

REPUBLIC OF SOUTH AFRICA

**Water Quality Management
Series**

**Managing the Water Quality
Effects of Settlements: -**

**A GUIDE TO
STAKEHOLDER
IDENTIFICATION AND
INVOLVEMENT**



Department of Water Affairs and Forestry

NOVEMBER 2001

**Water Quality
Management Series**

MANAGING THE WATER QUALITY EFFECTS OF SETTLEMENTS:-

**A GUIDE TO
STAKEHOLDER IDENTIFICATION
AND INVOLVEMENT**

Department of Water Affairs and Forestry

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DOCUMENT INDEX

This document forms part of the Department of Water Affairs and Forestry's National Strategy for Managing the Water Quality Effects of Settlements. It represents one of the outputs of a project that was jointly funded by the Department of Water Affairs and Forestry and the Danish Government via their DANCED program.

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Managing the Water Quality Effects of Settlements.
The National Strategy, Edition 1. Policy Document U 1.1

Managing the Water Quality Effects of Settlements
Considerations for the Sustainable Management of Pollution from Settlements.
Policy Document U 1.4

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PREFACE

Pollution from densely populated and poorly serviced settlements is perhaps one of South Africa's most *important*, but most *complex* water quality problems.

Important, because pollution in and from these settlements not only affects downstream users, but has its most significant impacts on the communities living in these settlements. Failing sanitation and waste removal systems create appalling living conditions in many settlements, and contribute to serious health problems in these communities. Pollution in and from these settlements is, therefore, not only a water quality issue, but has much wider implications for government's aims to provide a better life for all

Complex, because pollution in settlements is rooted in the socio-economic, political and institutional conditions in the settlement. The use, or misuse, of services together with the way in which the services are maintained by Local Authorities lies at the heart of the pollution problem in many settlements. This is further complicated by the legacy of South Africa's apartheid history. Solutions, therefore, lie in changing the way in which the services are supplied and used.

However, *sustainable* solutions to the problem lie not only in our ability to supply and use waste and sanitation services to best effect, but also in the longer-term capacity of local government to maintain these services. This is likely to be the biggest stumbling block to sustainable management of pollution from settlements. Local government in South Africa clearly has significant capacity problems, and misuse of services, for a variety of reasons, is endemic in many settlements across the country. More importantly, failing waste services contribute to poor living conditions, and hence to the misuse of the services. Non-payment for services also limits the capacity of the Local Authority to effectively maintain the services, which then leads to further failure of the services.

Strategies to manage pollution in settlements must take a broader view of both Local Authority capacity, and the socio-economic and political dynamics of the community in order to arrest this downward spiral. The Department of Water Affairs and Forestry, therefore, initiated a study of the links between pollution, community perceptions and local government capacity, to run in parallel with the Test Cases. A number of reports have been produced to support this study.

It is hoped that these reports provide compelling arguments to address this problem both by ensuring better planned and run services, but also by active intervention and assistance where there are clear and immediate threats to community health and the environment. This report forms part of this process.

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SECTION A: INTRODUCTION

1 Background to this guide

The Department of Water Affairs and Forestry (DWAF), together with the Danish Government's Danced agency has been studying the causes of pollution from densely populated settlements. This has lead to the development of a series of techniques to help Local Authorities and communities identify and solve pollution within these areas. The main findings of this study, as well as the Department's overall Strategy for rolling out these techniques within local government is outlined in the [National Strategy](#) document that forms part of this series.

However, detailed Guides on how to implement these techniques must support this roll out of the National Strategy. This Guide to Stakeholder Identification and Involvement introduces the concept of community participation in this process, and is intended to help identify the right stakeholders to take the process forward.

This Guide is supported by the [Guide to Problem Analysis](#). The problem analysis guide supports the identification of problems in a settlement as a first step towards selecting and implementing appropriate interventions to protect the quality of water resources.

This guide is not meant to be a comprehensive guide on stakeholder participation. It offers insight and specific information regarding stakeholder participation in the structured-facilitated process. [The Generic Public Participation Guidelines](#) developed by the Department of Water Affairs and Forestry can be referred to for additional supporting information regarding stakeholder participation.

2 What is Community Participation and Why is it Important?

Many previous attempts to manage pollution from densely populated settlements have failed in the longer term because they do not address all the factors contributing to the problem, or they have missed the root causes of the problem. DWAFs approaches to this problem is therefore to work together with the Local Authority and community to find the root causes of pollution problems.

Experience with testing these new approaches in nine [Test Cases](#) has shown that these root causes may relate to the way in which the community uses and looks after the waste services, as well as the way in which the Local Authority provides and maintains the services. It is only possible to find the root causes to find these root causes if the right stakeholders from both the Local Authority and community are present.

However, community participation can range from information sharing and consultation – where the responsibility for the outcome of the process rests with the facilitator, to comprehensive community involvement - where the responsibility for the outcome rests completely with the community, or jointly with the community and facilitators. The Test Cases have shown that you can only successfully

address the problem of pollution in settlements by focussing on full collaboration and empowerment of both the Local Authority staff and the community. DWAF's generic guidelines on public participation also indicate the principles that should underpin any public participation process, such as transparency, accountability and commitment, accessibility of information, capacity building and empowerment, feedback to and from stakeholders and inclusivity.

This Guide will help you identify the right stakeholders to ensure that these goals are met.

3 What is the Structured-Facilitated Approach?

The “structured-facilitated” process is a form of community participation adopted by DWAF to help ensure that the root causes of pollution in each settlement are addressed. In this process DWAF, the Local Authority and the community jointly identify the causes of pollution problems and formulate appropriate interventions to address these. [The process is “structured” around identifying physical, social and institutional causes of pollution in each of the four waste streams, and is “facilitated” by appropriately trained staff.](#)

This process allows stakeholders to build awareness of the pollution problems within the affected community, as well as causes of these problems. It also builds the motivation at local level to address the problems. The process allows DWAF, the community, the Local Authority and Service Providers to get to the root cause of problems in each waste stream. Most importantly, this process helps stakeholders address all the water pollution problems in their settlement.

4 The advantages of the structured facilitated process

The structured facilitated process offers several advantages, which should be specifically exploited both in the process of selecting appropriate stakeholders, and in trying to find the root causes of pollution. These are;

- the process helps to ensure that all the stakeholders are involved in, and contribute to the identification of problems and solutions.
- It helps to ensure that all the problems contributing to water pollution and their causes are identified.
- It encourages co-operation between stakeholders.
- Because the process follows a particular order and information is captured (in the problem tree format), newcomers to the process can be quickly brought up to speed with past discussions.
- The process contributes to capacity building in that it makes stakeholders aware of the causes of water pollution.
- Joint identification of the problems helps to build better relationships between communities, service providers and government.



TOOLS AND TIPS

When planning your participatory process, consider these questions:

- ◆ What are my objectives? (What do I want to achieve here?)
- ◆ What information do I need to achieve my objectives?
- ◆ How should this information be collected?
- ◆ Who is going to collect the information?
- ◆ Who has the information now?
- ◆ What does the information mean?

A checklist to evaluate effective community participation:

- ◆ Is this process involving all the people that need to be involved?
- ◆ Is it helping as many community members as possible to identify their own problems?
- ◆ Is it involving them in helping to find the best solution?
- ◆ Are they involved in implementing the solution?

5 What is a stakeholder?

Stakeholders include:

- Those directly **affected** by the implementation of the strategy and its outcomes. Affected parties feel the full impact of a project if it fails.
- Those **involved** in some way, e.g. landowners, local government, those financially and legally involved. Involved parties can be closely linked to the project but are not dependent on it, or do not feel the full impact of it, if it fails.
- Those who have an **interest** in broader developments, e.g. environmentalists, other developers, the general public. Interested parties may also include specialists able to identify physical, social, and institutional causes. Generally, interested parties willingly remain outside the process as long as they receive information on issues discussed and resolutions taken.

6 What is the purpose of working with stakeholders?

a) Generally:

Some of the fundamental reasons for working with stakeholders are to improve people's quality of life and to ensure sustainable development. In terms of the structured-facilitated process the more general purposes are:

- To identify who has an interest in the project's success or failure.
- To assess who has a stake in the project.
- To improve your understanding of the social and institutional causes of pollution.

b) In a proactive process:

To get the proposed project off the ground. Without the consent, understanding, co-operation and resources of the public - the proposed project may never get off the ground.

c) In a planned and an emergency process:

- To educate the public about the issue or problem.
- To learn from the public about the issue or problem.
- To identify possible solutions.
- To develop support for a solution.

d) What makes a stakeholder a stakeholder?

People or groups who:

- Have the potential or the power to obstruct an agreement or its implementation.
- Have a bearing on power.
- Are affected by a development, or involved or interested in a development, and who can contribute to a better understanding of physical, social and institutional causes of problems.
- Have a direct involvement in one of the waste streams, either by using, providing or maintaining services;
- Bring local and technical expertise:
 - ❖ local expertise (for example, civics and Burial Fund Societies may have the ability to assess community views, needs and expectations more effectively than professional facilitators);
 - ❖ technical expertise (from professional associations for example, with an interest in the project).

7 Examples of specific stakeholders and why you would include them

Relationships with potential stakeholders need to be promoted at the regional as well as at the local level. The table below shows some of the possibilities for regional and local partnership, as well as the role that some partnerships could play in problem identification and water quality management.

Table 1: Stakeholders and roles

Regional Partner Organisation	Partnering Roles
Provincial Government Departments	<ul style="list-style-type: none"> • Policy, regulation and guidelines development • Shared capacity and water quality related activities
District and Regional Councils	<ul style="list-style-type: none"> • Awareness building • Local government capacity building
Regional Planning Forums	<ul style="list-style-type: none"> • Awareness building • Prioritisation of interventions • Planning
South African Local Government (SALGA)	<ul style="list-style-type: none"> • Awareness building • Best practice sharing
Masakhane Campaigns	<ul style="list-style-type: none"> • Assistance with implementation of interventions • Assistance with cost recovery
Regional NGOs	<ul style="list-style-type: none"> • Community mobilisation • Assistance with capacity
Regional and District Offices of Civic Associations	<ul style="list-style-type: none"> • Awareness building • Community mobilisation • Monitoring
Universities and Technikons	<ul style="list-style-type: none"> • Training and capacity building
Regional and District Offices of Political Parties	<ul style="list-style-type: none"> • Community mobilisation
Trade Unions	<ul style="list-style-type: none"> • Community mobilisation • Capacity building
Environmental Monitoring Groups	<ul style="list-style-type: none"> • Monitoring • Mobilisation
Regional and District Business Associations	<ul style="list-style-type: none"> • Financial support • Skills transfer
Donor and Service Organisations	<ul style="list-style-type: none"> • Financial support • Skills
District Based CBPs	<ul style="list-style-type: none"> • Community mobilisation • Implementation of interventions
Service Providers	<ul style="list-style-type: none"> • Service provision and maintenance
Bulk Water Suppliers	<ul style="list-style-type: none"> • Providing Water Services and water quality and water environmental protection
Local Authorities	<ul style="list-style-type: none"> • Planning • Implementing and regulating • Managing service provision within settlements • Shared capacity and water related activities
Civic Interest Groups	<ul style="list-style-type: none"> • Community mobilisation • Awareness creation • Monitoring
CBPs including Planning and Development Committees and/or Forums	<ul style="list-style-type: none"> • Awareness building • Problem identification • Mobilisation



TOOLS & TIPS

To ensure that the process of problem identification (symptoms and causes) is as accurate as possible, you **MUST** ensure that you have drawn in **all role-players who provide a service in respect of the specific waste streams** that appear problematic. Here, for example, you need to ensure that not only the Engineering Division of your Local Authority forms part of the process, but the Health and Treasury Divisions as well.

Also remember that the people who actually do the work have valuable information. For example, people who unblock the sewers would more than likely be able to tell you what is causing the blockages. In many cases these people may actually come from the affected community.

SECTION B: STAKEHOLDER INTERACTIONS

1 How do you identify stakeholders?

The step-by-step guideline below will help you identify stakeholders through a participation analysis that gives an overview of all persons, groups, organisations and institutions connected with the project in any way, as well as their interests and expectations (be they affected, involved and/or interested).

a) Step 1: List

List all possible participants or stakeholders connected or influenced by the project.

b) Step 2: Categorise

Categorise in terms of affected, involved or interested stakeholders.

c) Step 3: Explore the characteristics of the group

- The social characteristics (social background, religion, cultural aspects).
- The status of the group (formal/informal or other).
- The group structure (organisation and leaders).
- The group situation and problems (group's point of view).

d) Step 4: Identify interests, motives and attitudes

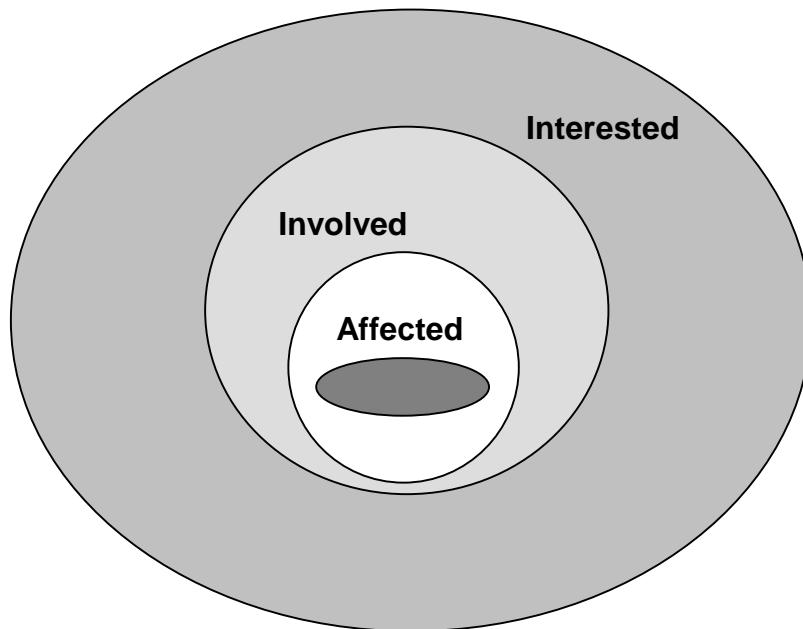
- List needs and wishes of each stakeholder group (an individual can be a group if the person has a difference of opinion).
- List group interests (openly expressed, hidden or vested).
- List group motives (hopes, expectations, fears).
- List group attitudes (friendly/beneficial, neutral, hostile/detrimental) towards each other and towards the implementing agency.

e) Step 5: Illustrate relationships

- Draw a large diagram of three concentric circles (see example below) preferably on flip chart or on big sheets of paper.
- Mark the centre circle as affected parties.
- Mark the middle circle as involved parties.
- Mark the outside circle as interested parties.
- Now begin to fill in from your list generated in steps one and two, those that are affected, involved or interested.
- Draw lines between parties to show who relates to whom in terms of water related issues. The lines can be within a circle or across circles. For example, there may be a relationship between an affected party and an interested party or between involved parties. Write above the line whether or not the relationship is friendly/beneficial, neutral or hostile/detrimental. A

positive linkage (friendly/beneficial) may include a landlord and a tenant who share water equipment; a negative or detrimental relationship may be conflictual or show signs of parties avoiding or withdrawing from each other over access to water.

Diagram 1: Stakeholder Types



f) Step 6: Evaluate the potential of each group

- Group strengths (e.g. resources, rights, control of certain economic, political or social areas).
- Weaknesses and/or shortcomings.
- What could the group contribute or withhold from the project?

g) Step 7: Evaluate implications for project planning if the group were left out

- Now that you have insight into the relationships between parties and their issues, confirm your initial categorisation of the parties as affected, involved or interested parties.
- What action should be taken with regard to a group of stakeholders if you decide to leave them out of the process? Should they be given observer status or ignored?

h) Step 8: Evaluate your information and choose stakeholders for your participation process

- The gathering of information as well as the evaluation thereof requires an iterative process aimed at providing a basis for problem analysis. The identification of stakeholders is an ongoing process, based on gaining a

growing understanding of the specific types of problems being experienced in the community.

- List the stakeholders who you need to include in your participation strategy. You may want to summarise the information you have gathered in table form for an easier assessment. Below is an example of how you could do this.

Table 2: Stakeholder List

Participant/ Stakeholder Whose interests do you want to prioritise?	Problems What problems does the stakeholder face?	Interests What does the stakeholder want from the project?	Potential What might the stakeholder bring to the project?	Linkages Are there any points of: Conflict? Co-operation? Dependency?
Local Authority	<ul style="list-style-type: none"> • Non-payment • Vandalism • Theft • Unaccounted for water • Lack of co-operation from communities 	<ul style="list-style-type: none"> • Payment for services • Equipment protected by community • Effective Water Loss Management 	<ul style="list-style-type: none"> • Better service (more reliable) • Cheaper services • Employment 	<ul style="list-style-type: none"> • Potential co-operation with the community • Conflict with communities • Dependent on funding/grants from other government departments.
Youth Groups	<ul style="list-style-type: none"> • Pollution in area • Lack of employment • Crime 	<ul style="list-style-type: none"> • A cleaner environment • Jobs 	<ul style="list-style-type: none"> • Prevent vandalism • Build community awareness • Provide skills and labour. 	<ul style="list-style-type: none"> • Co-operation with Local Authority/Service Provider • Co-operation with schools and other community groups
DWAF	<ul style="list-style-type: none"> • Minimal resources • Pollution • Downstream use affected 	<ul style="list-style-type: none"> • Promoting better use of services • Identification of 'root causes' of water quality problems • Protecting water quality 	<ul style="list-style-type: none"> • Potential to co-operate with other government dept's. • Facilitation • Capacity • Knowledge 	<ul style="list-style-type: none"> • Potential conflict with Local Authorities • Possible co-operation with Dept. Agriculture



TOOLS & TIPS

Using the Table to Assist with Facilitation

A Table like the one above can prove invaluable once you start facilitating the process, because it helps you ask specific questions that will help/make it easier for different groups to contribute to the discussion.

Now that you have analysed stakeholders for inclusion in the potential project, you will need to consider how to approach them, to become part of your project process. Bear in mind that you may have to revisit the process once you have started the problem analysis.

2 How do you include stakeholders in your process?

- Most importantly, always discuss your plans openly with the power structures in the targeted settlement e.g. traditional authority and/or civic organisation. At this first meeting, agree on the communication methods that will be used for the planning and implementation of the project. You may consider:
- The type of forum/s to be used for communicating information to representatives of identified stakeholders; you may have one forum for affected and involved parties. You will also need to decide with those in authority if affected and involved parties should have the same roles and responsibilities in meetings. For example, maybe affected parties are given voting rights whereas involved parties are given observer status. You definitely need a separate forum for interested parties. You may decide to communicate project issues and resolutions to interested parties through the media.
- A variety of methods for communicating general information e.g. mass meetings, radio talk-shows/advertisements, pamphlets, posters etc.
- Now approach targeted stakeholders and invite them to an initial project-founding meeting. At this meeting, a Working Committee (WC) needs to be set up to take the project further. This can be a sensitive issue, as you do not want to exclude anyone in an arbitrary way.
- The best way to determine who should be in the smaller group of stakeholders is to consult all the stakeholders at the project-founding meeting.
- Explain that for the next step there needs to be a dedicated, smaller group that takes the process forward.
- The larger group of stakeholders needs to nominate / elect people to represent them in the smaller group to be formed.
- Representatives will then report back to the people or groups they represent at mass meetings.
- To establish a Working Committee (WC), the project-founding meeting will need to decide on the following:
 - Numbers of representatives per stakeholder group in the WC.
 - Who should and should not be present at WC meetings. Ensure that the expertise needed for meetings is available. Decide on the expertise needed.
 - Terms of Reference or Constitution for the WC (setting guidelines for discussion in meetings).
 - WC decision-making rules (through consensus or majority vote or other methods).

- A WC Code of Conduct for meetings (how people should behave in WC meetings and how information discussed in meetings should be treated outside of meetings).
- WC Members' roles and responsibilities in meetings.
- Recording of information in all meetings etc.

Some of the WC issues above can be dealt with in the WC's first meeting e.g. Terms of Reference (as opposed to dealing with them in the project-founding meeting).



TOOLS & TIPS

What should you cover at the First Meeting?

You should explain:

- Why you are doing the work.
- What causes pollution and the four waste streams. Give simple examples and invite people to identify their own examples.
- That pollution is caused by physical problems that you can see but that these are, in turn, caused by social and institutional problems. It is, therefore, important for both service providers and the community to recognise that **each plays** a role in contributing to the problem.
- That the visual evidence of problems that one sees (e.g. litter) does not necessarily tell one what the real causes are. Other things may be causing the problems. Use examples that are relevant to the people attending the first meeting.
- Choose the Working Committee at this point if at all possible. Try to make sure that it includes people who can contribute to identifying causes in each of the waste streams.

3 Other sources of help

DWAF's [Generic Public Participation Guidelines](#) also offers a generic step-wise process that can help you select the right stakeholders. In this respect, the process of interaction with stakeholders consists of three phases, namely the Planning phase, the Participation phase and the Exit phase.

During the planning phase one should develop a clear participation plan whilst considering all the identifiable aspects of the participation process before it starts. The planning phase includes three steps namely:

- Decision analysis (define the goal and purpose of the public participation process),
- Participation planning (do a stakeholder and a situational analysis), and
- Implementation planning (develop a detailed public participation plan with goals and deadlines).

During the participation phase, all stakeholders should be informed about the initiative to be undertaken, meetings with stakeholders should be arranged, feedback should be given to and received from stakeholders, and a monitoring and evaluation process should be undertaken. There are four steps namely:

- Informing stakeholders (provide all identified stakeholders with briefing information),
- Meeting with stakeholders (have stakeholder briefing meetings followed by workshops, open days or public meetings),
- Feedback to and from stakeholders (use feedback mechanisms to incorporate stakeholder inputs), and
- Monitoring and evaluation (assess progress and measure the success or failure of the process).

The exit phase is not relevant in all public participation processes, meaning that not all public participation processes come to an official end. Where it is relevant, it involves making sure that all goals have been met and all feedback has been given and received before officially bringing the public participation process to an end.