



*Engaging
citizens for
improved
service
delivery,
improved
results and
greater impact*

Strategic Framework for Public Participation at a Municipal level - Gauteng Province

The high level objective of the Gauteng Strategic Public Participation Framework is to contribute to building workable participatory systems to engender active citizenry, engagement through constructive dialogue, build social cohesion and foster multi-stakeholder collaboration to create the conditions for trust between government and citizens by improving and changing the way government delivers services to citizens. Public participation is an integral part of the system of governance. To succeed, it must be mainstreamed through the delivery system of all three spheres of government. Progress towards the objective will be assessed against the uptake and deployment of public participation methods by government and Civil Society Organisations to enthuse active citizenry, stakeholder engagement and increase government accountability and responsiveness.

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Summary

South Africa's democratic history is deeply rooted in civic engagement. It has its foundation in the mass mobilisation and participation of people struggling over centuries for a liberated democratic society. During different periods of the quest for democracy, trade unions, religious organisation, students, communities and international organisations rallied under a common vision for a free and fair society free from any form of discrimination. The impetus provided by the mass mobilisation of South Africans from all walks of life led to participatory democracy being cherished as a cornerstone of a new constitution post-1994 with the necessary institutions and policies to support it. Despite the clearly articulated ideals for public participation, the practice resulted in the development of a "*system of tentative multi-dimensional participatory democracy*" influencing different phases of policy making, through formal and informal mechanism of contestation and with varying degrees of influence and impact. Despite this, there still remains a vacuum to enthuse citizen to engage in a constructive, systematic and structured manner at a community level.

The purpose of this framework for public participation is to capture the diverse experiences in Gauteng, assess the lessons learned and outline methods, opportunities and practices that could lead to the development of a body of practice for a more systematic and structured approach for public participation.

Growing evidence confirms that under the right conditions, public participation can help governments achieve improved service delivery and results. This framework highlights the positive links between public participation and service delivery. Evidence in SA and globally shows that the results are mixed and that there are good practices that can be taken to scale.

This framework embeds itself with the Back to Basic and Ntirhisano initiatives by the Batho Pele principles to ensure that people are considered as a motive force for public participation. It is guided by five operational principles that seeks results, it involves engagement throughout the public participation cycle; it strengthen capacity, it is context specific and it is implemented gradually to build confidence. Opportunities for public participation will be identified in collaboration with municipalities to implement a systematic gradual approach instead of the "in-and-out" box ticking approach. The implementation of a more systematic approach to public participation will require support from stakeholders and government's commitment to drive the process and collaboratively work with CSOs and others to improve and change the way it delivers.

The success of public participation is based on how successful it is mainstreamed in government operations, especially at a local government level. This framework suggest a capacity building process with municipalities, ward committees and community organisations that will see the systematic incorporation of public participation. It also identifies a leading role for municipalities to facilitate and work more closely with provincial and national departments on delivery issues at a community level.



I. Context

A. Introduction

1. **This document sets out to provide a strategic framework for public participation (PP) at municipal level to give effect to the constitutional mandate for participatory democracy.** The context of this framework is based on the 15 year Presidential review that acknowledges that public participation goes beyond democratic election and that it embraces different forms of citizen engagements that gives meaning to participatory democracy. The Review notes that *South Africa had... developed a [rudimentary] system of tentative multi-dimensional participatory democracy, positioned within a base framework of constitutional and electoral democracy, but extended through a relatively wide range of initiatives that introduced multiple levels of engagement between government and citizens – forms of engagement that impacted on most of the phases of political and policy decision making. The system spanned electoral cycle activities that were supplemented with participatory actions that fed into the two participatory thrusts of interest articulation-policy making, and active engagement in a range of actions of governance and policy evaluation. The participatory actions were both solicited-structured and spontaneous-unsolicited. In the spirit of democratic engagement and continuous contestation, all of these actions became part of the democratic-era repertoire of citizen engagement with the institutions and processes of South African government.*

2. **The concept of public participation embraces the notion of participatory governance referring to citizens engaging with the state on all aspects of society to improve, create and sustain a healthy and functional society. Citizens¹ are understood to be the ultimate client of the government and private interventions in a country.** Citizens can act individually or collectively through civil society organisations (CSOs) such as association, community organisations that are either faith based, issue based, formal and or temporary associations of people pursuing a specific purpose. Issues can be taken up in a structured way through formal mechanisms like petitions and complaints, or informally through protests and strike actions. Public participation contributes to a healthy dialogue about expectations, needs and results. Key benefits for government and citizens includes information sharing, informed citizens being able to engage and access opportunities, informed officials being able to make better decision and respond to citizen needs. Public participation enable citizens to be informed and involved in matters affecting their lives and communities. This leads to trust between government and citizens through greater transparency and accountability about what should be done.

3. **This framework embeds itself in the Back to Basics and Ntirhisano initiatives in Gauteng to radically transform the interface between government and citizens.** It will also link up with initiatives like the Thusong centres and Batho Pele Gateway to help foster closer

¹ The term *citizen* is used here in the broader sense of the word to refer to the public that includes all people within the country that participate in an inclusive and nondiscriminatory way

government-citizen interaction and improve the way government deliver services to communities. This framework aims to contribute to the objectives of the B2B and Ntirhisano by aiming to work with municipalities, ward committees and community based forums to;(1) enable municipalities to understand the value of incorporating public participation as a critical success factor in their planning and delivery of services to communities, (2) coordinate and leverage delivery from other spheres of government and where opportune use PP to enhance the impact of service delivery, (3) enable ward committees to be more inclusive and participatory in their orientation, plans and actions and (4) strengthen the capabilities of community forums and organisations to engage helpfully in addressing the pressing issues in their communities.

4. **Section 1 of this document gives a brief background about the challenges for public participation and government's efforts to correct it.** This is followed by section 2 outlining the principles and values for public participation to happen. It also advance an operational definition embracing action, inclusivity, accountability and responsiveness. Section 3 deals with the objectives and scope and the enabling factors for public participation and section 4 concludes with a high level works stream to deploy the framework.

B. Background

5. **This Strategic Framework is guided by the 2007 Department of Cooperative Governance (DCOG) (previously DPLG) National Policy Framework (NPF) for public participation and draws on the work of a various number research and documents on the subject.** The approach is rooted in the Constitution and draws on legislation and policy (See Box1) aimed at stimulating public participation to give meaning to the constitutional mandate of participatory democracy. In line with the national policy framework, this document aims to provide a strategic framework for public participation at a practical level. This strategic framework seek to contribute to the vision of COGTA to create "*Sustainable and viable local government, traditional councils and communities*" and fulfill its mission to "*coordinate the effective functioning of local government; promote integrated development planning and deepen participatory democracy in order to accelerate service delivery,*" This framework is mindful of the Gauteng IGR framework to strengthen inter-government cooperation, the Municipal Planning and Performance Management Regulations (2001) on good governance and public participation and the Back to Basics and Ntirhisano initiatives seeking improving government responsiveness and changing the way we deliver. It also draws from the National Development Plan's vision to *engender citizen engagement in all spheres of government and create a public service based on professionalism, promoting an activist, purpose-driven and results-based government; active citizenry, sectoral engagement and community mobilization.* This framework also draws on the work of, the Gauteng Speakers Forum in terms of their work on PP through the petition system at a provincial and local government level.

6. **Local and international literature and best practices makes reference to the challenges and importance of strengthening the relationship and capabilities of government civil society and the private sector to nurture PP.** In emphasizing the importance of PP, Gauteng Premier David Makhura stated in his in the State of the Province Address (2014) that *“One of the key issues that must be addressed is that of radically improving popular involvement and participatory governance. We know that our people feel alienated from their own government and institutions of participatory democracy, and that participation in local democracy is optimal”*.

7. **The ability of citizens to have agency, voice, and engage as an intrinsic part of the system of governance is a critical pillar to sustain participatory democracy.** *Participation is a complex political process and our constitution, legislation and policy environment creates the necessary conditions to address this complexity.* The Constitution (1996) and legislations on local government confirms a number of citizen rights and affirm the rights of communities to be involved in local governance. The Public Service Commission report (2008) points out that *“citizens are not just consumers of services rendered by government, but are also critical role players with a stake in the election of government and how such government should run the affairs of the country. ... it is important that government ensures meaningful mechanisms for citizen engagement”*. It goes on to caution that it is *“important to appreciate the nature and extent of public participation in that it is contextual and thus different realities may require different modalities in engaging citizens”*. This is the challenge that this strategic framework wishes to address.

Box 1. Constitutional imperative for Public Participation

The notion of public participation in all spheres of government is embedded in the **South African Constitution**; Act, 108 of 1996 places an obligation on local government “to encourage the involvement of communities and community organisations in the matters of local government”. During the years following the promulgation of the Constitution, municipalities wrestled with a multitude of other transformation issues with the result that very few actively encouraged communities to involve themselves in the affairs of the municipality. The promulgation of the Municipal Systems Act, 33 of 2000 (hereinafter the Systems Act) focused the attention of municipalities anew on the need to encourage the involvement of communities in the affairs of the municipality. The fact that public participation was high on the agenda of government is evident from the fact that the whole of Chapter 4 of the Municipal Systems Act is devoted to public participation. A reading of Chapter 2 of the Act already focuses attention on the role public participation is to play in the local government environment as it is in that Chapter that (i) the ‘Rights and duties of municipal councils;’ (ii) the ‘Rights and duties of members of the local community’ and (iii) the ‘Duties of municipal administrations’ are spelt out. It is evident therefore that the councillors, the administrators of the municipality and the community itself have an important role to play in public participation.

The clearest and most specific requirements for public participation in local governance are outlined in Chapter 4 of the MSA. *Section 16 requires that:*

The Municipality must develop a culture of municipal governance that complements formal representative

government with a system of participatory governance and must...

- ...encourage and create conditions for the community to participate in the affairs of the municipality, including in the IDP, performance management system, monitoring and review of performance...preparation of the budget, strategic decisions re municipal services.
- ...contribute to building the capacity of the local community to participate in the affairs of the municipality and councillors and staff to foster community participation
- ...(section 42) through appropriate mechanisms, processes and procedures ...must involve the local community in the development, implementation and review of the municipality's performance management system, and in particular, allow the community to participate in the setting of appropriate key performance indicators and performance targets of the municipality.

Public participation is further reinforced through other pieces of legislation (See section on Legal Community Participation Obligations of Municipalities in the National Policy Framework, pp. 24 – 42).

Source: COGTA [DPLG] National Policy Framework for Public Participation 2007

8. **Local and international research refer to the arbitrary and underuse of PP that reinforces mistrust and leads to unrealistic expectations about government ability to deliver and citizen's indifference towards government.** The DCOG (DPLG) 2007 policy framework for public participation noted that despite the constitution and prescripts of the Municipal Systems Act, 33 of 2000, municipalities were not fulfilling their legislative obligations. The 2008 Public Service Commission report on public participation practices in the public service looked at the practices of national departments and concluded that PP is not uniformly deployed and that **although there was a common understanding in the public service, this understanding was not matched by implementation.** By 2015 a number of reports and research continue to note the underuse of public participation approaches to fulfill their legislative obligations. A presentation by the DCOG on "Ward Committee Functionality Indicators" (July 2015) noted the persistence of a number of challenges that continue to trouble the implementation of public participation at a community level. These range from the incorrect composition of ward committees, the strenuous relationship between ward committees and communities and Councillors, poor political and administrative oversight, uneven credibility and awareness amongst local communities, interparty tensions and the lack of adequate administrative and financial support for public participation. All these challenges were also confirmed at the September 2015 Civil Society Dialogue on PP and validated by a 2015 review of the draft Gauteng Public Participation framework confirming that the capacity for public participation at a municipal level is weak and inadequate to create favourable conditions for citizens to engage government. These reports also note that where PP happens, it is often unplanned and not seen as a part of the process of delivery. Most often PP gets reduced to communities being passive receivers of information with very little opportunities for government to really listen to people.

9. **The Back to Basics programme and Ntirhisano initiative notes that despite government's achievements over the past two decades, a number of service delivery challenges and backlogs are persistently evident in communities.** It admits that ward

committees are dysfunctional and together with the lack PP adds to mistrust and social distance between government and communities. This is worsened by the high levels of unemployment and crime that leads to deeper feelings of social exclusion and alienation from the mainstream socio-economic and political life of the community. These challenges only serve to fuel already agitated poor communities demanding more and more from government. Reports on the causes of protests note government's slow response and citizen apathy. A key thrust of the B2B programme is to *"put people and their concerns first and ensure constant contact with communities through effective platforms for public participation."*

10. **Communications is critical to activate and stimulate increasing levels of public participation.** The B2B presentation to the LG MINMEC meeting (November 2015) notes the glaring gaps in government accountability that is worsened by perceived and real acts of corruption, fraud, mal-administration and weak communication channels. Increased efforts from government to share, listen, actively solicit citizen feedback and acting upon the feedback they receive will enhance government's ability to respond to service demands and account for its actions at a community level. This will also help with improving citizen and ward committee oversight to preempt the stalling of projects and programmes due to capacity constraints, maladministration and corruption. Information derived in a participatory manner will provide valuable lesson about the levels and quality of delivery to enable government agencies to make the necessary adjustments and corrections during the process of delivery and thereby minimising disruptions and inflated costs. Open communication will also enable citizens to understand the constraints of government and exercise more patience.

11. **The general consensus is that public participation is challenging, critical and can work.** There are good practice cases where communities, CSOs and government are able to engage and deliver through partnerships and engagement². The Good Governance Learning Network (2015) and Research by SALGA (2013/14) notes a number of good cases where there are genuine attempts at constructive engagement at a community and municipal level. A global study by World Bank notes that PP does not work all the time - interventions that work well in small populations are faced with difficulties when expanding to larger communities, especially when it involves participatory approaches.

II. Principles and Values

A. Principles

12. **The Batho Pele Principles forms the cornerstone for public participation** stating that "only through effective engagement with citizens and their organisation will we begin to "put people first".

² See Cases on Improving Public Participation in Local Governance: Thirteen key lessons by SALGA and GIZ

Box 2. Batho Pele Principle

- 1. Consultation:** Citizens should be consulted about the level and quality of the public services they receive and, wherever possible, should be given a choice about the services that are offered.
- 2. Service standards:** Citizens should be told what level and quality of public service they will receive so that they are aware of what to expect.
- 3. Access:** All citizens should have equal access to the services to which they are entitled.
- 4. Courtesy:** Citizens should be treated with courtesy and consideration.
- 5. Information:** Citizens should be given full accurate information about the public services they are entitled to receive.
- 6. Openness and transparency:** Citizens should be told how national and provincial departments are run, how much they cost and who is in charge.
- 7. Redress:** If the promised standard of service is not delivered, citizens should be offered an apology, a full explanation and a speedy and effective remedy; and when complaints are made, citizens should receive a sympathetic, positive response.
- 8. Value for money:** Public services should be provided economically and efficiently in order to give citizens the best possible value for money.

13. This strategic framework seeks **results, engagement, capacity, contextually and incremental growth /scale as principles to guide implementation**. It aims to identify opportunities to build on existing entry points where public participation will make a significant difference:

- (a) **Results focus.** Operationalising public participation would require *selectivity* and focus on areas where it can contribute to maximising outcomes of service delivery.
- (b) **Engaging.** Citizen involvement should be facilitated and **should** be engaged in a systematic way that will involve them in the life cycle of programmes and projects – from planning, implementation, monitoring to evaluation.
- (c) **Strengthening capacity.** Build the required capacity amongst all stakeholders from different levels of society to engage in new ways – the poor, unemployed, middleclass and elite from different racial and gender orientations have different expectations and needs and incentives to participate. Communities can be empowered to participate effectively in local initiatives or contribute to improvements in service delivery. Willingness and capacity in government and CSOs is needed to do so. Citizens will require the minimum skills, desire and interest to engage while government needs to build the necessary internal capacity, systems and openness to respond and engage citizens in a sincere way.

- (d) **Contextuality.** The success of public participation is highly contextual – it can work in one area of service delivery and completely fail in another. Communities and stakeholder needs also differ and different social strata may respond differently to new efforts to engage them.
- (e) **Gradualism, iterative, and scalable.** Public participation is by its very nature a complex political process because of the time and resources it takes to build capacity, the difficulties to take it to scale, and the need for continuous learning and improvements. The success of such interventions hinges on adaptive capacity – “the ability to be nimble, to learn by doing, and to make mid-course correction in management and design in order to be effective.

14. This framework adopts the following values³ as advanced by The International Association for Public Participation (2000). These are:

- a. **Decisions.** The public should have a say in decisions about actions, [services and interventions] that affect their lives. Through joint problem solving, communities and government would be able to create win-win solutions
- b. **Influence:** Public participation includes the promise that the public's contribution will influence decision. Opportunities should be created for the public to share their opinion through citizen and expert panels. Only through genuine collaboration will the public develop confidence and trust in government process.
- c. The public participation process **communicates the interests** and meets the process needs of all participants. Not all stakeholders will have the same interest nor participate at the same time. Differences in stakeholder interest and needs should be taken into consideration early on in the design and process.
- d. The public participation process seeks out and **facilitates the involvement** of those affected [direct beneficiaries] and those indirectly affected (the broader community) and other stakeholders.
- e. The public participation process **involves participants** in defining how they participate. Participants should be accommodated in the process as far as possible based on their time, interest and needs without hindering implementation
- f. The public participation process provides participants with the **information** they need to participate in a meaningful way. Relevant and timeous information that is understandable (why, what, and how) should be shared from the start.
- g. The public participation process **communicates** to participants how their input affected the decisions. This will enable participants to understand the effects of the input and why certain decisions are taken.

³ These values were also adopted by the DCOG (DPLG) 2007 framework on public participation.

15. **A SALGA benchmark study (2014) on PP best practices notes thirteen lessons to improve public participation.** These lessons will be used as a good course of action for municipalities and communities to design and implement effective public participation processes.

- (1) **Be clear about why you engage in public participation:** it is important to be honest and transparent about the intentions of public participation.
- (2) **The public participation approach should fit the circumstances:** different approaches should be used to address different short or longer term needs.
- (3) **Know your community:** Municipalities should know their communities and different interest groups very well. Likewise should communities also know their Municipalities?
- (4) **Inclusive participation:** Municipalities must make sure opportunities and time are created for everybody to participate and share their views on how they feel about an issue. This means accommodating working people, job seekers, and unemployed, disabled and especially women and youth.
- (5) **Encouraging participation:** It should be easy and convenient for people to participate. They should also feel that they are being taken seriously.
- (6) **Who drives the participatory exercise?** The municipality must own and drive participation impartially to ensure the integrity and reputation of the process. Party politics damages the credibility of a public participation process
- (7) **Prove that participation works:** Show people how their views are important and taken on-board the planning, monitoring and implementation. Plan for results and show results
- (8) **Formalising participation:** It should be mainstreamed in municipal operations and become part of the institutional policy and strategy.
- (9) **Administrative provisions for public participation:** Municipalities should have dedicated resources, staff and time for public participation.
- (10) **Adequate Planning:** Public participation must be well planned for and implemented.
- (11) **Formal systems of participation:** Ward committees should be enabled to play an important role to help facilitate public participation and mobilise stakeholder interest
- (12) **Linking communication and public participation:** Communication is critical and should be honest and based on facts.
- (13) **Getting Support:** Municipalities should get support from all sectors – government, political parties, councillors and other community interest groups.

B. Operational Definition

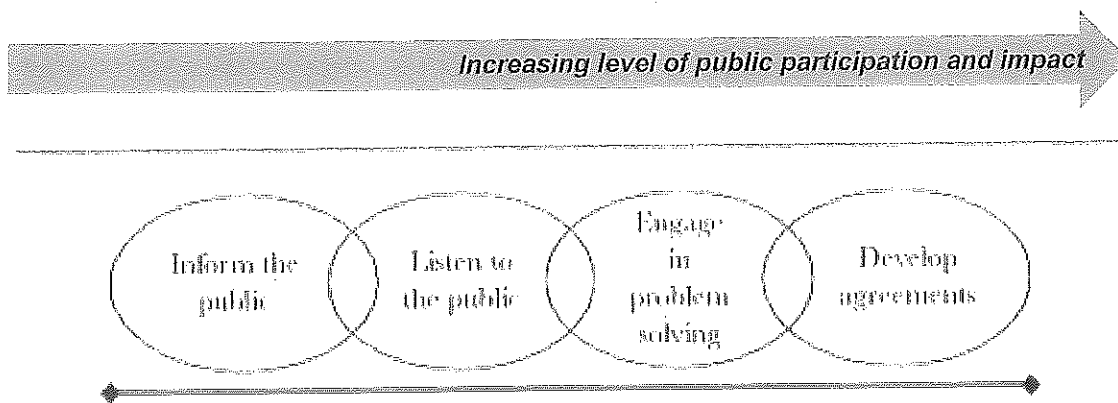
Literature, research, legislation, policy documents and discussions with public sector colleagues all point to the need for a definition that is clear, inclusive and consistent. There is no shortage of understanding of what the concept of PP means for our democracy. An operational definition for this framework is focused on practice and aims to embrace the essence of the constitution to advance participatory democracy. The 15 year presidential review notes that the complex of citizen participation in democracy grew, through cumulative phases, into a complex of practices that are regularly extended, and almost always subject to selective uptake. Conceptualisation of popular participation in South African democracy, and the expansion of this notion into one of participatory democracy, is a multi-level, multi-focused and densely interactive complex of actions.

16. **Within the scope of the framework, an operational definition is captured by the following action words such as *participate, collaborate, moderate/facilitate, involve, engage, interact, account, communicate, incorporate, voice, decide, own, buy-in, results and outcomes.* This framework adopts the COGTA 2007 NPF definition that public participation is;**

“... An open, accountable process through which individuals and groups within selected communities can exchange views and influence [government] decision-making. as a democratic process of engaging people deciding, planning, and playing an active part in the development and operation of services that affect their lives.

17. **Public participation is a continuous iterative process involving the mutual exchange of views, opinions and expectations of what will work and what may not work to improve the relationship between government and citizens.** The literature spells out a number of typologies ranging from the initial interaction and information giving and sharing to genuine engagement, empowerment and self mobilisation where citizen voice is taken into consideration to inform government action. Simple consistent positive responses from government to citizen complaints (and complements) can go a long way to foster trust with citizens. The continuum of participation (figure 1.1) involves an iterative process of informing, consultation, collaboration, engagement and empowerment in seeking development solutions. Access to information is important but not sufficient on its own to constitute public participation. Closing the feedback loop encourages mutual exchange of views, understanding of intentions, needs and expectations to assist government to act upon the feedback they receive. It is only then that trust is generated and behaviours change when government use the input from citizens to facilitate improvements in service delivery. (See Box 3)

Figure 1. Continuum of Participation



(Adapted from IAP2 Spectrum of Public Participation. International Association for Public Participation and James L. Creighton. *The Public Participation Handbook: Making Better Decisions Through Citizen Involvement*)

Box 3. A straightforward way for local governments to engage more with their citizens

In 2015, researchers at the World Bank collaborated with mySociety, a UK based civic tech organization, to analyze 400,000 reports that asked public officials to fix local problems. Researchers analyzed reports by users from fixmystreet, a website that lets residents of the UK to "report, view, or discuss local problems."

Not surprisingly, researchers found that if a user's first report is fixed, she or she will likely report other problems. According to the paper, 54% of users who get response are more likely to report again. The report reinforces what we knew already: Positive rewards persuade us to repeat an action again.

As governments struggle to regain trust, and budgets shrink, governments have an important lesson to learn from this report. By positively responding to citizens' queries consistently, governments are encouraging responsible citizenry, and in the long run regaining trust.

Source: From a blog post by Ravi Kumar. (<http://blogs.worldbank.org/governance/straightforward-way-local-governments-engage-more-their-citizens>)

18. **This framework uses the NPF (2007) view that PP in the context of this framework refers to community engagement at a ward level (NPF 2007).** Communities are defined as a ward with elected ward committees. The ward committees are central to linking up elected institutions with people. Ward committees are critical for the following reasons:

- (f) It forges partnerships between government and citizens through their organisations and forums at a local level
- (g) It creates opportunities and facilitate participation in the design (where feasible and possible), and implementation of programmes, services and projects impacting on the lives of citizens and communities.
- (h) It makes sure that the intended beneficiaries benefit from services and whose views are solicited during the process of delivery.

Box 4. Basic Assumptions underlying public participation (DCOG, 2007)

Basic assumptions underlying public participation include:

- Public participation is designed to promote the values of good governance and human rights;
- Public participation is acknowledged as a fundamental right of all people to participate in the governance system;
- Public participation is designed to narrow the social distance between the electorate and elected institutions;
- Public participation requires recognising the intrinsic value of all of our people, investing in their ability to contribute to governance processes; and
- People can participate as individuals, interest groups or communities more generally;
- In South Africa in the context of public participation the current model in operation is mainly by means of an elected ward committee that comprises members representative of local communities within a specifically defined municipality;
- These ward committees play a central role in linking up municipal councils and other elected institutions with the people, and other forums of communication reinforce these linkages with communities like the *izimbizo*, roadshows, the *makgotla* and so forth.

19. **A number of approaches exist to facilitate public participation.**⁴ These practices are designed to maximise PP beyond just the sharing of information and consultations... The basic methods used thus far are community feedback meetings, Izimbizo, roadshows, complaints systems, petitions and other community outreach approaches to connect politicians with communities. The efficacy of these approaches not exactly known as demonstrated by recurring protest events over delivery issues. Most of the approaches used thus far are mostly limited to the sharing of information (mostly one-way flow), and what government will do in responds to community grievances. Different methods will also require different collaborators and strong willingness on the part of government to follow-through on the methods. Other more engaging participatory methods to engage citizens in problem solving includes approaches like community scorecards, participatory planning and budgeting, and citizen-led methods in community management, planning and problem solving. Monitoring methods to keep track of progress includes citizen report cards and monitoring, social audits and public expenditure tracking surveys and citizen satisfaction surveys. These approaches should form part of a body of knowledge for a community engagement plan.

⁴ These approaches will be developed in detail in a practical orientation document to complement the strategic framework

Box 5. Overview of PP Approaches and Mechanisms

PP activity	Mechanisms	Government participation required	Citizen participation required	Technical complexity and skills required	Time	Cost
Consultation	Public hearings	Medium	Low	Medium	Low	Low
	Focus group discussions	Weak	Low	Medium	Medium	Medium
	Advisory body/committee	Medium	Low	Medium	Medium	Low
Grievance Redress	Formal GRMs a	Weak	Low	Medium	Low	Low
	Citizens' jury	Medium	Medium	Medium	Low	Low
Collecting, recording, and reporting on inputs from citizens	Public hearings	Medium	Low	Medium	Low	Low
	Focus group discussions	Weak	Low	Medium	Medium	Medium
	Citizen satisfaction surveys	Medium	High	High	High	High
	Community scorecard	Medium	Medium	High	High	High
	Citizen report card	Strong	High	Medium	High	High
Collaboration in decision-making	Citizen/user membership in decision-making bodies	Medium	Medium	Medium	Medium	Low
	Integrity pacts	Strong	Low	Low	Low	Low
	Participatory planning	Medium	Medium	High	High	High
	Participatory budgeting	Strong	Medium	High	High	High
Citizen-led monitoring and evaluation or oversight	Citizens' jury	Medium	Medium	Medium	Low	Low
	Procurement monitoring	Strong	High	High	Medium	Medium
	Public expenditure tracking	Strong	High	Medium	High	High
	Community scorecard	Medium	Medium	High	High	High
	Social audit	Medium	High	High	High	High
	Citizen report card	Strong	High	Medium	High	High
Empowering citizens with resources and authority over their use	Citizen satisfaction surveys	Medium	High	High	High	High
	Participatory planning	Medium	Medium	High	High	High
	Community management	Strong	High	High	High	Medium
	Community contracting	Strong	High	High	High	Medium
Building citizen capacity for engagement	Participatory monitoring	Medium	High	High	Medium	Medium
	Budget literacy campaigns	Weak	Medium	Low	Medium	Medium
	Public reporting of revenues and expenditures	Medium	Low	Low	Low	Low
Information dissemination/ Demystification ⁵	Information campaigns	Weak	Low	Low	Medium	Medium
	Citizens' charters	Strong	Low	Low	Low	Low
	Citizen service centers	Strong	Low	Low	Medium	Medium
	Budget transparency	Strong	Medium	Low	Medium	Medium
	Public reporting of revenues and expenditures	Medium	Low	Low	Low	Low
	Budget literacy campaigns	Weak	Medium	Low	Medium	Medium
	Independent budget analysis	Weak	High	Low	High	Medium
Citizens' budget	Strong	Medium	Low	Medium	Medium	

Source: World Bank report on Citizen Engagement, 2015.

⁵ Information dissemination/demystification is necessary but not sufficient for PP. This is used to share the basic facts as simple as possible to assist citizens to make informed choices and decisions in PP. This approach is also used to compliment other more substantial methods for engagement.

20. **What will take to implement PP? Since political structures determine the extent of PP, political will and commitment is critical for the successful use of PP in government processes.** The B2B approach provides the context for this to happen. It will also require capacity in government and likewise is political commitment and capacity amongst other stakeholders (civil society and private sector organisation) important to induce changes in the governance system.

III. Objectives and Scope

A. Objectives

21. **The high level objective of this strategic framework is to engender constructive dialogue and trust between government and citizens, promote active citizenry and encourage public participation through ward committees and other community forums) at a community level.** This framework aims to serve as a guide for COGTA to (1) enable municipalities to understand the value of incorporating public participation as a critical success factor in their planning (IDP) and delivery of services to communities, (2) coordinate and leverage delivery from other spheres of government and where opportune use PP to enhance the impact of service delivery aimed at communities, (3) enable ward committees to be more inclusive and participatory in their orientation, plans and actions to enable communities to be informed and involved in matters affecting their lives and communities, and (4) strengthen the capabilities of community forums and organisations to engage helpfully in addressing the pressing issues in their communities

22. **The success of this framework is based on the following factors:**

- a. **Mainstreaming** public participation in COGTA and at a municipal level through line functions where public participation will add value to the service being delivered;
- b. **Intersect and create synergy** with national, provincial and other public agencies⁶ delivery at a community and municipal level;
- c. **improved inter-departmental** cooperation in the delivery of services;
- d. **Strengthening the relationship** between ward committees and communities to engage more effectively with line functions (departments);
- e. **Improving communications** between government and communities by creating the appropriate channels and forums (including WCs) for the sharing of information.

⁶ The framework is also cognisant of other forums and opportunities for PP regarding Provincial and National departments and other public agencies that are.

23. **This strategic framework will be operationalised by aiming to achieve the following sub-objectives:**

- a. **Capacity:** Develop the necessary appropriate tools and techniques for PP to serve as a practical guide/ toolbox for WCs, CSOs, CDWs, Councillors and municipal PP units
- b. **Knowledge and Learning:** Enhancing awareness, capacity and understanding of the importance of PP at a WC level⁷. Facilitate learning events between municipalities, WC and CSOs about relevant best practices, organise learning and sharing events with other provinces and draw on global relevant practices
- c. **Service Delivery:** Identify in consultation with municipalities and metros and WC targeted delivery areas⁸ and or projects at a community level that requires or will benefit from a PP approach and are amenable to PP
- d. **Participation:** Achieve 100% PP in delivery areas/projects that have clearly identifiable direct beneficiaries and where such participation will contribute to achieving greater results and impact.
- e. **Citizen Monitoring:** Incorporating continuous beneficiary and public feedback as part of the monitoring and results reporting by using the appropriate media and ICT platforms⁹

24. **Building the requisite awareness and capacity in government, ward committees, community based organisations, citizens and other CSOs is important to achieve results in service delivery.** This capacity will enable citizens and organisations to engage more positively in municipal processes like the budget process, Community Based Planning (CBP), Integrated Development Plans (IDP), performance management / monitoring, as well as others like the planning tribunals, public notices, hearings, petitions etc.

(a) **Communities will benefit from public awareness campaigns about their rights and responsibilities¹⁰** as engaged citizens. Specific consultations and capacity building events can be designed around programmes and projects or during the planning stages of projects in IDPs. Events can target potential direct beneficiaries and the community/ies at large within a delivery area. Training and or workshop can be targeted at ward committees on facilitating public participation. Other formations that may also benefit from such programmes are faith based organisations, school governing committees, community police forums and others in communities.

⁷ This can be in the format of presentations and workshop on the WHY, WHAT and HOW of PP

⁸ To start with, selected delivery areas and or projects that are delivered at a community/ municipal area could be identified as pilots with the purpose to upscale to other areas. These projects could either be LG or provincial departmental projects.

⁹ ICT is being more and more branded as an enabling tool to improve communication and information sharing between government and communities and other stakeholders.

¹⁰ The legal rights and responsibilities are outlined in the Municipal Systems Act under Sections 5, 16, 17, 18, 20

(b) Government willingness and capacity to engage with citizens at a ward and community level is critical. Ward committees will play a central role in enabling public participation. Building their capacity is thus crucial. Although elected officials will agree to the importance of public participation, specific awareness raising will have to be designed for them to understand the socio-political importance of public participation and why it is significant for service delivery. Other government institutions to consider is the relationship and recourse of citizens to institutions like the Gauteng Provincial Legislature and Municipal speaker offices, the public protector and chapter 9 institutions like the HRC and Gender commission, the Public Protector and others.

(c) Training for Staff in COGTA and municipalities is also just as important. Critical units are those whose work brings them in direct contact with communities, municipalities and other stakeholders and user groups. At a municipal level, it will be those working in the Speakers office, PP units and those dealing with petitions and complaints and those interacting directly with communities. Other actors at a community level can also include CDWs and colleagues from other departments like Social Development, Public Safety and Basic Education whose work contribute to the wellbeing of communities could also be invited.

25. PP is a time consuming and costly process. Funding will be required to kick start initiatives with municipalities on a cost sharing basis. Different sources will be identified from COGTA and municipal budgets for PP. Possible grant funding from private and public sponsors will also be explored. Funding can also be used to stimulate competition for innovative approaches. An example is a call for proposal from municipalities on the implementation of PP around clearly definable areas of delivery and initiatives that could strengthen the relationship between government and CSOs/ communities. An initial grant approach can be used to stimulate joint municipal and CSO collaboration

26. It will be important to adopt a flexible roll-out considering the capacity constraints in the department itself. Other opportunities could include CDWs act as potential PP facilitators. The Thusong centres and the Batho Pele Gateway initiative should also serve as opportunities to foster interaction and communication between government and citizens.

B. Institutional Arrangements

27. **Successful implementation will require institutional responsibilities and partnerships.** Municipalities will have to take a leading role to ensure PP is implemented as a cross-cutting function in their administrations. The PP directorate will coordinate across all municipalities in an advisory capacity and seek to complement and enhance the initiatives and PP policies of municipalities where they exist. Working relations will also be established with the Gauteng Legislation and Speakers Forum to contribute to their work on petitions and public hearings. Efforts will also be made to work with other departments where they work impact on local delivery and where PP can add value to such delivery. Relations with these stakeholders and others will focus on training, learning and knowledge sharing on local and global practices, exchange of staff and practitioners. The table below outlines the type of partnership required

Table 2: Types of partnership requirements

Partner	Type	Support required
SALGA	Implementation Knowledge Resource	High
Municipalities	Implementation Knowledge Resource	High
Departments	Implementation	High (where their deliveries are concerned)
Universities / NGOs	Knowledge	Low to medium
CSOs Direct beneficiaries	Implementation	High
CSOs Indirect beneficiaries	Support	Medium
CSO NGO (other)	Support Implementation	Medium to high

IV. High level work-stream

28. **This framework speaks to the three strategic objectives of the annual performance plan for public participation as informed by the B2B and Ntirhisano initiatives.** These are; (1) promote and improve public trust through active and deliberative citizen engagement and the creation of robust engagement spaces and innovative communication platforms; (2) promote and establish organs of popular power and democratic systems and enhancing the quality of PP systems and structures; and (3) empower communities and put people first by promoting social cohesion and development.

29. **The implementation plan¹¹ aims to raise levels of awareness, understanding and practice of PP.** It aims build the requisite skills in the different entities to implement and use

¹¹ The implementation plan will be affected by the 2016 LG elections. Nonetheless, opportunities and entry points for PP will be identified through the B2B programme

PP as an enabling tool. This framework suggest three adaptive phases with phase 1 focusing on awareness raising, phase 2 focusing on methods and practice at a municipal level to pilot PP, and phase 3 incrementally scaling up PP to other municipalities. Each of the phases will be support by action research to document and generate lessons to inform PP processes. In line with the B2B programmes, compliance and progress will be monitored against the following; (1) assessing the existence of the required number of functional Ward committees, (2) the percentage of ward committee's grant spent, (3) the number of council effective public participation programmes conducted, and (4) the regularity of community satisfaction surveys carried out.

30. PHASE 1: Awareness raising and identifying needs

Each workshop will be participative and draw on the experience and views of participants to address the key challenges for PP for them. The session will focus on the socio-political and economic benefits and the "What" and "How" of PP.

Activity	Outcome	Time Frame 2016
(1) Departments (a) COGTA Workshop/ information sessions with ALL units on the importance and mainstreaming of PP in respective units	Increased awareness and understanding. Identified opportunities to use PP methods in Units to enhance unit delivery	4 th Quarter (2015/2016) (Jan, Feb, March)
(b) Workshops with departments interested in PP (an open invite will be issued)	Increased awareness. Identified potential areas for collaboration and use of PP methods	Tbd
2. Municipal Workshop with Councillors and ward councils (In collaboration with SALGA induction training)	Improved understanding of Socio-political benefits of PP What and how of implementation,	3 rd 4 th Quarter of 2016 ¹²
3. Municipal workshop with PP units (including directives from B2B and Ntirhisano)	Developing a practical understanding on the "how" and "what" of PP, getting PP mainstreamed in municipalities	3 rd Quarter ¹³ (or earlier - tbd)
4. Community / CSO dialogues on PP	Improved understanding and willingness to us PP approaches in their work	3 rd / 4 th Quarter
5. Assessment on institutional readiness and identifying opportunities for PP with xx municipalities		3 rd / 4 th Quarter.

¹² The timing will be dependent on the 2016 Local Government elections and SALGAs induction training

¹³ This activity may also depend on the local government elections and the availability of municipal officials.

31. **PHASE 2: Testing Methods, Practice and Capacity.** This phase has 3 streams that will be implemented concurrently pending resources and interest from municipalities. Phase 2A will require a larger budget and possibly additional funding to create a “competitive” approach to source innovative approaches. Phase 2B will be smaller focusing on two a three interventions that can be co-created with municipalities. Phase 2 C will follow from Phase 1 and will focus on developing the requisite skills to facilitate PP¹⁴. Participants will be selected from PP units, CDWs and development practitioners that can serve as PP consultants to municipalities.

32. **Phase 2 A: Competition**

Activity	Outcome	Time Frame 2016/17
1. Developing criteria for selection		2 nd Quarter 2016r
2. Securing budget/ financing		ongoing
3. Issue Expression of interest to Municipalities		1 st Quarter 2017
4. Selection of Municipality and agree on target area for project		2 nd / 3 rd Quarter 2017
5. Implement		4 th Quarter 2017
6. Document, Learning and knowledge sharing, adapt	Municipal learning	Ongoing

33. **Phase 2 B Selected targeted interventions**

Activity	Outcome	Time Frame 2016
7. Choosing a municipality / district / Metro of interest for piloting PP methods with the intention to learn, share and upscale. ¹⁵	Improving understanding and practice	3 rd Quarter
8. Define proposals for collaborative interventions with a municipality interested to test and explore innovative approaches. The following are examples : (1) Improving communications between LG and Communities (2) Engaging specific interest groups – e.g. Youth, Elderly, Health, Education (3) Other based on LG interest	Improving understanding and practice Developing capabilities	3 rd Quarter

34. **Phase 2 C Capacity to facilitate PP**

Activity	Outcome	Time Frame
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¹⁴ . Expertise from GIZ will be sought to assist with the training of PP facilitators GIZ have supported DCOG and developed expertise on PP with the Eastern Cape Government.

¹⁵ (NOTE: Develop Criteria for selection and commitment from Municipality. Secure sources of funding / co financing of pilot between COGTA and Municipality)

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		2016
9. Training of potential PP facilitators selected from Municipal PP units, CDW and development consultants	Developing the required skills to facilitate PP	tbd

35. **PHASE 3: Scaling-up** from lessons learnt

Activity	Outcome	Time Frame 2017
10. Design support for Municipalities drawing from lessons		4 th Q 2016 / 1 st Quarter
11. Implement		3 rd quarter
12. Document, Learning and knowledge sharing, adapt, upscale	Creating consistency of practice and learning	Ongoing

Annex I: Overview of CE Mechanisms, Definitions, and Uses

The DPLG Policy framework (2007) for public participation outlines the different tools that can be used to inform, consult and involve (pp. 49 – 50). Below is a list of the mechanisms that can be used to facilitate participation.

Budget literacy campaigns are efforts—usually by civil society, academics, or research institutes—to build citizen and civil society capacity to understand budgets in order to hold government accountable for budget commitments and to influence budget priorities.

Citizen charter is a document that informs citizens about the service entitlements they have as users of a public service; the standards they can expect for a service (timeframe and quality); remedies available for non-adherence to standards; and the procedures, costs, and charges of a service. The charters entitle users to an explanation (and in some cases compensation) if the standards are not met.

Citizen report card is an assessment of public services by the users (citizens) through client feedback surveys. It goes beyond data collection to being an instrument for exacting public accountability through extensive media coverage and civil society advocacy that accompanies the process.

Citizen satisfaction surveys provide a quantitative assessment of government performance and service delivery based on citizens' experience. Depending on the objective, the surveys can collect data on a variety of topics ranging from perceptions of performance of service delivery and elected officials to desires for new capital projects and services

Citizen/User membership in decision-making bodies is a way to ensure accountability by allowing people who can reflect users' interests to sit on committees that make decisions about project activities under implementation (project-level arrangement) or utility boards (sector-level arrangement).

Citizens' juries are a group of selected members of a community that make recommendations or action participatory instrument to supplement conventional democratic processes.

Community contracting is when community groups are contracted for the provision of services, or when community groups contract service providers or the construction of infrastructure.

Community management is when services are fully managed or owned by service users or communities. Consumers own the service directly (each customer owns a share) when they form cooperatives.

Community monitoring is a system of measuring, recording, collecting, and analysing information; and communicating and acting on that information to improve performance. It holds government institutions accountable, provides ongoing feedback, shares control over M&E, engages in identifying and/or taking corrective actions, and seeks to facilitate dialogue between citizens and project authorities.

Community oversight is the monitoring of publicly funded construction projects by citizens, community-based and/or civil society organizations, participating directly or indirectly in exacting accountability. It applies across all stages of the project cycle although the focus is on the construction phase.

Community scorecard is a community-based monitoring tool that assesses services, projects, and government performance by analysing qualitative data obtained through focus group discussions with the community. It usually includes interface meetings between service providers and users to formulate an action plan to address any identified problems and shortcomings.

Consultation, as distinct from dialogue, is a more structured exchange in which the convener commits to "active listening" and to carefully consider the comments, ideas, and recommendations received. Good practice consultations provide feedback on what was heard, and what was or was not incorporated and why to ensure that consultations contribute to improved policies and programs.

Focus group discussions are usually organized with specific goals, structures, time frames, and procedures. Focus groups are composed of a small number of stakeholders to discuss project impacts and concerns and consult in an informal setting. They are designed to gauge the response to the project's proposed actions and to gain a detailed understanding of stakeholders' perspectives, values, and concerns

Grievance redress mechanism (or complaints-handling mechanism) is a system by which queries or clarifications about the project are responded to, problems with implementation are resolved, and complaints and grievances are addressed efficiently and effectively.

Independent budget analysis is a process where civil society stakeholders research, explain, monitor, and disseminate information about public expenditures and investments to influence the allocation of public funds through the budget.

Input tracking refers to monitoring the flow of physical assets and service inputs from central to local levels. It is also called input monitoring.

Integrity pacts are a transparency tool that allows participants and public officials to agree on rules to be applied to a specific procurement. It includes an "honesty pledge" by which involved parties promise not to offer or demand bribes. Bidders agree not to collude in order to obtain the contract; and if they do obtain the contract, they must avoid abusive practices while executing it.

Participatory budgeting is a process through which citizens participate directly in budget formulation, decision-making, and monitoring of budget execution. It creates a channel for citizens to give voice to their budget priorities.

Participatory physical audit refers to community members taking part in the physical inspection of project sites, especially when there are not enough professional auditors to inspect all facilities. Citizens measure the quantity and quality of construction materials, infrastructure, and facilities.

Participatory planning convenes a broad base of key stakeholders, on an iterative basis, in

order to generate a diagnosis of the existing situation and develop appropriate strategies to solve jointly identified problems. Project components, objectives, and strategies are designed in collaboration with stakeholders.

Procurement monitoring refers to independent, third-party monitoring of procurement activities by citizens, communities, or civil society organizations to ensure there are no leakages or violation of procurement rules.

Public displays of information refers to the posting of government information, usually about projects or services, in public areas such as on billboards or in government offices, schools, health centers, community centers, project sites, and other places where communities receive services or discuss government affairs.

Public Expenditure Tracking Surveys (PETS) involves citizen groups tracing the flow of public resources for the provision of public goods or services from origin to destination. It can help to detect bottlenecks, inefficiencies, or corruption.

Public hearings are formal community-level meetings where local officials and citizens have the opportunity to exchange information and opinions on community affairs. Public hearings are often one element in a social audit initiative.

Public reporting of expenditures refers to the public disclosure and dissemination of information about government expenditures to enable citizens to hold government accountable for their expenditures.

Social Audit (also called social accounting) is a monitoring process through which organizational or project information is collected, analysed, and shared publicly in a participatory fashion. Community members conduct investigative work at the end of which findings are shared and discussed publicly.

User management committees refer to consumer groups taking on long-term management roles to initiate, implement, operate, and maintain services. User management committees are for increasing participation as much as they are for accountability and financial controls.

(Source: World Bank Report on Citizen Engagement, 2015)

	<p>and credibility of sanctions).</p> <ul style="list-style-type: none"> - Transitions or “windows of opportunity” (e.g., new legislation or policy commitments). - Existence of functional and free media institutions.
<p>Economic, social, and cultural factors</p>	<ul style="list-style-type: none"> - History of existing state-society relations. - Relationships and nature of interaction between the state (including executive and oversight institutions) and citizens. - Character of formal/informal state-society accountability and bridging mechanisms. - Power relations and nature of socioeconomic inequality and exclusion. - Cultural practices used to frame citizenship that may shape the worldview, interests and incentives of different groups based on ethnicity, income level, class, gender, religion and geography - Values, norms, or social institutions that legitimize or undermine state-citizen interaction (these may differ across factors such as ethnicity, income level, class, gender, religion, and geography). - Types of alliances/solidarity that may be relevant for collective action (e.g., ethnicity, income level, class, gender, religion, geography). - Macro social and economic variables (e.g., economic development, population dynamics). - Existence of supportive global actors and processes.
<p>Other factors</p>	<ul style="list-style-type: none"> - Geographic factors that may affect accessibility to information or ease of congregation, such as degree of urbanization. - Duration of specific citizen-state interaction that may affect institutionalization. - Sector characteristics (e.g., nature of public goods such as education vis-à-vis road infrastructure). - Organic evolution of citizen-state engagement vis-à-vis external, induced, or discrete interventions. - Broad-based cross-sector alliances across different levels and forms of government. - Political “windows of opportunity.”

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