



SKOOL VIR PUBLIEKE
LEIERSKAP
SCHOOL OF PUBLIC
LEADERSHIP



PUBLIC PARTICIPATION (PP)

5 day training course



Accreditation:

This 12-credit HEQF (2007) level eight short course covers knowledge of a formal postgraduate programme, approved and quality controlled as required by the South African Qualification Authority (SAQA) and the Higher Education Qualification Committee (HEQC)

1. Aim and premise of the course:

This course is aimed at instilling the values and principles that authentic and comprehensive public participation in development and service delivery is a non-negotiable condition for good governance and sustainable development. This hypothesis is explored in a participatory and interactive manner with participants with regards to how participation should be planned and facilitated in general as well as in their particular areas of responsibility. In this regard the Manila Declaration's (1989) statement on Public Participation is of particular value, i.e.

“Public participation, within the context of people-centred development, is an essential part of human growth, i.e. the development of self-confidence, pride, initiative, responsibility and cooperation. Without such a development within the people themselves all efforts to alleviate their poverty will be difficult, if not impossible. This process, whereby people learn to take charge of their own lives and solve their own problems, is the essence of development” (Theron 2009: 211-214) [see: Note pack].

This course is committed to the international principles, theory, models and practice of public participation as a foundation for human development; good governance; developmental local government (DLG) and the implementation of integrated development planning (IDP), but accept, as stated by Van Donk et al. (2008), that a dramatic shift in orientation towards development thinking and enablement is required to reach authentic people-centred development; good governance; a developmental local government and a capacitated IDP (Theron 2009:104-111; 112-134; 135-151 and Theron & Ceasar 2008:100-123) [see: Note pack].

2. Target participants:

This course deals with the knowledge and skills requirements of management at local government and community level, but also in provincial and national government and public entities as well as non-government organisations (NGOs) and community-based organisations (CBOs) and any other change agents involved in development and service delivery in a developmental setting. More specifically, all national, principal and local government officials who address public participation issues are targeted. At local government in particular IDP and community development workers (CDWs) has an interest, but social welfare, housing, planning, health, environmental, and other officials can benefit through attending. The content was designed in adherence to contemporary South African legal and policy requirements as well as globally recognised best practices like those of the International Associations for Public Participation (IAP2) and the World Bank.

3. Course objective and outcomes:

The overarching objective of the course is to equip participants with knowledge and skills for facilitating appropriate public participation in development and service delivery to ensure that social capital of communities is invested to its full potential. Based, inter alia, on pre-course experience of the participants and in-course dynamic interaction and mutual social learning and reflection among participants, this Public Participation course could ideally result in the following mutually reinforcing and empowering learning outcomes:

- Outcome 1:** To understand the multi-dimensional context of participatory democracy and good governance and the most relevant principles and theories (to later integrate with appropriate participatory democracy models and strategy) underlying authentic and empowering public participation at grassroots community level
- Outcome 2:** To become familiar with the legal and regulatory frameworks of public participation (more so in local government) and good government contexts (more

so DLG and IDP) (to later integrate with appropriate participatory democracy models and strategy for grassroots community development)

Outcome 3: To be able to identify and assess an “appropriate mix” of relevant public participation strategies through which to implement the building blocks of development (i.e. public participation; mutual social learning; capacity-building; self-reliance; empowerment and sustainable development) at grassroots community level

Outcome 4: To be able to provide assistance to local government (and other) change agents and their municipalities (and other State departments) and others who assist with participatory development, as well as beneficiary communities during the planning of a public participation initiative (programme or project) [Post-course capacity-building initiatives and communication with participants]

4. Assessment and credits:

After attending this course, participants should be able to fulfil the following assessment criteria through the indicated methods of assessment:

4.1 Assessment criteria:

Each participant must, through the assessments, provide proof that he / she has acquired a satisfactory level of knowledge and that he / she has mastered the practical applications to the extent that it can be applied to relevant work-related challenges and responsibilities.

4.2 Assessment methods:

Performance of participants wishing to gain five NQF level-eight credits will be assessed by means of an in-course group assignments and a more detailed post-course individual assignment:

4.2.1 In-course group assignment: Overnight Assignment (see Day Two):

Assessing the context and challenge of public participation based on a selected newspaper article analysis of the **Hangberg** (Kommetjie, Cape Town) incident. Participants must allow for time at the end of Day Two to consider their strategy and planning for feedback the next morning. Day Three will start with group feedback based on this in-course group assignment. Participants will be asked (working as teams consisting of 6-8 individuals maximum) to critically reflect upon the newspaper articles supplied to each team. Having assessed the newspaper articles, critically consider appropriate issues which has a bearing on public participation as understood by your team. Try to do the following as if you were “summoned” by a Municipal Manager to do “crisis management” after hours:

1. Analyse the articles by indicating the appropriate terminology used and how it relates to public participation, or rather the lack of public participation, at **Hangberg**
2. Analyse the articles by indicating appropriate and related issues, i.e. a holistic approach to public participation (understanding the “big picture” in relation to public participation?) at **Hangberg**
3. Within the context of public participation, specifically consider issues with regard to project management; stakeholder analysis and conflict management at **Hangberg**

4. Indicate the appropriate legal/constitutional/policy issues and how these are related (i.e. the institutional context of public participation) at **Hangberg** and
5. Indicate appropriate strategic/planning/project management and policy-making issues and how these are related (how do we put plans into action with our beneficiaries as active and empowered participants?) at **Hangberg**
6. You are encouraged, in addition to the newspaper articles, to use any means to your disposal to do this activity
7. Plan for at least a one (1) hour presentation per group
8. Be original and practical in planning and presenting your groups case
9. A group mark is appointed for the quality and relevance of the presentation of your group

4.2.2 Post-course individual assignment:

- You are welcome to use the assignment topics below as point of departure, or, alternatively formulate your own topic under the following conditions:
- it must relate to public participation principles; theory and strategy,
- address the institutional and regulatory contexts for public participation and, lastly
- analyse the outcome of public participation strategies based on a DLG/IDP case study of your choice. Format: 6-8 typed pages, with title page (name/topic etc.); table of contents; a body with relevant sub-headings; conclusions and recommendations, as well as a reference list (You are welcome to add attachments, i.e. relevant newspaper articles

etc. On request, the Project Manager can suggest a technical format for the assignment at the end of the course).

Suggested assignment topics:

1. A public participation meeting at a municipality: You are instructed by your Municipal Manager to explain newly announced tax increases (or a planned new re-allocation of land project; land invasion issue or a similar topic of your choice) to your community at a well-attended public meeting in the local town hall. Compile a checklist of activities to be addressed in order to ensure a successful public participation meeting. Explain your strategic points of departure and planning steps; aims and expected outcomes for the meeting of which you act as the chairperson.
2. Draw from your own working environment and recent experiences regarding public participation and evaluate it on the basis of the below-mentioned aspects:
 - Issues discussed
 - Strategies used (what worked well and what not and why?)
 - What would you do to improve public participation in the future?
3. You have been appointed as an advisor / consultant to inform your Mayor and Municipal Manager about public participation issues in a future planned low-cost housing project (or other project/issue of your choice). Outline your strategic and operational plan and advice to the Mayor and Municipal Manager by using strategic planning and project management principles.
4. You have been appointed to manage a public participation process in a recent flood disaster area where 200 households are left homeless. Your task is to facilitate dialogue with the homeless regarding alternative accommodation. Compile a project team and draw up a work breakdown structure as well as your public participation strategy with/for the affected community. Explain your options and strategies in detail.

5. Critically evaluate, in a case study format, the principles of IDP; what it is supposed to achieve; how it will influence a budget etc., by assessing the role of public participation in this regard. During this process, inter alia identify the benefits of strategic planning in IDP, the cycle of planning and the role of Key Performance Indicators (KPI) in strategic planning. Conclude by indicating the potential pitfalls to public participation.
6. Argue the following statement by integrating theoretical and practical points of departure, if possible by using a case study and applying your skills and experience in public participation in development projects: “Through their participation in development, communities, as the intended beneficiaries, will determine the process whereby a development project should be attained”.
7. There are numerous reports in Local Government about lack of public participation. Critically assess the reasons and suggest more appropriate strategies, specifically the role which Ward Committees or CDWs should play in this regard.
8. You are part of a SAPS and a local representative community group who is tasked to establish a Community Police Forum for a 70,000+ community in an urban area. Consider (and present) the following in your planning process, i.e.
 - 8.1 legal and regulatory guidelines for planning a CPF
 - 8.2 enabling the CPF to be representative of the “total” community
 - 8.3 an “appropriate mix” of public participation strategies for effective and empowering participation by the community
9. As a member of the local Ratepayers/Lions/Round Table/Rapportryers/CPF/Cultural Society etc. of your town (make a choice), identify what you can contribute towards establishing empowering community-building and participation by explaining the relevance of the following to the organisation (above) which you represent, i.e.
 - 9.1 having a clear vision and mission statement (in your organisations constitution)
 - 9.2 conducting a stakeholder analysis

9.3 conducting a SWOT analysis

9.4 identifying an “appropriate mix” of public participation strategies to engage with your community (or stakeholder group)

10. Reflecting upon public participation theory, critically consider the following “public participation strategies” for local government. Which of these strategies, based on your experience, can be viewed as “a form of consultation”; “a form of involvement”; and lastly, “a form of authentic and empowering public participation”? Motivate in each case through practical application and experience:

- legal notices and community newspapers/radio’s
- field trips
- Imbizo’s or Indaba’s
- a public meeting
- a Forum (i.e. Community Police Forum)
- Ward Committees
- public hearings
- a complaint register
- action research (PAR/PLA)
- multi-purpose community centres (Thusong Centres)

5. Course structure and daily programme of activities:



Note: The contents of the following programme can be changed and adapted to circumstances and group dynamics during the course

Times	Day 1 Public Participation principles, context and concepts for development, DLG and IDP	Day 2 The national policy and regulatory framework for Public Participation in development, DLG and IDP – a critical reflection by participants	Day 3 Public Participation strategies for development, DLG and IDP – from principles, through models towards appropriate strategies	Day 4 Establishing Public Participation capacity through local government-community planning partnerships – Public Participation as Community Development	Day 5 Integrating the Public Participation debate: from theory towards practical policy and strategic considerations
08:00	Registration/tea/coffee	Tea/coffee and reflection on Day 1: linkage and action-reflection	Tea/coffee and reflection on Day 2: linkage and action-reflection	Tea/coffee and reflection on Day 3: linkage and action-reflection	Tea/coffee and reflection on Day 4: linkage and action-reflection
08:30 to 10:30	Welcome and Introduction to course: [Slide no. 1] 1. <i>SPL programmes and capacity-building networks</i> ; 2 Course objectives and points of departure; 3. Learning outcomes; 4. Teaching and learning methodology to be used; 5. Time management; 6. Course assessments and evaluation; 7. Course material and networks; 8. Post-course “hotline” and capacity-building networks and 9. Informal “ice break” activity and introduction by participants and facilitator [Slide no. 2] and [Slides no. 3-5] and [Slide no. 7]	Reflecting on the policy and regulatory context for Public Participation – group work and informal group feedback to assess and evaluate the understanding by the participants of the national and local policy and regulatory framework with regards to Public Participation in South Africa - what works? What fails and why? [Slide no. 9]	Group work feedback based on in-course overnight assignment: The Hangberg incident and related public participation issues - a comprehensive and critical reflection within group context: What went wrong? Why? How should have the Hangberg incident be accommodated in the first place?	Linking with Day’s One to Three: a summary of the main learning points and strategic considerations for action – a critical-analytical interactive round table discussion <ol style="list-style-type: none"> Learning and doing – Public Participation Philosophy and Theory and Principles Learning and doing – Public Participation Models Learning and doing – Public Participation Strategies Learning and doing 1-3 – the regulatory and strategic grassroots framework for planning and facilitating Public Participation 	Summary of Day’s One to Three: a participatory action-reflection round-table discussion linking to key challenges: Interactive and reflective newspaper activity; linking public participation principles; models; strategy and policy-making <ol style="list-style-type: none"> Why do Public Participation activities often fail? A radical re-consideration of more appropriate Public Participation planning; facilitation and implementation Group activity towards planning an appropriate mix of more appropriate and empowering Public Participation strategies [Slide no. 30]

	Break	Break	Break	Break	
11:00 to 13:00	Principles, context and concepts for Public Participation: Part One: Round-table interactive workshop: The realities and expectations of Public Participation in the context of DLG and IDP: open group discussion by participants based on their individual and group experience and capacity [Slide no. 8]	Conceptualizing and contextualizing (from theory to practice) related public participation issues and challenges within the Community Development debate: the building blocks of development as micro-level facilitation and enabling strategies [Slides no. 10-16] [Slides no. 18-19]	Public Participation strategies: the IAP2 Toolbox – a context specific appropriate “mix” of 59 strategies to facilitate participatory facilitation and enablement through public participation by change agents, in partnership with community beneficiaries: a strategic planning and project management approach [Slides no. 20-27]	Assessing the role of local government officials as facilitators of Public Participation <ol style="list-style-type: none"> From “official” to “change agent” – enabling and facilitating instead of service delivery Establishing local government-community planning partnerships Establishing local government-community social research capacity [Slide no. 29]	Group feedback based on no. 3 above [Slides no. 31-33] <ol style="list-style-type: none"> Selected alternative round-robin workshops on key Public Participation issues Alternative interactive media (newspaper) analysis and reflection - placing Public Participation in a holistic and interrelated development context
	Lunch	Lunch	Lunch	Lunch	
13:45 to 15:45	Principles, contexts and concepts for Public Participation: Part Two: An overview and linkage: 1.The Public Participation “maze” as clarification [Slide no. 6] ; 2. Public Participation <i>principles</i> (International & local); 3. Public Participation <i>models</i> (International) [Slides no. 10-12] General discussion and conclusion for Day One	Orientation and expectation regarding overnight assignment (see in-course overnight assignment): i.e. allocation of groups, etc. [Slide no. 17]	A framework for action: Drafting a Public Participation model – a benchmark for public participation? Summary and Conclusion of Day Three [Slide no. 28]	Reflections: <ol style="list-style-type: none"> Main points of learning Strategic options to consider via facilitation and enablement Establishing networks and extending capacity-building with Public Participation Course Project Manager Conclusion and recommendations 	Conclusion to programme: <ol style="list-style-type: none"> Interactive and reflective Public Participation Internet workshop – establishing networks and building linkages (Bellville Campus only) Facilitators conclusion: aims and outcomes of programme and future options for course participants [Programme concludes at lunch time]
15:45 to late	Individual and small group reflections and work in own time	Overnight group assignment – plan strategy and work in groups	Individual and small group reflections and work in own time	Critical reflections on learning outcomes; future options and course assessment	

Glossary:

Definitions are not cast in stone, neither should act as blueprints. Definitions must be constructed on context specific realities and in a participatory manner.

- 1. Public Participation:** The collective efforts of the beneficiaries of development (ordinary people) to organise themselves and pool their social capital to attain set grassroots objectives through *influencing*, *directing* and eventually *owning* the development process (See Rahman 1993:150 and the International Association for Public Participation, i.e. IAP2).
- 2. Defining public participation:** The social learning and empowering participatory planning process through which the efforts of the people themselves [bottom-up approach] are united with those of government and officials [top-down approach] to improve the political, economic, social, cultural, environmental and psychological contexts of people and beneficiary communities to build self-reliance and capacity through enabling and empowering them to contribute to sustainable development (Adapted from UN Department of Economic and Social Affairs 1963:4 in Theron 2009:115).
- 3. The building blocks of development:** The functional, mutually reinforcing relationship and logical sequence of participatory planning through which government (officials) as change agents (See Theron 2008:1-22) and local community beneficiaries (based on their social capital and ingenious knowledge systems) engage in and facilitate (1) public participation; (2) engage in and facilitate a mutual social learning participatory planning process; (3) build capacity among each other; (4) become self-reliant; (5) empower each other and eventually experience mutual beneficiary; (6) sustainable community development (See Theron 2008:229-232 and Theron 2009:121-125).
- 4. Public participation principles:** Principles regarding authentic and empowering public participation inter alia based on [International context] the (1) Manila Declaration on People's Participation and Sustainable Development (1998); (2) The African Charter for Popular Participation in Development and Transformation (1990); (3) The United Nations Agenda 21 for Sustainable Development into the 21st Century (1992) and [National context] the (4) South African Constitution (1996), (5) White Paper on Transforming Public Service Delivery (Batho Pele) (1997); (6) White Paper on Local Government (1998); the (7) Municipal Systems Act (2000), and other.
- 5. Public participation models:** Public participation models constructed by public participation experts and institutions, i.e. (1) Pretty et al.'s (1995) seven typologies of participation; (2) Oakley & Marsden's (1991) modes of participation; (3) Arnstein's (1996) "ladder of participation" and (4) IAP2's Spectrum of Public Participation (See Meyer & Theron 2000; Theron 2009:125-131 and IAP2 Spectrum of Public Participation on Internet).
- 6. Public participation strategies:** A diversity of [some less effective and some very effective] strategies constructed by public participation experts and institutions (See IAP2's Toolbox for Public Participation and the World Bank 1996 Participation Source Book) ranging from *level 1*: informing beneficiaries, to *level 2*: consulting beneficiaries and, eventually, *level 3*: empowering beneficiaries (See Theron 2009:125-13).

7. **Development change agent:** Based on humanist thinking and people-centered development approaches, the principle that government officials should ideally act as participatory (grassroots) *facilitators* and *enablers* of development. This entails departing from “power over beneficiaries” (ala Chambers 2005 and Theron’s 2008:222-238 “development themes”) towards local settings and arenas in which “power with” and “power charring” takes place. This is a social learning process through which both officials and beneficiaries are empowered [as equal planning partners] to engage in participatory planning regimes. This process entails radical “shifts in thinking” in our understanding of development planning, DLG and IDP and our approach towards both (See Theron 2008:1-22).
8. **Development beneficiaries:** The local people, community members at grassroots (micro-level) who, often lack power to negotiate (i.e. to *influence*, *direct* and *own* development “service delivery” which is often still “top-down” and “prescriptive” in nature), but who mostly, “know what they want”, and who possess local social capital and indigenous knowledge which is crucial for the ideal development context, i.e. participatory and empowering development planning partnerships (Theron 2008:41-75).
9. **A holistic and interdisciplinary approach:** Due to its complex nature, *holistic* development thinking, planning and implementation (Kotze & Kotze in Theron 2008:76-99 and Theron 2008:226-228) entails a “*big picture*”- understanding of the mutual influences among economic, political, environmental, social, cultural and psychological development contexts. To enable change agents to grasp this “meaning giving context” and multi-dimensional reality, development facilitation and enablement requires an *interdisciplinary approach* (we need to “marry” the hard [i.e. engineering] and soft [social development] planning disciplines in reaching towards participatory planning partnerships).
10. **Appropriate social research methodology:** Those engaging in development grassroots facilitation can only do well (see Theron 2008:17-20; 238 and Theron 2009:155-171) if we expose ourselves to “alternative” *qualitative* social research methodology (See Babbie & Mouton 2008:313-323) like *Participatory Action Research* (PAR) and *Participatory Learning and Action* (PLA). Through this radically different approach to social research, the social research process is “democratised” – the researcher (outsider) forms a research partnership with the “researched” (insider) through which (1) we get closer to local (grassroots) realities and solutions; (2) the empowerment of both parties (outsider and insider) and (3) the integration of two knowledge systems, that is: outsider (technical in nature) and insider (social capital and indigenous knowledge) knowledge systems.
11. **Good governance:** A process by which public institutions conduct public affairs, manage public resources and guarantee the realisation of human rights; a process which inter alia incorporates predictable, open and enlightened policy-making, a professional ethos and acting in furtherance of the public good, the rule of law, transparency and a strong civil society participating in public affairs [10 core values can be identified: participation; transparency; effectiveness and efficiency; responsiveness, accountability; consensus orientation; equity; inclusiveness and the rule of law]

References:

1. **Centre for Public Participation (CPP) 2007. Public participation and local governance.** Durban, RSA. (pp.1-27) *[Copy supplied in course pack]* [website: <http://www.cpp.org.za/>]
2. Davids, I., Theron, F. & Maphunye, K. 2009. (2nd Ed.). **Participatory development in South Africa – a Development Management perspective.** J.L. van Schaik, Hatfield (see Chapter 10: *Public participation as a micro-level development strategy: the principles and context for authentic and empowering development*, pp.112-134) *[Copy supplied in course pack]*
3. Davids, I. 2005. **Voices from below. Reflecting on ten years of public participation: the case of local government in the Western Cape Province.** Cape Town: FCR
4. International Association for Public Participation 2 (IAP2) 2009. [website: <http://www.iap2.org/>]
 (1) *Public Participation Core values*
 (2) *Spectrum of Public Participation*
 (3) *Toolbox of Public Participation Strategies*
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5. Theron, F., Ceasar, N. & Davids, I. 2007. **Participation according to IAP2 principles: Opportunity of challenge for IDP in South Africa.** Volume 1, issue 1, International Journal of Public Participation) *[Copy supplied in course pack]* [website <http://www.iap2.org/>]
6. Theron, F. (Ed.) 2008. **The development change agent. A micro-level approach to development.** J.L. van Schaik, Hatfield (see Chapter 1: *The development change agent – a micro-level approach to development*, pp. 1-22) *[Copy supplied in course pack]*
7. Van Donk, M., Swilling, M., Pieterse, E. & Parnell, S. (eds.) 2009. **Consolidating developmental local government. Lessons from the South African experience.** Cape Town: UCT Press

Facilitator:

Francois Theron is an Anthropologist and Social Development consultant. As a senior lecturer he teaches Development Studies/Management at the School of Public Leadership, Stellenbosch University. He holds a BA (Social Sciences), BA. Honours (Social Anthropology) (*cum laude*); BA Honours (Development Studies) (*cum laude*) and MA (Social Anthropology) (*cum laude*) from Stellenbosch University. He is a member of professional organisations and has contact with national/international development related organisations and acts as an external examiner/moderator in Development Studies/Management for different universities in and outside South Africa. Theron participates in numerous workshops/conferences regarding development planning/management and related fields, specifically the International Winelands Conferences in Public Management and Planning; delivered 10 papers/posters at national/international conferences and on the request of scientific journals, wrote 25 book reviews.

As a participant in development planning and management interventions, Theron's fields of interest/research/teaching/consultation/publications relate to grassroots community development issues, specifically development theory and planning; poverty analysis; social housing; integrated urban/rural development strategies and social forestry. In this regard, he currently specifically focuses on public participation; social learning processes; capacity-building; self-reliance; empowerment; indigenous knowledge systems/social capital and sustainability. He has a strong interest in action research methodology and co-facilitates one nationally accredited training short course programme on public participation and capacity-building for local government officials and another in integrated community development planning.

Theron has extensive scientific publications to his name in development management and related fields. In this regard he has published 28 articles in accredited scientific journals and edited/co-edited 13 academic books, himself contributing 22 chapters. He supports interdisciplinary research which leads to community capacity-building projects; training short courses; consultation and supervision of master's students, of whom he has supervised 62 students and acted as internal supervisor/examiner for 40 students.

Theron has been involved in numerous community capacity-building programmes over many years, inter alia the Forum for Community Development. His main involvement in the latter regard currently is the multi-cultural community centre, the Breytenbach Centre, Wellington and the Wellington Community Policy Forum.

Theron's latest work is *The Development Change agent. A micro-level approach to development* (2008) (Van Schaik). His previous co-published book, *Participatory Development in South Africa. A Development Management perspective* (2005) (Van Schaik), is now republished as a 2nd and reworked edition (2009). Both these publications are widely prescribed at South African and Namibian universities.

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