolling system and utter rejection of the e-tolls by various stakeholders.

The interview participants who supported the GFIP were of the opinion that the GFIP was a huge success and further that the project achieved its purpose of easing traffic congestion on the Johannesburg roads. One participant had the following to add, “with an educated consumer who understands how public infrastructure projects are funded and with a model that is transparent around the cost, there will be a better buy in into the user-pay principle”. Another participant noted the importance of having a consultative process that is carried out in a transparent and inclusive manner to make provision and room for all the comments made by participants. The saying by one participant that the educated consumer should find it easy to understand the user-pay model as a method that is widely used to fund public infrastructure projects, one that is transparent on costs, is flawed in the sense that it assumes that all citizens who were to be consulted ought to have agreed with the e-tolling user-pay policy proposed by the government. The statement also ignored the fact that citizens do not all belong to the same socio-economic class, some are vulnerable, and some have less means and cannot afford to pay e-toll fees, especially given that this fee will be adding to their monthly financial expenses.

In view of the response from the pro-GFIP respondents above, Sebola (2017) highlights that the purpose of public participation in South Africa is to ensure that all actors that are or stand to be affected by a public authority’s decision have a right to be consulted and to contribute to the decision making process. This also includes road users in various demographic and socio-economic brackets. Given Tshoose (2015)’s observations that participatory processes such as public participation processes for public infrastructure projects such as the GFIP in South Africa are tarnished by lack of transformation characterised by lack of service delivery, corruption, lack of consistent feedback, limited involvement of stakeholders and lack of experience on the side of planners and decision makers, genuine citizen engagement through public participation that are genuine cannot be underscored. Given what all participants from both spectrums of the GFIP unanimously agreed on during the interviews (the short period within which public participation processes were carried out, and further that no feedback was given to the general public, save for the documents on the SANRAL website), the huge success being touted by the pro-GFIP respondents is quite marred. The recommendation by Van Belle and Cupido (2013) seems on point on what is needed for the success of a public participation process, which is the need to invest in public participation as an ongoing, evolving process that should lead to perception and mind set change on the part of the general public, with government committing to explore and find new systems, methods and platforms that facilitate public participation.

The literature review and data analysis have clearly indicated that there are gaps in the South African public participation process. These gaps are predominantly caused by the government’s blanket approach towards public participation. You cannot rely on the same

process of public participation when consulting on the passing of a new act compared to consulting for public infrastructure projects. It then becomes apparent that the needs and the extent of consultation will be deferent and dependent on the nature of what is the public being consulted on and what impact the change, or the development will have on the various stakeholders. It is there for important that government and its implementing agencies recognise that the legislation requirements are not enough to address public participation processes. Public infrastructure projects are often expected to meet certain socio-economic development goals, these projects are often in the spotlight and are then faced with the challenge of competing demands from an array of stakeholders (Tshidavu and Khatleli, 2020). These findings highlight that public participation must not only be used in the inception of the project; the findings advocate for public participation to be used though the life cycle of the project. Incorporating public participation into the life cycle of a project allows for public participation to be used as a strategic and risk management tool for implementing public projects. There is correlation between literature review and data collection that the south African government must overhaul the current public participation process as it is a major stumbling block to the South African development agenda. This the reinforces the overarching sentiments in the data collection that South African public infrastructure project has a lot of competing stakeholders that and implementing agencies must make sure that all the views and requirements of these stakeholders are met. It is therefore important that public participation is implemented at project level, public participation cost will also be allocated at different phases of the project , and this will strength and support process used and improve the outcomes of projects and assist government to improve its legitimacy amongst citizens.

5.3. Conclusion

Form the analysis of the findings of the interviews which are discussed in detail above, there is a correlation between the literature sources in Chapter 2 of this study and the interview respondents' responses to the interview questions which were posed to them by the researcher. The interviewee responses confirm the status of the South African public participation process. South African public participation process has short comings and that a shift to a people base development policy is required. In order to build an inclusive nation government and communities must work together to cultivate an active citizenship. The e-toll saga has demonstrated the importance of the Freedom Charter and the Constitution. It is through the provisions made by the freedom charter, that all the rights of all citizens are protected, and these rights point out to a public participation process that is inclusive. An inclusive and transparent participation in its nature intends to balance the inequalities of society. The respondents also indicate that heightened levels of inequality can hinder goals of

achieving an effective and participatory democracy as the system can easily be hijack by the privileged and political elite. It is therefore clear that a robust public consultation regiment must be enforced with a clear agender to empower the vulnerable and disenfranchised members of our communities. It is already a mandate and a prerequisite within the prescripts of the South African law that when large projects are rolled out, they must address socio-economic development goals (Tshidavu and Khatleli, 2020). It has become very apparent from literature that government has failed in addressing social concerns that arises from the implementation of public infrastructure projects(ibid.) There is enough evidence that point out that the failure in implementing public infrastructure projects is exacerbated by the one size fit all approach used by government when engaging with the public. Government must move away from the approach of providing service to the communities, government must use public participation to understand what the community requirements are. Public Consultation must be used to afford a process of dialogue between government and stake holders Khatleli (2018).This process on consultation is not only a once of milestone on the project kick off list, it should be a continues process throughout the life cycle of the project. It is also clear that this can be achieve by a deliberate action from government, government must overhaul the current public participation regiment. The government must move away from a legislative driven public participation system and adopt a project specific public participation regiment that will use public participation as a strategic and risk management tool for implementing public projects. Despite the abundance of literature on public participation in South Africa there is still very little coverage on the use of public participation as a risk management strategy through the life cycle of public infrastructure projects in south Africa. This study is relevant because it aims to understand the impediments of public participation process in South African public infrastructure projects. Once the bottlenecks in the current public participation strategies are identified the study then identifies the gaps in the current process. The study then gives recommendations of what will constitute an appropriate process or strategy for implementing public infrastructure projects in South Africa using the GFIP as a case study. The study further suggest that public participation must be an iterative design process thought out the various stages of the life cycle of the project.

CHAPTER 6: CONCLUSION AND RECOMMENDATIONS

6.1. Introduction

This chapter provides a conclusion and recommendations to the study. To this end, it first provides a summary of the study, and then proposes recommendations for implementation to improve practice and to inform future research.

6.2. Summary of the study

The study summary is according to the five chapters of the study preceding this one, and this section will summarise key concepts and processes starting from the background of the study, followed by the literature review, the study methodology, the research findings and finally, the analysis of the study research findings.

6.2.1. Summary of the introduction of the study

In its introductory chapter, the study discussed the background of the study, the problem statement, aim of the study, research objectives and research questions as well as the significance of the study.

On the background of the study, the research problematized the slow pace of road infrastructure projects in Sub-Saharan Africa the region's lowest road density which has been declining for the last twenty years, and the research points to fast pace of urbanisation, congestion and the negative impacts of economic development, thereby necessitating that Africa, like many European countries, makes use of Public-Private Partnerships (PPPs) to source funds for improving its transport infrastructure to promote trade and commerce, and to facilitate easier movement of goods, services and freight across Africa. The study pointed out that PPPs are not a new phenomenon in South Africa, highlighting that, since 1999, the government of South Africa has financed the improving of public capital assets, serving public interest and ensuring public goods and service delivery through PPPs. More specifically, the study highlighted the decision by the South African government to address the challenge of poor infrastructure and roads through policies aimed at improving its existing roads, improving the country's freeways, and making use of the e-tolling system.

The study introduced the Gauteng Freeway Improvement Project (GFIP), highlighting the rationale behind this big public project, which amongst other things included the consideration that the Gauteng Province is the country's industrial and financial hub, and the nation's biggest contributor to the total gross domestic product. It was against this backdrop that the Gauteng

provincial government sought to provide public services through a privately funded scheme to upgrade and improve its major roads, in a bid alleviate congestion and strengthen the economy targeting the freeway network as part of the Gauteng Freeway Improvement Project. The study discussed the genesis of the GFIP which emerged from a SANRAL feasibility study conducted in 2004, which found that Gauteng roads needed major upgrade and overhaul processes in order to maintain and support the province's economic growth. As the study showed, following this study, the GFIP was initiated and launched by the government in 2007, with great expectation that it was going to contribute up to R29 billion into the South African economy and an estimated R13 billion into the provisional gross domestic product and creation of up to 30 000 direct jobs for the duration of the project. Notwithstanding the high hopes for the success and contribution of the project, the study highlighted the challenge of lack of public participation in the planning and implementation phases of the public projects such as PPPs. The study further highlighted the negative impact of lack of public participation in the implementation of the GFIP and its e-toll system, highlighting that while government celebrated the GFIP, citizens on the other hand decried the implementation of this project due to its socio-economic implications on road users and the fact that the costs incurred in the GFIP were envisaged to be paid through the user-pay system of e-tolls. The study highlighted the negative impact of lack of public participation in the planning and implementation phase of the e-tolls project which saw massive protests by various actors including COSATU, OUTA and community members.

Furthermore, the introductory chapter of the study introduced the problem statement of the study, highlighting the problem of many public projects in South Africa being subjected to public resistance, with some not being accepted altogether. The study problematised this public resistance and the general public's discontentment's effects on the GFIP and its e-tolling programme, which the study attributed to the failure by the government to adequately consult the general public on such public projects. To this end, the study sought to assess the inclusiveness and transparency of public consultation processes in South Africa prior to the implementation of public infrastructure projects, using the GFIP as a case study. To achieve the primary goal of the research, the following objectives of the study were identified; assessing the nature of public participation processes in the planning of public infrastructure projects; analysing the transparency of the consultative process when implementing projects; investigating the process followed during public consultations to identify stakeholders; and identifying feedback mechanisms that have been allowed or initiated during the consultation process. The study primary research question was discussed, which was; how transparent and inclusive is the South African Public Consultation process in the implementation of public infrastructure projects? The secondary research questions were also asked; what is the nature

of public participation processes in the planning of public infrastructure projects? How transparent is the consultation process in the implementation of public projects in South Africa? How are stakeholders identified during the public consultation process? What are the public feedback mechanisms during the consultation process?

Chapter one of the study also discussed the significance of the research which included having the research findings contributing significantly to the public consultation and public participation regimen when it comes to privately funded infrastructure projects in South Africa. The study highlighted that the research was also going to make recommendations on public consultation strategies, and recommendations for future research in order to enrich the field significantly.

The introductory chapter also discussed the limitations of the study which included the fact that the study only focused on assessing public consultation processes in the implementation of public infrastructure projects, and used the case study of the Gauteng Freeway Improvement Projects (GFIP) only, without focusing on other PPP projects that have been implemented in the country; the study was only limited to public consultation and public participation in these projects and did not extend to discuss other components of the GFIP; and lastly that the study did not quantify the cost of the public participation on projects. On assumptions of the study, the research was conducted on the basis of the following assumptions:

- Public participation encourages transparency and accountability by government administration to the citizens (Fombad, 2013).
- Successful projects have a public consultation policy and are implemented during the feasibility stage.
- The government will scrap the user pay principle open road tolling (the e-toll system) in favour of an additional fuel levy increase.
- Funding the GFIP debt through the South African fiscus will result in credit rating downgrade to below investment grade as the country will struggle to service its debt.
- Failure by SANRAL to recover the cost of GFIP from the road users will result in failure to implement and maintain future road infrastructure and this will lead to unprecedented congestion on the existing road network.
- GFIP Failure will impact negatively on the country's economy (Ittmann, 2017).

- The performance of the South African economy will be dependent on the implementation of the second phase of the GFIP and the expansion and refurbishment of alternative transport systems.

6.2.2. Summary of the literature review

The literature review in Chapter 2 of the study detailed the literary underpinnings of the different concepts relevant to this study. The study began by discussing the concept of public-private partnerships (PPPs), providing academic definitions of PPPs. The definitions of PPPs encompassing the various concepts, summarises PPPs as cooperative agreements between multinational corporations (the private sector) and governments (the public sector) to finance, construct and maintain infrastructure projects for economic development, wherein, private sector investment is expected to be repaid from revenues generated by the public infrastructure.

The study further defined the concept of public participation, which is also the central theme of the study. The study discussed the various definitions by various scholars, which definitions all pointed out that public participation is a process that brings together various actors, through including them and affording them opportunities to influence decision making, especially those who are or will be affected the most by the decision being considered. The literature review also discussed in detail the nine objectives of public participation as articulated by Glicker, Driessen, Kolhoff, and Runhaar (2013) which are; influencing decisions, enhancing democratic capacity, facilitating social learning, empowering and emancipating marginalised individuals and groups, harnessing local information and knowledge, incorporating experimental value-based knowledge, testing the robustness of information from other sources, generating legitimacy and resolving conflict. Within the purview of the definition of public participation, the study further problematized the current status quo when it comes to public participation in South Africa, highlighting that where it happens, it is sporadic and brief, with very little feedback being given to the general public who may have participated. The study also highlighted the challenge of how public participation is communicated to the stakeholders in the South African context, noting that both communication and getting people to participate in policy decisions is extremely difficult due to use of ineffective communication tools by government, inability of citizens to participate owing to barriers such as language, distance, lack of resources, and unwillingness to participate because they have no interest in politics, see no benefit in participating or those who do not trust the government to genuinely consider their inputs in decision making.

Following the definition of public participation, the study discussed the history of public participation, tracing it to ancient Greece and the Colonial New England as far back as the mid-1960s, highlighting that in present times, public participation has become standard practice and a necessity for a successful democracy. The study also engaged in an academic discussion on the dynamics of public participation in South Africa, tracing it to its constitutional underpinning in Chapter 1 of the Constitutions and the specific provisions in sections 118 and 152 of the Constitution. The study pointed out that notwithstanding this constitutional backing of public participation in South Africa, lack of transformation characterised by lack of service delivery, corruption, lack of consistent feedback, limited involvement of stakeholders and lack of experience on the side of planners and decision makers tend to tarnish the citizens' enjoyment of this participatory democratic right. The study highlighted the need to invest in public participation as an ongoing, evolving process that should lead to perception and mind set change on the part of the general public, with government committing to explore and find new systems, methods and platforms that facilitate public participation. The study further discussed democracy as an enabler of public participation, highlighting that democracy has enabled public participation in public service decision making. Democracy is defined in this chapter as a two-pronged notion, firstly, as a form of government in which all citizens have, and exercise the right to make political decisions in accordance with the system of majority rule, also referred to as direct democracy; and secondly, as a form of government where citizens elect representatives to make public decisions on their behalf. The study concluded that democracy therefore ultimately requires citizen participation, and that without public or citizen participation and involvement, democracy is empty and meaningless. The study however noted that the indispensable principle of democracy entails public participation wherein citizens are enabled to participate if they so choose, through effective communication channels, and further that the ultimate mark of democracy is embodied in the freedom of citizens or the general public to choose to participate or not.

The study also discussed the three types of democracy namely, representative democracy, which South Africa uses wherein citizens elect representatives to make political decisions on their behalf; direct democracy where citizens enjoy uninterrupted authority to influence government decisions by representing themselves through voting directly on issues that concern them, and lastly, participatory democracy which is seen as a vital instrument in promoting accountability in government as it facilitates citizens' awareness of government's programs and policies and the processes of achieving or undertaking them, and citizens' public participation is seen as a form of participatory democracy that citizens enjoy in South Africa. Democratic governance in South Africa was also discussed, tracing its emergence from 1994 when South Africans exercised their democratic right to vote for the very first time

signifying that South Africa finally belonged to all who live in it, with black and white citizens working together to build a new society with its foundations on democratic values. The study pointed out that the South African Constitution is the basis for a democratic South Africa and further that citizen participation has been given priority in the national agenda.

In its discussion of the importance of public participation, the study argued that public participation keeps the general public abreast of the latest developments in their community. The key role of public participation in educating citizens about the government's development programmes while at the same time influencing the social and personal changes among members of the general public through incorporating the diverse interests of the general public by according them their right to participate in the decisions that have a bearing on their lives – was also highlighted. The study further discussed the Arnstein's ladder of participation with its steps of *citizen control* (which affords the citizens the strongest decision making power); *delegated power* which gives citizens decision making powers through delegated authority; *partnership*, which also gives citizens power through a partnership between government and citizens in decision making; *placation* wherein citizens are placated and have no power to make decisions; *consultation* wherein participation amounts to tokenism, with citizens having no real power on decision making; *informing* where citizens are given information during public participation processes, with no power to influence decision making; *therapy* where citizens do not participate in the decision making, and although the citizens can obtain information and be heard by the decision-makers when they voice out their opinions, they cannot be assured that their contributions will be taken into account; and finally *manipulation* where citizens are manipulated by the government, through fake consultations which are aimed at legitimising a process without meaningful or real consultation process taking place.

The study further discussed methods of public participation as discussed by scholars, noting that there exists a number of procedures for participation that are meant to consult, involve and inform the public, especially ensuring that those affected by a public decision contribute to the decision-making process. Amongst the many methods of public participation, the study discussed public hearings which have a pre-requisite of participants' physical presence during the public hearing; surveys which gather information through participants' feedback or responses to questions posed to them via a questionnaire; focus groups which allow participants to highlight how they feel about certain issues, and collect data on the participants' knowledge, attitudes and experiences through an interactive process; wherein citizens exercise their participatory democracy through periodic voting, thereby publicly participating in the governance process; public meetings which offer the general public an opportunity and platforms for discussing together with political leadership in person, articulating their needs

and challenge and receiving feedback; open meetings which are open to all community members, welcoming all members of the public and are a rich method of participation as they are broadly representative of the community; and referendums which are a method that secures public input in policy-making and which are commonly used in constitutional and political matters, given that their outcomes are binding.

The study also discussed public consultation strategies, highlighting the need for public participation to facilitate engagement of government with stakeholders and other individuals with an interest in the policy and decision making process; the need to increase transparency in the process on matters that may impact people's lives; the need for the consultation process for stakeholders to have prior substantial knowledge about the decision and the problem being consulted further that consultation strategies should comprise of a series of opportunities for purposes of creating understanding about the decision among those who will be affected by such decision or those with an interest in it. Finally, the study discussed the theoretical foundations of the study providing a framework underpinning the study, of stakeholder's theory, the political theory and the democracy theory.

6.2.3. Summary of the research methodology

As discussed in detail in Chapter three of this study, the study adopted a qualitative research method which is used to provide answers to questions on experience, meaning and perspectives of the study participants and the data collected. On the research philosophy, the study adopted the interpretivist research philosophy which is grounded on the belief that methods used to understand knowledge about human and social sciences differ from those used in physical sciences, considering that human science interprets the world and acts accordingly. In line with the qualitative research method, the study adopted an inductive research approach which is used to bridge the gap in logic argument between what is observed and the conclusion, wherein the conclusion is deemed to be supported by the observations undertaken. The study was exploratory in nature, and as such, exploratory actions were undertaken to discover and learn about something. A case study which focused on the Gauteng Freeway Improvement Project (GFIP), a case which is unique to South Africa's Gauteng Province as this phenomenon, was used. The study population as discussed in Chapter 3, consisted of the implementing agencies and organisations that have been active, vocal and critical of how the GFIP project was implemented in the Gauteng Province. Due to the unique nature of this study, these organisations were pre-identified on the basis of Chapter 3 discussed the sample size of the study, wherein 22 organisations were identified, and purposive sampling technique was applied with the intention to only interview participants with abundant insight and information concerning public participation process on the GFIP.

For its research instrument and data collection methods, the study made use of a questionnaire as a research instrument to collect data. The study made use of the following data collection methods: (1) combination of structured questionnaires comprising of open-ended leading questions as well as semi-structured interviews; and (2) participant observation and conversations. For data analysis, the data collected from the interviews was arranged according to the research objectives of the study. Data collected through interviews was then analysed using thematic analysis.

The study further discussed the validity and reliability of the study, highlighting triangulation through confirming the primary data findings with the secondary data offerings, as well as the trustworthiness of the study. Finally, ethical considerations that underpinned the study were discussed which included consent, confidentiality and respondents' freedom to opt out of the interviews, amongst others.

6.2.4. Summary of the Research Findings and Analysis of Research Findings

Chapter 4 of this study presented the findings of the study in great detail, and in Chapter five, the findings were comprehensively analysed against the research methodology and the literary sources.

On the interview respondents' knowledge of the GFIP, the study findings proved that all respondents' possessed excellent knowledge of the GFIP and the e-tolling programme, including the purpose and objectives of the GFIP, which showed the great success of the study's purposive sampling technique in choosing the interview participants. The criticism levelled against the GFIP implementation by some respondents confirmed the literature assertions that the general public was excluded from the decision-making process, which exclusion led to dissatisfaction and criticism of the implementation of the GFIP. The divergent views exhibited by the respondents on the implementation of the GFIP also affirmed academic observations that the GFIP and e-toll system was met with mixed feelings, owing to the socio-economic impact that the project had on the road users, and the top-down approach that was adopted by the government in imposing e-tolls to repay the money spent on the GFIP.

On analysis, the findings of respondents' polarised views on whether their views were considered in the implementation of the GFIP, revealed that the grievances stemmed from the fact that the platform of public participation was made available at the time when the affected stakeholders, who stood to be most affected by the GFIP and the e-tolling system, were excluded from participating. Participants' excellent understanding of public participation and their articulation of what it entailed, aligned with the literature definitions of public participation and what it purported to do. On the policies that regulated public participation on the GFIP

project, the ambiguity displayed by some participants reflected the inadequacy of constitutional provisions alone as the public participation policy, given its two provisions on sections 118 and 152, and its implied participatory democracy provisions. Due to this ambiguity or rather the lack of targeted policy for public participation, the findings from the anti-GFIP group confirmed scholarly assertions that in instances where public participation exists, it tends to be brief, sporadic – that is only aimed at paying lip-service and decorative purposes to specific stages of public projects planning and programming.

On assessing the nature of public participation processes in the planning of public infrastructure projects, participants' unanimous response from all participants that the public participation methods employed in the GFIP were not adequate, serving as a tick-box exercise confirmed literature assertions from Bobbio (2019) that public participation can be manipulated by the government when they need resources that are difficult for them to raise wherein they use participation as a tool that can provide cognitive resources and political resources (which include consensus and legitimacy that policy makers require in order to garner support on problematic issues). Findings also confirmed the manipulation type of citizen participation from Arnstein (1969)'s Ladder of Citizen Participation where stakeholders are manipulated by the government, though fake consultations which are aimed at legitimising a process without meaningful or real consultation process taking place.

In analysing the transparency of the consultative process when implementing projects, the study's findings of unanimous responses in participants' responses that the public participation process did not consider the views of the various stakeholders and their concerns affirmed the consultation stage of the 4-stages of the continuum of public participation discussed by Krishnaswamy (2009). The consultation stage of public participation continuum affords the general public opportunities to contribute to decision making processes through a two-way flow of information between people and the authorities, although there is no obligation on the part of the authorities to take into account the views from the general public. On whether public participation was a transparent process, some of the interview respondents' the decisions were pre-determined before the public participation process and further that the public participation process was not transparent confirmed Sebola (2017)'s assertions on the challenge in South Africa that affects the transparency factor of public participation processes, of how public participation is communicated to the stakeholders, lack of use of effective communication tools by the public authorities when communicating with the general public, and the existence of barriers such as language, distance and lack of resources.

The study also sought to identify feedback mechanisms that have been allowed for or initiated during the consultation process. To this end, the study findings on the roles of public

participation as the basis for decision-making process and to strengthen dialogue on public decisions were in line with the literature assertions on the definitions of public participation that it is a component of the democratic decision-making process (Maphazi et al., 2013); that it is a structure of public decision making that involves various actors drawn from the private sector, civil society and the general public at large through varying degrees of communication and collaboration, with the decision makers delegating decision making power to the various stakeholders engaged (Newig et al., 2018); and that it is a procedural tool through which policymakers seek to include new actors (citizens) in a policy network, thereby entrusting them with some design-related responsibilities (Bobbio, 2019). On the purposes of public participation, the interview respondents responses such as raising public awareness, gathering relevant information from the general public to inform decision-making processes and the purpose of considering alternative policy options, were in line with the literature review offerings on the benefits of public participation in educating citizens about the government's development programmes while at the same time influencing the social and personal changes among members of the general public through incorporating the diverse interests of the general public (Marzuki, 2015).

All participants' views on the characteristics of public participation, of inclusivity, transparency and ensuring public's access to all the relevant information associated with the public project to facilitate accountability were also in line with the literature offerings on public consultation strategies which require that public participation must afford government's engagement with stakeholders and other individuals with an interest in the policy and decision making process to increase transparency in the process on matters that may impact people's lives (Campbell et al., 2017); lead better outcomes in decision making processes especially when participants or stakeholders have prior substantial knowledge about the decision and the problem being consulted on (Isopi et al., 2014); achieve social impact which calls for strategies that comprise of a series of opportunities for purposes of creating understanding about the decision among those who will be affected by such decision or those with an interest in it (Marzuki, 2015).

Lastly, the respondents shared their views on how public participation can be used by government to implement policy and be a platform to address community needs. On recommendations on how to improve public participation, respondents' responses that SANRAL needed to consult widely with all affected stakeholders including entities, organisations, businesses and associations for inclusivity; the need to afford stakeholders more time for giving inputs, emphasising that a period of 8-12 weeks previously mentioned in an earlier question should be standardised and applied in future projects; the need for SANRAL and the government to take the general public and the various stakeholders affected by the public project being implemented into their confidence from the onset of the project

planning and implementation, to “make the stakeholders feel that they are part of the process”; and lastly, the need for SANRAL and the government to be transparent to the general public confirmed literature sources. Cupido (2013) highlighted the need to invest in public participation as an ongoing, evolving process that should lead to perception and mind set change on the part of the general public, with government committing to explore and find new systems, methods and platforms that facilitate public participation. Scholars also highlight that public participation should increase transparency in the process on matters that may impact people’s lives (Campbell et al., 2017). Tshoose (2015) highlights the need for public participation mechanisms that accommodate all individuals and their areas of interest, taking into account the realities and disproportions that exist among the vulnerable groups in society such as women, people living with disabilities and people.

6.3. Recommendations

6.3.1. Recommendations to improve practice

- *Comprehensive one-stop policy regulating public participation in infrastructure projects*

In view of some of the gaps revealed in literature and in the interview findings, this study proposes the development of a comprehensive policy on public participation for public infrastructure projects. The comprehensive policy is proposed to consolidate the various provisions on public participation that currently exist on different pieces of legislation regulating specific public infrastructure projects. Such a policy will have the constitutional provisions on public participation as its point of departure, given that the Constitution is the supreme law of the land.

This study proposes that this policy should incorporate the study findings on the respondents’ recommendations on how to improve public participation for public projects, including the recommendation that the respondents’ proposed 8-12 weeks’ period be standardised as a reasonable length of period for public participation engagements, and to be applied in future projects. The manual should also propose meaningful public participation methods and strategies, by prescribing the minimum benchmarks that a successful public participation process should adhere to. Given the literature assertions on this study that impediments such as language, lack of knowledge about the decision being discussed are what sometimes stop participants from participating, the policy may also include as one of its benchmarks, citizen education on the action or decision as a pre-requisite of a public participation process.

6.3.2. Recommendations for future research

Given the limitations of this study highlighted in Chapter 1, of the research's focus only on one public infrastructure project in Gauteng, there may be difficulties in replicating the results of this study elsewhere. There is therefore a need for future research to consider a comparative study between public participation in public infrastructure projects in different South African provinces, to test whether the results of this study can be replicated elsewhere.

The study also recommends a policy to regulate public participation only for public infrastructure projects, owing to the fact that this study focused solely on public infrastructure projects and not on other disciplines. Future research can be carried out to focus on public participation in South Africa generally, thereby recommending a national policy encompassing all fields. This research is inadequate when it comes to proposing an all-encompassing national policy covering public participation more broadly, including other disciplines.

Furthermore, this research, although it mentioned that PPPs have been in existence in South Africa since the 1990s, this study did not include an analysis of the different public infrastructure projects in South Africa, to compare and determine how the GFIP fared when it comes to public participation compared to other similar projects. This study proposes that future research should undertake such an analysis on measuring the level and consistency of the practice of public participation for public infrastructure projects in South Africa or even in the Gauteng Province alone where several PPP projects have been undertaken.

6.4. Conclusion

In its assessment of public consultation strategies in the South African infrastructure projects: a case of the Gauteng Freeway Improvement Projects (GFIP), the study embarked on primary and secondary research resources. Both sources have highlighted serious policy and practice gaps when it comes to public participation in South Africa, notwithstanding the robust, hailed constitutional underpinnings for participatory democracy processes such as public consultations. Literature and interview findings affirmed the status quo when it comes to public participation, prompting recommendations that seek to bridge the policy gap as a way of shaping practice of public participation for public infrastructure projects in South Africa.

REFERENCE

- Akaranga, 2016. Ethical considerations and their applications to Research: A case of the University of Nairobi. *Journal of Educational Policy and Entrepreneurial Research* 3, 1–9.
- Amoah, C., Kajimo-Shakantu, K., Shalkwyk, T.V., 2019. The level of participation of the end-users in the construction of the RDP houses: the case study of Manguang municipality. *International Journal of Construction Management* 0, 1–12. <https://doi.org/10.1080/15623599.2019.1672011>
- André, P., Enserink, B., Connor, D., Croal, P., 2006. Public participation international best practice principles. Special publication series 4, 1–3.
- Arnstein, S.R., 2019. A Ladder of Citizen Participation. *Journal of the American Planning Association* 85, 24–34. <https://doi.org/10.1080/01944363.2018.1559388>
- Asimakopoulous, J., Asimakopoulous, J., 2016. A radical proposal for direct democracy in large societies. *Brazilian Journal of Political Economy* 36, 430–447. <https://doi.org/10.1590/0101-31572016v36n02a10>
- Baloyi, M.L., Lubinga, E.N., 2017. After Izimbizo, what next? A participatory development communication approach to analysing feedback by the Limpopo Provincial Government to its citizens. *The Journal for Transdisciplinary Research in Southern Africa* 13, 7. <https://doi.org/10.4102/td.v13i1.402>
- Baume, S., 2013. Hans Kelsen and the Case for Democracy. ECPR Press.
- Beresford, P., 2019. Public Participation in Health and Social Care: Exploring the Co-production of Knowledge. *Front. Sociol.* 3. <https://doi.org/10.3389/fsoc.2018.00041>
- Bevir, M., 2008. *Key Concepts in Governance*, 5th ed. SAGE.
- Birt, L., Scott, S., Cavers, D., Campbell, C., Walter, F., 2016. Member Checking: A Tool to Enhance Trustworthiness or Merely a Nod to Validation? *Qual Health Res* 26, 1802–1811. <https://doi.org/10.1177/1049732316654870>
- Bobbio, L., 2019. Designing effective public participation. *Policy and Society* 38, 41–57. <https://doi.org/10.1080/14494035.2018.1511193>
- Bryman, A., 2015. *Social Research Methods*, Fifth Edition. ed. Oxford University Press, Oxford, New York.

Calderon, C., Cantu Canales, M.C., Chuhan-Pole, P., 2018. Infrastructure development in Sub-Saharan Africa: a scorecard (No. 8425), Policy Research Working Paper Series. The World Bank.

Campbell, B., Tabiri-Essuman, J., Gallo, H., Verdiel, V., Mandava, L., Azhar, M.A., Powell, J., 2017. Public consultation changes guidance on the use of health-care interventions. An observational study. *Health Expect* 20, 361–368. <https://doi.org/10.1111/hex.12476>

Castro, C.M. de, 2013. Public hearings as a tool to improve participation in regulatory policies: case study of the National Agency of Electric Energy. *Revista de Administração Pública* 47, 1069–1087. <https://doi.org/10.1590/S0034-76122013000500001>

Cavanaugh, W.T., Bailey, J.W., Hovey, C., 2011. *An Eerdmans Reader in Contemporary Political Theolog*. Wm. B. Eerdmans Publishing.

Chaney, P., 2016. Civil Society and Gender Mainstreaming: Empirical Evidence and Theory-Building from Twelve Post-Conflict Countries 2005–15. *World Development* 83, 280–294. <https://doi.org/10.1016/j.worlddev.2016.01.010>

Collis, J., Hussey, R., 2013. *Business Research: A Practical Guide for Undergraduate and Postgraduate Students*, 4th ed. Macmillan International Higher Education.

Creswell, J.W., 2014. *Research Design: Qualitative, Quantitative, and Mixed Methods Approaches*. SAGE.

De Vos, A.S., Strydom, H., 1998. *Research at grass roots: a primer for the caring professions*. J.L. van Schaik : Academic, Pretoria.

Doria, N., Condran, B., Boulos, L., Curtis Maillet, D.G., Dowling, L., Levy, A., 2018. Sharpening the focus: differentiating between focus groups for patient engagement vs. qualitative research. *Research Involvement and Engagement* 4, 19. <https://doi.org/10.1186/s40900-018-0102-6>

Dykes, B.J., Jones, C.D., 2016. Public-Private Partnerships in Africa: Challenges and Opportunities for Future Management Research. *Africa Journal of Management* 2, 381–393. <https://doi.org/10.1080/23322373.2016.1206806>

Etikan, I., Musa, S.A., Alkassim, R.S., 2015. Comparison of Convenience Sampling and Purposive Sampling. *American Journal of Theoretical and Applied Statistics* 5, 1. <https://doi.org/10.11648/j.ajtas.20160501.11>

Eyisi, D., 2016. The Usefulness of Qualitative and Quantitative Approaches and Methods in Researching Problem-Solving Ability in Science Education Curriculum. *Journal of Education and Practice* 7, 91–100.

Farquhar, D., 2013. *NCEA Business Studies: A Workbook @ Level 2*. Nelson Cengage Learning New Zealand.

Fombad, M., 2013. An Overview of Accountability Mechanisms in Public - Private Partnerships in South Africa. *Ufahamu: A Journal of African Studies* 37.

Gilbert, N., Stoneman, P., 2015. *Researching Social Life: 4th Edition*. SAGE, London, UK.

Glucker, A.N., Driessen, P.P.J., Kolhoff, A., Runhaar, H.A.C., 2013. Public participation in environmental impact assessment: why, who and how? *Environmental Impact Assessment Review* 43, 104–111. <https://doi.org/10.1016/j.eiar.2013.06.003>

Hammarberg, K., Kirkman, M., de Lacey, S., 2016. Qualitative research methods: when to use them and how to judge them. *Hum Reprod* 31, 498–501. <https://doi.org/10.1093/humrep/dev334>

Hammersley, M., 2013. *What is Qualitative Research?* Continuum/Bloomsbury, London.

Isopi, A., Nosenzo, D., Starmer, C., 2014. Does consultation improve decision-making? *Theory Decis* 77, 377–388. <https://doi.org/10.1007/s11238-014-9449-9>

Ittmann, H.W., 2017. Private–public partnerships: A mechanism for freight transport infrastructure delivery? *Journal of Transport and Supply Chain Management* 11, 13. <https://doi.org/10.4102/jtscm.v11i0.262>

Kersting, N., 2011. Constitutional Review and Referendums in Kenya. 1 40. <https://doi.org/10.4314/ai.v40i4.65930>

Khatleli, N., 2018. CONDESCENDING BENEVOLENCE: COMPARING SOUTH AFRICAN AND THE UK CONSULTATION PROTOCOLS. SACQSP Conference, Johannesburg, South Africa 1.

Khatleli, N., 2020. Guidelines for implementing PPPs in SADC. SAIIA

Khatleli, N., 2016. The Impediments to Efficient Megaproject Implementation in South Africa. ARCOM Conference, 5-7 September 2016. Manchester, United Kingdom 2, 803–812.

Khatleli, N., 2014. South African E-toll Consultation Saga. Lessons for Public Consultation in Megaprojects. Construction Management Conference 1, 224–237.

Khatleli, N., Baloyi, M., Gushu, L., Khan, I., 2017. IT'S GOOD FOR YOU DON'T WORRY: A COMPARISON OF SOUTH AFRICAN AND INTERNATIONAL PUBLIC CONSULTATION PROTOCOLS. 11th Built Environment Conference 1, 465–477.

Koski, J., Verkuijl, C., Strambo, C., Piggot, G., 2019. Making space: how public participation shapes environmental decision-making.

Kyei, R.O.-, Chan, A.P.C., 2016. Developing Transport Infrastructure in Sub-Saharan Africa through Public–Private Partnerships: Policy Practice and Implications. *Transport Reviews* 36, 170–186. <https://doi.org/10.1080/01441647.2015.1077288>

Leedy, P.D., Ormrod, J.E., 2005. *Practical research: planning and design*, 9th ed.

Lenz, N.V., Skender, H.P., Mirković, P.A., 2018. The macroeconomic effects of transport infrastructure on economic growth: the case of Central and Eastern E.U. member states. *Economic Research-Ekonomska Istraživanja* 31, 1953–1964. <https://doi.org/10.1080/1331677X.2018.1523740>

Leta-Leroux, M., 2019. An Exploratory Inquiry into the Role that Culture and Ethnicity Play in the Success of First-Generation Hispanic Entrepreneurs in the U.S. *Problemy Zarzadzania* 81, 179–211.

Li, T., Ng, S.T., Skitmore, M., Li, N., 2016. Investigating stakeholder concerns during public participation. *Proceedings of the Institution of Civil Engineers: Municipal Engineer* 169, 199–219.

Lietz, C.A., Zayas, L.E., 2010. Evaluating Qualitative Research for Social Work Practitioners. 11, 188–202. <https://doi.org/10.18060/589>

Lues, L., 2014. Citizen participation as a contributor to sustainable democracy in South Africa. *International Review of Administrative Sciences* 80, 789–807.

Maphazi, N., Raga, K., Taylor, J.D., Mayekiso, T., 2013. Public participation: a South African local government perspective. *African Journal of Public Affairs* 6, 56–67.

Marzuki, A., 2015. Challenges in the Public Participation and the Decision-Making Process. *Sociologija i prostor/Sociology & Space* 53.

Masipa, T., 2018. South Africa's transition to democracy and democratic consolidation: A reflection on socio-economic challenges. *Journal of Public Affairs* 18, e1713. <https://doi.org/10.1002/pa.1713>

- Matshidze, L., Root, D., 2017. Evaluating Risks Sharing Mechanism within South African Public Private Partnerships Framework – The Case of Gauteng Freeway Improvement Project. https://doi.org/10.5176/2301-394X_ACE17.131
- Matsiliza, N.S., 2016. Critical factors in respect to managing the e-toll road project in Gauteng, South Africa. *African Journal of Hospitality, Tourism and Leisure* 5, 1–10.
- Mdlalose, M., 2016. Assessing the state of public participation and service delivery: the case of Maphumulo Municipality. (Thesis). University of Kwazulu-Natal.
- Merriam, S.B., Tisdell, E.J., 2016. *Qualitative research: A guide to design and implementation*, 4th ed. John Wiley & Sons.
- Mikuli, P., Kuca, G., 2016. The Public Hearing and Law-Making Procedures. *Liverpool Law Rev* 37, 1–17. <https://doi.org/10.1007/s10991-016-9177-z>
- Modise, L.J., 2017. The notion of participatory democracy in relation to local ward committees: The distribution of power. In *die Skriflig/In Luce Verbi* 51, 8. <https://doi.org/10.4102/ids.v51i1.2248>
- Mokgosi, R., Khatleli, N., 2018. 25. Critical Success Factors of Public Participation in Infrastructure Project Implementation: A Paradigm Shift in Training for Quantity Surveyors. SACQSP conference, Johannesburg, South Africa 1, 254–262.
- Muronda, B., 2017. A conceptual public participation framework for ward committees to promote local government democracy (Thesis). North-West University (South Africa), Potchefstroom Campus.
- Netswera, F.G., 2014. The underlying factors behind violent municipal service delivery protests in South Africa. *Journal of Public Administration* 49, 261–273.
- Netswera, M.M., 2012. Local government elections trends: 2000-2011. *Politeia* 31, 74–89.
- Newig, J., Challies, E., Jager, N.W., Kochskaemper, E., Adzersen, A., 2018. The Environmental Performance of Participatory and Collaborative Governance: A Framework of Causal Mechanisms. *Policy Studies Journal* 46, 269–297. <https://doi.org/10.1111/psj.12209>
- Noble, H., Smith, J., 2015. Issues of validity and reliability in qualitative research. *Evidence-Based Nursing* 18, 34–35. <https://doi.org/10.1136/eb-2015-102054>
- O. Nyumba, T., Wilson, K., Derrick, C.J., Mukherjee, N., 2018. The use of focus group discussion methodology: Insights from two decades of application in conservation. *Methods in Ecology and Evolution* 9, 20–32. <https://doi.org/10.1111/2041-210X.12860>

- Pacariz, L., 2014. The impact of e-tolling on the recreational spending of people living in the Vaal Region (Thesis). North-West University (South Africa), Potchefstroom Campus.
- Papa, R.O., 2016. Factors influencing public participation in project development in Busia county Kenya (Thesis). University of Nairobi.
- Parrock, P., 2015. Mega project analysis: a case study of the Gauteng Freeway Improvement Project (Thesis). Stellenbosch: Stellenbosch University.
- Phillips, A.W., 2017. Proper Application of Surveys as a Study Methodology. *Western Journal of Emergency Medicine: Integrating Emergency Care with Population Health* 18, 8–11. <https://doi.org/10.5811/westjem.2016.11.32000>
- Podolnjak, R., 2015. Constitutional Reforms of Citizen-Initiated Referendum. Causes of Different Outcomes in Slovenia and Croatia. *Revus. Journal for Constitutional Theory and Philosophy of Law / Revija za ustavno teorijo in filozofijo prava* 129–149.
- Ponto, J., 2015. Understanding and Evaluating Survey Research. *J Adv Pract Oncol* 6, 168–171.
- Quick, K., Bryson, J.M., Ansell, C., Torfing, J., 2016. Theories of Public Participation in Governance. *Handbook on Theories of Governance*.
- Rahman, M.S., 2017. The Advantages and Disadvantages of Using Qualitative and Quantitative Approaches and Methods in Language “Testing and Assessment” Research: A Literature Review. *Journal of Education and Learning* 6, 102–112.
- Renkamp, A., 2015. Paving the Path for Citizen Participation in Infrastructure Projects. *Einwurf Future of Democracy* 1/2015 [WWW Document]. URL <http://aei.pitt.edu/74114/> (accessed 4.3.21).
- Rowe, G., Frewer, L.J., 2000. Public Participation Methods: A Framework for Evaluation. *Science, Technology, & Human Values* 25, 3–29. <https://doi.org/10.1177/016224390002500101>
- Saunders, M., Lewis, P., Thornhill, A., 2016. *Research methods for business students* Seventh Edition, 7th ed. Harlow, England: Pearson Education Limited.
- Schroeder, L., O’Leary, R., Jones, D., Poocharoen, O.O., 2004. Routes to Scholarly Success in Public Administration: Is There a Right Path? *Public administration review* 64, 92–105. <https://doi.org/10.1111/j.1540-6210.2004.00349.x>
- Sebola, M.P., 2017. Communication in the South African public participation process: the effectiveness of communication tools. *African Journal of Public Affairs* 96, 25–35.

Seeletse, S.M., 2017. Performance of South African private-public partnerships. *Problems and Perspectives in Management* 14, 19–26. [http://dx.doi.org/10.21511/ppm.14\(2\).2016.02](http://dx.doi.org/10.21511/ppm.14(2).2016.02)

The Advisory Panel, 2014. The socio-economic impact of the Gauteng Freeway Improvement Project and E-tolls Report, Johannesburg: Gauteng Provincial Government.

The Economist Intelligence Unit, 2015. The 2015 Infrascope: Evaluating the environment for public private partnerships in Africa [WWW Document]. URL

Tshidavhu, F., Khatleli, N., 2020. An Assessment of the Causes of Schedule and Cost Overruns in South African Megaprojects: A Case of the Critical Energy Sector Projects of Medupi and Kusile. *Acta Structilia* 27, 119–143. <https://doi.org/10.18820/24150487/as27i1.5>

Tshoose, C.I., 2015. Dynamics of public participation in local government: A South African perspective. *African Journal of Public Affairs* 8, 13–29.

Uittenbroek, C.J., Mees, H.L.P., Hegger, D.L.T., Driessen, P.P.J., 2019. The design of public participation: who participates, when and how? Insights in climate adaptation planning from the Netherlands. *Journal of Environmental Planning and Management* 62, 2529–2547. <https://doi.org/10.1080/09640568.2019.1569503>

Van Belle, J.-P., Cupido, K., 2013. Increasing Public Participation in Local Government by Means of Mobile Phones: What do South African Youth Think? | *The Journal of Community Informatics*. *The Journal of Community Informatics* 9.

Van der Walddt, G., 2018. *Municipal management: Serving the people*, 3rd ed. Juta Limited.

Wittenberg, M., Pirouz, F., 2013. The measurement of earnings in the post-Apartheid period: An overview (No. 108), SALDRU Working Papers. Southern Africa Labour and Development Research Unit, University of Cape Town.

Wu, H., Christopher, P., 2014. Adoption of Anglo-American models of corporate governance and financial reporting in China, *Studies in Managerial and Financial Accounting*. Emerald Group Publishing Limited.

Yescombe, E.R., 2017. *Public-Private Partnerships in Sub-Saharan Africa: Case Studies for Policymakers* 2017. UONGOZI Institute 150.

Yin, R.K., 2003. *Case Study Research: Design and Methods*. SAGE.

ANNEXURE 1: ETHICAL CLEARANCE CERTIFICATE

School of Construction Economics & Management

University of the Witwatersrand, Johannesburg -PO Box 20, Wits 2050, South Africa • Tel: +27 (0)11 717 7652/77669
· Fax: +27 (0)11 717 9729 Email:CEM@wits.ac.za



SCHOOL OF CONSTRUCTION ECONOMICS AND MANAGEMENT RESEARCH ETHICS COMMITTEE

CLEARANCE CERTIFICATE

PROTOCOL NUMBER CEM/20/11/MP1/MSC/Amended

PROJECT TITLE:

An assessment of public consultation strategies in South African Infrastructure Projects: A case of the Gauteng Freeway Improvement Project (GFIP)

INVESTIGATOR

Mzwandile Peter (1148924)

SCHOOL/DEPARTMENT

SCHOOL OF CONSTRUCTION ECONOMICS AND MANAGEMENT

DATE CONSIDERED

01/05/2019

DECISION OF THE COMMITTEE

Approved conditionally with respect to the declaration

EXPIRY DATE

1st Nov 2021

DATE

9th Nov 2020

CHAIRPERSON

Prof. Kola Ijasan

cc: Supervisor: Dr. Nthatsi Khatleli

DECLARATION OF INVESTIGATOR (S)

To be completed in duplicate and **ONE COPY** returned to the Secretary Mrs. M. Sithole at the CEM reception desk.

I fully understand the conditions under which I am/we are authorized to carry out the abovementioned research and I/we guarantee to ensure compliance with these conditions. Should any departure to be contemplated from the research procedure as approved I/we undertake to resubmit the protocol to the committee. **I agree to completion of a yearly progress report.**

A handwritten signature in black ink, appearing to be 'LM' followed by a long horizontal stroke.

Signature

Date **2020 / 11 / 09**

ANNEXURE 2: QUESTIONNAIRE

INTERVIEW SCHEDULE

DATE OF INTERVIEW

PART 1

BACKGROUND INFORMATION ON RESPONDENT

1. Name of the respondent
2. Occupation
3. Name of organisation
4. Highest qualification
5. Age
6. Gender
7. Home language

PART2

KNOWLEDGE ON THE GFIP AND THE E-TOLLING PROGRAMME

1. What is the purpose or objective of the GFIP?
2. How does the e-toll system work?
3. What are your organisations or your interest in the GFIP?

GFIP AND THE E-TOLLING PROGRAMME IMPLEMENTATION

4. Was organisation involved in the Implementation of the GFIP?
5. What processes were followed in the Implementation of the GFIP? Explain.
6. Do you feel your views were taken into consideration during the Implementation of the GFIP? Explain

UNDERSTANDING OF PUBLIC PARTICIPATION

7. What is your understanding of public participation?
8. Does SANRAL/ The Department of Transport / Provincial Department of Transport/ Gauteng Provincial Government/ City of Johannesburg Municipality have a public participation policy or strategy? If yes, what does that policy or strategy say about public participation?

KNOWLEDGE OF PUBLIC PARTICIPATION POLICY AND LEGISLATIVE PRESCRIPTS

9. Are you aware of any legislation or policy prescripts enforcing public participation in the e-tolls?
10. How did you become aware of such legislation or policy prescripts?

ASSESSMENT OF PUBLIC PARTICIPATION METHODS IN THE GFIP

11. Were the public participation methods used in the GFIP adequate and if not why? Explain
12. Were the methods effective and if not why? Explain
13. How can the methods be improved?
14. Are you satisfied about how the methods were applied?
15. At what stage of the project were the affected stakeholders were engaged and was this at their right state and if not at what stage of the project should stakeholder be engaged? Explain
16. How would you describe the consultation regarding the introduction of the e-toll?

17. How would you describe the transparency regarding the introduction of the e-toll?

ASSESSMENT OF DECISION MAKING IN GFIP AND THE E-TOLLING PROGRAMME AFTER PUBLIC PARTICIPATION PROCESS

18. How were decisions taken in the GFIP following the public participation process?

19. Where stakeholders / public inputs considered in the decision-making process?

20. Who was involved in the decision-making process?

21. What were the roles of the various role players in the decision-making process?

22. How were the decisions implemented?

23. In your view, was the decision-making process transparent or not transparent?

EFFECTIVENESS OF PUBLIC PARTICIPATION

24. What are the roles of public participation and were these roles considered during the planning and implementation of the GFIP?

25. What is the purpose of public participation and was these purposes considered during the planning and implementation of the GFIP?

26. What are the characteristics of public participation and where they considered during the planning and implementation of the GFIP?

27. What are the principles of public participation and where they considered during the planning and implementation of the GFIP?

28. What methods of public participation were used in the planning and implementation of GFIP?

29. What do you think should have been the timeframe for making comments on the GFIP?

30. Do you think that public participation was a significantly important step when implementing GFIP?

ASSESSMENT OF SUCCESSES AND FAILURES OF PUBLIC PARTICIPATION ON THE GFIP

31. What were the major successes of public participation on the GFIP?

32. What were the major obstacles for public participation on the GFIP?

33. How can public participation be improved in the GFIP?

34. In your view, were all stakeholders happy with the public participation outcomes? If no, what are the areas of concern, and why?

35. In generals, how can public participation be improved on road infrastructure projects or public transport infrastructure programmes?

36. Do you think the GFIP was a successful project and has achieved its goal of alleviating traffic congestion on Johannesburg roads? Explain your answer.