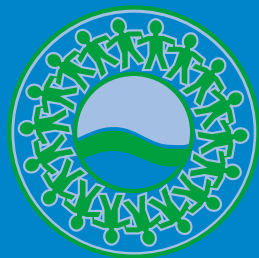


Generic Public Participation Guidelines

September 2001



DEPARTMENT: WATER AFFAIRS AND FORESTRY
REPUBLIC OF SOUTH AFRICA

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DEPARTMENT OF WATER AFFAIRS AND FORESTRY
REPUBLIC OF SOUTH AFRICA

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Foreword

The Constitution of South Africa sets out the Government's responsibility to provide the public with the opportunity to be involved in Government decisions that affect their lives. This responsibility is mirrored in the policy and legislation of the Department of Water Affairs and Forestry.

Enormous challenges face us in interacting with the citizens of South Africa. Not least of these is communicating with a range of stakeholders from the wealthy and empowered to the very poor and marginalised. South Africa is a country of great diversity and many languages. These too, add to the challenges of public participation. Our challenge is to be able to reach all South Africans, especially the poor, the marginalised, and the vulnerable, who are most dependent on the actions of Government to protect them and to improve their quality of life.

In an effort to internalise and strengthen the practice of public participation in all its activities, the Department identified the need to develop guidelines for public participation. These guidelines, although not prescriptive, aim to support Departmental officials in understanding public participation as an aid to decision-making and in applying public participation within the scope of Departmental activities.

The guidelines are generic in that they aim to offer support to officials from all divisions, both at Head Office and the nine Regional Offices. They will be just as useful to the Catchment Management Agencies now in the making. They offer background theory, principles and a generic step-wise process that Departmental officials can adapt to suit unique circumstances.

I am confident that these guidelines will substantially contribute to the Department's continued dedication to fulfilling its social responsibility towards all South African citizens and to implementing truly participative democracy.



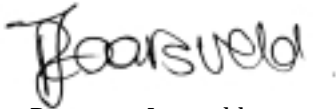
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Approval

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Glossary of Terms

Public Participation

Public participation refers to the ongoing interaction between role-players that is aimed at improving decision-making during the planning, design, implementation and evaluation of DWAF's development projects and processes. It requires the involvement of all stakeholders, including groups that are often marginalised such as women and the youth. Decision-makers have to consider the views of stakeholders during the decision-making process. The term may be used interchangeably with "public, stakeholder or community involvement".

Stakeholders or Interested and Affected Parties

The terms "stakeholders" and "interested and affected parties" (I&APs) refer to individuals, groups and organisations that have an interest in and are affected by an initiative, and who may affect the outcome of an initiative. The outcome of an initiative may affect stakeholders directly or indirectly. Directly affected stakeholders are the primary stakeholders who stand to benefit or lose from an intervention. Indirectly affected stakeholders are only incidentally interested or affected due to their expertise or interest or link to those who are directly affected (World Bank; DWAF 29 September 1999:33). The National Environmental Management Act (Act No. 107 of 1998) states that the participation of all interested and affected parties in environmental governance must be promoted. People must also have the opportunity to develop the understanding, skills and capacity necessary for achieving equitable and effective participation.

Role-players

The term "role-players" refers to all parties involved in a public participation process. Role-players involved in public participation include the public, government department(s), public participation facilitators, technical specialists and the project proponent.

The public

The term "public" does not refer to a homogenous group of people. The public is "...a constantly shifting multiplicity of affiliations and alliances that group and regroup according to the issues and their understanding of the issues, perceptions of risk and the natural evolution of informal structures. There is no single 'public'. There are a number of publics, some of whom may emerge at any time during the process depending on their particular concerns and the issues involved" (Roberts 1995: 227).

Sustainable development

Sustainable development refers to "...development that meets the needs of the present without compromising the ability of future generations to meet their own needs..." (WCED 1987:43). Sustainable development links the social, economic, bio-physical and political aspects of any initiative (DWAF March 1999: Part 2.1 p1).

Decision-making process

The term "decision-making process" refers to the sequence of actions and procedures that result in decisions at various moments during a DWAF initiative.

Initiative

The term "initiative" refers to any project or process. DWAF processes include its policies, plans, programmes and strategies.

Co-operative governance

Co-operative governance refers to the collaboration between government, the private and public sectors and civil society in governing the country and addressing the needs of the nation. It also refers to the collaboration between all spheres of government and organs of state to provide effective, transparent, accountable and coherent government for the Republic as a whole (RSA 1996:21).

Acronyms

CBO	Community Based Organisation
CMA	Catchment Management Agency
CSI	Common Sense Initiative
CSIR	Council for Scientific and Industrial Research
DANCED	Danish Co-operation for Environment and Development
DFID	Department for International Development
DWAF	Department of Water Affairs and Forestry
EPA	Environmental Protection Agency
FOA	Forestry Owners Association
I&APs	Interested and Affected Parties
IAP2	International Association for Public Participation
ISD	Institutional and Social Development
LAAC	License Assessment Advisory Committees
MANCO	Management Committee
M&E	Monitoring and Evaluation
NEMA	National Environmental Management Act
NGO	Non-Governmental Organisation
OAS	Organisation of American States
ORRS	Orange River Replanning Study
PHAST	Participatory Hygiene and Sanitation Transformation
PM&E	Participatory Monitoring and Evaluation
PRA/PLA	Participatory Rural Appraisal/Participatory Learning and Action
PSC	Project Steering Committee
RDC	Reconstruction and Development Committee
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa
SARAR	Self-esteem, Associative strength, Resourcefulness, Action planning, Responsibility
WRC	Water Research Commission
WUA	Water User Association
WMA	Water Management Area
ZOPP	Objective-Oriented Project Planning

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Executive Summary

These guidelines provide a generic approach to public participation aimed firstly at providing a critique and understanding of the value of public participation in the decision-making process. It also aims to assist the Department of Water Affairs and Forestry (DWAF) in the implementation of public participation in its activities. These guidelines are not intended to dictate or prescribe the public participation process, but to provide ideas on how to undertake public participation.

The objectives of public participation are to improve decision-making, to bring about sustainable development, and to normalise the attitudes of stakeholders. These three objectives culminate in the improvement of people's quality of life.

The motivation for public participation lies in its benefits. These benefits are, among others, facilitated co-operation between previously segregated sectors, improved decision-making, sustainable development, and positive growth and attitudes among stakeholders. Government policy and legislation entrench the need for public participation and demand that it be correctly implemented.

Sixteen principles have been identified as underpinning public participation. These principles offer guidance to those involved in implementation.

Although there is no comprehensive recipe, there is a generic process that broadly covers the phases of public participation. There are three phases: the planning phase, the participation phase, and the exit phase. The planning phase has three steps: decision analysis, participation planning, and implementation planning. The participation phase has four steps: informing stakeholders, meeting with stakeholders, feedback to and from stakeholders, and monitoring and evaluation. The exit phase has two steps: ensuring that all goals have been reached, and officially bringing the public participation process to a clear and definite end.

There are a wide variety of methods and tools available for public participation. All have advantages and disadvantages. The most suitable methods can only be determined once the objective of the initiative and the goal of the public participation process have been established.

Public participation, if successfully conducted, will contribute to the success of DWAF initiatives and with this the accomplishment of sustainable development. Public participation will further assist in rectifying the inequities of the past by offering stakeholders the opportunity to be involved in decisions that affect their lives.

Introduction



The policies and legislation for which the Department of Water Affairs and Forestry (DWA) is responsible indicate its commitment to public participation. However, the legislation prescribes neither the how nor the extent of public participation (see Chapter 4). The Department therefore decided to develop generic public participation guidelines. These guidelines are not policy. They are aimed at assisting DWA officials in the use of public participation in decision-making. The guidelines are in support of, and do not replace, any existing DWA processes. This document does not address all issues with regard to public participation. Chapter 8 makes recommendations regarding issues needing more attention.

These guidelines are not intended to dictate or prescribe the public participation process, but to provide ideas on how to undertake public participation. Public participation is always determined by the unique circumstances of the initiative.

The motivation for public participation arises from the demonstrated short and long-term benefits, and from the requirements of policy and law.

Public participation must not be confused with decision-making. The Minister or his delegated nominees, or assignees (including Catchment Management Agencies when particular powers or duties are assigned to them) are responsible and accountable for all decisions made by the Department. When decision-making authority is assigned, accountability for decisions lies with the assignee. Both delegates and assignees may be subject to conditions set down by the Minister. These decision-makers require information in order to make legal and appropriate decisions.

In terms of the Promotion of Administrative Justice, Act No. 3 of 2000, a person whose rights have been affected by a decision is entitled to request reasons for that decision. Non-disclosure can result in a judicial review of an administrative action. It is the function of the Department's officials to provide decision-makers with accurate and appropriate information on which to base decisions. The Department therefore undertakes public participation processes in order to create awareness and gather the public's views and opinions on issues affecting them. These inputs are then incorporated with other information provided to decision-makers.

Public participation does not mean that the public makes decisions together with the decision-makers. Rather, it means that the public's views and opinions are available to decision-makers and are considered in the decision-making process.

Background



Both DWAF's legislation and policies and other government initiatives have strong requirements for public participation.

2.1 Department: Water Affairs and Forestry

DWAF develops and implements projects and processes that often involve public participation.

These guidelines do not differentiate between the way public participation is undertaken in DWAF projects as opposed to DWAF processes. These guidelines outline a generic public participation process that may be selectively utilised and adapted to suit any DWAF initiative.

The Department is responsible for four Acts (for more information on these Acts, see Chapter 4):

- the National Water Act (No. 36 of 1998)
- the Water Services Act (No. 108 of 1997)
- the National Forests Act (No. 84 of 1998)
- the National Veld and Forest Fire Act (No. 101 of 1998)

DWAF's key objectives are based on the mandates defined by these Acts as well as on the nationally applicable policies and laws relating to the Public Service as a whole. The Department has four functional areas of work, namely Corporate Services, Water Resource Management, Water Services, and Forestry (DWAF March 2000:2). DWAF also liaises with other government departments at National, Provincial and Local level to ensure that its programmes and activities are co-ordinated and, where necessary, integrated with other relevant government programmes. Examples of such departments are (DWAF March 2000:5):

- The Departments of Provincial and Local Government; Health; Environmental Affairs and Tourism; and Education that comprise the National Sanitation Task Team.
- The Departments of Environmental Affairs and Tourism; Trade and Industry; Agriculture; Minerals and Energy and Land Affairs in respect of development issues.
- The Department of Environmental Affairs and Tourism in respect of environmental and waste management issues.
- The Departments of Public Enterprises and Land Affairs in respect of the restructuring of commercial forestry.

- The Departments of Labour, Welfare, and Public Works in respect of activities related to poverty reduction and job creation.
- The Departments of Public Services, Administration, Finance, and State Expenditure on corporate issues.

2.2 Co-operative governance

The idea of co-operative governance took on a practical focus in South Africa in October 2000 when Cabinet adopted the Imbizo campaign. Imbizo is a style of governance aimed at building an active partnership between government and the public in the implementation of government initiatives. The purpose of the Imbizo Guidelines is to ensure that when departments engage in various activities, they do so with a common identity and purpose. These guidelines are available from the Department of Government Communication and Information Services.

The public participation guidelines may also play a role in assisting the Department to facilitate an integrated approach to governance together with other government departments. Parliament recently approved five government clusters or groups of government departments namely, Social Services; Internal Relations; Economic; Governance and Administration; and Justice, Crime and Safety and Security. The role of the clusters is to ensure that one integrated message is put out to the public.

DWAF falls within the Social Services cluster - together with the Departments of Sport and Recreation; Transport; Land Affairs; Labour; Housing; Home Affairs; Education; Correctional Services; and Arts, Culture, Science and Technology.

The Theory of Public Participation



This chapter aims to clarify the meaning and objectives of public participation. This will enable DWAF officials to assess whether their interactions with the public conform to current definitions and understanding of participation.

3.1 Defining public participation

The term "public participation" describes a variety of relationships between the implementing agency and its stakeholders. The nature of a planned public participation process will depend on what is planned and the goal of the initiative. In some instances, the public only needs to be informed about certain initiatives or aspects of it. Other initiatives require public opinions and views in order to improve decisions and the sustainability of the initiative.

The International Association for Public Participation (IAP2) differentiates between five levels of public participation (<http://www.iap2.org/spectrum.html>):

- **Inform** - The objective is to provide the public with balanced and objective information to enable people to understand the problem, alternatives and/or solution.
- **Consult** - The objective is to obtain public feedback on analysis, alternatives and/or decisions. It involves acknowledging concerns and providing feedback on how public input has influenced the decision.
- **Involve** - The objective is to work directly with the public throughout the process to ensure that public issues and concerns are understood and considered at every stage.
- **Collaborate** - The objective is to work as a partner with the public on each aspect of the decision, including the development of alternatives and the identification of the preferred solution.
- **Empower¹** - The objective is to place final decision-making in the hands of the public.

The World Bank identifies three types of involvement (DANCED 1998:7):

- **Passive participation** - This level involves only the dissemination of information to stakeholders, such as disseminating information during an awareness campaign.
- **Consultative participation** - Stakeholders are consulted before the organisation makes a decision but they do not share decision-making responsibility. An example would be considering stakeholder issues expressed during a workshop.

¹ In this context "empower" refers to a level of participation and not to the concept of "empowerment" as defined under principle 5.12 Capacity and Empowerment in these guidelines.

- **Interactive participation** - Stakeholders are involved in collaborative analysis and decision-making. Learning methodologies are used to seek multiple perspectives. A typical example might be that of a negotiated water licence.

Different levels or intensities of public participation may best be described as points along a continuum, with the level of stakeholder influence on decision-making increasing towards the right end of the scale (Creighton 1998:5):



3.2 The objectives of public participation

Three fundamental and theoretical objectives of public participation are:

- To improve decision-making
- To bring about sustainable development
- To normalise the attitudes of stakeholders

These objectives aim to improve the quality of peoples' lives.

Public participation leads to improved decision-making by making the process adopted by an initiative transparent, inclusive and fair. This creates trust and a shared vision among stakeholders who are then more willing to contribute their ideas, needs, suggestions or information. This adds to the technical and scientific content of the information that informs decisions about the initiative. Enhanced content improves decision-making. The goal of public participation is not consensus per se. It is usually the diversity of opinion that enriches an initiative. Nevertheless, public participation often brings about convergence of viewpoints because it creates the opportunity for people to share viewpoints and jointly deliberate the issues at hand (Greyling & Manyaka 1999:9).

Public participation also contributes to sustainable development because it enables decision-makers to incorporate the views, opinions and perspectives of those affected. External experts cannot determine how people feel or what they desire (Roberts 1995:224). Sustainable development requires the integration of social, economic and bio-physical factors in decisions and their implementation, to ensure that development serves present and future generations (RSA 1998). People affected by an initiative are more likely to stay committed to it if they become involved and have developed skills and confidence (DFID 1995 Part 1. 2.1). Public participation results in stakeholders who have a better understanding of the three dimensions of sustainability, namely, economic growth, social equity and ecological integrity. Public participation also provides decision-makers with an understanding of stakeholders' views and concerns about trade-offs between the three dimensions of sustainability for a particular project or initiative (Greyling 2001:pers. com.).

Public participation supports and enables normalised attitudes and behaviour in stakeholders. Certain behavioural patterns have grown out of the dynamics of exclusion and marginalisation in South Africa's history. Public participation can contribute to

normalising human behaviour to achieve positive human growth by changing the attitudes and beliefs adopted by people living in a hostile environment (Karar 2001:pers. com.; Khumbane 2001:pers. com.). The current political and socio-economic situation in South Africa benefits from public participation as a means of facilitating co-operation between previously segregated sectors.

Public participation gives all those interested in or affected by a decision the opportunity to voice their opinion with the promise that it will be considered in decision-making. This is one of the International Association for Public Participation's "Core Values" (www.iap2.org).

Realities and Motivation for Public Participation



Public participation is a process that carries both costs and risks. The success of public participation depends on understanding its realities (Roberts 1995:223; Greyling 2001:pers. com.). The motivation for public participation derives from both its benefits and the legal requirements for implementation.

4.1 Realities of public participation

Some of the realities of public participation are (Roberts 1995:223; Greyling 2001:pers. com.):

- Public participation is a costly and time-consuming process. It may necessitate the commitment of a wide range of an organisation's staff members over a long period of time.
- Due to the unpredictability of human behaviour, problems may develop at any time, despite good planning and intentions.
- Stakeholders may raise old, unresolved issues that are external to the current initiative.
- Stakeholders may use public participation as a platform to further their own agendas.
- It is likely that issues of a different focus will be raised and this brings the risk of conflict. The way in which this conflict is managed will determine its effect on the further participation process. The energy created by the conflict may be turned into positive energy that is aimed at resolving issues both related to, and beyond, the focus of the initiative.
- The outcome of a public participation process cannot be predetermined because people are unpredictable. The process must be flexible in order to adapt to unforeseen circumstances. It is not always possible to satisfy everyone, which can result in some people not approving of the initiative.
- Public participation can lead to the realisation that the initiative is not feasible.

4.2 Benefits of public participation

Improved decision-making, sustainable development and normalised attitudes of stakeholders (described in chapter 3) are all long-term benefits of public participation. Effective public participation also results in short-term benefits that may add to the success of an initiative.

Examples of these short-term benefits are (Creighton 1998; Greyling 1999; Roberts 1995:225):

- Allaying undue fears and countering undue expectations.
- Stakeholders contribute to decisions and, as a result, are less likely to lose interest in participating. This can establish a sense of ownership that helps stakeholders create positive impacts on initiatives.
- Public participation can generate commitment in stakeholders.
- Public participation lends credibility to an organisation that is open to stakeholders' suggestions and opinions.
- The effort it takes to involve the public almost invariably produces something of tangible value to the decision-makers. It can help avoid conflicts with the public arising from inaccurate information. The cost of a badly informed decision could far outweigh the cost of involving the public.
- Public participation that forms an integral part of all phases of decision-making helps to identify and resolve the public's concerns before they turn into major problems. Such processes thus help prevent opposition to initiatives or even their cancellation.

4.3 Legal requirements

Certain legislation and policy oblige government, including DWAF, to engage in public participation processes. Examples of such legislation and policy are²:

4.3.1 Constitution of the Republic of South Africa (Act No. 108 of 1996)

The Constitution defines the role of the public in the activities of all three spheres of government, namely national, provincial and local government (Sections 59, 72, 118; 152 and 154). Chapter 10 of the Constitution (Section 195) states that the basic values and principles governing public administration include encouraging public participation in policy-making and responding to public need.

Chapter 3 (Section 40) requires all spheres of government to adhere to the principles (Section 41) of co-operative governance by informing one another of, and consulting one another on, matters of common interest and providing effective, transparent, accountable and coherent governance for the Republic as a whole.

4.3.2 The National Water Act (Act No. 36 of 1998) and the White Paper on Water Policy (30 April 1997)

The National Water Act obliges DWAF to ensure that South Africa's water resources are protected, used, developed, conserved, managed and controlled in a sustainable and equitable manner for the benefit of all persons. The National Government, acting through the Minister of Water Affairs and Forestry, has the power to regulate the use, flow and control of all water in the Republic (DWAF March 2000:2).

² The list contains only some of the legislation that impacts on DWAF's public participation obligations.

Section 2 of the National Water Act states the purposes of the law, which are to redress the results of past racial and gender discrimination, promote sustainable use of water in the public interest and facilitate social and economic development.

Section 2 further states that the establishment of institutions with appropriate community, racial and gender representation is necessary to achieve the purpose. Public participation is an important way to achieve such representation.

Examples of sections requiring public participation are Sections 5, 8, 13, 16, 35, 38, 41, 56, 67, 69, 78, 88, 92 and 96. The sections require that a notice be published in the Gazette, inviting written comments on the relevant issue. Further, steps necessary to bring the contents of the notice to the attention of interested parties must be considered and all comment must be taken into consideration before a final decision is made. The Act requires consultation, for example, in Section 10 with the establishment of a Catchment Management Strategy and Section 138 with the establishment of mechanisms to co-ordinate the monitoring of water resources.

Section 1.3 of the White Paper on Water Policy describes the public participation processes that helped produce the principles which underpin the new water law. Section 8.1 required the implementation of public participation processes with communities, water users, academic institutions, scientific councils and Government for the purpose of the development of the new National Water Act and regulations for the implementation of the policy.

4.3.3 The Water Services Act (Act No. 108 of 1997) and the White Paper on Water Supply and Sanitation (November 1994)

The Water Services Act requires DWAF to create a developmental regulatory framework within which water services can be provided. The Act gives substance to the constitutional requirements and provisions that stipulate that Local Government has the responsibility for providing water and sanitation services, and that National Government has the responsibility to support and strengthen the capacity of municipalities (DWAF March 2000:2).

Section 72 of this Act states that anything required to be done by the Minister, in terms of this Act, after consultation with another person or body, requires the Minister to request written comment from that person or body and to consider any comments received.

The White Paper on Water Supply and Sanitation states that the involvement and empowerment of people is paramount in the provision of water and sanitation services in poor communities. The policy also states that community involvement in the planning, design, financing, construction and maintenance of improved water supplies is necessary for sustainable progress.

4.3.4 The National Forests Act (Act No. 84 of 1998)

The National Forests Act requires DWAF to ensure that South Africa's forest resources are protected, used, developed, conserved, managed and controlled in a sustainable and

equitable manner for the benefit of all. The administration of indigenous forests lies with both the National and Provincial Governments (DWAF March 2000:2).

Section 1(f) of the Act states that one of its purposes is to promote greater participation in all aspects of forestry and the forest products industry by people disadvantaged by unfair discrimination.

Section 54 requires that before any regulations are made, the Minister must publish a notice in the Gazette and invite written comments on the proposed regulations. All comments received must be considered.

4.3.5 National Veld and Forest Fire Act (Act No. 101 of 1998)

The National Veld and Forest Fire Act mandates the Department to prevent and combat veld, forest and mountain fires throughout the country. Fire fighting is a Local Government function with Provincial and National Governments playing a facilitating role (DWAF March 2000:2).

Section 21 requires that before any regulations are made in terms of this Act the Minister must publish a notice in the Gazette and invite written comment. All comments received must be considered.

Section 4 of the Act requires the official or authority to proceed fairly in respect of all people entitled to be heard.

4.3.6 The National Environmental Management Act (NEMA) (Act No. 107 of 1998) and the Environment Conservation Act (Act No. 73 of 1989)

Section 2 of NEMA lists the principles that apply to the actions of all organs of State that may significantly affect the environment. Section 2(4)(f) states one of these principles as the promotion of the participation of all interested and affected parties in environmental governance. All people must have the opportunity to develop the understanding, skills and capacity necessary for achieving equitable and effective participation, and participation by vulnerable and disadvantaged persons must be ensured. Chapter 5 of NEMA addresses Integrated Environmental Management (IEM). IEM is a combination of processes and procedures that maintain environmental sustainability. Section 23(d) states that the objectives of IEM include ensuring adequate and appropriate opportunity for public participation in decisions that may affect the environment. These guidelines are developed with an understanding of the requirements of IEM.

Section 21(2) of the Environment Conservation Act (No. 73 of 1989) lists categories of activity that may have a detrimental affect on the environment.

4.3.7 Batho Pele - White Paper on Transforming Service Delivery (September 1997)

One of the principles of Batho Pele is consultation, and the White Paper states that all government departments must consult the public about current services and the provision of new services. Consultation gives citizens the opportunity to influence decisions by providing objective evidence to determine service delivery priorities. It also fosters a more participatory and co-operative relationship between providers and users of public services. Consultation should cover the entire range of existing and potential users and should include the views of those previously excluded. The outcome should be a balance between what citizens want and what national and provincial departments can afford to deliver given available resources and capacity.

4.3.8 Promotion of Access to Information Act (Act No. 2 of 2000)

The Promotion of Access to Information Act recognises that everyone has the Constitutional right of access to any information held by the State and by another person when that information is required to exercise or protect any rights. The purpose of the Act is to foster a culture of transparency and accountability in public and private bodies and to promote a society in which people have access to information that enables them to exercise and protect their rights.

The key objective of the Act, as stated in Section 9(e), is to promote effective governance in all public and private bodies by empowering and educating people to understand their legal rights. Objectives also include empowering and educating people to scrutinise and participate in decisions made by public bodies, especially when such decisions affect their rights.

Principles of Public Participation



Sixteen principles underpin public participation. These are equally weighted and the order in which they are given in the table below does not imply any degree of prioritisation.

- Inclusive involvement of stakeholders
- Integration
- Mutual respect among roleplayers
- Continuity in participation
- Consideration of multiple options
- Flexibility
- Transparency
- Rights and roles
- Accountability and Commitment
- Accessibility of information
- Awareness creation
- Capacity building and Empowerment
- Efficiency
- Suitability of scale of involvement
- Feedback
- Monitoring and Evaluation

5.1 Inclusive involvement of stakeholders

The principle of inclusive involvement of stakeholders requires that all relevant stakeholders have the opportunity to be involved in the initiative.

Although it is not practically possible to include every individual in a geographical area, a public participation process may give all members of the wider public a chance to participate but should certainly include representatives of all relevant sectors, perspectives and interests. The process should afford a broad range of stakeholders (including the less empowered groups) the opportunity to be heard and to become involved (IAP2; DWAF 1999:5).

Representation of all stakeholders in terms of race, gender, age, cultural group and demographic representation is essential to successful public participation and to achieve durable solutions, but no group must dominate the outcome of the process (Milkwood Communications & Damah/Noshipo 1999-2000:3).

The principle of inclusivity supports and is linked to the principle of integration.

5.2 Integration

The principle of integration emphasises the inclusion of both public issues and technical assessments in public participation processes that contribute to decision-making.

Integration involves the following: bringing together public issues and technical assessments, consideration of local and traditional knowledge, co-ordination of DWAF's activities in a single geographical area and co-ordination with other government initiatives where appropriate.

Considered decisions should be based on an integration of public issues and technical assessments, which requires that the views of all stakeholders are fairly heard and considered (Greyling 1999.) Such integration also requires that technical specialists and decision-makers consider local and traditional knowledge (DWAF 1999:6; RSA 1998).

DWAF initiatives in a single geographical area involving the same stakeholders at one time should be co-ordinated in order to prevent duplication, confusion and fatigue among stakeholders. This should also have the benefit of ensuring that different DWAF directorates are consistent in their approach.

Initiatives involving various government departments in a single area at any one time should be integrated through co-operative agreements, if appropriate.

5.3 Mutual respect between roleplayers

The principle of mutual respect stresses that role-players should acknowledge and respect each other's knowledge, abilities and inputs.

The participatory process will only work if people's knowledge and ideas are respected and their individual and collective inputs acknowledged. This requires a commitment to enabling people to express their views (Simpson-Herbert, Sawyer & Clarke 1997:1-6). Cultural diversity and language preference should be respected (DWAF 1999:5).

5.4 Continuity in participation

The principle of continuity refers to the participation of role-players throughout the initiative.

Inclusive and continuous participation throughout the process of design, implementation and evaluation of projects and processes inspires new ideas and expertise, legitimises decisions and enriches outcomes (OAS 1999:7).

Stakeholders should be involved from the earliest stages in the planning of an initiative until its end and should never be confronted with an accomplished fact. They should be comfortable with the participation process, which should have many opportunities for

comment, to exchange information, and share and evaluate views (Greyling & Manyaka 1999; Scott 1999:10,11; IAP2; DWAF 1999:8).

Participation should take place in successive rounds, building up both the information base and the understanding of issues (DWAF 1999).

5.5 Consideration of multiple options

The principle of multiple options supports stakeholders to consider various alternatives within an initiative.

Particular initiatives may generate many options, all of which should be considered, including the option of no development (Scott 1999). Alternatives to the option(s) provided by DWAF may well be identified through suggestions produced by local knowledge, which decision-makers should weigh equally with DWAF's own options.

Independent facilitation makes it easier to raise issues and multiple options when there is conflict between government and the public (DWAF 1999:5).

5.6 Flexibility

The principle of flexibility refers to the need for public participation processes to adapt to different circumstances.

Local social dynamics and diversity should be understood and respected. The public participation process must be flexible and able to adapt to this diversity.

The participation process should be adapted on the basis of:

- the success rate of previous processes
- the degree to which stakeholders trust the decision-makers
- the level of empowerment of different sectors
- the degree to which sectors are organised and represented (Greyling 1999; DWAF 1999:10; Milkwood Communications & Damah/Noshipo 1999-2000:3).

The process should be sufficiently flexible to include inputs at all stages and should always be able to adjust to new information and changed circumstances.

5.7 Transparency

The principle of transparency refers to the honest, open and equitable nature of public participation.

Productive relationships between civil society and government require that role-players should be transparent, efficient and equitable. This implies that the public participation process is an honest one and that participants will act with integrity (AOS 1999; IAP2).

The objectives and scope of each participation process should be made clear at the start. How and when the public will be given the opportunity to participate should also be clear (Ministry of Environment). There should be transparency and honesty about the impacts on, and the benefits for, stakeholders. Reasons for decisions should always be given (DWAF 1999:5; Scott 1999).

Transparency throughout the process supports both the principles of accountability and rights and roles.

5.8 Accountability and Commitment

The principle of accountability and commitment stresses that role-players should be encouraged to take responsibility for the process of public participation.

There should be shared responsibility between role-players in terms of commitments, burdens and benefits of public participation as well as a shared accountability for the successes and failures of the process (OAS 1999:8).

DWAF should commit itself visibly and publicly to each participation process (DWAF 1999:5). DWAF officials involved in public participation should be well informed and able to answer questions clearly and efficiently. The process design should enable marginalised and disadvantaged groups to commit their time and resources to the process.

Participants representing sectors should be the same individuals throughout an initiative. Stakeholders should take responsibility for familiarising themselves with documentation for discussion, submitting comments and contributions by target dates, participating in meetings and understanding that it is the collective input of various sectors that adds value to decision-making (Greyling & Manyaka 1999: 17).

5.9 Rights and roles

The principle of rights and roles strengthens role-players' understanding of their own and other role-players' contribution to the success of public participation.

Both government and civil society should take a pro-active role in creating an environment in which public participation contributes to the right of all individuals to be part of the decisions that influence their quality of life.

Role-players in a public participation process should understand their rights and roles so that respective responsibilities are clear. Stakeholders have the right to participate but must recognise that rights come with roles and responsibilities. Stakeholders should receive information early on to assist them to understand their roles and rights in the public participation process as well as the rights and role of government (IAP2; DWAF 1999:5).

Stakeholders' roles entail co-operation with government in shaping the future of their environment. When stakeholders take on this role, it assists government officials to fulfil their obligations in a sustainable manner (Karar 2001:pers. com.).

5.10 Accessibility of information

The principle of accessibility of information enables effective participation by supporting stakeholders to be well-informed and knowledgeable.

Stakeholders should have timely access to information to participate effectively. The information should be accessible in terms of language and terminology in order to build the capacity, understanding and knowledge of stakeholders. This will support stakeholders to make meaningful contributions (Greyling & Manyaka 1999).

Material should be easily obtainable, copies should be available in appropriate languages and stakeholders should be supported in distributing it to their constituencies. Information on which decisions are based should be detailed, accurate, easy to understand and cover all relevant aspects of the issues (OAS 1999:8; IAP2; DWAF 1999:7; Scott 1999).

Participation should be in accordance with the ability and interest level of stakeholders (IAP2). It is thus necessary to be familiar with the stakeholders' level of knowledge before the process starts.

Accessibility of information is linked to and supports the principle of awareness creation.

5.11 Awareness creation

The principle of awareness creation refers to the need to make stakeholders aware of issues affecting them and how they might influence the outcomes of the process.

Officials should clearly and truthfully articulate all relevant policy, plan and programme issues at the beginning of a process in order to make people aware of how they are affected (DWAF 1999:3).

The opportunity to participate should be announced in ways that are appropriate for that sector. This should be undertaken over a period of time to ensure that the broadest spectrum of stakeholders is aware of opportunities to participate (Greyling & Manyaka 1999).

Awareness creation is a way of empowering people and is therefore linked to the principle of capacity building and empowerment.

5.12 Capacity building and Empowerment

The principle of capacity building and empowerment requires that all stakeholders be granted both the opportunity and support to participate meaningfully.

Capacity building is the ongoing process of increasing the ability of individuals, groups and organisations to control and manage all the important areas of their lives or operations (DWAF March 1999: Part 2.8 p1). Public participation empowers stakeholders because it offers them the opportunity to develop the knowledge, skills and resources necessary to control their own lives and operations (RSA 1998).

Informed and empowered stakeholders contribute effectively and on an equal basis. Special efforts to build the capacity of previously disadvantaged communities and marginalised groups to collect and disseminate information and undertake internal consultation should be one of the first steps of the participation process (Greyling & Manyaka 1999). The involvement of previously disadvantaged individuals is important because they possess relevant experience and knowledge, both indigenous and modern, and understand their own situation best. This enables the initiative to result in higher levels of effectiveness and sustainability than could be expected from externally exposed solutions (Simpson-Herbert, Sawyer & Clarke 1997:1-6).

DWAF officials could also benefit from capacity building in order to improve both their participation skills and knowledge before undertaking public participation processes.

5.13 Efficiency

The principle of efficiency refers to a public participation plan that maintains the momentum of a clear and definite process.

The time and cost of the process should be efficient without compromising the quality of the outcome. For example, enough time should be allowed for the stakeholders to comment and give their feedback on the process (DWAF 1999:8). Efficiency of process in terms of time and cost is important to maintain the momentum of the process. This has the added benefit of building confidence among stakeholders.

Efficiency is maintained by keeping to a plan for the entire process. Each new phase of the plan, what happens next, who does what, where and how, should be made clear to everyone to keep role-players motivated (Khumbane 2001:pers. com.).

5.14 Suitability of scale of involvement

The principle of suitability stresses the fact that the intensity of public participation is relative to the impacts of the decision and suitable to the scale and type of initiative.

The resources committed to a public participation process should be relative to the potential impacts of and possible interest in the initiative.

5.15 Feedback to and from stakeholders

The principle of feedback refers to a flow of information that establishes trust and assurance among stakeholders and the consistent involvement of all.

Stakeholders should receive ongoing feedback and opportunity to verify that their issues of concern and inputs have been considered, and if they have not, to receive an explanation (Greyling & Manyaka 1999). Stakeholders should be given opportunity to comment on the process and their involvement (Ministry of the Environment; IAP2).

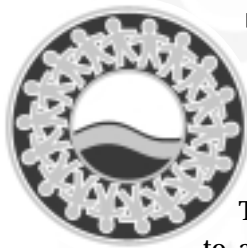
5.16 Monitoring and Evaluation

The principle of monitoring and evaluation aims at minimising mistakes and risks to the process both in the present and future by applying lessons learned from the past.

Monitoring involves continuous assessment of progress and adjusting where necessary. Evaluation measures the success or failure of a process in terms of objectives that were specified in advance, for example the application of the above principles. Evaluation usually takes place after completion (DWAF March 1999: Part 2.6 p1).

Public participation processes should be evaluated and monitored by all role-players to minimise mistakes and risks. Public input should be evaluated in terms of its relationship to government policy, local, provincial and national interests, technical feasibility and potential impacts on stakeholders (Ministry of Environment).

Generic Process and Guidelines for Implementation



These guidelines outline a generic approach to the public participation process. In any DWAF initiative there should be one decision-making process. There are likely to be a number of points along the way at which decisions must be made, and there are likely to be different stakeholders participating at various times. The generic approach to public participation outlined here is integral to, and not separate from, the initiative it applies to. Stakeholders should be involved in any initiative from start to finish to ensure ownership of the initiative.

This chapter begins by defining the components of a public participation process. It then describes the sequences of actions involved in implementing the process. Commonly asked questions are also raised and dealt with in a series of information boxes.

6.1 A generic public participation process

A public participation process may be divided into three broad phases, the planning phase, the participation phase and the exit phase.

The planning phase consists of the following three aspects (see Section 6.2.2):

- Decision analysis
- Participation planning
- Implementation planning

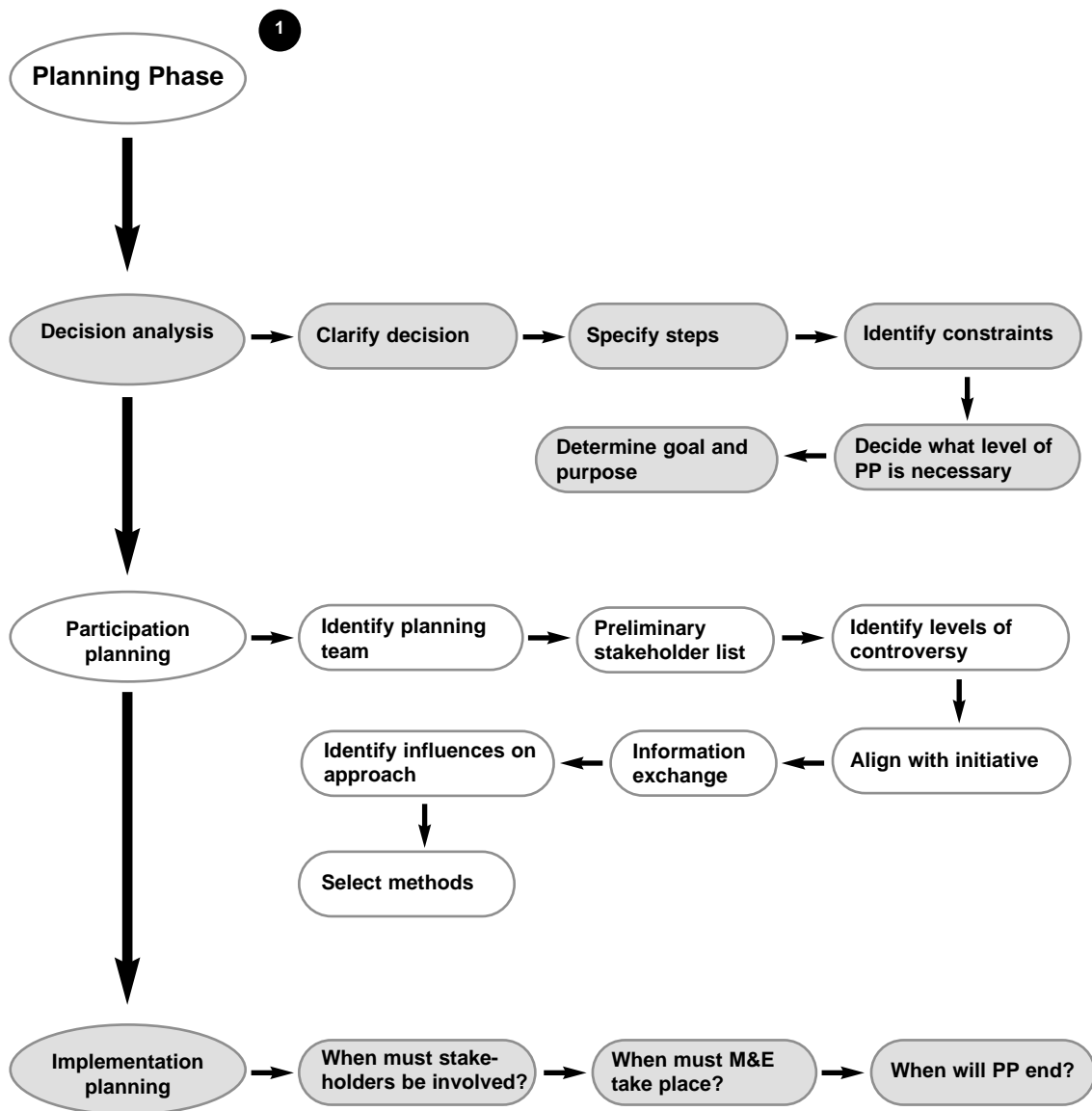
The participation phase consists of the following four aspects (see Section 6.2.3):

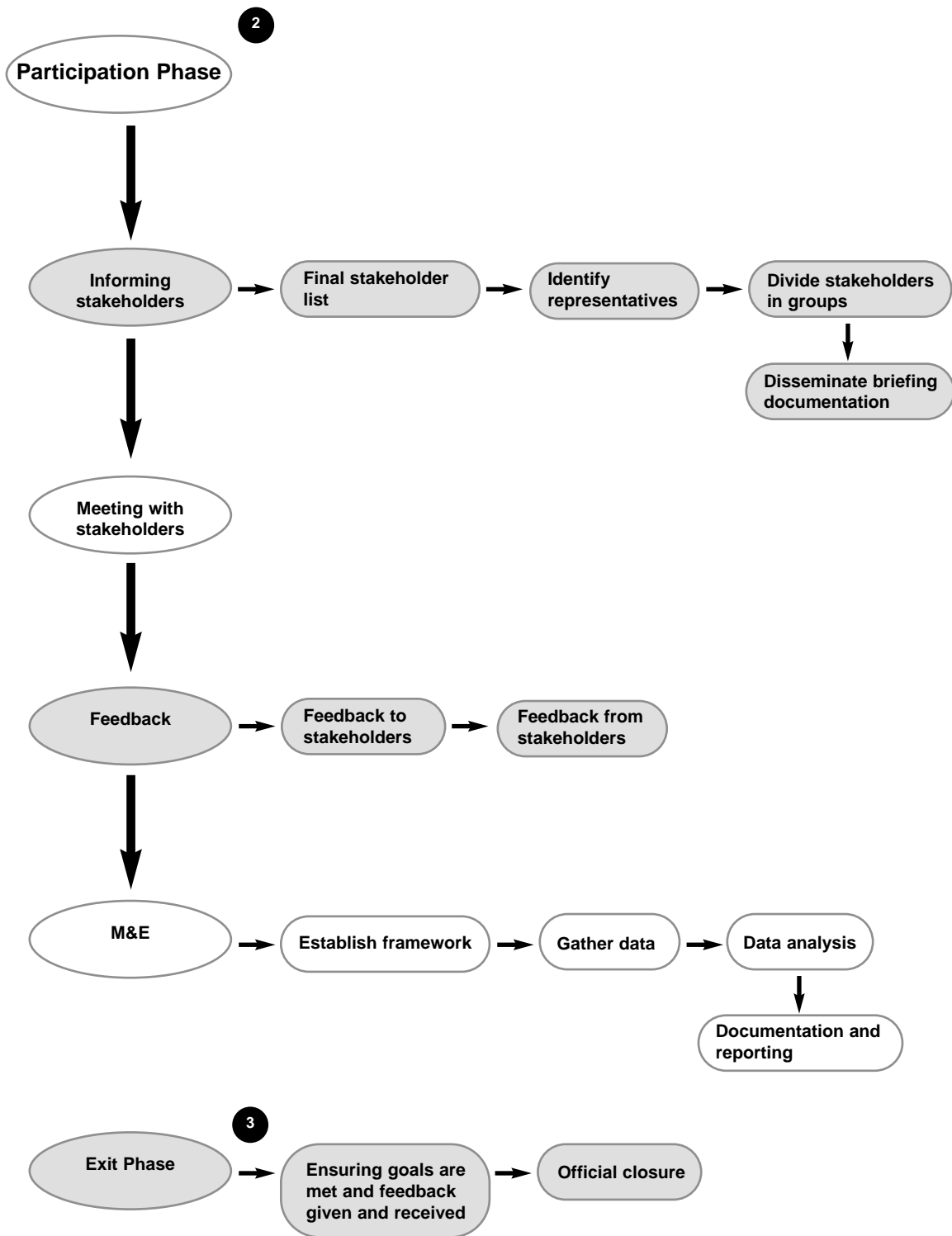
- Informing stakeholders
- Meeting stakeholders
- Feedback to and from stakeholders
- Monitoring and Evaluation (M&E)

The exit phase consists of the following two aspects (see Section 6.2.4):

- Ensuring that all goals have been reached
- Officially ending the process

Figure 1: The generic public participation process





6.2 A guideline to implementation

The public participation process can be divided into a sequence of steps for implementation. These are graphically represented in Figure 1.

6.2.1 Questions commonly asked in implementation

A set of questions that frequently arise in public participation processes is listed below. Responses to these questions are provided in a series of information boxes throughout this chapter.

Box 1	How does one know what level of public participation is necessary?.....	27
Box 2	How does one develop a preliminary list of stakeholders?.....	28
Box 3	How does one do a stakeholders analysis?.....	29
Box 4	How does one do a situational analysis?.....	30
Box 5	How does one identify possible levels of controversy of the initiative?.....	30
Box 6	How does one ensure that the participation planning process is aligned with the initiative?.....	30
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6.2.2 The planning phase

The public participation process should be carefully planned for each initiative. Spending sufficient time and energy in developing a clear participation plan will contribute to the success of both the participation process and the initiative. The plan should include detailed action plans describing requirements and responsibilities. These should be distributed beforehand to staff members for comment (Roberts 1995:231).

The ideal situation is to align the planning of the public participation process with the planning of the DWAF initiative itself. Because the initiative and the public participation process form part of a single decision-making process, the organisers can develop a single plan that incorporates specific planning for the public participation process.

The planning phase should assess and consider all the identifiable aspects of the public participation process before it starts. The dynamics of both the area of operation and the

people in it are vital to the planning process. Detailed planning enables one to anticipate potential pitfalls and delays. The planning phase should also be conducted together with the stakeholders to encourage a sense of ownership of the initiative from the beginning (Khumbane 2001: pers. com.).

The planning phase provides a framework, structure and schedule for the participation process (Roberts 1995:231).

The major steps in the planning phase are as follows (Creighton 1998: 10-13):

- **Decision analysis** - Clarify the nature of the initiative and the decisions required. Define the goal and purpose of the public participation process and then determine the appropriate level of participation through scoping.
- **Participation planning** - Scan the environment by doing an analysis of the stakeholders involved and the area of operation. Identify the issues and decide upon public participation techniques to be used.
- **Implementation planning** - Design the public participation plan in terms of timeframe and activities. Plan details of public participation techniques to be used.

6.2.2.1 Decision analysis

The decision-making process must be absolutely clear for public participation to be effective. The following example supports this statement (Creighton 1998:44):

Box 1: How does one know what level of public participation is necessary?

"The need to involve the public in the decision-making process is directly related to the significance of the decision to the public, and the extent to which the issue under consideration is controversial." (Roberts 1995:230). In other words, the greater the significance and the more controversial, the more important the public's involvement.

But how does DWAF determine whether the public will consider an initiative controversial? High level public participation should be considered when:

- The initiative involves finding a compromise between economic growth, social equity and ecological integrity.
- Controversy already exists around the issues of the initiative.
- There is a public perception that people stand to lose or gain significantly from the initiative.
- The initiative will result in certain groups benefiting more than others economically, politically, environmentally or culturally.
- Public support is necessary to implement the initiative.
- Environmental or social impact is expected.
- DWAF has low credibility in the specific area of the initiative.
- Previous initiatives were imposed upon the relevant stakeholders (Roberts 1995: 230).

- Finding out in the middle of the public participation process that different divisions within an organisation had different understandings of the decision being made.

Decision analysis should include the following steps (Creighton 1998: 44):

- Clarification on who is making the decision(s), what the repercussions of the decision(s) might be and whether the public will understand it. A decision statement may also be written to aid understanding.
- Specify the steps in the decision-making process, particularly those that will result in key decisions. Define the schedule for each step.
- Identify constraints and circumstances of the initiative that might impact on effective public participation.

Box 2: How does one develop a preliminary list of stakeholders?

These questions can help in developing a stakeholder list (DANCED 1998: 27) (see Box 9):

- What is the intention of the initiative and who is responsible?
- Who depends on it, who is potentially affected, and who are the representatives of those potentially affected?
- Who is likely to be interested and who are the representatives of those potentially interested?
- Who is likely to mobilise for or against the initiative?
- Who can contribute human, financial and technical resources?
- Who can affect the initiative by participating or not participating?
- Whose behaviour and attitude has to change for the initiative to succeed?
- Who were previously disadvantaged and may require support?
- Who are influential figures in the area of the initiative and have local knowledge?
- Who are experts on the area and the expected key issues?

Names and contact details may then be extended using the following sources:

- Access existing stakeholder databases from different directorates within DWAF in order to identify specific persons, groups and organisations and contact details. The Department should ideally have one collective stakeholder database that officials can access at any time.
- Talk to colleagues who know the area and consultants who have worked in the area.
- Look at the data bases used in previous public participation processes undertaken in either the area or with the same sector(s).
- Contact local and provincial government officials and traditional leaders.
- Contact existing stakeholders for further names (DWAF September 1999:34).
- Contact institutions within the community, e.g. churches, NGOs, CBOs, residential associations, environmental groups, and youth and women's groups

- Decide what level of public participation is necessary (see Box 1).
- Determine the goal of the public participation process. The goal and purpose is prescribed by the nature of the initiative, and could include information dissemination, public inputs or shared decision-making. The goal will determine every step of the public participation process.

6.2.2.2 Participation planning

DWAF and the stakeholders should do participation planning together. Planning the participation phase is a crucial step but can be time-consuming. Using local consultants who are familiar with the area of operation and the people can save time.

Box 3: How does one do a stakeholder analysis?

Use the social profile method (see 7.10) to analyse stakeholders according to the following (also see 6.2):

- Identify and define the socio-economic characteristics of the stakeholders, for example jobs and sources of income
- Identify the social dynamics of the area in terms of its politics, religion, culture, demographics and quality of life
- Identify the ethnic, cultural and geographical diversity of the stakeholders
- Assess how stakeholders might be affected by, or interested in the initiative
- Understand the relations between stakeholders, including controversial issues and an assessment of the real or potential conflicts of interest between stakeholders
- Identify past projects that involved the stakeholders and the outcomes of these
- Assess the capacity of different stakeholders to participate (Creighton 1998:45-56).

Stakeholders' level of capacity to participate may be determined in terms of:

- Access to technology and services (e.g. transport)
- Socio-economic characteristics
- Understanding and experience with public participation processes and similar initiatives
- Being informed or uninformed about the issues
- Technical understanding of the issue under discussion
- Literacy levels
- Language preference

Stakeholders may then be grouped in terms of:

- Geographical location
- Capacity to participate
- Level of interest in the initiative, which is usually determined by the degree to which the stakeholders are affected by the initiative

Box 4: How does one do a situational analysis?

The area of operation needs to be analysed and fully understood in terms of:

- Economic characteristics, for example, industries in the area
- Infrastructure, for example, roads and facilities such as public halls that are available and that influence the local people's capacity to participate
- Interest groups such as NGOs, environmental groups and CBOs that might influence or contribute to the public participation process

Box 5: How does one identify possible levels of controversy of the initiative?

Firstly, determine whether there has been prior controversy on the same or a similar issue. Secondly, make a list of possible issues that might create controversy.

Dealing with controversy might warrant developing an issues management plan. Issues management refers to both the anticipation that certain issues are bound to emerge during the decision-making process and the preparation in order to address them. Such preparation could include conducting research, clarifying policy or developing informational material to address the issues (Creighton 1998: 45-56).

Box 6: How does one ensure that the participation planning process is aligned with the initiative?

First identify the steps which will be taken by the initiative. Typically, the project cycle includes the following phases (DWAF March 1999: Part 2.5 p1):

- Planning phase
- Design phase
- Implementation phase
- Operation and Maintenance phase
- Evaluation phases

Identify the decisions that have to be taken at each step of the initiative. Then identify what participation must achieve in terms of each decision.

This helps everyone understand when and how they may best be involved in the initiative. It also assists in determining what information needs to be exchanged and with whom (Roberts 1995: 233).

Always remember that the initiative and the public participation process form part of a single decision-making process.

BOX 7: What should be considered when choosing public participation methods/tools?

Participation methods send signals to the public. DWAF should ensure that the correct signals are being sent. For example, establishing a project steering committee places greater emphasis on the public's participation than advertising in the local newspaper.

The following are guidelines for selecting methods (Roberts 1995:234; Coakes 1999:2):

- Consult all stakeholders on the participation method they prefer, including those who don't support the initiative. Stakeholders should be made aware of how the chosen method affects their influence and level of involvement in the process.
- Do not underestimate the technical and professional competence of stakeholders.
- Select methods that will increase management expertise, develop team-building opportunities for DWAF and the public, and that the budget can accommodate.
- Select methods that will maintain the credibility and legitimacy of the process. For example, the process should not be driven by powerful stakeholders alone. Nor should it be driven without a clear set of criteria developed by a fully representative stakeholder group that creates a structure for accountability.
- Match methods to particular groups, for example the elderly will participate poorly when public meetings are held after hours. Using a combination of several methods may meet the needs of different groups at different stages in the process, as well as DWAF's objectives.

See Chapter 7 for more detail on methods.

Participation planning will always vary with the circumstances. There are, however, certain standard steps that can be followed when developing a public participation plan (Creighton 1998: 11-13; 45-56):

- Identify the planning team. A participation planning team should include stakeholder representatives, people who will assist with the public participation exercise, such as a facilitator and people with expertise relevant to the initiative, such as specific DWAF officials.
- List potential stakeholders, and the key issues likely to arise, by means of stakeholder and situational analyses (see Boxes 2-4). These analyses assist in understanding the diversity of the public. This enables planning around the characteristics of the stakeholders and their changing views (Roberts 1995: 227-229).
- Identify possible levels of controversy associated with the initiative (see Box 5).
- Identify what the public participation must accomplish at each step in the decision-making process to ensure that it stays aligned with the initiative (see Box 6).

- Identify the information exchanges necessary at each step in the initiative. This comprises information both to and from the public.
- Identify the circumstances that could affect the approach to public participation. These may include cultural, ethnic or political sensitivities or the level of public interest.
- Select specific public participation methods or tools (see Box 7) for the engagements with stakeholders such as workshops, interviews, advertisements et cetera.

6.2.2.3 Implementation planning

DWAF officials or consultants together with the stakeholders undertake the planning of the implementation phase. This entails specifying the details of the methods and activities that were selected during the decision analysis and participation planning phases. It therefore involves developing a detailed public participation plan with goals and deadlines for each step (see Box 8 and 7.13.1).

Box 8: What should be kept in mind when developing a public participation plan?

- A participation plan is directly linked to the goals of the public participation process and what it should achieve.
- Determine the budget for the public participation process. The budget may be influenced by the number of stakeholders, the use of consultants, organisation of stakeholders, the number of feedback sessions, communication and translation costs (pamphlets, newsletters, etc, and their distribution) (Greyling & Manyaka 1999:27).
- Determine which issues are irrelevant so that these can be eliminated early.
- Determine how much time is going to be spent and have target dates.
- Each meeting in the process should have a plan and a goal. Issues that the process cannot deal with should be accommodated through identified alternatives.
- Define the responsibility of all role-players, including the stakeholders.

The development of a public participation plan enables participants to review the implications of changes when internal and external events affect implementation (Roberts 1995: 234).

Implementation planning determines the following main aspects:

- The precise stages at which stakeholders are to be involved in the initiative. A final decision is now made, based on considerations developed in the participation planning phase.
- The stages at which monitoring and evaluation of the public participation process will take place. The rule of thumb is to ensure that the monitoring and evaluation is done when it can influence the process on an ongoing basis (Coakes 1999:4).
- When and how the public participation process will end (also see Box 19).

6.2.3 The participation phase

The public participation process is ready to start when all the steps are planned, the plan and techniques are agreed upon and the stakeholders have been informally involved (Roberts 1995:234).

Specific steps in the public participation process will now be illustrated:

Box 9: What might a final stakeholder list look like?

A preliminary stakeholder list was established during the planning phase (see Box 2). A final list is now generated so that the stakeholders can be informed of the initiative. It is often necessary to expand and revise a list during the process. The following list can be used as a basis for drawing up a checklist of stakeholders (DWAF 29 September 1999:33):

Government and the public sector

- National Government Departments
- Provincial Government
- District Municipality Councils
- Traditional Authorities

Parastatal and utility sector

- Water Boards
- Water User Associations
- Provincial development councils
- Conservation bodies
- Universities and technikons with relevant research interests
- Research organisations (e.g. CSIR, WRC)

Private sector

- Individual corporations
- Chamber of Commerce
- Agricultural business
- Farmers' associations
- Forestry organisations
- Mines & Industry

Civil society

- Trade unions
- NGOs
- Other interest groups and associations (e.g. civic associations)
- Affected communities and groups

Box 10: What should be considered when identifying stakeholder representatives?

Stakeholders that are organised may already have their own representatives. Stakeholders or sectors that are less organised will have to select persons to act as their representatives for the duration of the initiative. The following should be considered when identifying representatives:

- Be aware of the representatives' motivation for involvement since some have a mandate while others express personal views.
- Since the choice of representative is linked to particular issues and the goal of the participation process, it should be clear what is expected of the representative.
- Stakeholder groups must select their own representatives and not have an official appoint one for them. However, officials can target or suggest particular people with the relevant power and insight to avoid representation that is inappropriate for the initiative.
- The representative must have a mandate from the group to act on its behalf.
- Representatives can also be recruited by advertisements on local radio stations or newspapers and by announcing the need for representatives at public meetings.
- DWAF officials should support and encourage representatives, and provide them with information that can be distributed, for example pamphlets or newsletters.
- A large geographical area with less organised residents may be divided into smaller areas, especially where there are important differences in needs.

It is important to monitor and evaluate the performance of the representatives during the initiative. This is to ensure that their constituents receive relevant information and are satisfied that their needs, views and opinions are accurately conveyed. This can be done through an informal survey of a random group of constituents. Such a survey would entail asking about:

- The details of the initiative that all stakeholders should be aware of
- Constituents' satisfaction with the actions of their representative(s)
- Satisfactory race and gender representation

6.2.3.1 Informing stakeholders

Providing the stakeholders with information on the initiative entails the following:

- Generate a final stakeholder list (see Box 9)
- Identify stakeholder representatives (see Box 10)
- Divide the stakeholders into groupings of those who may be reached via formal channels, such as telephone, fax, e-mail or post and those who must be reached in other ways (see Box 11)
- Prepare and disseminate a briefing document (see Box 12)

Box 11: When does one need to divide stakeholders into groups?

Stakeholders have different capacities for participation (see Box 3). For example, posting copies of technical briefing documents will provide some stakeholders with relevant information. Others might be illiterate, have inadequate postal service or may need support to understand the implications of the initiative.

Identifying and working with marginalised groups of stakeholders need to be handled with great sensitivity. Particular care needs to be taken in ensuring representation, especially in cases where local political structures are blind to their own failings in this regard. Marginalised communities often have poor representation at local government level and women in marginalised communities are often poorly represented in local structures such as traditional authorities (DWAF 29 September 1999:36).

Stakeholders may thus be placed into different groupings in order to enable successful provision of information.

6.2.3.2 Meeting with stakeholders

Meetings with stakeholders are essential to participation because these provide stakeholders with a direct opportunity to give their input, to become involved and to develop a better understanding of the needs of other stakeholders.

It is important to assist stakeholders to attend and to participate during meetings (see Box 13).

Meetings with stakeholders include the initial stakeholder briefing meetings followed by workshops, open days or public meetings. Stakeholders should be informed of future meetings at the first interaction (see Box 12). Usually there will need to be one or more feedback sessions as well as a closure meeting.

Two primary ways of meeting with stakeholders are (see Box 14 and 15):

- **Workshops** - Workshops address specific issues and usually last one to three days. All stakeholders should be invited to ensure representative viewpoints (DANCED 1998: 16-21). Workshops are most successful when they are genuinely participatory (see Chapter 7) and are followed through. To hold one arbitrary workshop with a stakeholder group does not comprise public participation.
- **Interviews** - Interviews are used for the continuous collection and assessment of background information as well as the gathering of stakeholder concerns and suggestions during the initiative. Informal interviews generate data and facilitate communication between DWAF and the stakeholders/participants. Questions to participants should be open-ended, asking for explanations rather than "yes" or "no" answers. Cross-checking by asking the same question in different ways is important to validate information (DANCED 1998: 21-23).

BOX 12: How does one prepare and disseminate briefing information?

The first step in informing stakeholders of the initiative could be personal invitations to participate, accompanied by a short and concise briefing document. The briefing document forms the information base from which the stakeholders will enter the process (DWAF 29 September 1999:35). The document must therefore be written in the relevant language(s) of the area. The document should inform stakeholders of the initiative and of the process and invite them to a briefing meeting.

A briefing document should provide (DWAF 29 September 1999:35):

- A description of the initiative, its background and objectives
- Definitions of commonly used terms such as "emerging farmers" and "previously disadvantaged people"
- A specialist's view on the initiative
- An explanation of how stakeholders were selected
- The roles of stakeholders and why their participation is important
- A proposed public participation process, including when and how it will end
- Who will make decisions, when and how (see Box 16)

The stakeholders who cannot be reached by formal communication channels are often also the most marginalised and may experience difficulty with briefing documents (see Box 11). It will be necessary to undertake fieldwork to ensure their proper identification and representation at meetings. This will entail giving a presentation based on the briefing document to the local and traditional structures and inviting all to the briefing meeting. Fieldwork should be arranged through the appropriate structures such as local government, traditional authorities and others (DWAF 29 September 1999:36).

This approach is necessary in order to secure access to the marginalised groupings – but the real need is to reach into the marginalised communities as directly as possible. Therefore, more informal interaction with these stakeholders through workshops or interviews might also be necessary to answer questions and give more background information on the initiative.

BOX 13: How does one facilitate attendance and participation at stakeholder meetings?

Successful and useful stakeholder meetings can be attained through the following actions (Greyling 2001:pers. com.; Coakes 1999:16):

- The objectives of the meeting should be clear.
- Stakeholders should be notified about the meeting at least six weeks in advance.
- A formal advance registration process may be followed.
- Stakeholders should receive documentation or be briefed at least five working days before the meeting.
- Previously disadvantaged groups need to be briefed well in advance (see Recommendation 1).
- Care should be taken to ensure that the venue is accessible to the all stakeholders in terms of transport.
- The different languages preferred by stakeholders should be used in ways that are most practical.
- Project team members could undertake a practice session or "dry run" so as to agree on the content of their presentations and to plan discussion sessions.
- Stakeholder meetings need to both build relationships and develop the content of the issues at stake. Comfortable relationships facilitate participation. People need to feel at ease and accepted when expected to address certain issues.
- The conduct of DWAF officials will influence stakeholders' willingness to participate. Officials should be familiar with the sixteen principles of public participation (see Chapter 5) and strive to implement them. They should "be human" and not afraid to say "I don't know" when answers are not yet available.

Box 14: How does one plan and run a workshop?

Planning a workshop well is crucial to its success and involves the following:

- Identifying the purpose of the workshop
- Identifying the specific issues to be addressed
- Identifying the participants based on the stakeholder analysis and notify them early
- Selecting methods based on the issues and participants (see Chapter 7)
- Planning logistics and costs with other organisers (DANCED 1998: 16-21)

Further preparation and planning should cover the following:

- Design a workshop structure in terms of plenary sessions, subgroups etc.
- Decide on a detailed timeframe for each activity, step and day in terms of what must be achieved.
- Plan for potential conflict between stakeholder groups, the possibility of one or more participants dominating discussion, and the prospect of some stakeholder groups not participating at all.
- Decide on who is responsible for reports at the end of each day and for reporting the final results of the workshop as well as the nature of these reports (DANCED 1998: 16-21).
- Plan processes for feedback to participants.

The following general workshop suggestions should be considered (DANCED 1998: 16-21):

- Facilitating workshops with people from different cultures, languages and socio-economic circumstances may pose problems in terms of style, pace and language. Methods exist for facilitating such workshops but in some cases separate workshops with each group are easier.
- Skilled external facilitators are preferable. It helps if the facilitator is familiar with the subject matter, but the facilitator must not be seen to favour any one outcome.
- All parties, including the consultants and DWAF officials, should act as participants and share their ideas, knowledge and experience with other stakeholders without dominating the process or acting as "experts".
- The optimal number of participants will vary, depending on language, issues, participants and setting.

Box 15: What should be kept in mind when doing a participatory interview?

The following general suggestions regarding interviews should be considered (DANCED 1998: 21-23; Khumbane 2001:pers. com.):

- Make the purpose of the interview clear and allow respondents to ask questions before proceeding. Explain what the information will be used for and by whom.
- Introductions are important to create a relaxed atmosphere.
- Prepare a short checklist of themes in advance and ask simple questions using plain language.
- Be open-minded and objective and listen carefully to both what is being said and what is not being said.
- Avoid leading questions and never help respondents with answers.
- Avoid forcing respondents to answer or making them feel they should know the answer.
- Ask respondents for explanations of their views. Often this is how the real issues emerge.
- There is no wrong answer. An answer reflects the respondent's perspective and value judgement.
- Take detailed notes and do not generalise the findings.
- Use your own judgement to interpret the flow of the interview. Change tactics if respondents appear uneasy, embarrassed or suspicious.
- Encourage participation of "quiet" respondents but never intimidate by putting people on the spot and saying "What do you think?"

6.2.3.3 Feedback to and from stakeholders

Stakeholders must be constantly made aware of all the decisions, the consequences of such decisions and the way in which their inputs have been considered in the decision-making process (see Box 16). Feedback mechanisms are a useful way of facilitating the incorporation of stakeholder inputs into the decision-making process (see Box 17). Constant feedback motivates stakeholders to participate in the process. Methods for communicating with stakeholders were discussed under 6.2.3.1 and more information is available in Chapter 7.

The participation process should also allow stakeholders the opportunity to provide their feedback to decision-makers on issues such as:

- Their satisfaction with the participation process and their involvement in it
- Their comments on information regarding matters that affect them
- Their feedback on whether their views, comments and opinions were accurately and fairly incorporated in the decision-making process

Feedback from stakeholders can be facilitated through monitoring and evaluation.

Box 16: How should DWAF value stakeholders' inputs?

Because stakeholders do not actually make decisions, there is the risk that their views will be disregarded as not applicable or acceptable. What safeguards against this happening and what criteria should DWAF use when considering stakeholders' inputs?

This should be discussed with stakeholders at the beginning of the process (see Box 12) and stakeholders should be given the opportunity to contribute to the criteria to be used.

Examples of such criteria are:

- Does the issue relate to the initiative at hand?
- Does the issue make material difference to the outcome of the initiative?
- Does the issue address the expressed needs of the stakeholders?
- Can the issue be accommodated in the budget? (This does not mean that important issues can be ignored because of budget.)

BOX 17: What are feedback mechanisms and why are they used?

Feedback mechanisms help incorporate stakeholder input in the decision-making process and can be used to show how the inputs have been used. Feedback should be given to all stakeholders in a form and language that is appropriate to the particular stakeholder. This might mean documents in more than one language.

Mechanisms for providing feedback can be in the form of:

- Issues and response reports
- Letters to stakeholders
- Media releases
- Meetings with stakeholders

An "Issues and response report" may be used more than once during a public participation process. The first report will verify whether all stakeholder concerns have been captured. Further reports will reflect the findings of follow-ups. These and other relevant documentation can be presented to the decision-makers.

An Issues and Response report could contain three columns, one listing the issues, another the name of the concerned person and the third noting responses to the issue.

6.2.3.4 Monitoring and Evaluation (M&E)

Monitoring is an ongoing process of assessing progress and making adjustments where necessary. Evaluation measures the success or failure of the process in terms of the objectives specified in advance. Evaluation takes place after completion, or at specified times during implementation (DWAf March 1999: Part 2.6, p.1).

Public participation processes benefit from set review points where all role-players reflect on the participation plan and the resources expended (Roberts 1995: 234). Monitoring and evaluation enables early changes to resolve problems. This promotes a transparent and accountable process and thus commitment.

M&E should be undertaken with stakeholders, preferably once they have the confidence and mutual trust to critique the process and themselves. The M&E process should be documented to ensure that all issues raised are incorporated in decision-making (Khumbane 2001:pers. com.).

Participatory M&E can involve four steps (Estrella & Ganventa: 28) depending on the nature of the participation process:

- Establishing the framework for M&E - This includes identification of objectives and indicators (see Box 18).
- Gathering data for M&E - It must be decided who will gather the information and by when, where it may be found and which tools will be used (see Chapter 7).
- Data analysis - Information must be analysed to assess the relevance of the public participation goals to the needs and interests of the stakeholders, to understand the impact of the public participation process and to review the process and the decisions.
- Documentation, reporting and sharing of information - Documentation produced should be clear, simple and accessible, with clarity about who owns the information, how it will be used and how disseminated. Results and findings may be disseminated through reports, maps, diagrams and tables or at meetings as appropriate.

Box 18: What should be considered when establishing a framework for M&E?

An M&E framework must identify objectives and indicators. The following questions can help with objectives (Estrella & Ganventa):

- What information is needed? This could include: were stakeholders involved; was their understanding of issues enhanced; were there adequate opportunities for public participation; was there feedback on decisions made; were legal requirements met; did the information enable effective participation; were public concerns incorporated in the decision made (Creighton 1998: 33-56)? The views of all role-players are relevant.
- Who is the information for and how will it be used? Various role-players, including the stakeholders and DWAF, may have an interest.

Indicators measure change and are used as markers of progress towards objectives (DWAF March 1999: Part 2.6 p3). The principles of public participation are ideal indicators (see Chapter 5). Indicators may be grouped as follows:

- Efficiency indicators that tell whether resources are put to the best possible use
- Effectiveness indicators that tell whether goals are being met
- Impact indicators that tell whether the public participation process is having the desired effect or change on the initiative (DWAF March 1999: Part 2.6 p3)

6.2.4 The exit phase

The type of initiative determines the exit phase. Sometimes the initiative and the public participation process end simultaneously, but not always. There are instances where a public participation process does not have an exit phase, but only because the participation itself becomes a permanent process. For example, in the CMA process the level of the public's involvement only changes with time.

According to DWAF's package on Institutional and Social Development (ISD), the Project Management Cycle determines that the life of a project extends beyond the project cycle into a "continuation phase". Public participation takes place throughout the project cycle and into the continuation phase (DWAF March 1999: Part 2.5 p3). For example, the project cycle of a water scheme may be in the continuation phase when the scheme needs to be upgraded. The process of upgrading the scheme will follow the same phases as the initial project (DWAF March 1999: Part 2.5 p4).

Box 19: How does one bring a public participation process to an end?

Examples of how to end the participation process are:

- Arrange a final stakeholder meeting where everyone is thanked and officially close the participation process. This can include a celebratory function.
- Disseminate all appropriate output documentation and information on decisions taken.
- Make an official statement in the final edition of the newsletter.
- Publicly announce the end of the process in the local media.
- Send out a personalised letter of thanks to all stakeholders.

To obtain the stakeholders' co-operation in bringing a public participation process to an end, officials must ensure that all stakeholders agree with the criteria to be used in deciding that participation has been adequate. The primary criteria for this are:

- All goals have been reached and decision(s) made confidently
- Feedback has been given to and received from stakeholders

The exit phase must, of course, be preceded by both a proper final feedback meeting discussing decisions made, reasons for these decisions and reactions to these decisions, and closure on the M&E process. The exit phase may rely on monitoring and evaluation to determine whether goals have been achieved (see Box 19).

Methods for Public Participation



There are many methods or approaches that can be used in public participation. This chapter describes a selected few based mainly on the work of Coakes, S. June 1999. Consulting communities. A policy maker's guide to consulting with communities and interest groups.

Further information on methods and how to use them can be obtained from

- *RCRA Public Participation Manual, Chapter 5: Public Participation activities: how to do them*, on the website: www.epa.gov/epaoswer/hazwaste/permit/pubpart/manual.htm, and
- *The International Association for Public Participation's IAP2 Spectrum* on the website www.iap2.org/spectrum.html.

The best method is the most suitable one. This can only be identified once the objectives of the initiative and the purpose of the participation have been established. For example, if the purpose is information dissemination then newsletters might be sufficient. However, good public participation is likely to make use of a number of different approaches in concert.

There are four basic dimensions that should be considered when deciding which methods to use, namely:

- Cost effectiveness
- Breadth of distribution and reach
- Amount of time available
- Approach - interactive or one-way communication.

Public participation methods generate data that must be assessed for reliability and validity and analysed. Some methods, such as surveys, elicit quantitative³ data while others, such as workshops and participatory interviews, elicit qualitative data.

³ Quantitative data is gathered through a formalised and controlled social science research process, such as statistical surveys with a precisely delimited scope. The gathering of qualitative data uses less formalised procedures and focuses on interpretation and understanding of experience (Mouton and Marais 1989:157).

Of the following methods that are currently popular, the first four lists those that are useful for disseminating information while the rest lists those that are useful for gathering and exchanging information:

- Newsletters
- Community group presentations
- Advertisements
- Press releases and Feature Articles
- Public meetings
- Open houses/Open Days
- Semi-structured interviews
- Focus groups
- Community liaison groups
- Social profile
- Workshops

7.1 Newsletters

Newsletters can be used to give updates on initiatives and encourage stakeholder interest. Newsletters should deal with important issues, avoid technical jargon, provide positive and negative facts about the initiative and supply contact details.

- Advantages**
- Cost effective
 - Can inform large numbers of people
 - Provides information and visibility to the initiative
 - May enhance initiative's credibility
 - Allows people to absorb information at their own convenience

- Limitations**
- Possible misinterpretation of material
 - May only provide basic information
 - Does not allow for feedback unless reply paid tear-off cards are included
 - May be very time consuming
 - Does not inform the illiterate

7.2 Community group presentations

Presentations to stakeholder groups that are already assembled for their own purposes (such as traditional authority meetings) are useful for disseminating information to more marginalised groups because they can be followed by question and answer sessions.

- Advantages**
- Groups with identifiable interests may be targeted
 - The information may be tailored to audience needs
 - The participants use time already committed to existing activities
 - Fairly cost effective, cost is only time spent preparing, travelling and presenting

- Limitations**
- Potential for hostile audience reaction and unanticipated concerns
 - Only reaches particular sectors of the community
 - Reliant on participants to convey the information to the rest of the community
 - The presentations take up time of the participants' own meeting

7.3 Advertisements

Advertising can successfully disseminate information through a variety of media. Advertisements could be brief notices informing the public about particular events or detailed advertisements addressing particular issues. Advertisements may include a clip-out coupon and stamps when requesting additional information.

- Advantages**
- DWAF has control over information content
 - May be a simple, cost effective way of creating awareness
 - Reaches a broad audience, particularly when using local community newspapers or local radio stations

- Limitations**
- Only a limited amount of information can be given
 - Usually an insufficient method on its own

7.4 Press releases and feature articles

Information is prepared and distributed to the media in the form of press releases, feature articles and letters that will encourage general interest in the initiative.

- Advantages**
- A useful way to obtain wide publicity and educate the public
 - Low cost
 - Stimulates the public's interest in the initiative
 - Convenient for the public

- Limitations**
- Reliant on the media to determine newsworthiness of the story
 - Reaches only literate stakeholders
 - Information provided may be taken out of context or misinterpreted
 - May be insufficient on its own

7.5 Public meetings

A public meeting is an open gathering used to present information and exchange views on a specific aspect of an initiative, and not to make decisions.

- Advantages**
- Information to large numbers of people
 - Costs are relatively low
 - Meetings are viewed by the public as a legitimate form of communication

- The public is familiar with the technique and usually willing to be involved
- Meetings expose the views of different stakeholder groups to each other.

- Limitations**
- Large attendance limits interaction
 - A vocal minority may dominate
 - The onus is on the public to attend at the time specified
 - The success of the meeting may be measured purely on public turn-out
 - May be ineffective when dealing with difficult or contentious issues
 - Introverted people are unlikely to contribute

7.6 Open houses/open days

Open houses are usually held at a local venue during pre-established hours that are convenient to the public. They consist of displays, printed material and staff to answer questions and to record and discuss issues. Staff should be trained to ensure an accurate recording of issues, concerns, suggestions and contact details and to provide satisfactory responses. Short feedback surveys may be undertaken as the participants leave. Open days should be well advertised in the local media, and to specific stakeholders, to ensure attendance.

- Advantages**
- Provides opportunity for informal discussion
 - Allows direct interaction with the public
 - Allows for the opportunity to correct misinformation
 - Visitors may stay as long as they wish
 - Informal setting and communication may build trust among stakeholders
 - Allows in-depth exploration of issues

- Limitations**
- Displays can be expensive
 - Information giving rather than receiving unless structured well
 - Onus is on the public to attend
 - Only a limited cross-section may attend
 - Public interest must be significant otherwise turnout may be minimal
 - Relies on staff knowledge and skills

7.7 Semi-structured interviews

Semi-structured interviews use some pre-determined questions while allowing others to arise during the interview. They can be held with individuals to obtain representative information, key spokespersons to obtain specialised information or groups to obtain general community information. Detailed notes should be taken for later analysis.

- Advantages**
- Affords a conversational style
 - May be a valuable source of opinions and concerns of stakeholders
 - Allows individual perspectives and experiences to emerge
 - Produces good, descriptive qualitative information
 - Very flexible

- Limitations**
- Fairly costly when done on a large scale
 - Quality of data dependent on sampling of interviewees
 - Possible interviewer bias in terms of questions asked and possible facilitation of answers
 - Data collection and analysis may be time consuming
 - Salient topics may be missed

7.8 Focus groups

Focus groups produce qualitative data. The approach is that of discussion-based interviews of small groups of participants who are either randomly selected or represent the demographics of an area. A semi-structured process is used to discuss particular issues.

- Advantages**
- A lot of in-depth information may be obtained in limited time
 - Useful in obtaining individual perspectives and value judgements
 - Opportunity to observe interaction on a topic

- Limitations**
- Allows for limited participation
 - Data may not always represent the opinion of the greater group of stakeholders unless representatives are carefully selected

7.9 Community liaison groups

Community liaison groups comprise people representing various interests, perspectives and fields of expertise who discuss needs and concerns. The group is formed to advise on a particular initiative and should represent all role-players.

- Advantages**
- Affords group members the opportunity to gain knowledge on the initiative and to build capacity
 - Group maintains an ongoing role throughout the life of the initiative
 - Illustrates commitment to work with the public
 - Allows for two-way information exchange between DWAF and the public

- Limitations**
- Views of the group will moderate with education – with time, members may no longer represent the interests for which they were appointed
 - Although supposed to, the group may not be representative of all interests
 - Information may not always be communicated to broader community
 - May be costly in terms of time and resources

7.10 Social profile

A social profile is a comprehensive summary of the key characteristics of the people of an area. The purpose is to clarify the social and cultural realities that DWAF officials need to

take into account during an initiative. A social profile is not limited to a community, but can also be developed for an organisation or group. Methods such as interviews, focus groups or workshops are useful to develop a social profile.

Advantages

- Reasonably cost effective
- Provides the means to have a good general understanding of the social and political structure of groups or communities
- Forms the essential foundation for planning and managing public participation activities

Limitations

- Fairly time consuming
- Care should be taken in the selection of representatives as they are the primary sources of information

7.11 Workshops

Workshops are structured meetings aimed at defining issues, evaluating criteria or creating options. They are designed to produce a group product and are useful for bringing together stakeholders with different values and perspectives. It is best used when specific problems need to be resolved. The success of a workshop relies on its design and management.

Advantages

- Good flow of information may be achieved
- A group product may be obtained
- Solutions to problems may be explored

Limitations

- Needs to be well structured and facilitated
- Fairly costly
- May be time-consuming to organise

7.12 Other methods

Other public participation methods are tailored to specific tasks and situations. These include:

- PRA/PLA (Participatory Rural Appraisal /Participatory Learning and Action) emphasises local knowledge and uses group animation and exercises to facilitate information sharing, analysis and action among stakeholders. Although originally developed for use in rural areas, it has been employed in various settings (World Bank, Internet).

For more information on PRA/PLA:

Chambers, R. 1992b. *Rural Appraisal: rapid, relaxed and participatory*. London: Intermediate Technologies.

Pretty, J. Guijt, I. Thompson, J & Scoones, I. 1995. *Participatory Learning and Action: a trainer's guide*. London: IIED.

- SARAR (Self-esteem, Associative strength, Resourcefulness, Action planning, Responsibility) is geared towards the training of local facilitators in participatory methodologies. The method builds on local knowledge and its purpose is to provide a multi-sectoral, multilevel approach to team building through training, to encourage participants to learn from local experience rather than from external experts and to empower people at community level to initiate action (World Bank, Internet).

For more information on SARAR:

Srinivasan, L. 1990. *Tools for Community Participation: A Manual for Training Trainers in Participatory Techniques*. PROWESS/UNDP, New York.

- PHAST (Participatory Hygiene and Sanitation Transformation) is an approach designed to promote hygiene behaviours, sanitation improvements and community management of water and sanitation facilities using specifically developed participatory techniques. The participatory activities were designed for community groups to discover for themselves the faecal-oral contamination routes of disease in order to analyse their own hygiene behaviours and plan how to block contamination routes (Simpson-Herbert et al 1997: v).

For more information on PHAST:

Simpson-Herbert, M; Sawyer, R; & Clarke, L. 1997. *The PHAST initiative. Participatory Hygiene and Sanitation Transformation*. World Health Organisation.

- ZOPP (Objective-Oriented Project Planning) is a project planning tool aimed at bringing stakeholders to workshops to set priorities and plan for the implementation and monitoring of an initiative. The objective is to undertake objective-oriented planning, while building stakeholder commitment and capacity through a series of workshops (World Bank, Internet).

For more information on ZOPP:

www.logframe.com

World Bank. *The World Bank Participation Sourcebook*, Internet:

www.worldbank.org/wbi/sourcebook/sba100.htm

- Gender Analysis focuses on understanding and documenting the differences in gender roles, activities, needs and opportunities in a given context. These differences vary across culture, class, ethnicity, income, education and time (World Bank, Internet).

For more information on Gender Analysis:

www.worldbank.org: Do a Gender+Analysis search

7.13 DWAF tools

Certain directorates within DWAF have developed public participation tools to meet their own particular needs. These tools offer examples which can be useful to other directorates.

7.13.1 Applying public participation to the landfill process

The Directorate: Water Quality Management published a guideline series on waste management in 1998. The series also describes the minimum requirements for public participation in managing waste disposal by landfill. The document provides guidelines for public participation in the development of a landfill and thus serves as an example of how the public participation process can be linked to a specific institutional process. The contact is Directorate: Water Quality Management (Waste Management), Head Office, Pretoria.

Minimum requirements for waste disposal by landfill. Waste management series. Second Edition 1998. DWAf. Appendix 4.1

7.13.2 Public participation for Catchment Management Agencies and Water User Associations

Directorate: Catchment Management developed a CMA and WUA series in 1999. Guide 4 of this series addresses public participation in the establishing of CMAs and WUAs and in their ongoing operation. The contact is Directorate: Catchment Management, Head Office, Pretoria.

Public participation for catchment management agencies and water user associations. Guide 4. DWAf.

7.13.3 Institutional and Social Development (ISD) package for water supply projects

Directorate: ISD developed the ISD package in 1999. This focuses on the ISD components of water supply projects and aims to provide a framework for sustainability. The package is useful to those involved in the planning, design and implementation of water services projects. The contact Subdirector is Policy Coordination and Communication Support, Head Office, Pretoria.

Institutional and social development package for water supply projects. Generic Terms of Reference and supporting documentation through the project cycle. March 1999. DWAf.

7.13.4 Guidelines on the establishment and management of Catchment Fora

The Department is developing guidelines for the establishment and management of catchment fora. This project addresses stakeholder participation and building the capacity of stakeholder fora as well as conflict management. The contact Directorate is Water Quality Management, Head Office, Pretoria.

Draft: Guidelines on the establishment and management of Catchment Forums. April 2001.

7.13.5 Towards viable water services authorities in the Northern Cape. Negotiations Workbook

Water Services officials in the Kimberley Regional Office developed the Negotiations Workbook in 2000. The Negotiations Workbook is a tool to assess the existing capacity and potential strengths and weaknesses of Category B municipalities. The contact office is the Kimberley Regional Office.

7.13.6 Guidelines for stakeholder participation in Integrated Water Resources Management (IWRM) in Water Management Areas in South Africa (Draft)

The guidelines give a stepwise process of interaction with stakeholders. They outline a series of workshops with stakeholders and highlights things that stakeholders should know to ensure that workshops reach their objectives. The contact Directorate is Water Quality Management, Head Office, Pretoria.

Third Draft: Guidelines for stakeholder participation in Integrated Water Resource Management in Water Management Areas in South Africa. March 2001.

Recommendations



The following are recommendations on how the Department can improve on the public participation approaches already developed and adopted.

1. Generic guidelines cannot address all the issues and questions raised around community participation, particularly the participation of previously disadvantaged individuals and groups. The recommendation is that the Department should develop specific guidelines focussed on this aspect.

Such guidelines should address the dynamics of community participation processes in detail, including:

- The impact of cultural diversity on a public participation process
- The role of traditional institutions in public participation processes
- Ensuring the participation of rural, poor, black women
- How to empower and build the capacity of previously disadvantaged people
- How public participation processes can accommodate the illiterate
- Achieving adequate representivity of previously disadvantaged individuals
- Providing satisfactory definitions of terms such as "emerging farmers", "marginalised communities" and "previously disadvantaged individuals"
- Payment to members of Project Steering Committees and other representative forums

2. In 1997 an official DWAF document requested and received approval for the reimbursement of expenses to community representatives who attend meetings. The amount to be reimbursed was approved at up to R75 per representative per day (DWAF 1997). This does not reflect DWAF policy and could result in representatives pressurising DWAF for reimbursement, leading to major expenses and unrealistic expectations.

The recommendation is that MANCO approves, in principle, that DWAF initiatives may make provision for the reimbursement of representatives in their budgets, but that it is controlled and agreed to under clear conditions. These could include reimbursement for people who cannot otherwise afford to attend a meeting and poor

people who will lose income through attendance, if it is essential that they attend and the date of the meeting cannot be shifted.

- 3.** DWAF should increase its use of in-house and local resources to cut costs. For example, more use should be made of Chief Directorate: Communication Services designing posters and advertisements and sharing their communications knowledge and information with colleagues. More use should also be made of stakeholders that have skills useful to the public participation process.
- 4.** Since most DWAF officials are not trained to handle public participation processes, internal capacity building is needed for DWAF officials who have contact with stakeholders to at least know and understand the principles of public participation (see Chapter 5).
- 5.** Head Office should communicate and provide managerial support to Regional DWAF officials undertaking public participation processes. Decisions made at Head Office and public announcements that influence participation processes in the Regions should be articulated to Regional staff well in advance.
- 6.** DWAF needs to design a process to educate the public about participation. The public tends to regard DWAF officials as representing the whole government. This creates expectations of officials that they are not able to fulfil.
- 7.** DWAF should develop guidelines around conflict resolution. Issues of controversy often arise during public participation. If the controversy involves powerful people, stakeholders feel ill at ease and conflict can easily result, which can threaten the process and the initiative.
- 8.** Public participation must become a natural part of the modus operandi of the Department. Public participation at all levels must have the support of top management. It is recommended that a public participation support unit be created within the Department that could advance the Department's participatory approach through training and supporting DWAF officials.

Support could include:

- Channelling political disputes with stakeholders to the correct bodies
- Addressing the issue of implementing public participation amidst time and budget constraints
- Developing criteria to allocate budgets to public participation for use by those sections in DWAF responsible for it
- Guiding the selection of appropriate public participation consultants
- Facilitating the development of a collective DWAF stakeholder database

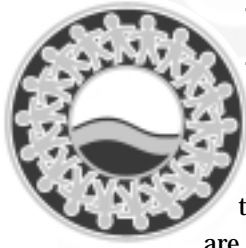
Training could focus on participatory and facilitation methodologies as well as on capacity building regarding issues such as:

- Involved DWAF officials should be visible at stakeholder meetings and show dedication to the process by attending all meetings.

- What people have, want and need should inform public participation processes and planning. For example, people who live in areas without a basic water supply may not wish to participate in processes that address other water issues. Some people might also avoid processes that do not address sensational issues.
- Stakeholders may be reluctant to participate if they have to travel a long way to meetings. DWAF officials must be able to demonstrate the value of trips by informing participants about the purpose of meetings, answering questions clearly and efficiently, and explaining the benefits of participating at the first meeting. False expectations should never be raised as bad experiences might lead to non-participation in future.
- DWAF officials need to present a consistent message during public participation processes.
- Because public participation processes are driven by people's needs, DWAF should clearly identify the issues of an initiative as a basis for helping people understand why they should participate. This involves developing an awareness strategy that helps explain the issue to the identified target group.

Finally, officials' experience and knowledge regarding public participation will always grow and the Department's public participation guidelines must reflect this. The public participation unit must therefore also co-ordinate an annual update of these guidelines.

Conclusion



Public participation is a process that many decision-makers in South Africa are not yet comfortable with. It can be a source of frustration to government officials who deal with time and budget constraints daily. However, public participation does help to rectify the inequalities of the past by offering stakeholders fair opportunity to be involved in decisions that affect their lives. As a result decisions are often better than they otherwise might have been.

Public participation does improve the chances of success and sustainability of any initiative. The Department should view the trust, ownership and confidence that public participation builds among stakeholders as an investment towards achieving its goals.

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Addendum 1: Case Studies

The following case studies give examples of DWAF initiatives that utilised different levels and tools for participation. These examples provide insight into the outcome of processes that used certain methods of public participation. The case studies reflected in this addendum include initiatives from Water Resources Management, Water Services and Forestry. DWAF Directorates volunteered all the case studies listed and should be encouraged to expand the list with further examples of case studies.

- The Orange River Development Project/Orange River Replanning Study (ORRS). This case study is an example of a public participation process that was undertaken on large scale over a long period of time. The project had over a thousand stakeholders and the public participation process was undertaken over a period of almost four years, from March 1995 until November 1998 (DWAF 1998). DWAF's Directorate: Project Planning appointed consulting engineers BKS and Ninham Shand in consortium to conduct the study. The public participation process was undertaken by public involvement consultants Greyling Liaison cc. The contact person at DWAF is Mr Frans Stoffberg, Chief Engineer for Water Resources Planning, Head Office.
- Tugela-Vaal Betterment Project. This case study is an example of a DWAF project in which a Project Steering Committee (PSC) was the main participatory tool (DWAF 18 November 1999). It was used to facilitate communication between DWAF and the local residents of the area in order to promote the widest possible participation of individuals and groups in the project through a democratically elected body. The DWAF contact people for this project are Mr Harry Swart, Resident Engineer and Mr Gustav Botha, Control Works Accountant at the Ladysmith Regional Office.
- Community Forestry Project in Wales, Bushbuckridge North. This case study gives an example of a DWAF initiative utilising Participatory Rural Appraisal (PRA) as a tool to facilitate the involvement of the local community. The fieldwork for the PRA was undertaken by the Community Forestry Project funded by DANCED and implemented by DWAF in July 1997 (Yeatman et al. 1997:1). The DWAF contact person for this case study is Mr Marius du Toit, Principle Forest Scientist, Nelspruit Regional Office. The project objective was to promote sustainable natural woodland management and environmental reconstruction through participatory community-based activities.
- Establishment of a CMA in the Breede Water Management Area (WMA). This case study gives an example of the establishment of a CMA. The Department appointed Milkwood Communications (Pty) Ltd and Damah Consulting/Noshipo cc to facilitate the establishment of the CMA in the Overberg Sub-region of the Breede WMA in 1999 (Milkwood Communications & Damah/Noshipo 1999-2000: 2). The DWAF contact person for this case study is Mr John Roberts, Manager for Breede River Area, Cape Town Regional Office. DWAF launched a public participation process in the Overberg sub-region of the Breede WMA to assist in establishing a CMA. The objectives of the participation process were inter alia to inform and

explain the concept of a CMA to stakeholders; to facilitate involvement of stakeholders in the CMA and to ensure co-operative governance.

- Licence Assessment Advisory Committees (LAAC) for Stream Flow Reduction Activities (SFRA). This case study gives an example of a DWAF body that assists in the facilitation of co-operative governance and public participation (DWAF April 2000). The National Water Act of 1998 provides for the establishment of advisory committees such as LAACs and Chapter 9 of the National Water Act determines its functions and powers. The contact person for this case study is Mr Mike Warren, Deputy Director: SFRA, Head Office, Pretoria. The primary objective of LAACs is to offer advice and to make recommendations on the assessment of licence applications. The advice and recommendations are based on social, economic and bio-physical knowledge and are made to the minister, or delegated decision-making authority.
- Communication Strategy for the National Forests Act (Act No. 84 of 1998). This case study presents an example of a strategy for to create awareness through a campaign and information dissemination (DWAF January 2001). The communication strategy for the National Forests Act is aimed at informing the public on the contents of the Act after it was promulgated by Parliament. The target audience for this awareness campaign include the general public, rural communities bordering state forests, landowners with forests or woodlands, including farmers and conservation bodies, organised forestry industry, academics and unions. The campaign focuses mainly on printed media with the use of radio to reinforce the message. However, radio is the primary medium in reaching the rural target market and the message is reinforced by pamphlets translated into three African languages.
- George Moshesh Water Supply Project. The Umtata Regional Office in the Eastern Cape is responsible for the George Moshesh project in Matatiele and the contact person is Nelisiwe Baai from Directorate: Planning, Development and Implementation, Umtata. A few examples of public participation can be drawn from this project. Two examples are the George Moshesh Health and Hygiene Awareness Training undertaken in October 1998, and the Community Information Workshops (CWI) programme undertaken in December 1999. Training and communication services were carried out by Mattcom cc.

