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Participation in the governance of the green energy in South Africa

By

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A research report submitted to the Wits School of Governance, Faculty of Commerce, Law and Management, University of the Witwatersrand, in 25% fulfilment of the requirements for the degree of Master of Management (in the field of Public and Development Management)

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Table of Contents

List of Tables ix

List of Figures x

Abstract xi

Declaration xii

In Memoriam xiii

Dedication xiv

Acknowledgements xv

Acronyms xvi

Chapter One: Introduction 1

1.1. Demystifying Development 1

1.2. Background of Green Energy 4

1.2.1. South African Context 7

1.3. Problem Statement 12

1.4. Purpose Statement 13

1.5. Research Question 14

1.6. Significance of Study 14

1.7. Conclusion 14

Chapter Two: Literature Review 15

2.1. Nature of the Literature 15

2.2. Conceptualising Green Energy and Participation 17

2.3. Inclusivity and Participatory Theories and Approaches 18

2.3.1. Participation as Continuum 20

2.3.2. Linking Participation to Policy Problems 20

2.3.3. Participation as Discontinuous Interaction 21

2.3.4. A Continuum of Management Techniques 22

2.4. Some Means of Participation 24

2.5. Role, Purpose and Benefits of Participation in Policy Formulation 27

2.6. Challenges and Inhibiting Factors of Participation 27

2.7. Participation Enabling Factors 29

2.8. International and Regional Trends and Examples of Participation in Policy 30

2.9. Global and Regional Green Energy Best Practices 32

2.10. Participation in the Governance of the Green Energy in South Africa 34

2.11. Conceptual Framework 37
Figure 1: Adapted from (Governance and Canada Corps, 2005). 38
2.12. Conclusion 42
Chapter Three: Research Methodology 43
3.1. Participation in the governance of South Africa green energy 43
3.1.1. Types of Research Methodology and Definitions 43
3.1.2. Reference Technique 44
3.2. Quantitative Research Method 44
3.3. Qualitative Research Method 45
3.4. Research Design: Cross-Sectional Design 46
Figure 2: Showing the mapping of the nonlinear qualitative research design 46
3.5. Research Method: Semi-Structured Interview 47
3.6. Sampling and Pilot Study 48
3.7. Gaining Access 49
3.8. Ethics Appraisal 50
3.9. Data Gathering Methods 50
Table 1: Data sources: Types, strengths and weaknesses (adapted from Neuman, 2011; Yin, 2003: 86). 51
3.10. Analysis Methods 53
3.10.1. Thematic Analysis Method 54
3.11. Issues of Validity and Reliability: Validation Strategies 56
3.12. Time Frame 59
3.13. Limitations of the study 59
3.14. Conclusion 59
Chapter Four: Research Findings 61
4.1. Research Population and Profiles 61
4.2. Participation in the Governance of the green energy in South Africa 62
4.3. Data Collection Process and Methods 63
4.4. Analysis Methods 64
4.4.1. Thematic Analysis Method 64
Table 2: Thematic Analysis: Coding and Themes (Adapted from: Bryman, 2012). 66
Table 3: Thematic Analysis Framework Approach: Major Themes (Adapted from: Bryman, 2012). 67
4.4.2. Findings 69

4.5. Conclusion 73
Chapter Five: Analysis of Research Findings 74
5.1 . Economic Implications 74
5.2 . Participation 76
5.3 . Policy 78
5.4 . Cooperation 80
5.5 . Conclusion 84
Chapter Six: Conclusion and Recommendations 85
6.1. Summary of the Study Chapters 85
6.1.1. Chapter One 85
6.1.2. Chapter Two 85
6.1.3. Chapter Three 86
6.1.4. Chapter Four 86
6.1.5. Chapter Five 86
6.1.6. Chapter Six 87
6.2. Main Findings 87
6.3. Key Recommendations 89
6.3.1. Key Recommendations: South Africa 89
6.3.2. Key Recommendation: Africa and Southern Africa Region 90
6.3.3. Key Recommendation: Global level 91
6.4. Limitation of the Study 91
6.5. Directions for Future Research 92
6.6. Conclusion 92
References 94
Annexes 107
Annexure 1: Letter to Participants 107
Annexure 2: Interview Schedule 109
Annexure 3: Summary of Major Themes Using Thematic Analysis Framework Approach 110
Annexure 4: Zapiro (2012). February 17, 2012 112
Annexure 5: Zapiro (2010) on Blurred Policies in South Africa 113

List of Tables

Table 1: Data sources: Types, strengths and weaknesses (adapted from Neuman, 2011; Yin, 2003: 86). 51

Table 2: Thematic Analysis: Coding and Themes (Adapted from: Bryman, 2012). 66

Table 3: Thematic Analysis Framework Approach: Major Themes (Adapted from: Bryman, 2012). 67

List of Figures

Figure 1: Adapted from Governance and Canada Corps, 2005 38
Figure 2: Showing the mapping of the nonlinear qualitative research design 46

Abstract

South Africa's bold steps and commitments to the green growth strategy are borne out of the need to link together development, economic growth and environmental damage. Environmental hardship has led to a decline in agricultural production and food insecurity, political quagmire by countries over carbon emissions, as well as threats to lives in forms of skin diseases and respiratory problems. Greenhouse gas (GHG) emissions and carbon dioxide (CO2) are associated to unclean energy usage worldwide, contributing to environmental damage and climate change. Again, South Africa is faced with electricity crises for nearly a decade. To surmount the twin challenges of environmental sustainability and energy security, this Southern Africa country adopted a green economy strategy, of which green (renewable) energy is the thrust of the approach. It has proposed a green energy policy, which has generated controversy and contestations from the members of the public and stakeholders alike. The controversy generated by the policy is inextricable linked to lack of participation by the relevant stakeholders in crafting the proposed clean energy policy.

The purpose of this research is to investigate factors leading to lack of inclusivity and participation in the proposed implementation of a green energy strategy in South Africa. Following literature review, background studies, as well analyses of qualitative in-depth interviews, the study identified key findings that speak to the reasons for lack of inclusivity and participation in the governance of the green energy in South Africa. The major finding is that there is a huge communication gap between the decision makers and other relevant stakeholders in the country. Key recommendations have been made by the author for consideration by policy actors on the green energy sector, with social dialogue, robust communication and collective concrete actions as its focus.

Key Words: development, environment, sustainability, participation, green energy

Declaration

I declare that this report is my own, unaided work. It is submitted to the Wits School of Governance, Faculty of Commerce, Law and Management, University of the Witwatersrand, Johannesburg, in partial fulfilment of the requirements for the degree of Master of Management (in the field of Public and Development Management). It has not been submitted before for any degree or examination in any university.

_____

Vincent Chima Oparah

16 July 2014

In Memoriam

In memory of my late father, Mazi Basil Efuneshiama Oparah

and

my late maternal grandfather, Pa Louis Nwarihi.

Dedication

This work is dedicated to my family:

- My wife, Mrs. Vivian Oparah, for her care and support throughout my study years, as well as the words of encouragement;
- My children, Chelsea and Gerald, for reinvigorating my aspiration and interest to advance my education;
- My mother, Mrs. Beatrice Oparah, for her moral support, and
- My maternal grandmother, Ma Regina Nwarihi, for fostering my early childhood.

To GOD be the Glory!!!

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Credit also goes to the NEPAD Planning and Coordination Agency under the leadership of His Excellency Dr. Ibrahim Assane Mayaki. The Agency provided me the platform and opportunity to be able to interrogate the work practice and services of public and development managers, from the perspective of three key areas that interface, and which together underpin best practices of governance, public policy and development. My field experience from the Agency made it less challenging to conduct the research, as well as sailing through the course work for the programme.

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Acronyms

AsgiSA	Accelerated Shared Growth Initiative for South Africa
AMCEN	Africa Ministerial Conference on Environment
ANC	African National Congress
APA	American Psychological Association
APRM	African Peer Review Mechanism
AU	African Union
BRICS	Brazil; Russia; India; China, and South Africa
CBOs	Community Based Organisations
CO2	Carbon Dioxide
CSOs	Civil Society Organisations
DEA	Department of Environmental Affairs of South Africa
DBSA	Development Bank of Southern Africa
DOE	Department of Energy of South Africa
DOW	Department of Water Affairs of South Africa
DST	Department of Science and Technology of South Africa
DTI	Department of Trade and Industries of South Africa
EC	European Community
ECOSOCC	Economic, Social and Cultural Council
EDD	Economic Development Department of South Africa
FBOs	Faith Based Organisations
GDP	Gross Domestic Product
GGBP	Green Growth Best Practice
GHG	Greenhouse Gas Emissions
GEAR	Growth, Employment and Redistribution
GNP	Gross National Product
GPCCRS	Green Paper on a Climate Change Response Strategy
IDC	Industrial Development Corporation
IGOs	Inter-Governmental Organisations
IFIs	International Financial Institutions
IPAP	Industrial Policy Action Plan
IRP	Integrated Resource Plan

LTMS	Long-Term Mitigation Strategy
MEAs	Multilateral Environmental Agreements
MDG	Millennium Development Goals
MDCs	Most Developed Countries
MDEs	Most Developed Economies
MICs	Most Industrialised Countries
MTMS	Medium-Term Mitigation Strategy
NCCC	National Committee on Climate Change
NDP	National Development Plan
NEDLAC	National Economic Development and Labour Council
NEPAD	New Partnership for Africa's Development
NGP	National Growth Path
NPC	National Planning Commission
NSSD	National Strategy for Sustainable Development
NGOs	Non Governmental Organisations
OAU	Organisation of African Unity
OECD	Organization of Economic Cooperation and Development
PAP	Pan African Parliament
PPPs	Public Private Partnerships
RDP	Reconstruction and Development Programme
SAGEM	South African Green Economy Modelling Report
SADC	Southern Africa Development Community
SD	Sustainable Development
SDGs	Sustainable Development Goals
SE4A	Sustainable Energy for All
SIDS	Small Island Developing States
SSA	Sub-Saharan Africa
UN	United Nations
UNCBD	United Nations Convention for Biodiversity
UNCCD	United Nations Convention to Combat Densification
UNCED	United Nations Conference on Environment and Development
UNCSD	United Nations Conference on Sustainable Development
UNECA	United Nations Economic Commission for Africa

UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
WSSD	World Summit on Sustainable Development

Chapter One: Introduction

Post-apartheid South Africa's development strategies have taken myriad approaches to meet the triple challenges of unemployment, poverty and inequality facing it. The latest strategy adopted is the green economy of which green energy is the thrust of the approach. The proposed green energy policy has generated controversy and contestations from the members of the public and stakeholders alike in South Africa. This is a study of participation in the governance of green energy in South Africa by looking at the reasons for contestation and challenges facing the implementation of green energy strategy in South Africa. This is a research report on the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa.

1.1. Demystifying Development

Development is expected to provide sustainable basic needs, improve living standards and freedom of economic and social choice (Chamber, 1997; Todaro and Smith, 2009). Over time, man sees the environment as something that should be conquered for meeting of these basic needs. The resources to meet man's basic needs are limited, leading to the urge for man to acquire as much as he can, without caring about nature (VanDeveer, 2011). The act of meeting basic needs, among other human activities, has increased pressure on natural resources and created a higher demand for food, energy and water (NPC, 2011). In essence, narrowing the dichotomy between development, economic growth and environmental damage has brought about a bigger challenge.

The confusion and misconception around socio-economic growth and development discourses saw its genesis quantifying growth as only the annual growth of a country. This annual growth is termed Gross National Product (GNP) or Gross Domestic Product (GDP), which "is the total value of all the goods and services produced in a country in a particular year" (Graaff, 2003: 10). The old consensus was that, the higher the GNP of a country, the lower the levels of poverty. This perception of higher GNP as sine qua non for development and poverty reduction has been proven to be incorrect. It is wrong in the sense that a country, such as South Africa continues to experience increased GNP over time, but the level of poverty and inequalities in the country is alarming. Even without environmental considerations, the paramount objective of development should be the provision of basic needs to citizenry,

improved living standards and freedom of economic choice (Chamber, 1997; Graaff, 2003; Todaro and Smith, 2009).

The financial crisis of 2008 re-energised thoughts on how to attain the objectives of development, which have been characterised by over-consumption and over-production of goods and services (VanDeveer, 2011). Even though the pre-financial crisis period experienced pursuit of sustainable development, the focus were on the economic and social aspects, leaving the environmental pillar[1] of sustainable development behind (Najam and Selin, 2011; VanDeveer, 2011). The paradigm shift calls for the adoption of sustainable development practices in all countries of the world (Vazquez and Sarkis, 2012). Sustainable development strives to bridge the huge gap between the environment and development. It aims for development that meets the present needs of the society, "without compromising the ability of future generations to meet their own needs" as well (Rasmussen, 2012; Todaro and Smith, 2009; Vazquez and Sarkis, 2012: 2). The concept of sustainable development is the genesis of green economy of which green energy is one component. The notion is that green energy can lead to energy efficiency and ultimately lead to a low carbon growth. The concept of green energy is discussed in full in chapter two of this report.

The post 1994 government of South Africa made different kinds of interventions over the years. The interventions include that of redistribution through the Reconstruction and Development Programme (RDP), as well as improving growth, employment and redistribution pursued through Growth, Employment and Redistribution (GEAR) policy. The problem of climate change and efforts to break the link between development, economic growth and environmental damage saw the government introducing green growth strategies and policies since 2010. South Africa is determined to reduce its carbon foot print for a sustainable future, by adopting a green growth strategy. To mention just a few, the green growth strategy is proposed in chapter five of the 2011 National Planning Commission (NPC) development plan-Vision 2030. It is also the basis of the Green Economy Accord of the National Growth Path (NGP) (NPC, 2011).

[1]Sustainable development has three pillars. Namely: economic, social and environment. Development has hitherto focused on the economic side to the detriment of social justice and care for the environment. See: Najam and Selin, 2011; VanDeveer, 2011.

Despites all the plethora of interventions and economic policies, as well as strategies adopted by the successive South African governments, its efforts continue to be hamstrung by mode of implementation. The problems with implementation of policies in South Africa have synergies with lack of ownership and buy-in from those who are supposed to benefit from the policies. The lack of ownership and buy-in stem from governance issues, in particular lack of inclusivity and participation, as well as meaningful communication from the initiators as to what the problem is all about and how to solve it (Baker, Newell and Phillips, 2014).

History and past experiences show that addressing the twin challenges of environmental sustainability and energy security globally, and in South Africa, requires good governance and an inclusive process. Literature appraisals of works done by different authors show that there is no agreed definitive interpretation of governance (Benington, 2009; Guy, 2009; NPC, 2011; O'Flynn, 2007; Qalyoubi, 2013; Selin, Najam, Bigg, DeSombre, Halle, Hoogeveen and Wapner, 2011; Stoker, 1998; UNECA, 2009 a; UNECA, 2011; UNECA, 2012). The paper is not concerned with a broader governance study. Rather it is premised on participation, which is one of the key elements of good governance. It is defined as "a process through which stakeholders influence and share control over development initiatives and the decisions and resources that affect them" (Bishop and Davis, 2002: 15). In essence, citizens and non governmental actors have a stake and a say on policies for the attainment of policy objectives.

The research report is divided into six chapters: The rest of the first chapter continues with the background of green energy. It also provides the problem and purpose statements, as well as the research question and the significance of the study. The second chapter provides the literature review and the conceptual framework, with different theoretical standpoints on participatory governance approach, before the author identified continuum of management techniques as the appropriate participatory approach for kick-starting a successful green energy path in South Africa. It also captures reasons for lack of inclusivity and participation in policies South Africa.

The author went through different phases in the methodology to address the single main research question of the study: What are the factors leading to lack of inclusivity and participation in the proposed implementation of a green energy strategy in South Africa? The phases include: a) an intensive literature appraisal on participation in a green economy and

green energy; b) a conceptual framework of a desired participatory approach for the successful transition of green energy in South Africa was designed; c) in-depth interviews with selected experts in the field of green energy and participation were conducted to get their insights and perceptions on green energy participation; d) thematic content analysis was used to make meaning of the data; e) analysis of the experts' insights and perceptions on green energy participation was rigorously done; f) further intensive South Africa policy-oriented document review, to trace emerging themes from the experts' perceptions was carried out; and g) further analysis and conclusions based on the research findings were made, before producing the report. These different phases are detailed in chapter three.

Chapter four presents the results of the findings. In this chapter, the insights and perceptions of the participants are presented through thematic content analysis. In chapter five, the results of the thematic analysis presented are described in detail, accompanied with thick description of various themes. The discussion and analysis reflects on the debates and theories in the literature review chapter. More importantly, the implications for participatory governance theory, practice, public policy, future research, the strengths and limitations of the study, will be discussed. The last chapter is the concluding chapter. It presents the lessons learned from the study. It also gives the researcher a platform to reflect on the study, as well as make some recommendations for consideration by policy actors in South Africa. There will also be references used in all the chapters of this research report. The interview schedule, as well as the letter written to the respective participants, to seek their consents is annexed.

1.2. Background of Green Energy

The depletion of the ozone layer, global warming and the intensive use of natural resources have proliferated socio-economic problems. These problems include a decline in agricultural production and food insecurity, political quagmire by countries over carbon emissions, as well as threats to lives in forms of skin diseases and respiratory problems (NPC, 2011). Greenhouse gas (GHG) emissions and carbon dioxide (CO2) are associated to unclean energy usage worldwide, contributing to environmental damage, as well as climate change. Climate change is expected to increase the degree of water stress worldwide, through a higher frequency of extreme weather events and catastrophes, including droughts and floods (OECD, 2013a). These problems have generated discussions among world leaders and decision makers on how to sustain the natural resources. Discussions are centred on financial, climate change

and energy crises. The general wish is for a temperature rise to be limited within two degrees Celsius, which is slightly above pre-industrial levels (Nhamo, 2013).

However, taking concrete steps and action to preserve the environment have been challenging across the globe. The efforts at reaching a broader global consensus for policies towards a more sustainable future dates as far back as 1972, when the United Nations Environment Programme (UNEP) was created. Serious discussions on sustainability commenced only in 1992 United Nations Conference on Environment and Development (UNCED), also called the Earth Summit. The conference was held in Rio de Janeiro, Brazil. The Summit produced Agenda 21 (a discussion document), outlining areas of international corporation to promote sustainable growth and development (CBD, 1992; Chapman, Midgley, Chesterman, Spalding-Fecher and Heyden, 2011; Todaro and Smith, 2009; UNFCCC, 1997; WSSD, 2002). One of the key elements of Agenda 21 is the call for countries to adopt a participatory approach in discussions relating to the environment and environmental assessments (Eden, 1996).

In order to contribute to the sustainable development goals of Agenda 21, the Earth Summit created the three Rio Conventions[2] (covering Biodiversity, Climate Change and Desertification). Agenda 21 was further discussed in 1997, in Kyoto, Japan. The Kyoto conference produced the Kyoto Protocol[3]-setting international binding targets in reduction of GHG emission. The Kyoto Protocol also adopted the third Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC - COP 3). UNFCCC unlike the Protocol is a non-committal framework that only encourages the industrialised

[2]Three global institutions were established under the UN structures and processes to facilitate the implementation of the conventions, covering biodiversity, climate change and desertification; namely, the United Nations Convention for Biodiversity (UNCBD) the United Nations Convention to Combat Densification (UNCCD) and United Nations Framework Convention on Climate Change (UNFCCC) respectively (WSSD, 2002).

[3]The Kyoto Protocol to the UNFCCC was adopted in Kyoto, Japan, in December 1997 and entered into force on 16 February 2005. It "is an international agreement linked to the United Nations Framework Convention on Climate Change, which commits its Parties by setting internationally binding emission reduction targets." See: https://unfccc.int/kyoto_protocol/items/2830.php.

countries to reduce GHG emission, as well as put measures in place to reduce emissions (CBD, 1992; Todaro and Smith, 2009; UNFCCC, 1997; WSSD, 2002).

There were other conferences with similar objectives such as the 2002 conference in Johannesburg, the World Summit on Sustainable Development (WSSD) called the "Rio+10", as well as the Stockholm+10 which took place in 1982, in Nairobi, Kenya. WSSD focused on the implementation of Agenda 21, through partnership with the private sector, whereas the Stockholm+10 did not produce any reasonable outcomes (Najam and Selin, 2011). On the other hand, the United Nations (UN) Millennium Summit in September 2000 adopted the Millennium Development Goals (MDGs) of which environmental sustainability was one of the goals (Victor, 2006).

With different conferences held under the UNFCCC not yielding binding agreement, as well as ideas running out on sustainability through the implementation of the MDGs that comes to an end in 2015, another effort were made by world leaders to find common grounds in Rio de Janeiro, Brazil in June 2012 during the United Nations Conference on Sustainable Development (UNCSD) - called the Rio+20 Conference. One of the key outcomes of the Summit was the call for countries to integrate a green economy approach into their development strategies (Najam and Selin, 2011; UNESC, UNECA and UNEP, 2011; AMCEN, 2012). Sustainable Energy for All (SE4A) is one of the key Decisions of the Rio conference. It called on countries to reduce carbon emission and simultaneously enhance efficient use of energy (Ferreira, 2012; Vision, 2012).

The several meetings and decisions at global and regional levels have produced different frameworks and strategies, but governance issues exist, due to the silo nature of operationalisation and coordination of sustainable development programmes and projects. Lack of wider participation, the cross-cutting nature of environmental issues and lack of strong global environmental governance have led to challenges in the alignment of projects and programmes. Global actors agree that sustainability is the right thing to do, but some of the implications of sustainable development are deterrents to going the route of green growth. For instance, the Most Industrialised Economies (MDEs) wish to participate in ensuring that economic development is carried out in their respective countries in a sustainable manner, but they are simultaneously very reluctant to reduce carbon foot prints in their economic

activities. The developed countries have refused to sign and ratify the Kyoto Protocol, which could have held them accountable to reduce emissions (Baker, Newell and Phillips, 2014).The developed countries argue that capping the amount of emission in their countries will be detrimental to production of goods and services, which will ultimately limit incomes in the developed countries (Todaro and Smith, 2009).

Despite lack of global binding agreements to reduce GHG emissions, some countries have voluntarily embarked on reducing their carbon foot prints through the introduction of renewable energy programmes. On the global level, some of the countries from the Asian continent include: Thailand, South Korea and Indonesia. In the Americas, the countries include Canada and Mexico (GGBP, 2014; Nhamo, 2013). In Europe, Germany is one of the leading countries pursuing clean energy usage. In the Organization of Economic Cooperation and Development (OECD) counties alone, about nine percent of total energy source is derived from clean and renewable energy. The Brazil; Russia; India; China, and South Africa (BRICS) countries promote clean technology investment and policies with various mode of implementation (Nhamo, 2013; OECD, 2013b). Africa has adopted the Sustainable Energy for All (SE4A) Initiatives, as well as promoting clean energy initiatives on the continent (Ighobor, 2012; UNECA, 2009b).

1.2.1. South African Context

Post-colonial Africa is faced with the conundrum of multiple motives and meagre means for improving the lives of the citizens, as well as creating an egalitarian society. Post- apartheid South Africa has its share of the conundrum and challenges. Apart from the triple challenge of unemployment, poverty and inequality, the country was hit by a massive electricity shortage in 2008. There was rolling blackouts and closure of mines as a result of the electricity crises. The rolling blackouts still continue, with the supply of electricity in South Africa overwhelmed by the demand, which requires additional generating plants and more coal usage. South Africa's economy is highly energy intensive, mainly sourced from coal, which has a higher emission rate on the environment. About 78 percent of emissions as at the year of 2007 are from fuel combustion, while industrial activities and other activities make up about 22 percent of emissions (Baker, Newell and Phillips, 2014; Blaine, 2014; Nhamo, 2013; Winkler and Marquand, 2009).

Despite the challenges, South Africa is committed to reducing her carbon foot prints on the environment, despite not contributing much compared to the industrial activities of the global north. The country is party to Kyoto Protocol and the UNFCCC. Also South Africa is party to many global conventions and Multilateral Environmental Agreements (MEAs) on biodiversity and pollution issues, as well as Sustainable Energy for All Initiative (Montmasson-Clair, 2012). In 2009, during the Climate Summit in Copenhagen, Denmark, President Jacob Zuma made a pledge that South Africa would take the path of low carbon development by reducing emissions by 34 percent and 42 percent in 2020 and 2025 respectively. This was conditional upon funding and technological support from an international arrangement (Baker, Newell and Phillips, 2014; BBC, 2009; Nhamo, 2013).

In addition, the launch of the Green Fund, to support a low carbon transition by South Africa to the tune of 1, 5 Billion Rand, with R800 Million Rand already allocated, shows a high level of commitment. The Green Economy Summit held in May 2010 by South Africa, the hosting of the WSSD in 2002 and the 17th UNFCCC – COP in 2011 are among other presidential commitments to environmental sustainability (Baker, Newell and Phillips, 2014; Nhamo, 2013). These commitments culminated into policies and legal frameworks in pursuit of a green growth strategy. Most of the policies and legal frameworks are mentioned herein, but a few are discussed in relation to green energy.

A shift to a green economy is stipulated in the South Africa 1996 Constitution. The specific policy frame work for the energy sector include: the 1998 White Paper on Energy, as well as the 2003 White Paper on Renewable Energy. The policy on renewable energy targets some energy demands from renewable sources (Nhamo, 2013). Mentions have already been made about the NGP Green Economy Accord and the National Development Plan (NDP). Other existing policy documents include: the Industrial Policy Action Plan (IPAP) 2; the Integrated Resource Plan (IRP) 2010; the Green Paper on a Climate Change Response Strategy (GPCCRS); the Long-Term Mitigation Strategy (LTMS); the Green Economy Model; the National Skills Development Strategy III, and the Medium-Term Mitigation Strategy (MTMS) (DBSA, 2011; Nhamo, 2013).

In discussing some of the policies, the Industrial Policy Action Plan Phase 2 requires that the revision of building standards in which industrial buildings and mega projects must be built

with energy efficiency, by installation of renewable energy supplies such as solar (Nhamo, 2013). The purpose of the 12 commitments agreed upon in the National Growth Path (NGP) Accord is to reduce carbon emission and simultaneously enhance efficient use of energy. In particular, commitment four supports the enhancement of energy security in a way that energy intensity is reduced, leading to transition to a low carbon growth (EDD, 2011).

Progress of implementation in green energy is evident in the Clean Development Mechanism (CDM)[4] projects in South Africa, with 14 CDM projects in place by September 2009. These projects cover a wide range of technologies with certified emissions reduction by 2013. The Kuyasa project in Cape Town combines GHG mitigation with sustainable development objectives, such as retrofitting of low-income households with energy-efficient technology (Baker, Newell and Phillips, 2014). Though results from the use of renewable energy are encouraging as people are welcoming the idea in some sectors; the same problem facing environmental governance globally and at continental level also prevails in South Africa. The issues are both endogenous and exogenous.

On the endogenous factors, apart from the contestation by the labour and business sectors, first is that policies are often not carefully thought out and communicated. For example, the NDP and the NGP indeed diagnosed the problems with the economy, as well as the environmental issues, but did not proffer the necessary strategies to address them. Even the authors of the NDP acknowledged that the proposals made in the document require improvement and enrichment through collective actions and critical thoughts (NPC, 2011). However, the country did not learn from the pitfalls of the GEAR, RDP and the Accelerated Shared Growth Initiative for South Africa (AsgiSA) as a result of lack of follow-through actions (OECD, 2013a). South Africa has the history of making policies in a rushed manner, borne out of the need to address problems. Also, policies are crafted through a top down

[4]Under the Kyoto Protocol CDM projects, the developing countries are encouraged and assisted through the UNFCCC mechanisms to embark on emission reductions projects, such as rural electrification, and earn carbon credits simultaneously. The carbon credits are usually purchased by the industrialised countries to meet their emission reduction aims. Currently, there are about 8000 CDM projects being implemented in the developing counties, with just three percent of the projects on going in Africa. See: http://cdm.unfccc.int/CommonImages/infocus_210314.png.

approach, given that the dominant political partly, as well as the Executive are influential over policy making (Booysen, 2001).

Again, the policies are often profuse with goals and objectives beyond the capacities of the country (Mutahaba, Baguma and Halfani, 1993). The major engines of growth such as technological advancement and human skills are lacking in the economy. The skills shortage in South Africa is alarming as colleges and universities keep producing students who are interested in acquiring certificates, without necessarily developing their skills. Green energy will require skills and reskilling to invent and use technologies for renewable energy operations (NPC, 2011; Wild 2012: 1 & 5).

Green strategies can only be judged on their contribution to the socio-economic setting. It is expected that GHG emissions will be significantly reduced. There will also be reduction in deforestation and agriculture will be supported sustainably (Kaggwa, Mutanga, Nhamo and Simelane, 2013). While the estimated targeted jobs into the South Africa economy is projected at "5 million by 2020" (EDD, 2011: 5), there will also be job losses as well, to be exacerbated by the green economy implementation. While the government is adamant that a low carbon growth must be implemented sooner rather than later, the businesses and labour think it is detrimental to their own interests, in view of the job losses it will cause, rather than create jobs. The argument is that it will be more costly to do business in South Africa. Some businesses will fold and others may relocate, especially with the looming carbon taxes (Baker, Newell and Phillips, 2014; Ballim, 2012; Marrian, 2013a; Marrian, 2013b; NPC, 2011; Roos, 2013). If the results of green energy implementation turn out to be negative in the socio-economic sector, the aim of fighting poverty and unemployment will be defeated. Negative outcomes will make a mockery of the aims of green growth that seeks to cater for the well-being of citizenry.

Concerning implementation, to identify the lead agency for the green energy implementation in South Africa is as complex as the policy itself. For example, the National Strategy for Sustainable Development (NSSD) is the responsibility of the Department of Environmental Affairs (DEA). However, NSSD is housed at the Presidency through the National Planning Commission (NPC). The Economic Development Department (EDD) has green economy in its formulation of NGP, but the NGP is being run in financial terms by the Development Bank

of Southern Africa (DBSA) and the Industrial Development Corporation (IDC). Support to industries interested in green growth is the responsibility of the Department of Trade and Industries (DTI), but the DTI relies on other departments to implement strategies aimed at promoting green industries as follows: the National Treasury for environmental fiscal reforms; DEA sets environmental standards; the Department of Energy (DOE) deals with issues relating to traditional and renewable energy; the Department of Water Affairs (DOW) on water related issues, and technology policy, as well as research and development is handled by the Department of Science and Technology (DST) (Baker, Newell and Phillips, 2014; Montmasson-Clair, 2012; Nhamo, 2013).

Apart from limited administrative capacity of the institutions concerned, policy implementation through this kind of fragmented institutional arrangement is usually slow and problematic. The first problem has to do with slow and limited implementation. Another is the ambiguity in managing the plan, as well as monitoring and evaluation. Also, there is a problem of accountability as it is difficult to know who is doing what exactly (Mutahaba et al., 1993). Again, changing sources of energy from fossil to renewables in a country that is heavily reliant on fossil fuel will be challenging. Apart from Eskom's monopoly and control of the majority of energy infrastructure and supply in South Africa, the challenges also revolve around issues of finance, skills and technological capacity to do so.

One of the exogenous factors includes the position of the developing countries and African countries since the Cancun Agreement during the 2010 Climate Change Summit in Mexico. The developing countries agreed to focus on adaptation to climate change, rather than mitigation. Adaptation refers to management of the effects of climate change, such as irrigation of agricultural farms, while mitigation refers to activities to stop environmental pollution, such as renewable energy usage. South Africa and other developing countries are struggling to adapt to the effects of climate change, given that the funds promised by the industrialised countries to assist the developing countries and the Small Island Developing States (SIDS) in adaptation measures is not forthcoming. It is then difficult to understand where South Africa will get the funds to implement mitigation measures (Baker, Newell and Phillips, 2014).

Similarly, there is lack of international cooperation in areas of finance, capacity building and technology transfer. The MICs agreed during the Climate Summit in Cancun to provide finances to the developing countries and the SIDS, as well as to build their capacities to deal with the adverse effects of climate change. They also promised to provide the necessary technology for adaptation measures. None of the aforementioned promises has been fulfilled. Efforts by a few countries to produce a public good (such as clean environment) are not enough. Pollution is an externality[5] which spreads from one country to another. In this sense, a low emission in a few countries without significant number of countries reducing their emissions ridicules the efforts of the few countries producing low emissions (Baker, Newell and Phillips, 2014).

From review of the available literature and best practices, it is evident that a development path, such as green energy, requires a very holistic approach that factors in inclusiveness and collective action. Given the anticipated problems, challenges and divergent views, some steps need to be taken to manage the problems and challenges through dialogue and consultations as evident in other best practices discussed in chapter two of this study. This is with reference to the OECD countries and South Korea in which an inclusive process was paramount in the implementation of green energy. Common sense should prevail in South Africa as there is still an opportunity for an inclusive process towards legitimising the policy (EDD, 2011; NPC, 2011).

1.3. Problem Statement

South Africa recognises that development and economic growth is necessary to address the triple challenge of poverty, unemployment and inequality. But, due to increasing pressure on natural resources, it also recognises that economic growth and development need to be done at a low carbon emission (NPC, 2011). Though collective global efforts to reduce carbon emission are still at the discursive stage, South Africa has stepped up a green growth strategy by proposing a green policy in the energy sector (Macleod, 2012a; Macleod, 2012b; NPC, 2011).

[5]Externalities refer to situations in which one or more economic actions such as consumption or production can affect the welfare of others. This is exemplified in industrial pollutions, which spread from one country or region to another; without any cost or penalties on the polluting country or regions. See (Todaro and Smith, 2009: 822).

However, oppositions have emerged to the green energy strategy. Firstly, the manufacturing sector reckons that the anticipated carbon-tax to be adopted through the implementation of a green energy policy is capable of reducing the country's Gross Domestic Product (GDP) to about three percent over the next decade. They also contend that some companies will liquidate or move elsewhere, where carbon tax is not an issue. The second opposition comes from the labour unions. The organised labour is concerned with job losses, which the green energy strategy will exacerbate when implemented (Ballim, 2012; Marrian, 2013a; Marrian, 2013b; NPC, 2011; Roos, 2013). These contestations mean that the government of South Africa will encounter difficulties in implementing successfully a green energy strategy in the country. The contestation stems from non-inclusive, as well as non-participatory nature of the implementation of the green energy strategy in the country. Concerns and interests of the aforementioned stakeholders have not been considered in the proposed policy.

Literature on participation in global green economy and green energy participation is limited, especially in South Africa. In view of this, this research explored the knowledge gap on participation in green energy governance in South Africa. It also aimed to contribute to the request by the authors of the South Africa's economic blueprint during the submission of the Vision 2030 document. The authors requested constructive ideas for consideration to implement a green economy successfully in South Africa (NPC, 2011).

1.4. Purpose Statement

The purpose of this research is to investigate factors leading to lack of inclusivity and participation in the proposed implementation of a green energy strategy in South Africa. The findings of the research will help in identifying the appropriate participatory approach for the implementation of a green energy strategy in South Africa. The interpretation and analysis of the data collected from the research may contribute towards knowledge that seeks to strengthen the governance–policy interface in the green energy sector. A policy position for participation in the green energy and informed recommendations for the implementation of green energy in South Africa have been made for consideration by policy actors.

1.5. Research Question

This research project sought to answer the following question: What are the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa?

1.6. Significance of Study

Given the enormous challenges to break the synergy between damage to the environment and economic growth, the significant of this study is located in the following areas: It contributes to debate, knowledge and literature on participation in green energy implementation, in particular in South Africa. It also seeks to contribute towards knowledge that may strengthen the governance–policy interface in the green energy sector. Finally, this study will provide information for future research on the green energy participation, both locally and internationally.

1.7. Conclusion

Green energy initiatives and ideas geared towards environmental sustainability are not new. The problem has been the political will to pursue a low carbon development. Global and continental practices on green energy are encouraging, despite no legal binding agreements for countries to commit to green policies. South Africa has shown commitment to reduce GHG emissions through different initiatives and policy frameworks. However, it is pertinent to know that the successful transition of green growth strategy in South Korea is attributed to the inclusive nature of implementation in which there was clear definition of roles and responsibilities among social partners. Such lessons are vital for deliberating on the green energy transition in South Africa.

Chapter Two: Literature Review

The purpose of this chapter is to provide literature review on the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa. Some works have been written on participation in green energy governance at global level, but not particular to South Africa. In view of this, this chapter will explore the knowledge gap on participation in the green energy in South Africa, in contribution to the research. Literature review can be defined as a link to a "research that is about to be or is being undertaken, the process helping the researcher to identify a topic, support a methodology, provide a context, or change research direction" (Bryman, 2012: 99). Reviewing the body of literature helps the researcher to get acquainted with existing knowledge on the topic, to be able to adopt a position relating to the topic. The significance of the literature review has to do with the provision of discussions on the existing knowledge, for the researcher to show the credibility and contribution of one's research.

Literature review helps to link the research questions and findings of a research (Bryman, 2012). In this study, the literature reviewed unpacks themes, concepts and discourses, as well as debates on participation in global energy, before an illustration of a framework that shows the relationship between the different themes linked to participation for a successful green energy implementation in South Africa. The literature search was from the University of the Witwatersrand Databases and Google Scholar, as well as websites of Inter-Governmental Organisations (IGOs) dealing with green economy, green energy and environmental issues. This research is informed by literature on participation in environmental governance and green growth. The following search strings were used for the extraction of articles while researching for this paper: "Participation in global environmental governance"; "green economy governance"; "governance of green energy"; "participation in the South Africa green energy", and "participation in low carbon development".

2.1. Nature of the Literature

The themes from the literature reviewed looks at the international and continental picture of participation in green energy best practices, as well as the discussions on the South African context. The literature on participation in green energy is mainly in accredited journals, authored and co-authored by university academics and think-tanks. There are also positional

and policy papers, as well as meeting reports, compendia and agreements on the environment and participation in green energy. It is important to note that agencies and ministries reports were largely used for the South Africa's context in this paper, because academic literature on participation in green energy in South Africa is limited. This knowledge gap that exists in South Africa on participation in green energy provided this writer with extra motivation for the research, through the exploration of other literature on participation in green energy globally. It was challenging to analyse what is happening globally to the South African context, in terms of the challenges in adopting a low carbon growth.

Some writers are passionate about sustainability and reduction of consumption and production of goods and services. Most of the articles are critical of the fact that for decades, sustainable development has been all talk and no action by governments and policy actors. The authors argue that without reward and punishment of those who comply with environmental laws and agreements and those who do not; green economy pursuit will turn out to be another wasted effort (Crush, 1995; Halle, 2011). The South African writers think that a low carbon transition in 2030 by South Africa is very ambitious, and will require a lot of commitment and resources to achieve (Kaggwa, Mutanga, Nhamo and Simelane, 2013; Montmasson-Clair, 2012).

Some other literature recognises that the state remains the central decision maker, while non-state actors have to be better accommodated for an inclusive socio-economic development through green economy implementation, though there is the tendency for naming and shaming, as well as the blame game by both the state and non-state actors when things go wrong. However, literature contends that this act of fault finding must be done away with and a sense of responsibility, inclusiveness and collective action established for the green economy to take off (Najam and Selin, 2011).

The views that are presented recognise that the current economic policy, which encompasses resource use intensiveness, is no longer working, evident by the global financial meltdown of 2008. The views suggest that current economic practices are best described as "brown economy", because it is dirty and not sustainable. The policy debate presented in the synthesis of the literature reflected the calls for a sense of urgency and bold steps to tackle the environmental problems. The literature also argues that there is no need to create new institutions, rather the existing ones such as the UNEP and the three Rio conventions,

including other UN Agencies must be strengthened and capacitated in human and financial terms to do their jobs more efficiently (CBD, 1992; UNFCCC, 1997; WSSD, 2002; Najam and Selin, 2011). The literature also posit the pertinence of acknowledging what is already working across the globe, without necessarily re-inventing initiatives; given that there are many projects and programmes that are on-going. These projects and programmes require proper coordination, accountability, monitoring and reporting. The challenge centres on making existing policies effective and operational, and not on creating new instruments and mechanisms. Making existing policies effective and operational may require meting out punishments for those who fail to meet agreed goals and targets (Najam and Selin, 2011).

Finally, some authors posit that the green economy, green energy and institutions to implement it must put equity and human well-being at the centre of its activity. This in essence encompasses the definition of green economy, taking into consideration the creation of human needs without compromising ecological species. Therefore, institutional frameworks for green economy must maintain equity and social justice (Najam and Selin, 2011; VanDeveer, 2011).

2.2. Conceptualising Green Energy and Participation

The sub-themes have been embedded into the analyses of the major relevant themes for the study. Appropriate governance is the sine quo non for any policy implementation (Sampford, 2002). Though literature appraisals of works done by different authors show that there is no agreed definitive interpretation of governance (Benington, 2009; Guy, 2009; NPC, 2011; O'Flynn, 2007; Selin, Najam, Bigg, DeSombre, Halle, Hoogeveen, & Wapner, 2011; Stoker, 1998; UNECA, 2009 a; UNECA, 2011; UNECA, 2012), nonetheless, it is envisioned that South Africa's transition to low carbon economy requires a clearly defined and articulated governance framework to be successful. There has to be an enabling environment for discussions and engagement by different stakeholders. The enabling environment can be facilitated through an inclusive process.

As enumerated in the introductory chapter of this paper, the concept of green economy stems from sustainable development, which aims for development that meets the present needs of the society, "without compromising the ability of future generations to meet their own needs" (Rasmussen, 2012; Todaro and Smith, 2009; Vazquez and Sarkis, 2012: 2). Green economy

or low carbon economy ensures fair use of natural resources in which what is needed must be produced with environmental concerns in mind. South Africa has its own definition of green economy as:

> [The] system of economic activities related to the production, distribution and consumption of goods and services that result in improved human well-being over the long term, while not exposing future generations to significant environmental risks or ecological scarcities (DEA, 2010: 4).

South Africa views green economy as a development path, capable of sustaining the environment, while at the same time leading to economic growth. This author used green economy, green growth and low carbon development or growth interchangeably to mean the same thing. Also used interchangeably is green energy and clean energy. Green energy, also referred to as clean energy, is one of the components of green economy. It is defined as enhancement of energy security that results in improved human well-being and social equity, while significantly reducing environmental risks and ecological scarcities (EDD, 2011; Rasmussen, 2012; UNEP, 2011: 16; Vazquez and Sarkis, 2012). The idea is that green energy can lead to energy efficiency and ultimately lead to a low carbon growth. Without going into details, it is worth noting that energy sources such as fossil fuel and coal contribute much to carbon emission, while renewable energy such as solar and wind are environmentally friendly (EDD, 2011). The pursuit of green energy in South Africa at the moment is very challenging as discussed in chapter one of this paper. Some of the driving and inhibiting factors for policy participation or not will have further been discussed in this chapter. This researcher is of the view that South Africa's quest for a green energy requires thorough stakeholder engagement, in relation to green energy best practices. The next paragraphs provide discussions on these mentioned concepts for a green energy implementation in South Africa to "soft land" by looking at different participatory approaches.

2.3. Inclusivity and Participatory Theories and Approaches

Better policy participation is the standard expectation in any democratic setting. Inclusivity and participation have been used interchangeably to mean massive involvement, as well as multi-stakeholder engagement that detests top-down imposition, but favours bottom-up consultations in policy processes. Stakeholder is a range of interest groups who can support or oppose a policy. Stake holder engagement is very complex in the sense that various interests

must be negotiated and factored into policy process (Thomas and Poister, 2009). Two other concepts used interchangeably in this study are inclusivity and participation. However, it is important to define them. Inclusivity in policy formulation refers to invitation for the public and various interest groups to take part in a policy process. The onus is on the invitees to take part or not. The most important thing is that it is an open process to all and sundry. Inclusivity does not mean all the invited people are willing to participate (Leach, 2000). The unwillingness and discretion to participate is what differentiates it from participation.

There are many definitions of participation. However, for the purpose of this paper and from a development policy perspective, participation is defined as "a process through which stakeholders influence and share control over development initiatives and the decisions and resources that affect them" (Bishop and Davis, 2002: 15). In essence, citizens and non governmental actors have a stake and a say on policies for the attainment of policy objectives. The government and its subjects must be able to share some powers through compromise and consensus for the success of a policy (Bishop and Davis, 2002).

At the centre of participation in the green energy debate is what the best approach should be. The debates and theories around citizens and non-state actors participation in policy formulation and implementation are varied and complex, given that participation takes different forms and approaches. This writer has chosen to analyse participation theories around Bishop and Davis (2002)'s piece titled *Mapping Public Participation in Policy Choices*. According to the authors, participation has been encouraged because of "democratic deficit" in which liberal democracies face challenges in the dimensions of connecting with citizenry, as well as meeting public expectations. Therefore, participation has become a means of improving policies, as well as to get buy-ins to policies (Bishop and Davis, 2002; Whitaker, 1980). Not all participatory approaches are capable of producing perfect results, which brings this section to look at different approaches of participation. Participatory approaches include: participation as continuum; linking participation to policy problems; participation as discontinuous interactions, and a continuum of management techniques (Bishop and Davis, 2002).

2.3.1. Participation as Continuum

The continuum model categorises citizens for participation in democratic or policy process. In this sense, the citizens are given a minimal role in the process, which focuses on the selection of representatives to participate in the actual policy process. In this case, the representatives are delegated to negotiate with the government on behalf of the general public, with the citizens relying on the capacity of the representatives to make the right choices that take care of the aspirations of the masses (Bishop and Davis, 2002). The limitation of the continuum model is located in the lack of clarity to grasp the exact role of participation in policy development. First is that it does not encourage any share of power as the citizens are manipulated into thinking that they are actually part of the process. Secondly, the citizens cannot directly influence the policies as a result of the roles the delegated representatives play by doing the negotiations on their behalf (Bishop and Davis, 2002).

This set up may lead to "shirking" by the agents. Shirking is when the agent decides to pursue self-aggrandisement with all the privileged information the agent has over the principal (Tallberg, 2002). The citizens and non-state actors in this case are called the principal, while elected representatives are referred to as the agents. Under principal-agent approach, the control mechanisms of the principal, such as votes during elections are not enough to keep the agent in check when things are unfavourable for the principal. The agent may pursue other interests detrimental to the national priorities, resulting in defeat of the objectives of the policy (Tallberg, 2002). The problem of limited participation, as well as the issue of shirking discredits the continuum model for pursuit of green energy strategies in South Africa. The organised labour and businesses in South Africa do not have to elect people through party politics to be able to get involved in the green energy policy. The governments need to work with them to define the strategy.

2.3.2. Linking Participation to Policy Problems

In this approach, participation is categorised into policy problem, participation strategy to be used and the mechanisms of consultation. In other words, the level of participation is determined by the level of problem. It further locates participation in the hands of the government in which those to participate in the process are solely determined by the government (Bishop and Davis, 2002). Participation in this case does not make use of limited consultation in which the inputs from those consulted may not necessarily be considered, nor

their interests factored into policies. Therefore, the approach is more of a platform for the government to inform the public about the policy, which is akin to the proposed green energy in South Africa. The prerogative and discretion of the government officials on whether or not to incorporate the views and interests of other stakeholders is a paradox of participatory process. Participation demands that problem identification and agreement for the panacea are shared collectively (Bishop and Davis, 2002). Similar sentiments are shared in the outcomes of Rio+20 and the 2002 WSSD, in which inclusivity was highly recommended for green energy initiatives (Ferreira, 2012; Vision, 2012).

Relating the theory of linking participation to policy problems to the South African quest for green energy, government may not always be right in the assessment of the environmental challenges, nor is it capable of proffering the best way out. Government is this case may indeed create jobs and other clean sources of energy. However, many jobs will be lost at the same time and many industries may close or move elsewhere as a result of the high carbon tax to be imposed. The government will be entangled with socio-economic problems, caused by job losses and industries shut down. Rather than being enabler of economic growth and development, it will instead be an inhibitor. This system accommodates inclusivity and participation, but encourages more problems than solution as a result of the narrow focus on problem solving. This approach will not augur well for the green energy strategy in South Africa.

2.3.3. Participation as Discontinuous Interaction

Discontinuous interaction approach views participation as a scale of choices between minimum and maximum participation. Problem identification, techniques and resources to deal with the problems shape the type of participation. The type of participation is judged by the level of problem, techniques and resources to deal with the problems. Participation is usually domesticated in an ad hoc manner and lacks consistency. This approach is usually deployed in emergency situations, rather than problems that require lengthy processes of resolution (Bishop and Davis, 2002). The approach is top-down and requires government to make decisions and enforce them by using its authority to facilitate collective action (Hacket, 1998; Stoker, 1998). This researcher thinks that this state-centric perspective does not stand the current reality of time, where issues, such as the environment, require both local and international cooperation. Besides, there is no emergency involved. For instance, South

African government can impose green energy policy in the country, despite oppositions from the organised business and labour. In the long run, the policy is bound to fail because of the complexities involved.

Firstly, it requires a global binding agreement that ensures that other countries will do same. Getting international binding agreement is a long shot and before the country realises what it has got itself into, most of the companies will have relocated to other countries, to avoid payment of carbon tax. The relocation of companies will exacerbate unemployment in the country, as well as increase poverty. The aim of green energy will therefore be defeated, given that it concerns itself with not only environmental matters, but also economic and social aspects of development (Ballim, 2012; Marrian, 2013a; Marrian, 2013b; NPC, 2011; Roos, 2013).

South Africa as a member of the United Nations, as well as acceded to the principles of the African Peer Review Mechanism (APRM) and is committed to good governance and inclusive development of its country. In view of this, it should not be observed as calling for partnership for a green energy through the NGP on one hand, and doing the opposite on the other hand through imposition of green energy, without proper engagement with all the relevant stakeholders. On the international cooperation dimension, the promises from the Cancun Agreement in which the MICs promised to provide finances to the developing countries, as well as build their capacities to deal with the adverse effects of climate change has not materialised. Worst still, they have refused to sign and ratify the Kyoto Protocol, which could have held them accountable to reduce emissions (Baker, Newell and Phillips, 2014).

2.3.4. A Continuum of Management Techniques

This approach is in line with the unit of analysis of this research. It is of the view that the type of participation should equate policy objectives and expected outcomes. It has elements such as: information; consultation; partnership; delegation, and control (Bishop and Davis, 2002; Irvin and Stansbury, 2004). Focusing on the key elements of participation, starting with information, decision makers provide facts about the problem and the projects to deal with the problem. With regard to consultation, the public and interest groups are given the opportunity to make inputs. The inputs are capable of improving policy contents, as well as boosting

acceptance. Partnership produces joint decision-making, while control is a way of giving more say to the public through referenda (Bingham, Nabatchi and O'Leary, 2005; Bishop and Davis, 2002; Irvin and Stansbury, 2004; Newig, Pahl-Wostl and Sigel, 2005). The theory of continuum of management techniques meets the standard adopted in OECD countries and in South Korea, in which there was clear definition of roles and responsibilities among social partners (Nhamo, 2013).

The bigger challenges faced by states in controlling affairs beyond its borders call for effective governance, which must incorporate and find a balance between inter-play of interests, power, behaviour, compliant and non-compliant (Sampford, 2002; Qalyoubi, 2013). In support of this approach is the requirement by "the state to steer society in new ways through the development of complex networks and the rise of more bottom-up approaches to decision making" (Stoker, 2006: 41). It has become vitally important to find new ways to tackle problems collectively, rather than the unilateral approach often employed by states.

Extensive consultation may make policy formulation difficult by raising higher hopes and expectations, as well as it can produce a dominant group capable of pursuing vested interests (Bishop and Davis, 2002; Irvin and Stansbury, 2004). Another weakness in this new governance approach is that the denigration of polity concerns democratic legitimacy of the state, as well as the accountability of the network of actors. It is argued that when policy implementation fails, the state take the easy way to avoid blame, whereas it is elected to govern for the well-being of its citizens. Therefore, the narrowing of political power as regulation or policy making and monitoring shift from the government to multi-stakeholder players creates problem of accountability (Hackett, 2013; Irvin and Stansbury, 2004; Stoker 1998). Also, scholars of developmental states will argue that development does not just come about through democratic participatory process. It requires some amount of authoritarian rule to achieve development (Mkandawire, 2001).

Nonetheless, it is envisioned that South Africa's transition to a low carbon economy requires inclusivity and participation to be successful. A continuum management technique of participation will ensure that Non-Governmental Organisations (NGOs), Civil Society Organisations (CSOs) and other non-state actors have major roles to play in the provision of public goods and services. The rise of the Asian Tigers before the end of the 20th century

came about partly as a result of the ability of the countries to build coalition and social pacts. A social pact in this sense refers to the involvement of non-state actors in the development process of those countries. The countries were able to take advantage of the resources (technical and financial) from the private sector, as well as leveraging public funding through private investments (Mkandawire, 2012).

In summary, the volatile labour situation in the country, as well as the manufacturing sector's major contribution in the economy necessitates an inclusive process for a green energy transition. The South African government needs to discuss rewards and punishment for compliance and non-compliance respectively with the major players and find common grounds without distorting the socio-economic stability of the country.

2.4. Some Means of Participation

Participation in policy process comes in different forms and platforms. One of the means is through elections, in which the electorate choose candidates they deem fit to make and implement policies. Elections usually take place every four or five years, depending on the county's constitution. The policy tool in this case is the ballot box. Whether or not the results are fair is another matter altogether (Babooa, 2008). Similar to elections is a referendum which gives the public the opportunity to make choices on a particular issue. It is a straight forward request to voters to accept or reject a particular proposition. It allows the public to inform the policy architects about general opinion, especially on controversial issues. The application varies in different countries, with some taking it as binding; others may take it as advisory (Babooa, 2008).

There is another form of participation in which the interest groups do not have to necessarily wait for the government to invite or include them in the policy process. Nonetheless, the interest groups go about protecting their interests by sending memos or letters to the government about their concerns. Government is made aware of these interests through this method. Whether or not the government takes them seriously is another case entirely (Babooa, 2008).

Consultation comes in different shapes and forms. However, the salient point about consultation is that it provides avenues for communication between the decisions makers and

the citizenry. Information is usually made available to the people being consulted and in turn their advice is elicited (Babooa, 2008).

Culture and religious groupings and arena participate in policies through propagation of morals and values, which often get the decision makers to think twice before they stipulate a policy. In this sense, the decision makers often consider the interests of these cultural and religious groups (Babooa, 2008). Professional groups and Think Tanks usually ensure that policies being formulated by the government are not to their detriment. This group of people are usually respected in the society, which makes the government listen to them whenever they call for the attention of the government (Babooa, 2008).

Party politics and gatherings is another form of participation. Political parties protect their interest by forming a pressure group if they are not in power. Different political parties can collaborate to oppose or drive a particular policy, especially when majority voting is required in the parliament or senates. The opposing group may become the mouth piece, as well as the mechanism to meet the aspirations of the public (Babooa, 2008).

The business sector is influential in policy processes in some countries. The fact that they have money, as well as can dictate to some extent the economy of a country gives them the leverage over other stakeholders. Thus, they often become economic advisers to the decision makers, and use those opportunities to influence policies (Babooa, 2008).

Protests, whether violent or not, is another form of participation. This can take the shape of meetings, marches, and demonstrations. The purpose is to challenge or support a policy. The message from the protests usually forces the government to have a rethink. In South Africa for instance, the labour fraternity usually makes use of protests to send messages to decision makers, when other means have been exhausted or were not available (Babooa, 2008).

Statistical representation of a sample population can be used to administer survey questionnaires to find out perceptions about a particular issue. This approach provides enriched and useful information to the policy makers about what the preferences of the people are. Consolidation of surveys can be done through in-depth interviews, to give the information more qualitative features (Babooa, 2008).

Public hearings and meetings are another form of participation. These are traditional means of seeking the views of the public on a particular debate or issue. It provides question and answer sessions for clarity and contributions from those involved. The government uses this means to communicate to the public, as well as uses it to gain support for a particular course of action (Babooa, 2008).

Conferences and workshops have become another means of participation. These provide an avenue for working sessions in a small group, as well as general contributions in plenaries. Issues raised are usually discussed in a dedicated manner. At the end of the conference or workshop; reports, communiques or declarations are made by reaching a consensus (Babooa, 2008).

Media such as television and radio broadcasting, as well as prints and online media are very useful tools of participation. Members of the public can participate in debates, as well as offer opinions. The government on the other hand makes use of media to communicate to the public. Media is the fastest means of communication (Babooa, 2008).

Courts, especially the constitutional courts present another form of participation. Though it is an extreme measure, the public and interest groups can challenge or stop a policy through the constitutional courts, depending on which country. Constitutional courts are the supreme policy making organ in a country like South Africa, especially when the policy infringes on some aspects of the constitution (Du Plessis, 2008).

In summary, decision makers have different platforms and means to engage citizenry and stakeholders alike, in order that communication channels are sharpened. The necessary feedback required for improving policies can be obtained through most of the means enumerated, as long as the process is transparent enough to encourage participation. Also, the political will need to be strong to manage the process, as well as to accommodate various interests.

2.5. Role, Purpose and Benefits of Participation in Policy Formulation

The relevance of mass participation in policy process cannot be underestimated, especially in a country such as South Africa with a history of protest on service delivery and questionable policies. Public and stakeholder participation forms a close link between the decision makers, technocrats and the public. This process ensures that the views and interests of citizenry are taking into consideration in decision making. The citizens are given the opportunity to give proper feedback to the government through this process on one hand, and on the other hand; the government gets a platform to resolves disputes (Thomas and Poister, 2009).

Participation gives legitimacy and credence to a policy. Decisions reached through deliberation and dialogue create a sense of support and ownership by the public and stakeholders. Essentially, when people are in agreement with some decisions, they go to any length to make it work rather than when it is imposed on them (Masango, 2002; Thomas and Poister, 2009). One of the tenets of good governance is that of participation. It facilitates integration and soul searching and thorough process in policy making. It gingers exchange of information and ideas, which can improve a proposed policy. In essence, participation creates responsiveness from every group engaged in the process (Masango, 2002).

Other roles of public participation include: education and dissemination of information; incorporation of what everyone values most; improves quality of the policy; increases and builds trust in a policy; reduces and resolves conflicts, and leads to achieving projects in a cost-effective manner (Beierle, 1998).

In summary, participation is the key driver in policy process for giving policies legitimacy on one hand, and ensuring buy-ins from various stakeholders. It is safer to encourage participation in policy process, least the policy is seen as imposition.

2.6. Challenges and Inhibiting Factors of Participation

If participation in policy process is done for the sake of generating views and opinions without reaching a consensus amounts to making mockery of those being included and is also a waste of time. The approach of just trying to hear what others have to say without making use of the suggestions creates apathy. In this sense, the public will not be interested participating in any other policy being proposed (Leach, 2000).

Another factor is evidenced when the platform for dialogue and participation is not a level playing field, where all the interests groups can be seen as equals. The situation where there is a dominant group who may not deem the views of other groups relevant, creates superiority and inferiority complexes alike. In essence, the notion is that if one group is seen as all-powerful and know-it-all, other groups would not bother at all. Consequently, the dominant group will be left to formulate other policies. Also, some of the tools used in the participation exercise are complex. There are situations where people are given about 1,000 page documents to make contributions to it at a very short notice. Another is that people can be given maximum of two minutes to state their positions during consultations and public hearings. These limited time frames and opportunities also discourage participation (Leach, 2000).

Lack of awareness of the need for a particular policy can inhibit participation. In an instance of the environmental problem in which people do not see the damage to the environment physically, it is very challenging to get people to participate in order to find a solution. Sometimes, it takes a natural disaster such as earthquake or flood for people to really pay attention and then call for action (Leach, 2000).

Similar to lack of awareness is when people are resistant to change or do not understand why they need to change. Resistance has a way of creating reluctance on the part of the decision makers to engage the public. The government may have the connotation that people may not agree to the policy, therefore there is no need to consult them. On the other hand, the citizens may not be competent to understand what the problem is and how government intends to tackle the problem. Lack of technical knowhow by the public may give the policy actors another reason not to encourage participation (Leach, 2000).

Public participation in itself is very complex in the sense that various interests must be negotiated and factored into a policy (Thomas and Poister, 2009). The process is difficult, especially when the policy is blurred, without clarity. Negotiations often lead to frustrations and fatigue among the stakeholders involved. Conflicts can also occur between professionals, given that there may be different schools of thought and orientation. The conflicts and

cumbersome processes involved in public participation often inhibit participation (Leach, 2000).

In summary, despite challenges that can be envisaged in public participation, it is still pertinent for participation to be encouraged in policy process. The decision makers need to find a way to engage other interest groups to avoid resistance and policy failure.

2.7. Participation Enabling Factors

Enabling factors for participation to take place in policy formulation is as important as the policy itself. One of the enablers is to reduce the apathy of the interest groups toward participation, by making them feel important to the development process of the country. The sense that the contributions of the interest groups are valued, breaks the psychological barrier and catalyses participation (Clapper, 1996).

Building and encouraging endogenous knowledge facilitates participation. Inasmuch as professionals identify problems and proffer solutions, the solutions may not necessarily be the best, if they are not familiar with the surroundings where the policy is going to be implemented. The indigenous people are in better position to talk about the problems in a particular area and contribute to the solutions, by making use of past experiences (Clapper, 1996).

Governments' ability to get buy-ins from stakeholders and the public is a key enabler to participation. The government needs to build a business case, with clearly defined problem statement, budgets and measures to address the problem. Government also needs to be convincing in their proposals, as well as demonstrate transparency and credibility for the public to engage in the process (Clapper, 1996).

The necessary structures and channels that can be accessed by the citizens to participate in policy process need to be in place. An open door policy that is ready to listen to what the public has to say, encourages people to participate in policy process. More importantly, the documentation needs to be interpreted and simplified in layman's language for the majority of the public to understand the problems and processes (Macintosh, 2004).

Supportive legal instruments that can encourage compliance from the actors involved, in executing and supporting an agreed policy is very important. Also, there should be a legal framework in place that encourages public participation. The legal framework should define roles expected from the various interests groups, as well as stipulate the degree of penalties and punishment to those who do not comply with the policy agreed upon (Macintosh, 2004).

In summary, no matter the means of participation, the enabling environment and transparency of the process need to be right for people to be encouraged to participate in the decision making process.

2.8. International and Regional Trends and Examples of Participation in Policy

In the background section of chapter one of this report, this writer provided synopsis of participation in the green economy and green energy policy processes in some countries. The green energy participation best practices will be expanded upon in the next section of this chapter. Before then, some international and regional trends and examples of participation in policies in general from similar places are given in this section. These trends and examples are not specific to green economy and green energy policy, but just to highlight the public participation in some of those places. At the international arena such as the United Nations Agencies, negotiations are participatory in nature. For example, the 2002 conference in Johannesburg, the World Summit on WSSD focused on the implementation of Agenda 21 through partnership with the private sector. The CSOs, Community Based Organisations (CBOs) and Faith Based Organisations (FBOs) were involved in negotiations. The on-going climate change negotiations aimed at reducing global GHG emissions is done through an inclusive process (Najam and Selin, 2011).

At the European Community (EC), the decision making process is very inclusive through wide consultations. Decisions are reached through voting, with the majority determining the course of action (Murithi, 2005). In OECD countries, participation in policies by citizens and stakeholders are in the form of involvement during formulation and implementation phases. The communication and engagement process are fluid. Over all, the outcomes the policy process in OECD countries are that of quality public policy outcomes, and greater awareness for many citizens and implementers alike. Another key outcome is enhanced legitimacy of the public institutions as a result of trust by parties involved (OECD, 2001).

At country levels such as Norway, apart from citizens' participation in policies in forms of involvement during formulation and implementation phases, citizens are also involved in evaluating policies to identify challenges and improve upon the policies (OECD, 2001). The situation in Germany is that of huge encouragement by the government for people to participate in policies. Flow of information is facilitated by government to create awareness and the citizens are encouraged to engage actively in debates. In Canada, decisions by government in public policy without the participation of citizenry are not common (Scott, 2009).

In Asia, South Korea's "Sunshine Policy" is outstanding. South Korea's inclusive process has clear definition of roles and responsibilities among social partners: government, business sector, labour and the civil society groups. Also, there is involvement of these social partners during planning phase, budget preparation and implementation of policies (Nhamo, 2013).

In the Brazil; Russia; India; China, and South Africa (BRICS) countries, Brazil's 1988 Constitution sanctioned a bottom-up approach of policy making. Mechanisms for citizens to engage in policy making, its implementation and evaluation are in place. The purpose of this policy is to guarantee transparency, accountability, as well as reflect the aspirations of the citizens (Coelho, Pozzoni, & Cifuentes, 2005).

In Africa, the African Union (AU) Constitutive Act promotes participatory governance, seen as a shift from "state-centric" to a "people-centric" policy making process; which the defunct and moribund Organisation of African Unity (OAU) could not handle. Consultations are done through the AU general assembly, as well as through other AU institutions such as the Pan African Parliament (PAP), the Economic, Social and Cultural Council (ECOSOCC) and NEPAD. Decision making is unique in that there must be a consensus before a decision is taken (Ajulu, 2002; Murithi, 2005). At country levels in Africa, however, public participation is not very common. However, Ethiopia provides an example of public participation in policies in African countries. The Ethiopian Constitution recognises that governance should be people-driven and gives room for proper communication and understanding of policies, as well as the processes (Hyden and Venter, 2001). The steady economic growth in Mauritius for the past decade is attributed to good governance, with public participation playing a key role.

The Constitution of the country makes provision with direct public participation in policy formulation. A direct form of participation in policy process is exemplified in the local self-governing at grass root levels whereby the public at the community level decide on matters concerning them through the local assembly (Babooa, 2008).

In summary, there is no perfect model of participation or one-size-fits-all in policy process. However, engaging the citizens and stakeholders alike in policy formulation is a mark of respect to all the parties involved. Participation must be encouraged, no matter the challenges involved.

2.9. Global and Regional Green Energy Best Practices

The synopsis of global and regional green energy best practices was provided in chapter one of this report. Despite lack of global binding agreements to reduce GHG emissions, some countries have voluntarily embarked on reducing their carbon foot prints through the introduction of renewable energy programmes (GGBP, 2014). On the global level, some of the countries from the Asian continent include: Thailand and Indonesia. Indonesia has introduced the use of geothermal power, while South Korea stands out as a champion of green growth. In addressing GHG emissions, South Korea's green economy is identified through "three pillars: regulations to reduce GHG emissions from industries; incentives for businesses to develop green technologies, products and services; and public information tools for awareness and increased demand for green products" (Nhamo, 2013: 122). The successful transition of a green growth strategy in South Korea is attributed to the inclusive process in which there was clear definition of roles and responsibilities among social partners: government, business sector, labour and the civil society groups. Also there was involvement of these social partners during the planning phase, budget preparation and implementation of the green strategy (Nhamo, 2013). Five years after the introduction of green growth strategy in 2009 in the country, the positive impacts are already emerging. These include boosts to green industry and green technology, as well as strengthening of climate resilience in South Korea. For instance, air particles by 2011 are lighter from 65 micrograms in 2007 to 54 micrograms. Also, quality of water proportion rose to 78 percent in 2001 from 75 percent in 2007 (Choi, 2014).

In the Americas, the countries include Canada and Mexico, with Mexico much into wind power. In Europe, Germany is one of the leading countries pursuing clean energy usage. In the Organization of Economic Cooperation and Development (OECD) counties alone, about nine percent of total energy source is derived from clean and renewable energy (OECD, 2013b). The case of green electricity in Dutch Municipality in the Netherlands shows that every progressive society concurs that an initiative can better be implemented through a participatory process. Green electricity has been implemented since 1995 in that country. In the Netherlands, consumers are encouraged to source electricity from renewable energy sources. The cost of the green electricity was made to be cheaper and separated from that of conventional electricity, sourced from fossil and nuclear sources (Holfman, 2008).

About 60 percent of electricity consumption is from green sources in the Dutch Municipality. The success of the project was replicated across Netherlands and has recorded consumption of about 10 percent of green electricity (Holfman, 2008; Somo, 2012). The successful implementation of the project in the Dutch Municipality gives credence to the participation of various stakeholders during the negotiation stage, before implementation. People saw the usefulness of the project after negotiations. Again, users of electricity were not spurred to use green energy sources. The conviction and buy-in experienced in the Netherlands can also be adopted elsewhere, including South Africa, by using a similar model and high level of participation (Holfman, 2008).

The Brazil; Russia; India; China, and South Africa (BRICS) countries promote clean technology investment and policies with various mode of implementation. The BRICS countries and other countries already mentioned by the author are aware that there are distortions or constraints in the economy from the introduction of green growth, which limits the returns to “green” innovation and investment. To manage the distortions or constraints in the economy requires inclusive policies, technology and capacity building of individuals and institutions (Nhamo, 2013; OECD, 2013b).

Africa has adopted the SE4A Initiatives, as well as promoting clean energy initiatives on the continent. The pursuit of green energy is reflected in the Africa’s Vision 2063 development plan now being circulated for inputs and consultations. Among the work streams of the document is a framework for a low-energy intensity and low carbon development (IAG,

2013). Recognising that Africa's potential for renewable energy is immense, the continent's intention for green energy is also documented in the AU-NEPAD African Plan of Action 2010-2015. One of the objectives of the regional integration in the action plan is the promotion of the use of clean energy through creating "access to the different forms of modern energy, in particular, by promoting the use of clean, modern energy in lieu of biomass to improve living conditions in households and protect the environment" (UNECA, 2009b: 5). With lack of infrastructure, the continent's focus is more about making electricity available as much as possible to many, given that only 26 percent of households in Africa have access to electricity, while access to electricity in the whole of Africa is about 30 percent (Ighobor, 2012; UNECA, 2009b).

In highlighting some of the good clean energy practices in the continent, countries such as Kenya and Ethiopia, have set out policies to take full advantage of the emerging green energy norm. Tunisia has already kick-started the use of clean energy in the country through solar water heating, while Rwanda's green energy drive is centred on its Vision 2050. Vision 2050 envisages development through low-carbon economy by 2050. Also the Green Growth and Climate Resilience National Strategy proposes development through the use of clean energy. To achieve this, it draws on a readiness framework composed of institutional arrangements, knowledge management and inclusive processes (Nhamo, 2013).

At the Southern Africa region, green energy policy is still being mooted as a result of the energy shortage since 2007 in which demand for electricity surpasses supply. The only strategy in place is the Southern Africa Development Community (SADC) Regional Energy Access Strategy and Action Plan (SADC, 2010). Making traditional energy sources accessible to people is paramount on the agenda of the region and not green energy. Despite the unwillingness by other countries to commit to green policies, South Africa; Mauritius; the Seychelles, and Mozambique are some of the countries in the SADC region working towards the green economy pathway in general, and green energy in particular (EDD, 2011; Nhamo, 2013).

2.10. Participation in the Governance of the Green Energy in South Africa

Prior to 1994, South Africa's public engagement and participation was little or non-existent. Apartheid policies deprived the majority of the population from participation in policy

making. The simplest form of participation in the form of general election was denied to the black population, who constitute the majority of the country's population. However, the marginalized group, who are ironically the majority of the population, resulted in struggles and violence protests as means of participation in policies. Violent protests carried out by the victims of apartheid were nonetheless direct participation, nor so effective in influencing policies. However, the actions of the black population drew attention locally and internationally, leading to global pressures and economic embargoes. The global pressures and economic embargoes on the apartheid government and its cronies did influence some aspects of the country's policy, and in the long run, the apartheid government gave in to a democratic rule (Hyden and Venter, 2001).

Before the 1994 general democratic elections, some form of participation took place in drafting of the new Constitution, though elitist. Since 1994, the government has put in place policy and legislative frameworks that seek to promote participatory governance. The notion of public participation is enshrined in the South African Constitution. In chapter 2 of the Constitution, a Bill of Rights includes equality, human dignity and freedoms, as well as rights to education and access to information, just to name a few, are stipulated (Du Plessis, 2008; Hyden and Venter, 2001).

With regard to the environmental, green economy and green energy policies, there are in existence frameworks and polices on these sectors that encourage public and stakeholders' participation. A shift to a green economy is stipulated in the South Africa 1996 Constitution. The specific policy framework for the energy sector includes: the 1998 White Paper on Energy, as well as the 2003 White Paper on Renewable Energy. The policy on renewable energy targets some energy demands from renewable sources. In chapter one of this report, mention has already been made about the NGP Green Economy Accord and the National Development Plan (NDP). Other existing policy documents include: the Industrial Policy Action Plan (IPAP) 2; the Integrated Resource Plan (IRP) 2010; the Green Paper on a Climate Change Response Strategy (GPCCRS); the Long-Term Mitigation Strategy (LTMS); the Green Economy Model; the National Skills Development Strategy III, and the Medium-Term Mitigation Strategy (MTMS). Most of these policy frameworks indicate and acknowledge the roles for stakeholder coordination and call for an inclusive process (DBSA, 2011; DEA, 2011; Nhamo, 2013).

A mention of two forums of stakeholder engagement is given herein. Specific forums for environmental, green economy and green energy policies engagements are the National Committee on Climate Change (NCCC) and the National Economic Development and Labour Council (NEDLAC). The NCCC is the official national platform for stakeholder engagement on environment and climate change related discussions and deliberations. However, NCCC is accused of not possessing enough influence for the outcomes of the engagement to be taken seriously. This is because it does not have executive power, given that participation by key ministries such as National Treasury is very poor, and there is no attendance by the Presidency. Furthermore, NCCC is not transparent as it seeks to promote government policies, without necessarily mindful of the inputs of other stakeholders (Du Plessis, 2008).

On the other hand, the governance trend in South Africa has seen NEDLAC providing an institutionalised platform for social dialogue in South Africa. However, the parties to the council involved as key stakeholders have different interests, ranging from opportunities to potential cost, as well as job losses (DEA, 2011; Montmasson-Clair, 2012). Besides, NEDLAC is often accused of promoting a top-down policy approach, in which the interest of the elites and ruling class is championed, to the detriment of other stakeholders (Du Plessis, 2008; Qobo, 2012).

Despite the constitutional provisions and legal framework encouraging participation in South Africa, most decisions have been top-down. South Africa has the history of making policies in a rushed manner, borne out of the need to address problems. Also, policies are crafted through a top-down approach, given that the dominant political party, as well as the Executive are influential over policy making (Booysen, 2001). Again, the policies are often profuse with goals and objectives beyond the capacity of the country (Mutahaba, Baguma and Halfani, 1993). So, this top-down approach has resulted in apathy and lack of interest by the general public in the policy processes in the country. The public thinks that government will always do it its own way and there is no need to participate, even if it is an honest and proper engagement. Again, there is policy ambiguity, given that policies are not properly communicated. All these complications lead to policy resistance in the country. For instance, the government of South Africa has not found it easy imposing e-toll taxes in Gauteng (Rasool, 2012).

South Africa should be aware that there could be distortions or constraints in the economy from the introduction of green growth, which could limit the returns to "green" innovation and investment. To manage the distortions or constraints in the economy requires inclusive policies, technology and capacity building of individuals and institutions (Nhamo, 2013; OECD, 2013b). From review of the available literature and best practices, it is evident that a development path, such as green energy requires a holistic approach that factors in inclusiveness and collective action. Given the anticipated problems, challenges and divergent views, some steps need to be taken to manage the problems and challenges through dialogue and consultation, as evident in other best practices discussed. This is with reference to the OECD countries and South Korea in which inclusive process was paramount in the implementation of green energy. Common sense should prevail in South Africa as there is still an opportunity for an inclusive process towards legitimising the policy (EDD, 2011; NPC, 2011).

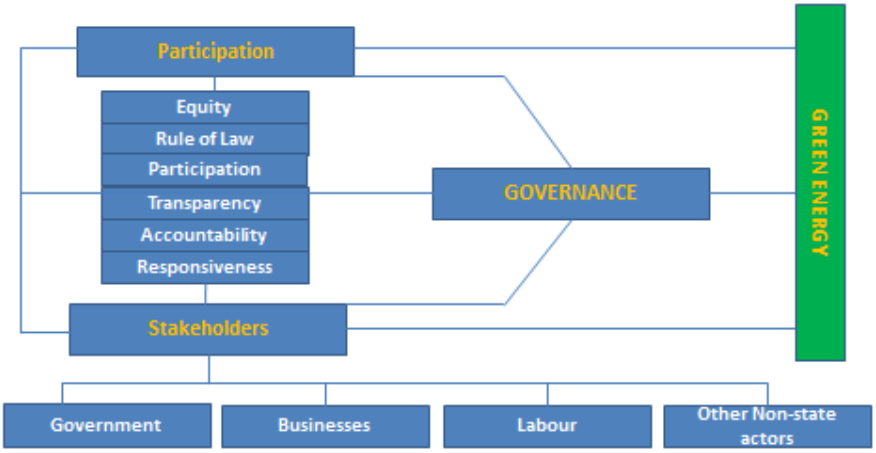
In summary, South Africa should make communications its top priority; if a green policy is the answer to the country's problem in reducing GHG emissions. Its policies and programmes need to be explained in terms of tangible benefits that are achievable. This suggests that what South Africa needs is more coordination and proper policy articulation through inclusive process. In other words, if green policy architects want the public to embrace the policy, they must move beyond the theoretical level of discourse and policy ambiguity that has dominated the country so far, and initiate practical programmes and cost effective policies.

2.11. Conceptual Framework

Literature and debates on participation in green energy, as well as the background of green energy initiatives helped in the production of the conceptual framework for the study. The framework provides commentary on some of the issues touched while reviewing participation theories and the background of green energy. Qualitative research is inductive and follows the description of groups meaning system and how the group meaning system is usually generated and sustained (Bryman, 2012). This paragraph engages the key constructs and concepts in the proposed study. The assumption that underpins this research is that government institutions in South Africa are working in silos while searching for solutions for environmental problems. Therefore, to reach a successful green energy transition in South

Africa requires credible governance that is inclusive and participatory. **Figure 1** depicts the kind of participatory approach that this researcher envisages for the successful transition of green energy in South Africa. This vignette is further explored in chapter five while analysing the research findings. The framework epitomises the elements of green energy and its definition rooted in participation.

Figure 1: Adapted from (Governance and Canada Corps, 2005).



At the thrust of this framework in **figure 1** is good governance, which provides avenues for participation of citizenry. Participation and inclusivity provides the enabling environment for the observation of rule of law. Thirdly, there is transparency in making of decisions and this transparency ensures equity. The other aspect is accountability by all the social networks and institutions involved and lastly, it encourages responsiveness in realising a national priority (Governance and Canada Corps, 2005; Najam and Selin, 2011). These elements of governance: participation; observation of rule of law; transparency; equity, and responsiveness are critical in the creation of a public value in South Africa. Green energy can become a public value through the application of right policies in an inclusive and coordinated manner, to ensure that different stakeholders' views are taken on board; consensus is reached, before rolling out the green energy strategies. As lofty as the framework looks, it requires dove-tailing nonetheless. Apart from the issues of finance and capacity to implement green energy initiatives in South Africa, extensive consultation may make policy formulation difficult by raising higher hopes and expectations, as well as potentially

producing a dominant group capable of pursuing vested interests (Bishop and Davis, 2002; Irvin and Stansbury, 2004).

One of the issues with the framework in **figure 1** is found in the problems faced by South Africa and other countries on how to get people to understand that protection of the environment equally creates public value. This researcher suggests that government policies must take into account what the public value the most and what they can derive value from. In any democratic setting, the citizens are equally important in defining what is valuable to the society (Bennington, 2009). The sense that the government values the opinions of the citizens creates a sense of belonging to polity, which then builds trust between the government and the masses (Bennington and Moore, 2011). Conviction can only come about through engagement; communication; participation, and involvement of the citizens in the process. In the meantime, people and entities should be encouraged to adopt voluntary processes of caring for the environment, such as tree planting and patronising environmental friendly energy sources, rather than imposition of taxes.

Environmental and green policies being proposed in South Africa are top-down in nature. This top-down approach negates the views and contributions of other stakeholders, making it difficult for implementation (Dye, 1995). There are group of people who do not agree or understand the basic principles behind policy of green economy in general and green energy in particular (Cole, 2003; Kysar, 2003; Lomborg, 2001; Moomaw, 2002; Pielke, 2004). These groups of people believe that the global warming and climate variability noise is a false alarm, in the sense that claims of negative impact on environment from human behaviour are exaggerated. Lomborg (2001) argues that passion to create environmental policy is not enough, coupled with the inaccurate data often presented by scientists. He reckons that the proposed solutions to a safe environment currently being purported will not only be too costly, it will also be more damaging than the problem itself. This writer does not agree with Lomborg's allusion, given that his analysis of the environmental issues lacks objectivity. The analysis is also over-simplified and encompasses selective use of data (Cole, 2003).

However, this writer thinks that there are many sceptics out there that need to be convinced on the enormity of the environmental degradation, and why green energy is the right way to go, therefore seconds the factor inhibiting participation is the policy ambiguity, which is not

properly communicated. The way out of the current quagmire between government and non-governmental actors in South Africa is for the government to use an incremental approach. With the green energy policy already proposed in South Africa, incrementalism will facilitate wider consultations, as well as build a robust business case to convince the public to buy into a low carbon growth. The feedback from the various stakeholders will help the improvement of the policy and its acceptance (Dye, 1995).

The cross-cutting nature of environmental issues means that there are different interests and actors who are required to work collectively to save the environment. Again, sustainable development implementation in the past has left the environmental aspects behind. Some economies and individuals having benefited socio-economically; given up or reducing their benefits for the sake of future is very hard to fathom. Therefore, to change people's behaviour from business as usual, requires cooperation, robust communication and engagement from every facet of the society. High quality environmental policy output and improved compliance and implementation can be the direct result of participatory approach (Newig and Fritsch, 2009).

Kusek, Prestidge and Hamilton (2013) contend that those behind project initiatives need to do a stakeholder analysis in order to identify various interests groups, as well as their power. By so doing, the initiators can "keep your champions close, and your critics closer" (Kusek et al., 2013: 23). The mapping exercise will enable the government to identify champions and critics to the green energy, devise means to make use of the contributions of the champions, and devise means of massaging the power of the critics and their interests (Kusek et al., 2013). Failure to carry out interest groups and power analysis has a high tendency to cause project failure. From all indications, the South African government has not mapped the power relations among other stakeholders, such as the organised private sector and labour fraternity in the country. These groups are very to the success or failure of the green energy initiative.

For instance, the government of South Africa has not found it easy imposing e-toll taxes in Gauteng (Rasool, 2012). Road users may not have other options than to use the tolled roads and to pay eventually. In the case of carbon taxes, if green energy strategy is implemented in the current format, the captains of industries may decide to move their businesses elsewhere. Also, the labour unions may become disruptive with incessant industrial strike action. The

notion of deliberative democracy enhances dialogue and mutual understanding through reasoned and well debated arguments. These reasoned and debated arguments take into consideration the diverse interests and views at a minimal political interference, leading to a hitch-free collective decision-making process and collective action (Vazquez-Brust and Sarkis, 2012).

The governance trend in South Africa has seen the National Economic Development and Labour Council (NEDLAC) providing an institutionalised platform for social dialogue in South Africa. However, the parties to the council involved as key stakeholders have different interests, ranging from opportunities to potential cost, as well as job losses (DEA, 2011; Montmasson-Clair, 2012). Besides, NEDLAC is often accused of promoting a top-down policy approach, in which the interest of the elites and ruling class is championed, to the detriment of other stakeholders. So, this top-down approach has resulted in apathy and lack of interest by the general public in the policy processes in the country. The public thinks that government will always do it its own way and there is no need to participate, even if it is an honest and proper engagement (Qobo, 2012). Another reason that breeds apathy is found in one of the main challenges Africa faces today in realising its developmental aspirations, which is the lack of policy continuity. The personalisation of politics, as well as policies, always blinds the elites from taking a broader view of development blue prints (Mutahaba et al., 1993).

Given the contestation and debates on the best approach for going green, the government can still make good use of different fora and NEDLAC in a more transparent manner to achieve results that are beneficial to all concerned. Building trust in South Africa has become the fundamental point in reaching voluntary agreement. South Africa will require voluntary agreement to succeed in the implementation of the green energy strategy. Through the engagement process, issues relating to accountability, incentives and penalties can be clearly spelt out and understood. The government also needs to encourage and activate the key enabling factors for participation to take place in policy formulation in the country. The enabling factors include: reducing the apathy of the interest groups toward participation; building and encouraging endogenous knowledge; build a business case, with clearly defined problem statement, budgets and measures to address the problem, and putting in place the

necessary structures and channels that can be accessed by the citizens to participate in policy processes (Clapper, 1996).

2.12. Conclusion

This section set out to review literature on the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa. It found that the factors leading to lack of inclusivity and participation in South Africa include: top-down nature of policies, which negates the views and contributions of other stakeholders. The second is policy ambiguity, given that policies are not properly communicated. Apathy and lack of interest by the general public is another reason, as well as lack of policy continuity. From the extensive review of the broader literature in environmental governance and that of participation in the green energy, it is understood that to change old habits requires change in mind-sets, trust by all the relevant stakeholders, as well as buy-in for a successful green energy transition in South Africa to kick-start. Consensus on the roll out of green energy in South Africa can only come about through an inclusive and participatory process. Participatory process is the best route to capture the elements of green energy aspirations, as well as meeting the well-being of South Africans. The enormous challenges faced by South Africa in pursuit of this ambitious growth path requires carefully thought out processes, procedures and commitments, which is possible through collective efforts and actions. The knowledge gained from reviewing the literature, as well as pieces of information extracted will play vital roles in the analysis chapter of this study.

Chapter Three: Research Methodology

3.1. Participation in the governance of South Africa green energy

South Africa's quest for a green growth strategy has been boosted by proposed policies for a greener future by the ruling government. However, opposition has emerged to this green growth strategy from the manufacturing sector, as well as organised labour. The manufacturing sector reckons that the anticipated carbon tax to be adopted through the implementation of the green energy strategy could force some companies to liquidate or move elsewhere. Organised labour is concerned with job losses, which the green energy strategy will exacerbate when implemented (Ballim, 2012; Marrian, 2013a; Marrian, 2013b; NPC, 2011; Roos, 2013). From the literature appraisal in chapter two, it is evident that contestations stem from the non-inclusive, as well as non-participatory nature of the implementation of the green energy strategy in the country. Concerns and interests of the aforementioned stakeholders have not been considered in the proposed policy. The methodological underpinning of the study is presented in this chapter.

The author went through different phases in the methodology to address the single main research question of the study: What are the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa? The phases include: a) an intensive literature appraisal on participation in green economy and green energy; b) a conceptual framework of desired participatory approach for the successful transition of green energy in South Africa was designed; c) in-depth interviews with selected experts in the field of green energy and participation were conducted to get their insights and perceptions on green energy participation. The number of experts interviewed was eight; d) thematic content analysis was used to make meaning of the data; e) analysis of the experts' insights and perceptions on green energy participation was rigorously done; f) further intensive South Africa policy-oriented document review, to trace emerging themes from the experts' perceptions was carried out; and g) further analysis and conclusions based on the research findings were made. These different phases are detailed in this chapter.

3.1.1. Types of Research Methodology and Definitions

In the coming paragraphs, the research method is provided, as well as the sampling method; gaining access; ethics appraisal; issues of validity and reliability, and data gathering method.

With the knowledge gap that exists in South Africa in the area of participation in the green energy strategy, this research seeks to answer the following research question: What are the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa? To answer the research question, this researcher looked at different research strategies in order to identify the most appropriate method for the research. Research methodology, also known as research strategy, is defined as "a general orientation to the conduct of social research" (Bryman, 2012: 35). It provides distinctions of methods of conducting research and takes into account epistemology and ontology.

Epistemological considerations refers to appropriate disciplinary method of conducting research, while ontological position is what determines the way research questions are formulated and operationalised. Epistemological consideration demands objectivity with little or no influence and interference of the research outcome by the researcher (Bryman, 2012). There are three types of research methodologies: quantitative, qualitative and mixed methods. While the definitions of quantitative and qualitative methods are provided in the coming paragraphs, mixed method is the use of both quantitative and qualitative methods to conduct research (Bryman, 2012).

3.1.2. Reference Technique

This study made use of the American Psychological Association (APA) reference style outlined in the American Psychological Association. (2001). *Publication manual.* (5th ed.). Washington, DC. Also, most of the sources consulted were checked for proper APA referencing style, with the use of Google Scholar. The author names were entered into the search link of Google Scholar to show the publication. By clicking on the citation link, the different types of referencing styles appear. This researcher then copied the respective references done in APA style. Sources consulted have been compiled in alphabetical order and listed as references at the end of the research report.

3.2. Quantitative Research Method

Quantitative research method is the employment of measurement and quantification in collection and analysis of data when conducting research. It involves a deductive approach, which entails testing of theory and hypothesis for adding to a theory and confirmation of a hypothesis. The data are usually presented in descriptive statistics (Bryman, 2012). Based on

the need for the researcher to understand the factors inhibiting inclusivity and participation in the green energy strategy in South Africa, the researcher does not deem quantitative research method appropriate for the study. This research is not concerned with quantification. Thus, qualitative research method was considered appropriate.

3.3. Qualitative Research Method

Qualitative research places emphasis on words through an inductive approach, to find meaning from the relation between research and theory; to generate new theories (Bryman, 2004; Bryman, 2012). This research method is based on an understanding of human behaviour and socio-economic conditions within the development policy context. The government and non-state actors in this case attach different meanings to how best to implement the green energy strategy in South Africa. This study adopted a qualitative research strategy, though it is exploratory in nature, but also used an inductive approach. Inductive approach entails the description of groups meaning system and how the group meaning system is usually generated, and sustained (Bryman, 2012). Qualitative method enabled this researcher gain a deeper explanation and understanding of issues around policy formulation, participation and implementation of green energy in South Africa. It also supplemented the findings with contextual perspectives by incorporating various literatures reviewed. This researcher strove to make sense of the data that were collected from the respondents, by understanding, as well as making meaning of the perspective of the interviewees. Literature and theories on participation in the green energy initiatives were used in analysing the data collected, to make more meaning of the interaction that transpired between the researcher and the participants (Bryman, 2012).

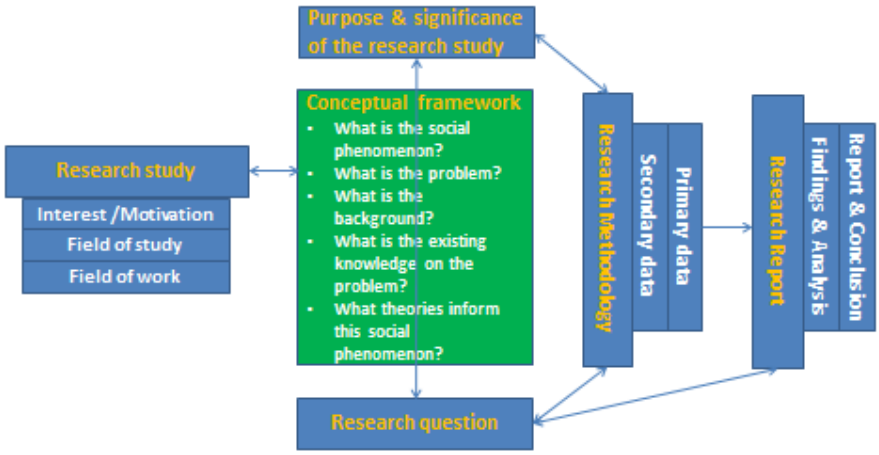
Epistemological and ontological considerations have been taken into account for conducting this research. However, given that the study was conducted through qualitative method, the objectivity is not fully guaranteed, as a result of the interpretivist nature of the research (Bryman, 2012). Nonetheless, the method helped in the rejection of the idea that scientific empiricism can only be applied to the social world, especially in this green energy debate in which some sets of people believe that without scientific proof, the noise about global warming should not be taken seriously (Lomborg, 2001; VanDeveer, 2011).

3.4. Research Design: Cross-Sectional Design

By use of a qualitative research strategy, the research design used in this research was cross-sectional, through semi-structured in-depth interviews. The literature on participatory governance argues that participation in policy process is a social phenomenon. However, participation can come about in different forms as shown in chapter two. The approaches include: participation as continuum; linking participation to policy problems; participation as discontinuous interactions, and a continuum of management techniques (Bishop and Davis, 2002). This approach is in line with the unit of analysis of this research. It centres on the reasons why the policy process in not as inclusive as in other best practices around the word.

The research shows in chapter four and five the reasons for lack of participation and inclusivity in the policy process. Given the scope and limited time available to conduct this research, the researcher selected a cross-sectional design, which ensured the collection of data on the subject matter and at a particular point in time for the original and rich data relating to two or more variables. These variables (green energy and participation) were examined to detect their meaning or trend (Bryman, 2012). This type of design allowed in-depth analysis of responses from the respondents. In this case, the research analysed the responses from green energy and governance policy practitioners, as well as provided the platform to collect the data simultaneously through the interviews (Bryman, 2012).

Figure 2: Showing the mapping of the nonlinear qualitative research design



The research design is rooted in a nonlinear pattern of conducting research and has been incorporated in this study. This was done in order to demonstrate that the researcher is flexible enough to deal with the issues around validity and the reliability of the research. The illustration of the research design adopted by the researcher is shown in **figure 2. Figure 2** illustrates that the research question was designed to get answers from the interviews by getting the perspectives of the participants. The design also set out to address the problems, as well as the purpose and significance of the study. The study incorporated the information from the background of the problem, as well as evaluated the existing knowledge and theories on the area of study. In summary, the design identified the problem, asked questions, provided answers, as well as suggested ways to address the problem.

3.5. Research Method: Semi-Structured Interview

As indicated in the preceding paragraph, the research method for this research was semi-structured in-depth interviews. The sample of the interview schedule used for conducting the interview is provided in **Annexure 2** of this report. Semi-structured in-depth interview was more flexible and it allowed the respondents to express their views and ideas in their own words and expand on them where necessary, upon probing by the researcher. Also private accounts of the subjects were noted during the interviews (Becker, 1970). Simultaneously, the process gave the interview some directions, through specific questions like, what challenges are envisaged to the proposed policy in South Africa. This type of question gave deep information, which helped the researcher understand the meaning that people attach to green energy participation (Becker, 1970).

On the other hand, this method required a lot of skills from the researcher because the researcher was prompted to follow up particular answers given by the respondents in some of the interviews with other questions. The follow up questions proved difficult for the researcher in some cases, due to the spontaneous nature to react. Also, the researcher was required to be involved directly to conduct the interviews. Yet, conducting the interviews was time consuming, as well as in listing, encoding and writing down the information before analysing it. There were also issues with some of the interviewees who the researcher felt that

they gave irrelevant and long answers to some of the questions asked (Becker, 1970; Bryman, 2012).

3.6. Sampling and Pilot Study

To enable this researcher to answer the research question, a pilot study was conducted orally by the researcher among some post-graduate students and policy actors on the research topic. The meta-analysis and review of relevant literature for the research by the researcher provided enough insight for drafting the questions contained in the interview schedule. The sampling method for this research was non-probability, as well as non-random and convenience. This researcher interviewed eight policy actors and government officials in South Africa, in the field of sustainable development and green energy sector as the research population (Bryman, 2012). These groups of people were specifically targeted for this research, given that while some are key stakeholders and experts on the field of participatory governance, service delivery and green economy, as well as green energy; others are actively involved in the green energy policies. The researcher interviewed an additional person who is a novice in the field of green energy participation, to get a layman's view of the matter. The demography of the research population comprises six males and three females, aged between 30 and 45 years.

The composition of the participants that participated in the interviews is as follows: 1.) one person from government department who specialises in environmental governance and policies; 2.) a representative from the Civil Society Organisation, working on citizens' participation in policies; 3.) two energy policy practitioners from Think Tank establishments; 4.) an academic with research interest in participatory governance and energy policies; 5.) a student with research interest in environmental governance and policies; 6.) a representative from the labour fraternity, who is also a policy researcher; 7.) an operations and marketing executive from the business sector, dealing on both traditional and renewable energy technology, and 8.) a community leader who does not know how policy processes work.

Some of the participants requested for a final copy of the report. Also, the majority requested anonymity and that their names should not be mentioned in the report, due to their positions in their work places. This researcher has coded the name of the participants. Thus:

- Participant 01 is male energy policy practitioner from Think Tank establishment is coded (I 01: TT1);
- Participant 02 is a male representative from the organised labour. He is also a policy researcher, has been coded (I 02: OL);
- (I 03: S) is the code for participant 03, a female student with research interest in environmental governance and policies;
- Participant 04 is male energy policy practitioner from Think Tank establishment was given the code of (I 04: TT2);
- (I 05: CSO) is for participant 05, a male representative from the Civil Society Organization, working on citizens' participation in policies;
- For participant 06, female academia with research interest in participatory governance and energy policies is coded (I 06: A);
- (I 07: BIZ) is the code for participant 7, male operations and marketing executive from the business sector, dealing on both traditional and renewable energy technology;
- Participant 08 is coded (I 08: GOV) who is from government department and specialises in environmental governance and policies, and
- (I 09: CBO) is the code for participant 09, a female community leader who does not know how policy processes work.

It is important to note that participant 09, gave the layman's view of the participation in policy formulation in South Africa.

3.7. Gaining Access

It was very difficult to get a Supervisor for this study. This area of research as evidenced in the literature review chapter, in which there is limited literature and knowledge on green energy participation. It took the researcher about six months to finally get supervision, which delayed the proposal submission, assessment and approval by the proposal committee of the University of Witwatersrand. Another delay was experienced during the month of December 2013 and the first two weeks of January 2014. The proposal committee approved the research proposal by second week of December 2013 and by then most of the identified participants for interviews were either tired as it was the end of the year or had gone on holidays. So, another month was wasted, with the researcher trying to identify additional participants. Apart from those initial delays, the researcher did not get resistance from the respondents, given that

they are passionate on how best a green energy strategy can be implemented in South Africa. All the respondents are based in South Africa, with two located in Pretoria, one in Cape Town and the rest are in Johannesburg. The Cape Town participant was interviewed telephonically.

3.8. Ethics Appraisal

To address the ethical issues, the researcher ensured that the respondents were at ease by informing them that their names would not be mentioned in the report. This was stated in the letter to the participants (embedded in **Annexure 1)** of this proposal by granting anonymity and confidentiality to all the participants. Anonymity relates to situations where the participant does not wish his or her name to be mentioned in the research report. Confidentiality of the information requires that the pieces of information obtained will be used for the research purposes only (Bryman, 2012). For instance, it would be unethical for the researcher to use the pieces of information acquired from the research to expose or put some of the participants in danger, by revealing their profiles in the report after promising not to do so. The letters sent by the researcher to participants sought their consent and it explained the research purpose. This approach ensured that the participants understood what the research was all about, and thereby provided their informed consent. However, there were no guarantees to the participants that the name of their departments or institutions will not be mentioned in the report, in order not to raise any false expectations, but only to raise awareness (Bryman, 2012).

3.9. Data Gathering Methods

In formulating the research question, this research made use of both secondary and primary data. Secondary data include: past research reports; books; conference reports; internet sources; newspaper articles, and journal articles that focus on participation, governance and green energy. Primary data include: interviews transcripts; legislation; speeches and budget speeches, and annual reports. Detailed description of the different data is provided in **Table 1.**

Some of the initial participants identified for interviewing could not participate because of longer holidays they took from work, while others were work relatedly busy. Through referrals and snowballing, more participants were identified. One of the primary data in this study is interviews transcripts of the insights of the experts profiled in the preceding paragraphs. The collection process comprised three major steps. The steps involved getting

permission to the respondents to seek their consent, booked dates, time and place for the interview and conducting the interviews. The researcher interviewed a total of nine respondents. The interviews comprised seven open ended questions as shown in the interview schedule in **annexure 2,** specially developed by the researcher for the sole purpose of this study. The interviews lasted between 30 to 60 minutes. However, the questions were merely a guide or structure for the interview sessions. The participant's responses led the direction and length of the interviews (Bryman, 2012). It is important to know that one of the participants was interviewed telephonically because of the problem of proximity. The researcher placed the digital recorder near the telephone speaker.

Before the interviews were conducted, the researcher sent a letter **(in Annexure 1)** to the interviewees explaining the purpose of the study to gain their consent. The letter was aimed at explaining the research questions to them, obtain their consent, as well as explain some logistics regarding the interview. Two digital recorders were used, with one serving as a back-up, to conduct the interviews and later the contents were partly written in the form of transcripts, and analysed through thematic analysis (Bryman, 2012). More about thematic analyses is discussed in the next paragraph.

Table 1: Data sources: Types, strengths and weaknesses (adapted from Neuman, 2011; Yin, 2003: 86).

Data Source	Description and purpose	Strengths	Weaknesses
Secondary	Past research reports: gave clues on research methodology; provided some examples of participation in different countries; reference style; as well as structure of research report	• Static with the room to review as many times as possible • Gave exact names, references and time	• Reporting bias of the authors not known • Access to some of the reports was slow
	Books: Used as background studies for the methodology and theories around sustainability	• Enriched information • Well researched information	• Does not get to the point at a glance • No South African case story
	Conference reports: gave account of proceedings on global and regional	• Gave exact contents of events • Broad coverage of events	• Some biases in reporting exists, as institutions protected

	negotiations on green economy and energy, as well as key outcomes of negotiations		their various interests
	Newspaper articles: provided coverage of events on negotiations, trends and implications of green energy policies, as well as challenges to the policies	• Gave brief accounts of events and summaries • Provided general overview of trends for quick information	• Sensational reporting • Weak arguments • Some not-so-well researched information
	Journal articles: provided the academic debates, models and theories regarding policies, governance, participation in green economy and green energy	• Provided evidence based arguments • Gave the study the theoretical standpoint • Provided objectivity with details of very high quality	• Some were very old • Some cases treated were not adaptable to South African context • Some articles took time to be accessed
	Internet sources: provided access for quick updates, retrieval of journal articles; and conference reports, as well as some annual reports. It also provided tools to check plagiarism and correct APA style referencing	• Was quicker for information gathering • Less impact on the environment, as use of paper was minimised	• Sometimes was problematic • Some information could not be found on second attempt to make use of the information
Primary	Interview transcripts: provided in-sights from the experts and gave the study more focus	• Provided targets and focus • Perceptions helped reaching the purpose of the research	• Some responses did not answer direct questions • Reflexivity as some interviewees may have given answers to what the researcher want to hear
	Legislation: Gave good information on the legal frameworks	• Was spot on • Provided technical inputs	• Very heavy document that required longer time to get exact information needed
	Speeches and budget speeches: provided statistics, dates of events and commitments /no commitments by countries	• Powerful tool of information sharing • Authoritative	• Longer time spent analysing them • Some very contradictory statements

			were made to existing policies
	Annual reports: supplied information of institutional activities on negotiations and progress or lack of progress in the policy formulation and implementation.	• Precise and quantitative	Often represented the views of the institutions

Table 1 has provided detailed information on the secondary and primary data, as well as their respective strengths and weaknesses experienced during the research. A few of the data sourced will be discussed. For the secondary data, published literature such as key policy documents; local newspapers; media reviews, and journal articles were consulted to gain more knowledge on participatory governance, as well as debates and concepts around green economy and green energy. The literature was both local and international and it provided this researcher with more information for the research purpose and focused on factors that can inhibit or encourage participation in policy processes.

The primary data produced the insights of the experts through the interviews. More about interviews has been discussed in the preceding paragraphs. It is important to note that the legal frameworks provided the legal grounds for the green energy policy, even if the policy in itself is not inclusive.

3.10. Analysis Methods

The qualitative research methodology by design has an inductive orientation, in which researchers begin their enquiry with abstracts and theories on the relationship between concepts in the research. Accordingly, the theoretical propositions made provided direction to the study which enabled the researcher to make more meaning of the data collected (Neuman, 2011). In this study, the insights that were provided by the participants helped in understanding the factors limiting inclusivity and participation for a successful green energy implementation in South Africa. It is important to note that the researcher did set out to transcribe all the responses from the participants. However, there were also issues with some of the interviewees who gave irrelevant and long answers to some of the questions asked.

Qualitative data from interviews are not easy to analyse, given that the textual material is scattered and unstructured. One of the challenges with qualitative research is that of generation of a huge data base because of its dependence of rich data. It is not that simple to find the central theme to analyse, especially in thematic analysis approach. Though there are different methods of analyses, there are no clear-cut rules regarding the analyses of qualitative data (Bryman, 2012). Some of the methods include analytic induction, which seeks the universal explanation of social phenomena by interpreting every piece of data to almost irrelevant proportions. It deals with hypothesis testing and could not be useful for analysing the data for this research. This research is not about hypothesis testing. There is also grounded theory method. Grounded theory method takes different phases from conceptualisation of data, categorisation of data to attribution of data, and to hypothesising of data and theorising of data. It is a very long procedure, more suitable for longitudinal study. This study is cross-sectional in nature, making grounded theory method unsuitable for the study (Bryman, 2012).
The rest of the methods include narrative analysis, secondary analysis and thematic analysis. Narrative analysis is mostly used to analyse an account of someone in an event of a shocking or personal nature. It is a story-type interview, making the method of analysis incompatible with this study. Secondary analysis is the process in which the analyst engages in analysing a data that was collected by another person. This method is parallel with this study, in that the researcher collected the data personally (Bryman, 2012). Therefore, the researcher used thematic analysis.

3.10.1.Thematic Analysis Method

Before the data was analysed, the researcher transcribed part of the interviews to extract the relevant information. This process has its demerits in the sense that the researcher may have left out some important information. Also, the researcher went back-and-forth to listen to some of the recording during the analysis segment (Bryman, 2012). Nevertheless, the process of transcribing allows the researcher to become acquainted with the data (Riessman, 1993). The researcher created Microsoft Word files for the interviews. With the use of passwords, all the files were protected. The files were saved in the researcher's laptop to which only he has access. The researcher used the meaning of analysis context as the unit of analysis for coding and also to look for description. This means that the data were not coded sentence-by-sentence or paragraph-by-paragraph, but were coded for meaning. The researcher did follow

step-by-step guidelines for the thematic analysis (Braun and Clarke, 2006). These steps according to Braun and Clarke, (2006) are:

- Familiarising with the data, which involves reading the transcribed interviews as many times as possible and writing notes and some initial ideas from the data;
- Generating initial codes from the data is the next step, in which the researcher coded some captivating and salient points from the data in a systematic way within the overall data set. This was followed by collation of data that relates to each code;
- Thereafter, the researcher read throughout each transcript for in-depth understanding of the data, searched for themes and collated initial codes generated into possible themes, as well as gathered all the data that related to each other for and identified the likely themes;
- Reviewing the identified themes was carried out as they relate to the different coded extracts, and a thematic map of the analysis was generated;
- The researcher then defined and named the themes through continued analysis to refine each theme and the pattern with which the story unfolded in the entire data set. By so doing, the researcher was able to develop clear definitions and names for each theme, and
- Produced the report, which gave the final opportunity to do more analysis through selection of particular and more compelling extracts. In that process, the finally analysis of the selected extracts was done by relating the analysis back to the research question, literature, and body of knowledge and then produced a final report of the analysis in chapter five of this study (Braun and Clarke, 2006).

Furthermore, below is more explanation on how the themes were identified and generated for the analysis. The purpose was to create an index of major themes and subthemes which are represented in a matrix form in **Annexure 3**. In the matrix, the words of the interviewee in the relevant sentence were kept as far as possible. The data from the transcripts in the MS Word file was printed out by the researcher and with use of pencil, indication of extract were marked. During the analysis, the researcher made use of lesser quotes from the material and used abbreviations in the cells of the matrix (Bryman, 2012).

While searching for the themes in the transcripts, more rigorous steps were used by the researcher as shown in **table 2** of chapter four. This include: looking for recurring topics and statements amongst the data set; identifying typologies or some local expression that is common in the language; looking for some metaphors or idiomatic expressions, such as "e-toll saga"; looking at the way topics shift from one to another; looking for similarities or differences in the way the participants responded to a particular question; looking for the words that link two sentences to show the relationship between one sentence and another, such as "but" or "and"; searching for missing data by reflecting on some answers that the researcher thinks that the interviewee avoided, and making use of existing theories to draw up concepts similar to the data set (Bryman, 2012).

Having familiarised himself with the finding, the researcher further used a thematic analysis framework approach and generated themes and subthemes. While the subthemes and major themes are shown in **Annexure 3** of this report, the major themes are shown below in a matrix form in **Table 3** of chapter four.

3.11. Issues of Validity and Reliability: Validation Strategies

Due to some challenges that have to do with the validity and reliability of a qualitative research, this researcher used various validation strategies to make the study credible, as well as rigorous within the limitations and scope of this project. The reality of the issues discussed in this paper helped in dealing with the issues of validity and reliability from the findings of the research and inferences drawn. Validity in this study refers to the level of accuracy achieved in the study by the researcher, as well as the quality of the report (Bryman, 2012; Creswell and Miller, 2000; Jick, 1979; Miles and Huberman, 1994; Merriam, 1995; Ratcliffe, 1983). With regard to the validity of the study, two aspects were dealt with.

The first is the internal validity, in which this researcher ensured that the findings resonate with the reality out there, in the context of participation in policy processes (Bryman, 2012; Creswell and Miller, 2000; Jick, 1994; Merriam, 1995). In this case, the reality being that there are environmental issues to be tackled in South Africa, but the way to go about it, as proposed by the government is being disputed. The communication gap amongst the various stakeholders proves to be the major factor causing misunderstanding, minimum participation in the policy process, as well as the contestations that are ongoing. In view of the above, the

writer ensured that the findings captured the necessary information in the data set, as well as the existing knowledge out there from various literatures that were reviewed. Thus, to enhance the internal validity of the study, the writer used triangulation[6] and peer examination. The data were triangulated with the various forms of data that were collected in this study, which include secondary and primary data (Bryman, 2012; Creswell and Miller, 2000; Jick, 1994; Merriam, 1995). For instance, the interviewees were purposely selected from different government departments; think tanks; non-state actors, as well as civil society organisations. On peer examination, the writer solicited the assistance of two colleagues at his work place who are very conversant with policy issues and data interpretation, to corroborate the analyses made by this researcher. They gave useful suggestions for improving the analyses.

With regard to the external validity, it has to do with the extent to which the findings of study can be applied in other similar research qualitatively. One of the key challenges in a qualitative study stems from the fact that it cannot be generalised statistically or replicated. However, if the results from the data been analysed is consistent with the data set, the findings can be generalised. Thus, the external validity of the study was enhanced through thick description of the findings in chapter five of the paper during analyses. Again, the use of purposeful sampling and the manner with which the report was written coherently by the researcher, for easy reading further enriched the external validity of the paper. Also, thick rich description was achieved by presenting the participants' voices under each theme and by providing detailed description of each of the interviews (Bryman, 2012; Creswell and Miller, 2000; Merriam, 1995). The process used for achieving the thick rich description is detailed in **table 3.**

Another key issue in qualitative research is that of the reliability of the study - how to bring about conviction and trustworthiness of a study to the readers. In other words, this has to do with the dependability and consistency in making sense of the researcher's conclusion. This writer was particularly concerned with in-depth understanding of the phenomenon in the study (Merriam, 1995). In this case, the writer focused on knowing what factors are limiting other stakeholders from participating in the renewable and energy efficiency policy being

[6]Triangulation refers to the use of a variety of data sources while conducting research. In this case, different stakeholders were interviewed to collect data, which are expected to generate different views (Creswell and Miller, 2000; Merriam, 1995).

promoted by the South African government. The diagrammatic links are shown in **figure 2** of this chapter. Dealing with the dependability question saw this researcher adopting a position for the research. The writer appraised different debates and theoretical standpoints on participatory governance approach, before the author identified continuum of management techniques as the appropriate participatory approach for kick-starting a successful green energy path in South Africa. Continuum of management techniques resonates with the conceptual framework in **figure 1.** The framework was used in analysing the data set. Some of the findings from the report give credence to the views expressed by the writer. For instance, the South African government adopted a silo culture in the green energy policy process. The other validation strategies to enhance the reliability of the report are triangulation and audit trail. The use of triangulation has already been discussed in the preceding paragraph, during discussion on the internal validity. As regards the audit trail, the vetting, auditing and approval of the report, as well as the entire process by the research supervisor, presented another form of validation. More so, the report went through examination processes (externally and internally) before it could be made available for consumption to the targeted audience. Also, the data collection method, categorisation of themes or coding and decisions regarding the appropriate themes for analyses were done with the necessary epistemological and ontological consideration. For instance, to achieve the purpose of the study, appropriate methods and the techniques were utilised, as well as right questions asked.

Finally, to ensure the quality of the report, the author made use of Stake (1995) "critique checklist" (: 131) for assessing the quality of a report. The 20 criteria checklist used by this author include: made the report easy to read; fitted together of the sentences in the texts, to contribute the entire report; made available a conceptual framework; developed issues and arguments in a professional and academic manner; provided conceptual insights of the case presented; sense of anecdotal presentation was evident; the report has the tendency to provide vicarious experience to the reader; effectively used appropriate quotations; made use of headings, figures, tables, cartons and appendixes effectively; sent the final report for editorial work; made sound assertions in the arguments presented; paid attention to various contexts of the discourse; made use of sufficient data in the report; chose data resources appropriately; triangulated the data used; presented the role and perspectives of the researcher well; chose a targeted audience for the study; maintained empathy to all the concerned parties in the

research, as well as maintained objectivity during the research; examined the motivation for the research, and ensured that the research participants were not put at risk at any point in time (Stake, 1995).

3.12. Time Frame

Though the researcher had been reviewing literature and pieces of information on the research since January 2013, the actual research was carried out between January and March 2014. There were some delays as earlier explained in the gaining access section before the interviews were conducted. The primary data for the research was collected between January and early February 2014. The time frame for conducting the research was therefore three months.

3.13. Limitations of the study

There are three limitations to the study. Firstly, the study is limited in terms of its generalisability to the numerous green energy policy makers in South Africa. Like any other group, people are very heterogeneous in nature. While the study sample should be quite diverse, the fact remains that certain segments of the population sample were not included, making it difficult for the researcher to generalise the findings (Bryman, 2012; Merriam, 1995). The second limitation of the study is that it is difficult to have a benchmark for measuring and establishing reliability in this kind of study, for replication. This is because any similar study may provide another set of interpretations of the phenomenon in the context of participation, as responded by the participants (Merriam, 1995). Finally, given all the delays experienced, the researcher had limited time to conduct the research, which was approximately three months. The scope and limited time used in conducting this research, through the use of a cross-sectional design means tick-description of the findings during analyses was also limited (Bryman, 2012; Merriam, 1995).

3.14. Conclusion

The methodology adopted helped the researcher in achieving the purpose of the research. The researcher was able to understand the factors inhibiting participation in the South Africa green policy strategy. By use of a qualitative research strategy, the research design used in this research was cross-sectional, through semi-structured in-depth interviews. Given the scope and limited time available to conduct this research, the researcher selected a cross-sectional

design.The research was based on the interpretivists paradigm, in which there is no one philosophical position. Findings of this study may contribute towards knowledge that seeks to strengthen the governance–policy interface in the green energy sector. A policy position for participation in the green energy strategy and informed recommendations for the implementation of green energy in South Africa is made in chapter six of this study, for consideration by policy actors in South Africa.

Chapter Four: Research Findings

The latest development strategy being proposed by South Africa is the low carbon growth of which green energy path is the thrust of the approach. The proposed green energy policy has generated controversy and contestations from the members of the public and stakeholders alike in South Africa. This is a study of participation in the governance of the green energy in South Africa, by looking at the reasons for contestation and challenges facing the implementation of green energy strategy in South Africa. This is a research report on the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa. This chapter will present the findings of the research, facilitated by the data collected from the participants through in-depth qualitative interviews. The data has been compiled in themes through thematic analysis. Finally, the chapter shall present the findings on the reasons for lack of inclusivity and participation in the proposed implementation of a green energy policy in South Africa. These findings lay the basis of discussion in chapter five. This chapter further seeks to make meaning of these findings, by relating them to the existing theories and literature on green energy participation.

4.1. Research Population and Profiles

The sampling method for this research was non-probability, as well as non-random and convenience. This researcher interviewed eight policy actors and government officials in South Africa, in the field of sustainable development and green energy sector as the research population (Bryman, 2012). These groups of people were specifically targeted for this research, given that while some are key stakeholders and experts on the field of participatory governance, service delivery and green economy, as well as green energy; others are actively involved in the green energy policies. The researcher interviewed an additional person who is a novice in the field of green energy participation, to get a layman's view of the matter.

The composition of the participants that participated in the interviews is as follows: 1.) one person from government department who specialises in environmental governance and policies; 2.) a representative from the Civil Society Organisation, working on citizens' participation in policies; 3.) two energy policy practitioners from Think Tank establishments; 4.) an academia with research interest in participatory governance and energy policies; 5.) a student with research interest in environmental governance and policies; 6.) a representative

from the labour fraternity, who is also a policy researcher; 7.) an operations and marketing executive from the business sector, dealing on both traditional and renewable energy technology, and 8.) a community leader who does not know how policy processes work. This researcher has coded the name of the participants. Thus:

- Participant 01 who is an energy policy practitioner from Think Tank establishment is coded (I 01: TT1);
- Participant 02 is a representative from the organised labour, who is also a policy researcher, has been coded (I 02: OL);
- (I 03: S) is the code for participant 03, a student with research interest in environmental governance and policies;
- Participant 04 who is also an energy policy practitioner from Think Tank establishment was given the code of (I 04: TT2);
- (I 05: CSO) is for participant 05, a representative from the Civil Society Organization, working on citizens' participation in policies;
- For participant 06, an academia with research interest in participatory governance and energy policies is coded (I 06: A);
- (I 07: BIZ) is the code for participant 7, an operations and marketing executive from the business sector, dealing on both traditional and renewable energy technology;
- Participant 08 is coded (I 08: GOV) who is from government department and specialises in environmental governance and policies, and
- (I 09: CBO) is the code for participant 09, a community leader who does not know how policy processes work.

It is important to note that participant 09, gave the layman's view of the participation in policy formulation in South Africa.

4.2. Participation in the Governance of the green energy in South Africa

In chapter two of this study, existing literature and the body of knowledge has shown that policy process in South Africa is top-down in nature. South Africa has the history of making policies in a rushed manner, borne out of the need to address problems. Also, policies are crafted through a top-down approach, given that the dominant political party, as well as the Executive are influential over policy making (Booysen, 2001). Again, the policies are often

profuse with goals and objectives beyond the capacity of the country (Mutahaba, Baguma and Halfani, 1993). So, this top-down approach has resulted in apathy and lack of interest by the general public in the policy processes in the country. The public thinks that government will always do it its own way and there is no need to participate, even if it is an honest and proper engagement. Again, there is policy ambiguity, given that policies are not properly communicated. All these complications lead to policy resistance in the country. For instance, the government of South Africa has not found it easy imposing e-toll taxes in Gauteng (Rasool, 2012).

The purpose of this research was to investigate factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa. To attain the overall objective of the study, a single research question was asked: What are the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa? The next paragraphs provide processes and methods used in collecting the data used in attaining the overall objective of the study, as well as to answer the research question.

4.3. Data Collection Process and Methods

In formulating the research question, this research made use of both secondary and primary data. Secondary data include: past research reports; books; conference reports; internet sources; newspaper articles, and journal articles that focus on participation, governance and green energy. Primary data include: interviews transcripts; legislation; speeches and budget speeches, and annual reports. The process of collection of the primary data is given here.

One of the primary data in this study is interviews transcripts of the insights of the experts profiled in the preceding paragraphs. The collection process comprised three major steps. The steps involved getting permission to the respondents to seek their consent, booked dates, time and place for the interview and conducting the interviews. The interviews comprised seven open ended questions as shown in the interview schedule in **Annexure 2**, specially developed by the researcher for the sole purpose of this study. The interviews lasted between 30 to 60 minutes. However, the questions were merely a guide or structure for the interview sessions. The participant's responses led the direction and length of the interviews (Bryman, 2012). It is

important to know that one of the participants was interviewed telephonically, because of problems of proximity. The researcher placed the digital recorder near the telephone speaker.

Before the interviews were conducted, the researcher sent a letter to the interviewees explaining the purpose of the study to seek their consent. The letter was aimed at explaining the research questions to them, seek their consent, as well as explain some logistics regarding the interview. Two digital recorders were used, with one serving as a back-up, to conduct the interviews and later the contents were partly written in form of transcripts, and analysed through thematic analysis (Bryman, 2012). More about thematic analyses is discussed in the next paragraph.

4.4. Analysis Methods

Qualitative data from interviews are not easy to analyse, given that the textual material is scattered and unstructured. One of the challenges with qualitative research is that of generation of huge data base because of its dependence of rich data. It is not that simple to find the central theme to analyse, especially in thematic analysis approach. Though there are different methods of analyses, there are no clear-cut rules as, regarding the analysis of qualitative data (Bryman, 2012). Different methods of qualitative analyses have been discussed in chapter three of the study, which include: analytic induction; grounded theory; narrative analysis; secondary analysis, and thematic analysis. Thematic analysis method was chosen for analysing the data because it is more suitable for the study, while the rest, if used, could not have given the desired expected outcomes (Bryman, 2012), as discussed in chapter three.

4.4.1. Thematic Analysis Method

It is important to note that the researcher did set out to transcribe all the responses from the participants. However, there were also issues with some of the interviewees who gave irrelevant and long answers to some of the questions asked. Before the data was analysed, the researcher transcribed part of the interviews to extract the relevant information. The researcher used the meaning of analysis context as the unit of analysis for coding and also to look for description. This means that the data were not coded sentence-by-sentence or paragraph-by-paragraph, but were coded for meaning. The researcher did follow step-by-step guidelines for the thematic analysis (Braun and Clarke, 2006). These guidelines are:

familiarising with the data, generating initial codes, and reading throughout each transcript for in-depth understanding of the data. The rest of the guidelines include: reviewing themes, defining and naming themes, and producing the report (Braun and Clarke, 2006). These guidelines are detailed in chapter three of this study. The purpose was to create an index of major themes and subthemes which are represented in a matrix form in **Annexure 3**. In the matrix, the words of the interviewee in the relevant sentence were kept as far as possible. The data from the transcripts in the MS Word file was printed out by the researcher and with use of pencil, indication of extract were marked. During the analysis, the researcher made use of lesser quotes from the material and used abbreviations in the cells of the matrix (Bryman, 2012).

Summary of **Table 2** shows the steps and rigorous process involved in thematic analysis. The researcher famialiarised himself with the data; coded some captivating and salient points from the data in a systematic way within the overall data set; searched for themes and collated initial codes generated into possible themes, as well as gathered all the data that related to each other for and identified the likely themes; review of the identified themes was carried out as they relate to the different coded extracts, and generated a thematic map of the analysis, and then defined and named the themes through continued analysis to refine each theme and the pattern with which the story unfolded in the entire data set (Bryman, 2012).

While searching for the themes in the transcripts, more rigorous steps were used by the researcher as shown in the next page in **Table 2**. This included: looking for recurring topics and statements amongst the data set; identifying typologies or some local expression that is common in the language; looking for some metaphors or idiomatic expressions, such as “e-toll saga” and “green capitalism”; looking at the way topics shift from one to another; looking for similarities or differences in the way the participants responded to a particular question; looking for the words that link two sentences to show the relationship between one sentence and another, such as “but” or “and”; searching for missing data by reflecting on some answers that the researcher thinks that the interviewee avoided, and making use of existing theories to draw up concepts similar to the data set (Bryman, 2012). Some of the subthemes and summarised phrases similar to each other have been indicated in the table using the same colour. For instance, “communications issues” appear in two places in light blue colour, and same with “top-down process” under the major themes, participation and police respectively.

The codes, such as "2.1" and "3.1", show where the subthemes fall under the major themes. Having familiarised himself with the findings, the researcher further used thematic analysis framework approach and generated themes and subthemes. While the subthemes and major themes are shown in **Annexure 3** of this report, the major themes are shown below in a matrix form in **Table 3**. Each of the main themes has eight themes shown **Annexure 3**, which were further reviewed and analysed to produce table **Table 3.**

Table 2: Thematic Analysis: Coding and Themes (Adapted from: Bryman, 2012).

Economic Implications	**Participation**	**Policy**	**Cooperation**
Eskom Monopoly (1.1)	Communications issues (2.1)	Communications issues (3.1)	Multilateral environmental agreement (4.1)
Lack of competition	Lack of or little consultations (2.2)	Lack of clear Implementation process (3.2)	Sustainability
Complexities to change from fossil to renewable energy	Government unwillingness to consult stakeholders	Lack of patience to plan policy and look at best practices	Best practices (4.2)
Reskilling of those in fossil industry (1.2)	Top-down process (2.3)	Top-down process (3.3)	Middle ground
Triple challenge	Lack of information	Blurred policy (3.4)	Compromise (4.3)
Capital flight (1.3)	Apathy by the stakeholders (2.4)	Holistic approach not applied	Opportunity
Reduced Foreign Direct Investment	Mode of consultations	Stakeholders views not considered (3.5)	Win-win situation (4.4)
Job losses (1.4)	Resistance to change (2.5)	Public-Private partnership ignored	Consider Public-Private partnership (4.5)
Skills shortage	Lack of clarity	Lack of clarity	Negotiations
Carbon taxes (1.5)	Complex information / documentation	No strong business case	Consultations
Industry closure / relocation	Lack of interest	Green energy	Appreciation
Sabotage	Perceptions (2.6)	Green economy	Find a balance
Lack of human resources (1.6)	Lack of education and awareness	Contradiction to existing policies	Ownership
Lack of financial resources (1.7)	illiteracy	Lack of human resources (3.6)	Leadership (4.6)

Lack of technical knowhow (1.8)	Lack of technical knowhow (2.7)	Lack of financial resources (3.7)	Exogenous factors
Corruption	No clear-cut roles (2.8)	No clear-cut roles (3.8)	Gradual process (4.7)
			Patience
			Renewables (4.8)

Table 3: Thematic Analysis Framework Approach: Major Themes (Adapted from: Bryman, 2012).

Participants' Profile	Themes	Economic Implications	Participation	Policy	Cooperation
	Coding	↓	↓	↓	↓
Energy policy Practitioner-Think Tank	**I 01: TT1**	Thinks that carbon taxes are a burden to the economy	Lack of communication as a major problem	Thinks communication failure on the part of government will lead to failure	Thinks that Eskom's monopoly requires balancing
Organised labour	**I 02: OL**	Thinks job losses will derail the policy	Convinced that government prefers parliamentary route to make policies	Thinks that the policy objectives do not address the problem	Honest dialogue and debate to find way forward
Student	**I 03: S**	Thinks the business sector will relocate	Reckons Method of engagement is complex	Thinks that it is policy made by elites	Reckons accommodate other interests as the solution
Energy policy Practitioner-Think Tank	**I 04: TT2**	Thinks the policy should not reduce to GDP	Says there is lack of clarity in all spheres as a challenge	Suggests that government need to explore different models	Suggests South Africa needs to lead by example
Civil Society Organization	**I 05: CSO**	Policy may not be good for business	Thinks Citizens education important for participation	Thinks imposition will bring negative outcomes	Rethink Public-private partnership
Academia	**I 06: A**	Suggests that policy will	Suggests people lack know-how to	Posits that policy must address	Thinks it has to be a shared burden

Participants' Profile	Themes	Economic Implications	Participation	Policy	Cooperation
	Coding	↓	↓	↓	↓
		distort the economy	engage	economic problems	
Business sector	**I 07: BIZ**	Argues that Carbon taxes are too complex	Thinks government may do what it wants to do	Says study green policies in other countries	Thinks middle ground required
Government department	**I 08: GOV**	Thinks that government will spend much implementing the policy	Suggests perception and reception may hinder communication	Believes that to fund the policy without the involvement of the stakeholders will be very challenging	Thinks that Cooperation with the private sector will drive the policy
Community leader	**I 09: CBO**	Reckons it will be a costly initiative	Says people do not understand the problem	Thinks that imposition will lead to resistance and sabotage	Thinks that proper education and consultation will lead to cooperation
	Summary of views of all the participants on each theme	***Several challenges to green energy policy include: Eskom's monopoly; skills shortages; job losses finance, and high cost of doing business as a result of carbon taxes***	***Lack of information; awareness; limited consultations, and lack of capacity to engage have limited participation. Also, policy is driven by business interest; as well as no sense of ownership and apathy. South Africa not ready for this policy***	***Policy is very blurred and controversial and need to communicate properly through dialogue. There is lack of resources to implement pol. Roles need to be defined and gradual process required***	***SA is leading by example and committed to honouring international agreements. Need to study green policy best practices in other countries. Implementation should be in gradual process, with shared burden. Need to rethink Public-private partnership***

4.4.2. Findings

Table 3 sums up the implicit and explicit views of the respondents. Four themes emerged from the analysis as shown in the table: economic implications; participation; policy, and cooperation. The themes represent different and similar views of the participants from the questions asked.

4.4.2.1. Findings: Economic Implications

The theme "economic implications" emblematises the views of the participants on the challenges South Africa face. The challenges relate to the impediments to green energy take-off on one hand, and the impacts it will have on the economy, if the government forces the policy on the economy. The views of the participants on the impediment to green energy implementation are that several challenges to green energy policy include: Eskom's monopoly, skills shortages and lack of finance. For instance, (I 01: TT1) argues that **"Power relations among stakeholders is biased towards Eskom, very powerful and no room for competition".** He suggested that Eskom supplies about 80 percent of electricity in the country, the remaining 20 percent power generation has to be shared among other independent power producer for renewable energy generation, which does not show a level playing field for them to compete with Eskom. This view was concurred with by (I 04: TT2) who said thinks that **"People's perception on the policy is important, given that 80% of electricity is from Eskom, while 60% of electricity in Mauritius is from the private sector".** They are in agreement that Eskom will stifle any kind of completion in the energy sector.

Additional challenges to the policy include the fact that there is skills shortage in the country to use the green energy technology. In addition, the government has limited funds to buy the new technology, as well as to reskill people for the new technology.

The negative impacts the policy, if implemented will have on the economy include job losses; and high cost of doing business as a result of carbon taxes. **"Policy will fail as a result of job losses, outsourcing of labour to experts, will lead to more job losses locally",** according to (I 02 OL). (I 01: TT1) emphasised that **"in the cost benefit analysis, the cost might be higher than the benefit; will be challenging to marry loss of jobs with taxes".** On the

finance related issues, (I 08: GOV) echoed that **"resource mobilisation is a challenge, given that the 1.5 billion rands provided by the government is limited".**

In summary, the participants concur that green energy initiative is a very ambitious project that can cripple the country, if not properly designed. Their perceptions corroborates the views and debates in the literature and background information suggesting that South Africa should be aware that there may be distortions or constraints in the economy from the introduction of green growth, which limits the returns to "green" innovation and investment. To manage the distortions or constraints in the economy requires inclusive policies, technology and capacity building of individuals and institutions (Nhamo, 2013; OECD, 2013b).

4.4.2.2. Findings: Participation

Participation as a theme symbolises the reason behind lack of participation in the proposed policy by other stakeholder. Recall that reason for lack of inclusivity and participation is the overall objective of this study. According to the participants, lack of participation and inclusivity in the formulation of the clean energy policy is linked to lack of information; lack of awareness; limited consultations, and lack of capacity by some of the stakeholders to engage with the government. Also, they suggest that the policy is driven by business interest; as well as no sense of ownership by the public, thereby leading to apathy. They are also of the view that South Africa is not ready for this policy, due to some challenges related to green technology and impacts on the economy. Only a few quotes will be given here.

All the participants are in agreement that some stakeholders, such as the public, lack the capacity to engage with the government on formulating this kind of policy. In other views regarding participation, one participant (I 08: GOV) reckons that there is wider consultation and that the communication channel is clear and open, but the problem is that the other stakeholders choose not to listen or engage with the government. He has this to say. "**It may be communication problem, but it is a whole issue of perception and reception".** Whereas the rest of the participant suggest that there is limited consultations, top-down approach to policy by the government, as well as obscured means of communication. (I 02 OL) stated that **"Government used the parliamentary route to promote the policy rather than through NEDLAC".**

In summary, literature reckons that the necessary structures and channels that can be accessed by the citizens to participate in policy process need to be in place. An open door policy that is ready to listen to what they public have to say, encourages people to participate in policy process. More importantly, the documentation needs to be interpreted and simplified in layman's language for the majority of the public to understand the problems and processes (Macintosh, 2004).

4.4.2.3. Findings: Policy

The participants view on the clean energy policy touches the controversies surrounding the policy and the manner with which it was crafted. The participants are of the view that the policy is very blurred and controversial and need to be communicated properly through dialogue. Also, there is lack of resources to implement the policy. More so, there has to be clearly defined roles to the different stakeholder. The policy itself needs to be revisited and refined for implementation through a gradual process. Some of the quotes from the participants include: (I 02 OL) reckons that the policy objectives do not address the problems in the country such as poverty, unemployment and inequality. **"Root cause of problem is not being investigated and addressed, government quick to introduce policies without thinking it through; from RDP to GEAR and now NDP".** Another participant (I 04: TT2) suggests that government needs to explore different models of green energy and refine it before it can implement such policy. He underscored that government **"needs to study other best practices from other countries; it is all about finding a balance between fossil and renewable energy sources".**

In summary, the participants are of the view that diffusion of controversy generated by the policy, as well as making the policy work can only come about through collective action. Literature has shown that public and stakeholder participation forms a close link between the decision makers, technocrats and the public. This process ensures that the views and interests of citizenry are taking into consideration in decision making. The citizens are given the opportunity to give proper feedback to the government through this process on one hand, and on the other hand; the government gets a platform to resolves disputes (Thomas and Poister, 2009).

4.4.2.4. Findings: Cooperation

Apart from contestations from the key stakeholders locally on the clean energy pursuit in South Africa, there are other challenges externally such as the position of other African countries, as well as the attitude of the global north towards green growth. It should be recalled that the MICs agreed during the Climate Summit in Cancun to provide finances to the developing countries and the SIDS, as well as build their capacities to deal with the adverse effects of climate change. They also promised to provide the necessary technology for adaptation measures. None of the aforementioned promises has been fulfilled (Baker, Newell and Phillips, 2014). These challenges require both local and international cooperation to be surmounted for clean energy strategy to kick-start. The views presented by the interviewees suggest that South Africa is leading by example and committed to honouring international agreements. However, the country needs to study green policy best practices in other countries. Also that implementation should be a gradual process, with shared burden. They recommend that government need to rethink Public-private partnerships.

Some of the statements from the participants include: **"Government can consider public-private partnership, which demands participatory governance"** as suggested by (I 05: CSO), (I 08: GOV) stresses that **"government needs to establish a niche and weigh the private sector's interests, projects and focus to identify the entry-points",** and view of (I O9: CBO) that "**more public awareness should be created. People from all ages, races, genders, etc. should be approached, informed and educated".**

In summary, given the anticipated problems, challenges and divergent views, some steps need to be taken to manage the problems and challenges through dialogue and consultations as evident in other best practices discussed. This is with reference to the OECD countries and South Korea in which inclusive process was paramount in the implementation of green energy. Common sense should prevail in South Africa as there is still an opportunity for an inclusive process towards legitimising the policy (EDD, 2011; NPC, 2011).

4.4.2.5. Findings: Cross Cutting Issues

It is important to know that the participants concur that there are environmental problems, and that the environment needs to be protected. Some of the participants also suggested additional

possible solutions, such as looking at best environmental and green energy practices that can be adopted in South Africa. The difference of opinion is located in the diverging arguments on how best to solve the problem. In addition, some participants questioned why government is in a rush to tackle this problem, whereas most other countries are doing little to solve the problem. Another argument presented was that government need not take a unilateral decision on a big issue, such as managing externalities from the environmental degradation. One argument that stands out is the different views presented by the key stakeholders (labour and business sector). This researcher thought that these two sectors would be expressing similar views on the green energy policy, given their contestation to the policy. But that was not the case on some aspects. The labour sector accuses the business sector of influencing government policies for their own gain. (I 02 OL) pointed out that **"South Africa is not ready because the implementation model does not take the interest of other stakeholders. For instance, labour is undermined. It is green capitalism".** His assertions was supported by (I 05: CSO) who opines that **"business drives the economy and shadows the government to influence policy outcome. Business interests take upper hand".** Whereas the business sector submits that labour should be seen as an obstacle to green energy implementation as a result of anticipated job losses. Thus; **"government needs to look at other counties with strong labour and see reactions".**

In summary, the difference in opinion is backed by literature in which interest groups go about protecting their interests by sending memos or letters to the government about their concerns (Babooa, 2008). Also, difference of opinions can also exist even when some actors belong to the same group, because people are heterogeneous in nature (Bryman, 2012; Merriam, 1995).

4.5. Conclusion

An emphasis on repetition is often seen at the most criteria for establishing a pattern in a data set for choosing themes. However, some words may mean different things, depending on the context. The numerous themes contained in **annexure 3** was scaled down to four major themes in Tables 2 and 3 in this chapter, in order to address the research question, purpose of the study and its significance, as well as address some of the challenges to green growth strategy in South Africa. These themes: economic implications; participation; policy, and cooperation set the tone for discussions in chapter five.

Chapter Five: Analysis of Research Findings

Chapter five discusses the reasons for lack of inclusivity and participation in the governance of the green energy in South Africa, influenced by the controversy regarding the green energy policy in South Africa. The reviewed literature showed that lack of participation is the result of so many factors, which include the preference of the decision makers to do things the way they want. To find out the reasons for lack of inclusivity and participation in the green energy initiative in South Africa, this chapter lays out four major themes (economic implications; participation; policy, and cooperation) based on the primary research question and other sub questions in the interview schedule in **Annexure 2** of the report. This is in addition to the follow up questions during interviews with the research participants. These themes reflect the views of the respondents and interpretation of the findings will be done explicitly while providing summary of their views.

The participants' views will be interpreted explicitly, given that quotes have been provided in chapter four of this paper. While analysing the themes, the analysis will be tailored to address the research question and the purpose of the study. The views of the researcher will be analysed through the lens of the conceptual framework formulated by the researcher in **figure 1**, as well as the body of existing knowledge on the themes reviewed in chapter two of the paper. The conceptual framework is the researcher's interpretation of participatory governance, with participation; observation of rule of law; transparency; accountability; equity, and responsiveness as the elements. These elements of governance are critical in the creation of a public value in South Africa, in this case, green energy.

5.1. Economic Implications

Economic implications summarise the views of the interviews on the question of the challenges facing the implementation of green energy in South Africa, as well as the readiness of the country to go the green growth pathway. The participants concur that green energy initiative is a very ambitious project that can cripple the country, if not properly designed. They further suggest that the impediment to green energy implementation has synergies with Eskom's monopoly, skills shortages and lack of finance.

In analysis, this researcher from the study has been made aware of the complications around green energy implementation in South Africa. First is that South Africa is struggling to generate enough electricity for usage through Eskom. Secondly, changing from fossil and traditional sources of energy to renewables is not an easy task due to skills shortage in the country. Also, the country does not have enough resources to fund technology for rolling out green strategy. Still on Eskom, it has major control on energy supply in the country, making it difficult for other players to come into the energy sector. This researcher thinks that dismantling the monopoly of Eskom will be very challenging, due to the unstable electricity supply in the country. Moreover, there is no arrangement to reskill those who may lose their jobs. The demobilisation of Eskom will lead to the reduction of its work force, since it may no longer accommodate most of them to balance its books, as a result of loss of its major stakes in the sector when other independent producers of green energy projects come into the sector.

Again, transition to green economy will lead to more job losses as a result of industry closures or relocation, when the cost of doing business in the country becomes very high. The taxation that has to be introduced from the green policy relates to carbon taxes. With the capitalists only interested in making profits, chances are high that they will relocate to countries where they will not be required to pay carbon taxes. South Africa is already struggling with the triple challenge of poverty, high unemployment and inequality and to compound the problems with a policy such as the green energy initiative is not in any way maladroit. The tenets of green economy from its definition include equity and wellbeing of the people. Making decisions that will lead to negative outcomes is making mockery of the green economy aspirations. Negative outcomes from wrong decisions can lead to more frustrations and violence protests, evidenced in the ongoing saga in Gauteng, on the e-toll project[7]. Wrong decisions have been interpreted to be driven by the "rent-seeking behaviour"[8] of those in the helm of affairs (Kotter, 1995; Roux, 2012, p. 17; Rasool, 2012), to siphon more money from the tax paying

[7]The Gauteng e-toll project is one of the controversial policies in South Africa, being implemented in one of the nine provinces in South Africa. Motorists are taxed to make use of the major highways, or use freely the narrower and ever slow paced roads. Motorists see it as not only the policy imposition, but double taxation. See (Rasool, 2012).

[8]Skopcop (1994) uses the world rent seeking to describe economies devoid of patronage, nepotism and corruption; negating competitiveness and transparency in the economy (: 242).

citizens, through awarding contracts for projects on new policies, without transparency. In addition, this author thinks that stipulating a carbon tax is a license for more pollution. For example, “sin taxes”; which are taxes usually levied on luxury or articles of ostentatious, such as alcohol and tobacco have not stopped people from buying those commodities (Mohr and Fourie, 2004). Similar situation may become the fate of carbon taxes, given that rich industries will go about their businesses in reckless manner, with the excuse that they are paying carbon taxes. Common sense should prevail for the government of South Africa to halt the imposition of carbon taxes across all spheres of the energy sector.

The conceptual framework of this paper supports equity for polices to be meaningful. Given the challenges to the low carbon development, as well as the negative implications it may have on the economy means that the key objective (equity and peoples wellbeing) the policy wants to achieve will have been dealt a major blow. The supporting literature posits that that there may be distortions or constraints in the economy from the introduction of green growth, which limits the returns to “green” innovation and investment. To manage the distortions or constraints in the economy requires inclusive policies, technology and capacity building of individuals and institutions (Nhamo, 2013; OECD, 2013b).

5.2. Participation

Better policy participation is the standard expectation in any democratic setting. Therefore, participation has become a means of improving policies, as well as to get buy-ins to policies. The views that are presented by the participants relates to the question of the reasons for lack of inclusivity and participation in the proposed green energy policy. According to the participants, lack of participation and inclusivity in the formulation of the clean energy policy is linked to lack of information; lack of awareness; limited consultations, and lack of capacity by some of the stakeholders to engage with the government. Also, they suggest that the policy is driven by business interest; as well as no sense of ownership by the public, thereby leading to apathy.

In analysis of the findings, pointers to lack of lack of inclusivity and participation in the proposed green energy policy in South Africa is partly down to the government’s misconception that consultations and wider participation is costly and a waste of time. The

government thinks that it has been elected and must be allowed to do what it deems best for the country. Even when there are consultations, the nature and mode of consultations are not right. There are complaints from some of the participants that people are not given enough time to make inputs to policies, where there is opportunity to that. Again, the means of communication is cumbersome. For instance, some policy proposals come in documentation that are not simplified for the stakeholders involved to engage in discussions and debates more effectively. In this sense, there is poor communication between the disseminator (government) and the receptors (public). It then becomes difficult for people to understand what is being talked about. Communication deficit leads to lack of interest and apathy in policies, as well as resistance because of little or no conviction of what the government is trying to do.

This researcher has been well informed through this study that people may not be all that educated to participate in policy processes; it is a matter of the policy actors choosing the right medium and platform for proper consultation. This researcher suggests that the issue of lack of education, awareness and technical knowhow to engage in policies by the majority of the people can be tackled through mass education on the contested issue. Policies therefore have to be people centred and people driven for the greater good of the society. Outreach and consultations have the tendency to change negative perceptions of what the government is trying to achieve. This is because when one participates in a process, it is easily understood, than getting briefings and ambiguous documentations. The worst scenario is the ruling government plans to create a media tribunal (Vick, 2012). It also intends to reduce the powers of the judiciary (Corder, 2012; Molele & Makinana 2012; Zapiro[9], 2012). Therefore, when the watch dog and the other arm of government, in this case the judiciary, are all controlled by the central government, in addition to parliamentary control, anarchy will be the order of the day.

[9]Zapiro, a cartoonist in South Africa uses of one his works found in **Annexure 4** of this paper to suggest that the ruling party in South Africa has a different interpretation of the separation of power. See 120216mg — ANC - Separation of powers? *published in Mail & Guardian on 16 Feb 2012*

South Africa should realise that even some educated members of the society are not in agreement that the environment is at risk as found in chapter two this paper (Cole, 2003; Kysar, 2003; Lomborg, 2001; Moomaw, 2002; Pielke, 2004). Yes, it is costly and time consuming to do a wider consultation. But the paramount objective is to get the policy right. The conceptual framework for the researcher has the key elements to get the policy right, which is transparency. The political will and honest engagement by the government is capable of defusing the controversies surrounding the green policy. Therefore, the government needs to create the enabling environment for policy formulation in South Africa.

Literature suggests that lack of participation is ubiquitous: when decision makers make use of participation for the sake of generating views and opinions, without using them; when the platform for dialogue and participation is not on level playing fields; where there is lack of awareness of the need for a particular policy; when people are resistant to change or do not understand why they need to change; when the policy is blurred, without clarity, as well as where negotiations lead to frustrations and fatigue among the stakeholders involved, as a result of conflicts (Leach, 2000; Thomas and Poister, 2009). These suggestions were corroborated by the participants. The suggestions are well understood and clear as interpreted, analysed and discussed by the researcher.

In addition, literature also submits that government needs to reduce the apathy of the interest groups towards participation, by making them feel important to the development process of the country; build and encourage endogenous knowledge to facilitate participation; build a business case, with clearly defined problem statement, budgets and measures to address the problem; create the necessary structures and channels that can be accessed by the citizens to participate in policy process; make available policy papers in simplified form, as well as strengthen the supporting legal instruments that can encourage compliance from the actors involved, in executing and supporting an agreed policy (Clapper, 1996; Macintosh, 2004).

5.3. Policy

The participants' views on the clean energy policy touch on the controversies surrounding the policy and the manner with which it was crafted. The participants are of the view that the policy is very blurred and controversial and needs to be communicated properly through dialogue. Also, they suggest that there is lack of resources to implement the policy. More so,

there has to be clearly defined roles to the different stakeholders. The policy itself needs to be revisited and refined for implementation through a gradual process, they say.

In analysis, the blurred nature of the policy, its lack of clarity on the implementation process and no clear cut roles for the different government departments working on the green growth strategy are inextricably linked to top-down nature of the policy. This researcher is of the view that there is confusion among the actors themselves, given the lack of administrative capacity and skills among the policy makers to craft policy that has measurable outcomes. This deficiency in capacity means some of the policy makers are not even aware enough to understand the policies drafted on their behalf by a few consultants and "experts". Often this is the case where the experts who do not know what is happening on the ground sit in their offices in the Western countries and design policies for implementation in Africa. Governments must realise that some solutions can be locally driven. For instance, an expert who is based in London and experiences rainfall on a regular basis cannot be well placed to sa country in Africa hit by drought how to adapt and mitigate drought (Zapiro, 2010[10]). The government needs to go back to the drawing board and use an incremental approach to fine tune the proposed green energy policy. The feedback and information from the public and relevant stakeholders can improve the policy. Government is adamant that it has done consultation, but when one looks at the composition of the attendance to, for instance the green economy summit in 2010, the youths who are supposed to implement the policy in the near future were not represented. Even if the youths might not contribute much, but the mere fact that they are in attendance could trigger awareness and understanding of what the issues are.

The researcher's conceptual framework observes responsiveness as one of the key drivers to policy validation. It does take away lack of interest, apathy and resistance to policy. Literature supports responsiveness, and argues that policy objectives must equate expected outcomes. It has elements such as: information; consultation; partnership; delegation, and control (Bishop

[10]Zapiro's cartoon embedded as **Annexure 5** of this paper suggest that many of the numerous policy actors in South Africa are too busy crafting policies that does not have positive outcomes. See 101125mg — South African economy - Too many cooks? *published in Mail & Guardian on 25 Nov 2010*

and Davis, 2002; Irvin and Stansbury, 2004). In this sense, decision makers provide facts about the problem and the projects to handle it, without which the policy, such as the clean energy policy will turn out to become another "faddish intellectualism[11] destined…to bloom and fad" (Crush, 1995: 4). With regard to consultation, the public and interest groups are given the opportunity to make inputs. The inputs are capable of improving policy contents, as well as boosting acceptance. Partnership produces joint decision-making, while control is a way of giving more say to the public through referenda (Bingham, Nabatchi and O'Leary, 2005; Bishop and Davis, 2002; Irvin and Stansbury, 2004; Newig, Pahl-Wostl and Sigel, 2005).

5.4. Cooperation

The relevance of this theme is intertwined with what needs to be done going forward. The researcher asked questions around manner of consultations and recommendations, as well as approach to the green strategy. The views presented by the interviewees suggest that South Africa is leading by example and is committed to honouring international agreements. However, the country needs to study green policy best practices in other countries. Also that implementation should be a gradual process, with shared burden. They recommend that government needs to rethink public-private partnership (PPP).

In analysis, it is important to emphasise that apart from contestations from the key stakeholders locally on the clean energy pursuit in South Africa, there are other challenges externally, such as the position of other African countries, as well as the attitude of the global north towards green growth. It could be recalled that the Most Developed Countries (MDCs) agreed during the Climate Summit in Cancun to provide finances to the developing countries and the SIDS, as well as build their capacities to deal with the adverse effects of climate change. They also promised to provide the necessary technology for adaptation measures. None of the aforementioned promises has been fulfilled (Baker, Newell and Phillips, 2014). These challenges require both local and international cooperation to be surmounted for clean energy strategy to kick-start. South Africa's bold and ambitious commitment to green growth strategy deserves recognition and commendation. However, the country does not have to bear the brunt of environmental externalities alone. Local and international cooperation is required.

[11]Faddish intellectualism is described by Crush (1995) as intellectual concepts and parochial short term solutions to Africa's problems that had no impact after initial experiments. See Crush, 1995: 4.

In the international arena, this Southern African country should keep international negotiations going, as well as complying to international agreements where it can. Also, it needs to look at international best practices on green energy strategies and customise them to suit its aspirations. One of the best practices in place is found in the fact that people are already paying taxes (CO2 emission taxes) across the globe for air travel, as well as some additional cost on purchasing motors vehicles. Though, it has cost implications on individuals, this has become one of the best practices. It is now seen as shared burden, without direct impact on a particular set of people, or country. It has become a norm. As a result, people will not complain much. Complaints usually come about when certain decisions look strange. Questions may arise as to where certain kinds of decisions have happened previously in any part of the world. CO2 emission taxes have been mooted by the South African government in previous years to take off by 2015. No mention was made regarding CO2 taxes in the 2014 budget, which may be an indication that the government is thinking carefully about the issue and its negative impacts on the economy. More discussions about green energy practices will take place towards the end of this theme.

Meanwhile, cooperation is required locally as well, to find common grounds and find a way forward. Majority of people out there agree that there is a problem that requires attention. Recognition of a problem is usually a first step to solving it. Therefore, it does not require a unilateral decision by the government, rather, communication; dialogue; negotiations, and compromise to bring sanity. The claim by government that it has consulted is contestable. Consultations were on problem identification through the NDP and the green economy accord. The NDP and NGP did not proffer the necessary strategies to address the problems. Also, the 2010 green economy summit was used in identifying entry points to green economy, by looking at focus areas and sectors for South Africa to start from. If South Africa could negotiate its way out of apartheid, then the green energy solution is much easier.

Regarding more of the best practices on green energy strategy, Pretoria has to encourage people to buy environment friendly goods, wise usage of electricity and afforestation (Brazier, 2012). Also, from the background study in chapters one and two of this paper, it was shown that South Korea stands out as a champion of green growth. In addressing GHG emissions, South Korea's green economy is identified through "three pillars: regulations to reduce GHG

emissions from industries; incentives for businesses to develop green technologies, products and services; and public information tools for awareness and increased demand for green products" (Nhamo, 2013: 122). The successful transition of green growth strategy in South Korea is attributed to the inclusive process in which there was clear definition of roles and responsibilities among social partners: government, business sector, labour and the civil society groups. Also there was involvement of these social partners during planning phase, budget preparation and implementation of the green strategy (Nhamo, 2013). Five years after the introduction of green growth strategy in 2009 in the country, the positive impacts are already emerging. These include boost to green industry and green technology, as well as strengthening of climate resilience in South Korea. For instance, air particles by 2011 are lighter from 65 micrograms in 2007 to 54 micrograms. Also, quality of water proportion rose to 78 percent in 2001 from 75 percent in 2007 (Choi, 2014). More so, the rise of the Asian Tigers before the end of 20th century came about partly as a result of the ability of the countries to build coalition and social pacts. A social pact in this sense refers to the involvement of non-state actors in the development process of those countries. The countries were able to take advantage of the resources (technical and financial) from the private sector, as well as leveraging public funding through private investments (Mkandawire, 2012).

The researcher thinks that South Africa needs PPP[12] arrangement for financing green energy strategy, reskilling and skilling of workers to manage it, use, as well as to produce green technologies. PPP is used in promoting private investment in the capital assets required to deliver public services efficiently by bringing in private sector finance and operational management on a risk–taking basis. Also, improving value for money by allocating risks to those best able to manage them in the public and private sectors can be achieved through PPP. The rationalisation and upgrading of government assets, including those required for delivering services can be done through a partnership arrangement of this nature. PPP allows the change of ownership of trading properties to the private businesses, which enhances better management of the assets as well as make use of surplus operational land and buildings. It

[12]PPP defined as an arrangement between different parastatals of the government and one or more private firms where all parties share the same risk, profit, utilities and investment by jointly owning an asset (Bogopane, 2008).

facilitates joint ventures between the government and private sector, creating avenues for the government to contribute in companies run by the private sector as public expenditure funding.

Finally, PPP removes unnecessary impediments to partnerships in economic and sustainable development. Critics of PPP are quick to point out that service delivery and public goods should be left in the hands of the government because of the following reasons: They contend that governments enter into PPPs primarily to avoid debt and not because they cannot deliver. Also, the cost of service will increase to pay for the private partner's profit; with the population to bear the brunt (Bogopane, 2008). However, it has been proven that if done in a transparent manner, the benefits of PPPs are too good to ignore.

The framework for this paper supports good governance and participation. Also, literature and theory in chapter two on approaches to participation shows that a continuum management technique of participation will ensure that the NGOs, CSOs; CBOs, FBOs, and other none state actors have major roles to play in the provision of public goods and services. It enhances the roles of public participation including: education and dissemination of information; incorporation of what everyone values most; improve quality of the policy; increase and building trust in a policy; reduce and resolve conflicts, and leads to achieving projects in a cost-effective manner (Beierle, 1998; Bishop and Davis, 2002; Irvin and Stansbury, 2004). In this regard, the government needs to create an enabling political environment to convince the capitalists to come out from "strike", with certainty in the statements and policies of the ruling party, the African National Congress (ANC), rather than making parallel and often maladroit statements at different gatherings.

The government has to come out clearly with long term economic policies, be it Zimbabwean[13] style of nationalisation, so that businesses can make up their minds on what to

[13]The Zimbabwe government recently nationalised its mineral sector, by taking 51 percent control stake in the extracting industries in the country. Louw (2012)'s article in the BusinessDay of 11 July 2012 stressed that policy uncertainty, such as the one that took place in Zimbabwe, is making local investors on South Africa nervous to commit to long term investment in the country.

do. South Africa has to embark on extensive discussions with the private sector for buy-ins into its development blue print. The private sector in South Africa has about 530 billion rands in banks and has refused to invest it in the country, with some preferring to do business in Sub-Saharan Africa (SSA), despite the high risk in doing business in SSA. The investment of such huge amount of money in the economy will make a lot of difference in tackling the triple challenge. The knock-on effect of significant job creation in the economy will be felt economically and socially. This is because when people have jobs, they will contribute to the growth of the economy on one hand, get out of poverty, as well as reduce inequality on the other hand (Anderson, 2012; BusinessDay Editorial, 2 August, 2012; Louw, 2012; Mkandawire, 2012).

5.5. Conclusion

The flow of analysis of the four themes in this chapter shows that the green energy policy has challenges and negative implications on the economy and citizenry if implemented in the current setting. The policy can only be improved through participation, cooperation and compromise to be realistic. It also requires the active participation of the private sector, which could be arranged through PPP. Regarding the reasons behind lack of participation and inclusivity in the crafting of the green energy policy in South Africa, the researcher found the following key factors: lack of communication; lack of seriousness on the part of the government to consult; obscure mechanisms and means of consultation; lack of political and enabling environment; lack of awareness on the part of the public and relevant stakeholders; wrong perceptions by all stakeholders; resistance to change; policy ambiguity, and mistrust among relevant stakeholders.

Chapter Six: Conclusion and Recommendations

It is pertinent to note that this qualitative research study has thrown some insights on various aspects of the green energy policy such as: the international politics around GHG emissions reduction; opportunities related to renewable energy; possibilities for successful green growth and development, as well as the political economy of the green energy in South Africa. However, for the scope of this study; these various aspects have not been discussed in this paper. The study comprises six chapters and the subsequent sections provide a summary of the study.

6.1. Summary of the Study Chapters

The focus of the study is on participation in the governance of the green energy in South Africa, by looking at the reasons for contestation and challenges facing the implementation of green energy strategy in South Africa. This is a research report on the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa. The research report is divided into six chapters:

6.1.1. Chapter One

Chapter one introduced the issue of climate change and efforts to break the link between development, economic growth and environmental damage as the reasons behind the quest for green growth strategies. The problem of environmental damage was stressed, the efforts and challenges with dealing with the problems was given. This chapter also provided the problem and purpose statements, as well as the research question and the significance of the study.

6.1.2. Chapter Two

The author did literature appraisal on participatory governance around the green energy sector. Key concepts, definitions and different theories of participation and modes of consultations available for use in South Africa were presented. It also revealed a conceptual framework formulated by the researcher as part of the lens to analyse the data in chapter five. The inhibiting and enabling factors to participation in South Africa were also highlighted, before zeroing in on the trends of participation in green policies across the globe and in South Africa. The chapter explored the knowledge gap on participation in the green energy in South Africa, in contribution to the research. It further helped the researcher to get acquainted with

existing knowledge on the topic, as well as helped in linking the research questions and findings of the research.

6.1.3. Chapter Three

The rigorous processes the author went through were presented in chapter three. The author passed through different phases in the methodology. The phases include: a) an intensive literature appraisal on participation in green economy and green energy; b) a conceptual framework of desired participatory approach for the successful transition of green energy in South Africa was designed; c) in-depth interviews with selected experts in the field of green energy and participation were conducted to get their insights and perceptions on green energy participation; d) thematic content analysis was used to make meaning of the data; e) analysis of the experts' insights and perceptions on green energy participation was rigorously done; f) further intensive South Africa policy-oriented document review, to trace emerging themes from the experts' perceptions was carried out; and g) further analysis and conclusions based on the research findings were made before producing the report.

6.1.4. Chapter Four

This chapter presented the findings of the research, facilitated by the data collected from the participants through in-depth qualitative interviews. The data was compiled in themes through thematic analysis. Finally, the chapter presented the findings on the reasons for lack of inclusivity and participation in the proposed implementation of green energy policy in South Africa. These findings laid the basis of discussion in chapter five.

6.1.5. Chapter Five

Chapter five discussed the reasons for lack of inclusivity and participation in the governance of the green energy in South Africa, influenced by the controversy regarding the green energy policy in South Africa. To find out the reasons for lack of inclusivity and participation in the governance of the green energy in South Africa, the chapter laid out four major themes (economic implications; participation; policy, and cooperation), based on the primary research question and other sub questions in the interview schedule in **Annexure 2** of the report. This is in addition to the follow up questions during one-on-one interviews with the research participants. These themes reflected the views of the respondents and interpretation of the findings were done explicitly, while providing a summary of participants' views. While

analysing the themes, the analyses were tailored to address the research question and the purpose of the study. The flow of analysis of the four themes in chapter five showed that, the green energy policy has challenges and negative implications for the economy and citizenry, if implemented in the current setting.

The findings showed that the policy can only be improved through participation, cooperation and compromise for it to be realistic. It also requires the active participation of the private sector, which could be arranged through PPP. It further threw light into the reasons behind lack of participation and inclusivity in the crafting of the green energy policy in South Africa. The researcher found the following key factors inhibiting participation in South Africa: lack of communication; lack of seriousness on the part of the government to consult; obscure mechanisms and means of consultation; lack of political and enabling environment; lack of awareness on the part of the public and relevant stakeholders; wrong perceptions by all stakeholders; resistance to change; policy ambiguity, and mistrust among relevant stakeholders.

6.1.6. Chapter Six

Chapter six gave this researcher the platform to revisit the objectives, ideas and the themes that had driven the study. The chapter gave the synopsis of the entire chapters; the main findings; recommendations; the limitation of the study, as well as directions to future research and conclusion. The main findings; recommendations; the limitation of the study, as well as directions to future research and conclusion are presented in the next paragraphs.

6.2. Main Findings

Following literature review, background studies, as well the analysis of the data set collected through the qualitative in-depth interviews, the study identified key findings that speak to the reasons for lack of inclusivity and participation in the governance of the green energy in South Africa. The main findings are:

1. The decision makers in South Africa are not serious about participation of the public and other stakeholder when formulating policies. Participation in policy process where and when they occur are just for the sake of generating views and opinions, without

necessarily factoring in the views and interests of those being consulted into the policies. A good example is the Gauteng e-toll project;

2. The platforms for dialogue and participation in decision making in South Africa is not on a level playing field. The platforms are controlled and used in promoting the government policies, whereas they are supposed to improve upon policies. For example, NEDLAC is not trusted for the necessary and meaningful dialogue on socio-economic issues it is supposed to generate;
3. Given the massive illiteracy rate in the country, the level of participation in the policy process is very low in the sense that the majority of the people do not know what the policy is all about. The government sees crafting policies through various levels of consultation as a waste of time. Bedsides, the government claims that it does not have the administrative capacity and resources to engage in broader and lengthy consultations;
4. Communication bankruptcy on the part of government has generated lack of conviction on the part of citizenry and stakeholders alike; leading to resistance. People do not see the need for the green energy policy, especially when the environmental problem is not physically feasible. There is a huge communication gap between the decision makers and the policy beneficiaries;
5. Related to the communication issues are that the policy papers and documentation are not in simplified form. The papers are voluminous and difficult to understand for people to go through and make meaningful contributions. Even when they are given opportunities to make contribution, the time given for presentation of arguments are too little and not helpful;
6. The green energy policy is blurred, without clarity and clear process of implementation. This has led to a misperception that the government is only interested in making more money through CO2 emission taxes. Policy ambiguity has denied some opportunities for effective participation in the green energy policy;
7. The history of lengthy negotiations in South Africa, especially in the labour sector, has generated fatigue among decision makers and other relevant stakeholder to engage in multi-level consultations. The incessant strikes at every little disputes have led to numerous negotiations every now and then, thereby creating excuses on the part of the decision makers to avoid multi-level consultations, and

8. The supportive legal instruments that can encourage compliance from the actors involved, in executing and supporting an agreed policy is retreating, from media to judiciary, as well as the parliament. The other arms of government (the parliament and judiciary) who are supposed to keep the decision makers in check, are being marginalised, due to the overwhelming majority enjoyed by the ruling government.

6.3. Key Recommendations

In the interest of environmental sustainability; to keep the debates and efforts ongoing for linking development, economic growth and environmental damage; this researcher would like to make the following recommendations for consideration by policy actors in South Africa and across the globe. The recommendations form part of the synergies and the complementarities regarding the significance and purpose of the study.

6.3.1. Key Recommendations: South Africa

The myriad challenges facing South Africa in the proposed green energy policy warrants some internal reflections and critical thinking. Marrying development and environmental sustainability is not that easy. The enormous task to achieve sustainability has been acknowledged by the government as well. This researcher would like to submit the following recommendations for South Africa:

1. South Africa's ambitious and bold steps and commitments to green growth strategy is worthy of commendation. The success of implementation of the strategy will catalyse and influence other countries in Africa and globally to follow suit. Any negative outcome of the policy will cause a major setback to the greening efforts locally and internationally. Therefore, South Africa needs to rethink the policy, by studying other existing models and best practices in the green energy sector across the world and customise the models that suit its capabilities and realities. It is worth the wait to get the policy right, than rushing into it and get it wrong;
2. While modifying the green policy through incremental process, blanket imposition of carbon taxes across the energy sector should be put off. It has to monitor development cooperation across the globe to leverage on its efforts, without causing distortions in its economy;

3. South Africa needs to build trust amongst its citizenry and relevant stakeholders in the energy sector. This can be done through transparency, driven by multi-level participation in its policies, through the necessary structures and channels that can be accessed by the citizens to participate in policy process. An open door policy by the government will reduce apathy and conflicts, for improvement and validation of the green energy policy. Importantly, the documentation and tools of communication needs to be interpreted and simplified for more understanding and improved communication;
4. To get the necessary funds for skilling and reskilling of the labour force in readiness for green energy implementation requires closer collaboration across the entire relevant interests groups, especially the private sector. South Africa needs to engage with the business sector in private-public partnership arrangements, to reap the benefits of such arrangements, and
5. In the interim, it is important to encourage some emission abatement practices in the country that do not require huge investments. These activities include creating awareness on deforestation and bush burning. Also, Pretoria has to encourage people to buy environment friendly goods and wise usage of electricity. Raising awareness on what can be seen physically, such as resisting the temptations of arbitrary tree cutting, will have spin offs on the other areas of green initiatives. People need to understand the importance of biodiversity to generate interest in caring for it.

6.3.2. Key Recommendation: Africa and Southern Africa Region

African countries, including those from the SADC region have something in common, found in the electricity backlog across the region. With lack of infrastructure, the focus has been more about making electricity available as much as possible to as many as possible. In the interim:

1. African countries should get set to take the full advantage of the emerging green energy norm; by setting out policies in their national development plans and long term visions for implementing green growth strategies.

6.3.3. Key Recommendation: Global level

On the global level, the respective fora and platforms for negotiations should go beyond annual conferences and boondoggles characterised by all talk and no action. Environmental externalities can only be mitigated through collective actions. Therefore, there is need to:

1. Encourage countries who are already stepping their efforts to green route. The encouragement can be in kind or in cash in forms of technology transfers, capacity building and green funds. Such encouragements will boost mitigation and adaptation efforts across the globe, and
2. Given the meagre three percent share of the world's Clean Development Mechanism (CDM) in Africa, more of the CDM projects need to be in place in the continent. This will boost the technologies for climate change mitigation in the continent.

6.4. Limitation of the Study

There are three limitations to the study. Firstly, the study is limited in terms of its generalisability to the numerous green energy policy makers in South Africa. Like any other group, people are heterogeneous in nature. While the study sample should be quite diverse, the fact remains that certain segments of the population sample were not included, making it difficult for the researcher to generalise the findings (Bryman, 2012; Merriam, 1995). The second limitation of the study is that it is difficult to have a benchmark for measuring and establishing reliability in this kind of study, for replication. This is because any similar study may provide another set of interpretations of the phenomenon in the context of participation, as responded by the participants.

Finally, given all the delays experienced, the researcher had limited time to conduct the research, which was approximately three months. The scope and limited time used in conducting this research, through the use of a cross-sectional design means tick-description of the findings during analyses was also limited. The researcher through introspection wishes more of both longitudinal qualitative studies on one hand, as well as quantitative study on the other hand to be conducted, to see what kinds of outcomes can be derived from such studies.

6.5. Directions for Future Research

In view of the above limitations to the study, further areas for research include:

1. Research the models and best practices on green energy that can be customised to suit the needs of South Africa in a cost-effective manner, and
2. The key elements that can bring resolution and converging views of both the South African government and other relevant stakeholders together in the green energy sector.

6.6. Conclusion

The problem of climate change and efforts to bridge the dichotomy between development, economic growth and environmental damage saw the South Africa government working towards green growth strategies. The proposed green energy policy has generated controversy and contestations from the members of the public and stakeholders alike in South Africa. The initial thoughts of the researcher before the study were that the contestations are intertwined to lack of participation and inclusivity in the green energy process. This study set out to explore the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa. After the study, the findings had enhanced the researcher's conviction that participatory governance in South Africa is on shaky grounds. From the study, the reasons for lack of participation in the green energy policy are: lack of communication; lack of seriousness on the part of the government to consult; obscure mechanisms and means of consultation; lack of political and enabling environment; lack of awareness on the part of the public and relevant stakeholders; wrong perceptions by all stakeholders; resistance to change; policy ambiguity, and mistrust among relevant stakeholders. The significance of the study was shown through the exploration of the knowledge gap on participation in the green energy in South Africa, driven by existing literature not necessarily related to green energy participation in South Africa. Other enabling factors for the study were the data set from the qualitative in-depth interviews, research questions and findings of the research.

In conclusion, green energy initiatives and ideas geared towards environmental sustainability are not new. The problem has been the political will to pursue a low carbon development. Global and continental practices on green energy are encouraging, despite no legally binding

agreements for countries to commit to green policies. South Africa has shown commitment to reduce GHG emission through different initiatives and policy frameworks. However, it is pertinent to know that the successful transition of green growth strategy can only be effective through an inclusive process of implementation, in which there are clear definitions of roles and responsibilities among social partners. In addition, South Africa should be aware that there could be distortions or constraints in the economy from the introduction of green growth, which could limit the returns to "green" innovation and investment. To manage the distortions or constraints in the economy requires inclusive policies, technology and capacity building of individuals and institutions. Therefore, making communications its top priority is vitally important; if a green policy is the answer to the country's problem in reducing GHG emissions. Its policies and programmes need to be explained in terms of tangible benefits that are achievable. This suggests that what South Africa needs is more coordination and proper policy articulation through inclusive process. In other words, if green policy architects want the public to embrace the policy, it must move beyond the theoretical level of discourse and policy ambiguity that has dominated the country so far, and initiate practical programmes and cost effective policies.

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Annexes

Annexure 1: Letter to Participants

Vincent Oparah
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Johannesburg, South Africa.
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15 January 2014

Request for interview as a participant in a Research Study

Background of Study:

South Africa quest for a green growth strategy has been boosted by proposed policies for a greener future by the ruling government. However, oppositions have emerged to this green growth strategy from the manufacturing sector, as well as the organised labour. The manufacturing sector recons that the anticipated carbon-tax to be adopted through the implementation of green energy strategy could force some companies to liquidate or move elsewhere. The organised labour is concerned with job losses, which the green energy strategy will exacerbate when implemented (Ballim, 2012; Marrian, 2013a; Marrian, 2013b; NPC, 2011; Roos, 2013). These contestations stem from non-inclusive, as well as non-participatory nature of the implementation of the green energy strategy in the country. Concerns and interests of the aforementioned stakeholders have not been considered in the proposed policy.

Introduction:

My name is Vincent Oparah, a final year Masters student of Wits Graduate School of Public and Development Management, Johannesburg, South Africa. I am conducting a research on participation in the governance of the Green energy in South Africa. The purpose of the research is to investigate factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa.

You have been chosen as one of the participants to be interviewed for this research, given that you are knowledgeable in the field of participatory governance and green energy. The

interview will last approximately 60 minutes. The results of the research will be submitted as part of the requirement for completion of Masters in Public and Development Management. Your contribution will go a long way to help in identifying a credible participatory approach for a successful transition to green energy in South Africa. Please note that your participation in this study is voluntary and there is no reward for participating or offence taken for not participating. Also, you may choose to withdraw from the interview at any time. The outcome of the interview will be kept strictly confidential and coded in the final report. You will also be provided with the research report if requested.

However, if you feel that you have concerns regarding the study or if you require any additional information, please contact me through the coordinates above or my supervisor, Dr Manamela Matshabaphala on 011 717 3508 to discuss these further.

Thank you for your time, as I look forward to your kind and positive response.

Annexure 2: Interview Schedule

1. What do you think is the major challenge to South Africa transition to a green energy implementation?
2. Given the country's economic instability and the triple challenge of (poverty, unemployment and inequality), do you think South Africa is ready for a green energy implementation?
3. Given the cost implication, as well as objections from labour unions and the manufacturing sector, can this green energy policy succeed if the government goes ahead to impose it on the economy?
4. What are the factors leading to lack of inclusivity and participation in the proposed implementation of green energy strategy in South Africa?
5. How would the various stakeholders, especially the organised labour and manufacturing sector participate to implement a green energy strategy in South Africa?
6. Does the man on the street have a say in this debate?
7. Could you share your perspective on the how best the interests of various stakeholders in South Africa can be accommodated in the green energy policy?

Annexure 3: Summary of Major Themes Using Thematic Analysis Framework Approach

Table 3: Summary of Major Themes Using Thematic Analysis Framework Approach, (Adapted from: Bryman, 2012).

Participants' Profile	Themes	Economic Implications	Participation	Policy	Cooperation
	Coding	↓	↓	↓	↓
Energy policy Practitioner-Think Tank	**I 01: TT1**	Thinks that carbon taxes is a burden to the economy	Lack of communication as a major problem	Thinks communication failure on the part of government will lead to failure	Thinks that Eskom's monopoly requires balancing
Organised labour	**I 02: OL**	Thinks job losses will derail the policy	Convinced that government prefers parliamentary route to make policies	Thinks that the policy objectives do not address the problem	Honest dialogue and debate to find way forward
Student	**I 03: S**	Thinks the business sector will relocate	Reckons Method of engagement is complex	Thinks that it is policy made by elites	Reckons accommodate other interests as the solution
Energy policy Practitioner-Think Tank	**I 04: TT2**	Thinks the policy should not reduce to GDP	Says there is lack of clarity in all spheres as a challenge	Suggests that government need to explore different models	Suggests South Africa needs to lead by example
Civil Society Organization	**I 05: CSO**	Policy may not be good for business	Thinks Citizens education important for participation	Thinks imposition will bring negative outcomes	Rethink Public-private partnership
Academic	**I 06: A**	Suggests that policy will distort the economy	Suggests people lack knowhow to engage	Posits that policy must address economic problems	Thinks it has to be a shared burden
Business sector	**I 07: BIZ**	Argues that Carbon taxes is too complex	Thinks government may do what it wants to do	Says study green policies in other countries	Thinks middle ground required
Government department	**I 08: GOV**	Thinks that government will spend much implementing the policy	Suggests perception and reception may hinder communication	Believes that to fund the policy without the involvement of the stakeholders will be very challenging	Thinks that Cooperation with the private sector will drive the policy
Community leader	**I 09: CBO**	Reckons it will be a costly initiative	Says people do not understand the problem	Thinks that imposition will lead to resistance and sabotage	Thinks that proper education and consultation will lead to cooperation
	Summary of views of all the participants	***Several challenges to green energy policy include:***	***Lack of information; awareness; limited***	***Policy is very blurred and controversial and need to***	***SA is leading by example and committed to honouring***

	on each theme	***Eskom's monopoly; skills shortages; job losses finance, and high cost of doing business as a result of carbon taxes***	***consultations, and lack of capacity to engage have limited participation. Also, policy is driven by business interest; as well as no sense of ownership and apathy. South Africa no ready for this policy***	***communicate properly through dialogue. There is lack of resources implement pol. Roles need to be defined and gradual process required***	***international agreements. Need to study green policy best practices in other countries. Implementation should be in gradual process, with shared burden. Need to rethink Public-private partnership***

Annexure 4: Zapiro (2012). February 17, 2012

Zapiro (2012). February 17, 2012 http://mg.co.za/zapiro/fullcartoon/3618



Annexure 5: Zapiro (2010) on Blurred Policies in South Africa

