

The Game Changer Workshops: Leadership in meaningful citizen engagement in Municipal planning



***“Module 2: Approaches for Meaningful Citizen
Engagement”***

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Module 2

“Approaches for meaningful citizen engagement”

1 Introduction

The purpose of the Game Changer Workshops is to enable participants, leaders within the public (government) and private (businesses and civil society) sector, to collectively address the complex international socio – economic challenges of our times, from the perspective of the Municipal level. The programme thus aligns with the well-known slogan to *think globally and act locally*.

The following module “**Approaches for meaningful citizen engagement**” discusses the role of citizen engagement in service delivery and how citizen engagement can improve policy making. Different approaches for meaningful citizen engagement will be introduced with a special focus on the asset-based community development (ABCD) approach. The ABCD approach is a bottom-up approach which shifts the emphasis from a services approach to an enablement approach. Development is now about how people can take responsibility for their own destiny. This approach does not deny that individuals have needs or feel themselves lacking in some way. It simply acknowledges that every individual has something to contribute to the development of the community.

We would like to remind you on the rules and values of the workshop



Ground rules are codes of conduct to which all workshop participants agree to adhere. **Group discussion:** All participants should remember the values and ground rules that you agreed on during the first workshop on Leadership. **List on flip chart paper also any new rules and values that you would like to add.**

We propose following ground rules for a productive workshop:

- It's OK to disagree.
- We work in a safe environment; personal stories stay in this room.
- We challenge each other constructively; no personal attacks.
- When we present problems, we also offer solutions.
- No electronic disruptions.
- When confused, ask.
- All members participate in problem solving — we value all perspectives.
- Stay focused and on track.
- One person has the floor at a time (no interruptions).



Exercise: Check in (20min)

Purpose: To arrive at full presence for the meeting, to leave behind other concerns and

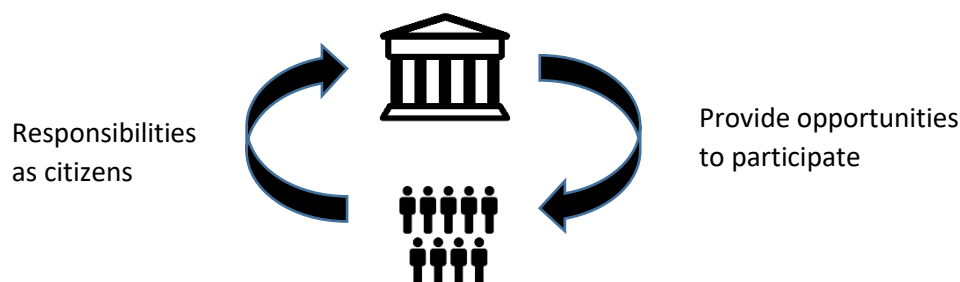
to focus on the meeting. To deepen the interaction of the group by allowing the participants to bring more of themselves into the group.

Instructions:

1. Sit down or stand in a circle.

2. Read the motto of the day (from Lao Tzu): "When the best leader's work is done the people say, 'We did it ourselves.'"
3. Ask the participants to share with the group how they feel today, what they have learnt during the last workshop, what they were able to put into practice, and how they have developed since. Use a stone, or a ball or something similar that serves as a talking piece passed around. A talking piece reminds participants to listen to each other and slows down the conversation in situations where everybody wants to speak at the same time.
4. In a second round, ask participants to share what they expect from this workshop.

2 Citizen Engagement: Where are we now?



Citizen engagement or citizen participation is

"individual and collective actions designed to identify and address issues of public concern".

(American Psychological Association)



It can be defined as

- citizens working together to make a change or difference in the community.
- communities working together in both political and non-political actions.

The goal is to address public concerns and promote the quality of the community.

Citizen or public engagement can take many forms

- individual volunteerism
- community engagement efforts
- organizational involvement
- government work such as electoral participation.

These engagements may include

- directly addressing a problem → personal work, community-based work
- indirect engagement → e.g. through an institution of representative democracy.



Exercise: Citizen Engagement to improve effective use of water resources (40min)

Purpose: To sensitise participants to possibilities of citizen engagement. To create an understanding for different forms of citizen engagement and personal interest to participate in community projects. To create an understanding of different perceptions around people's input depending on where they come from.

Instructions:

1. Divide group according to their sector (civil society, government, private sector).
2. Read the following scenario (based on the case study “Effective use of water resources”, see annex)

Hlomendlini village is a community characterized by low socio-economic development and did not have any access to piped clean water before the project started but has as valuable natural asset a strong source of perennial spring water. After the community members had been trained by Matat-EDA they completed an asset-mapping of their community. They identified the spring water resource and existing community gardening initiative as important assets. A village water committee has been established and trained in participatory health, hygiene and sanitation. Because of the good maintenance of the system by the water committee, the residents of the Matatiele low cost housing receive their piped water from the spring and the communal gardens profit from good irrigation. The Provincial Department of Economic Development, Environmental Affairs and Tourism (DEDEAT) contributed to the ongoing initiatives by delivery training on environmental protection to schools and community members. The community gardening team improved their production and marketing. Because of these improvements, the project team manages to sell their fresh produce within the village and to neighbouring supermarkets.
3. Answer the following questions:
 - Who initiated the project?
 - Who are the stakeholders participating in the project? What resources did they contribute?
 - Would you say this is a case of citizen engagement, if yes, why and what form of engagement (individual, community, organisational, government, direct or indirect engagement).
 - What do you believe are the reasons for their engagement?
4. Present in plenary and discuss any differences in the results.

Legislative- and policy background to citizen engagement at local government level	
The South African Constitution	<ul style="list-style-type: none">• “...the foundation for a democratic and open society in which government is based on the will of the people.”• Strong focus on citizen engagement• Chapter 7: encourage the involvement of communities and community organisations in matters of local government• Section 152: local government must encourage the participation of communities in decision-making processes.
The Municipal Systems Act	<ul style="list-style-type: none">• Municipalities to develop a culture of community participation and design mechanisms, processes and procedures accordingly• Section 73: Ward committees shall enhance participatory democracy in local governance
Back to Basics Programme (B2B)	<ul style="list-style-type: none">• Focus on the importance of citizen engagement as basis for Municipal service delivery• People and their concerns must be put first.• Municipalities must put in place effective communication systems and public participation programmes• Citizens must be enabled to hold local government to account



Group discussion (10 min)

The municipal system's act states: "Creating a culture of community participation by designing mechanisms, processes and procedures accordingly":

Discuss in plenary: What formal mechanisms, processes and procedures do you know that encourage public participation in local governance?

Compare with possible answers:

- Municipality needs to communicate information to the community, for example procedures and regulations, by-laws etc.
- Public must be invited and encouraged to make submissions about the IDP and the municipal budget through public media.
- Giving notice of the municipal council meetings to the public.
- Allowing admission of the public to municipal council meetings.
- Making certain documents available to the public.
- Establishing and maintaining a website with up to date information thereon.

2.1 Forms of productive engagement by the public

Thick engagement

- Enables large numbers of people, working in small groups, to learn, decide, act together, share experiences and discuss policy options
- Proactive network based recruitment
- Face-to-Face meetings in smaller or larger groups
- Participants learn, decide act, Concrete actions are planned
- rather long term engagement

Participation in forums, councils, assemblies, public gatherings, ward committees, NGOs

Thin engagement

- Activates people as individuals rather than in groups
- Faster, easier for the participant, can go viral
- Rather short term engagement
- Quick contribution to documents, financial contributions, provide feedback
- Circulate information

Participation in surveys, petitions, crowdfunding, crowdsourcing, games, indicating preferences on social media, distribution of information material



Exercise:

Advantages and

disadvantages of thick and thin engagement (30 min)

Purpose: To increase understanding of advantages and disadvantages of thick and thin engagement and the advantage of combining both approaches.

Instructions: Divide group into two groups. **Each group to work on one scenario.**

Scenario A: An NGO distributes a short questionnaire among residents on the quality of the waste collection in an area that struggles with high levels of illegal dumping. The questionnaire includes a question on how to improve the situation. The NGO hopes to use the negative feedback from many

residents to put pressure on the municipality to improve the situation. The NGO also hopes to collect some innovative ideas from residents on how to improve the situation.

Scenario B: An NGO activates a small group of residents of a community that struggles with unreliable waste collection and illegal dumping. Over the next months, the group develops a strategy and an action plan on how to improve the situation. The group participates in ward council meetings and provided input to the IDP review. It hopes to get support from the municipality and the public sector to get funding for several projects.

1. Both groups to answer the following questions:
 - Is this thick or thin citizen engagement? Why?
 - What are the advantages and disadvantages of this approach?
 - Provide examples where you have experienced this kind of productive engagement in your community. Was it successful? What were the challenges? How could the challenges be overcome?
 - How could this approach be combined with the other approach (thick or thin respectively)?
2. Present and discuss your results in the plenary.

The most promising direction for innovation may be to find ways of combining the best feature of thick and thin engagement for example a large deliberative forum with small group meetings, online connection and texting.

Both thick and thin engagement tactics have contributed significantly to policy outcomes- but generally only when there are large and diverse numbers of people involved. This is an important point: **a large critical mass of participants is usually crucial for affecting policy, even when public officials are supportive of the idea of citizen engagement.**

2.2 Advantages of Citizen Engagement

There are several ways citizen engagement can improve policy making:

Advantages of citizen engagement	
People become more informed	<ul style="list-style-type: none"> • Opportunity to share additional facts, values and perspectives • Awareness of facts and recommendations and the opportunity to express opinion can change the policy debate • Better decisions due to more complete information • Officials become better communicators
It can bridge divides	<ul style="list-style-type: none"> • People on different sides can find common grounds and develop new solutions
Increased accountability of elected officials	<ul style="list-style-type: none"> • Engagement can connect citizens and public officials and inspire more communication. • When a critical mass of people is involved it can build the political will necessary to affect policy
Increased decision legitimacy	<ul style="list-style-type: none"> • People get a sense that decision makers are listening and that what they say matters • Decisions are more sustainable as they are based on

	consensus considering the needs of all stakeholders
Generates new ideas	<ul style="list-style-type: none"> Engagement creates settings where people come up with new ideas for new activities
Develops leadership	<ul style="list-style-type: none"> Engagement provides spaces where new leaders can emerge. Participants in the process become better communicators, better listeners, learn to respect and value each other and each other's input
Helps to identify available resources	<ul style="list-style-type: none"> Engagement efforts can help people form relationships and find the resources and allies they need to implement their ideas
Develops community capacity	<ul style="list-style-type: none"> Participants learn about each other Participants increase knowledge Participants learn to participate in constructive decision-making processes Participants learn to solve difficult social problems in collaboration



Sustained engagement is generally better than temporary engagements.

- If engagement is built into the way that communities' function,
- if thick and thin tactics are combined in a long-term engagement plan,
- if they are incorporated in to the way that government makes all kinds of decisions,
 ➔ Then citizen engagement is more likely to influence policy making and seem to have other positive effects, in everything from health to education to economic growth.

2.3 Strategies for recruitment and participation

The categories of thick and thin are very useful for conceptualising productive participation, but the tactics used within those categories vary tremendously. Four strategic questions are useful for understanding some of these variations:



Who should participate and how will participants be recruited?



Exercise: Brainstorming in plenary to answer the above question, then compare with below information (15 min)

Who needs to participate is a central issue in public participation?

- Leaders need to **examine who is affected** by the issue, as well as the stakes involved for those who are affected.
- The more people are affected by an issue, and more an issue deeply affects people, the more participant recruitment matters.
- There are three primary **recruitment strategies** which may be used alone or in combination:
 1. **broadcasting announcements through the media;**
 2. **recruiting participants proactively through networks;**
 3. **selecting participants by random sample.**
- Organisers need to put themselves in the shoes of potential participants and think about the incentives that might compel them to engage as well as the barriers that might stand in their way.



What information do participants need?

Participant's inputs improve when they are given high quality information

- that provides context and history,
- is neutral and objective and
- include all perspectives.

Simple low stake issues may not require participant's preparation.

Complex issues need good preparation with adequate information material provided for example through **website, infographics, newspaper article, short presentation or expert or panel discussion.**

Complex or high-stake issues almost always require information material such as issue guide, online resource or expert on the issue who can answer technical question.

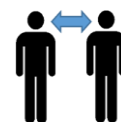


How do decision makers communicate with the public?



One-way communication:

unidirectional flow of information between people
e.g. inform public about meeting dates



Two-way-communication:

reciprocal flow of information between people
e.g. get a response to a simple question

More complex issues need deliberate communication:

- interaction that considers the way the **individual receives, processes, and expresses information and ideas.**

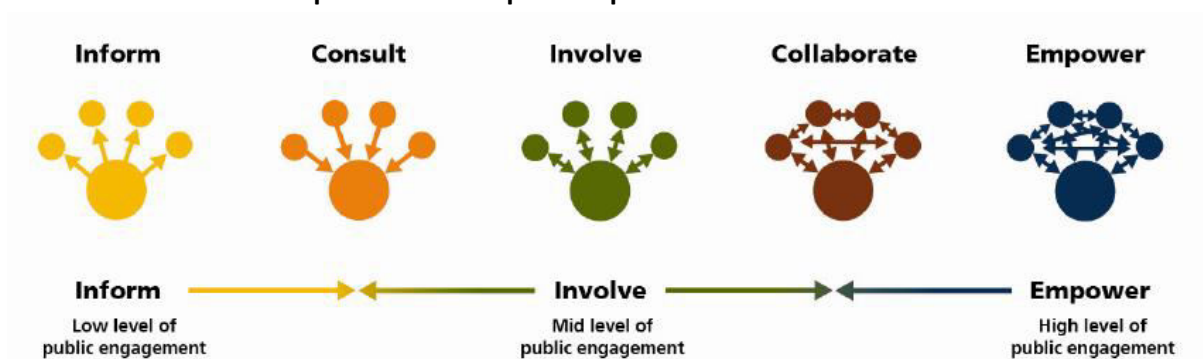


- **labour intensive and time consuming**, but useful and sometimes essential for high stake issues
- more focused on **problem solving**.
- open and accessible conversations
- weigh the **strength and weakness of alternative solutions** to a problem
- aim to **arrive at a decision or judgement** based on not only facts and data but also on value, emotions and other less technical consideration.
- all participants should have an **opportunity to speak**, listen attentively and consider the contribution of others,
- **treat each other with respect**.



What communication strategies can be used to involve the public in policy decision, problem-solving efforts, or other kinds of public actions?

Five levels of how municipalities can use public inputs



<p>“We will keep you informed”</p>	<p>“We will keep you informed, listen to and acknowledge concerns and aspirations. We provide feedback on how public input influenced our decision”</p>	<p>“We will work with you to ensure that your concerns and aspirations are directly reflected our doing and provide feedback on how public input influenced our decision”</p>	<p>“We will look to you for advice and innovation in formulating solutions and incorporate this into the decision as much as possible”</p>	<p>“We will implement what you decide”</p>
<p>Provide public with balanced objective information to assist in understanding the problem, alternatives, opportunities, solutions</p>	<p>Obtain public feedback on analysis, alternatives and decisions</p>	<p>Work directly with the public throughout the process are ensure that public concerns and aspirations are consistently understood and considered</p>	<p>Partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.</p>	<p>Place final decision-making in the hands of the public.</p>



Group discussion in plenary: Communication strategies (40 min)

1. How do you inform participants of the community in preparation of meetings where complex issues are discussed?
2. Provide a specific example from your area of work for each of the participation modes presented above.
3. Where do you see opportunities to improve on the communication and participation style in your setting?

2.4 The role of information and feedback in Service Delivery

Government are meant to be elected by and serve the people.

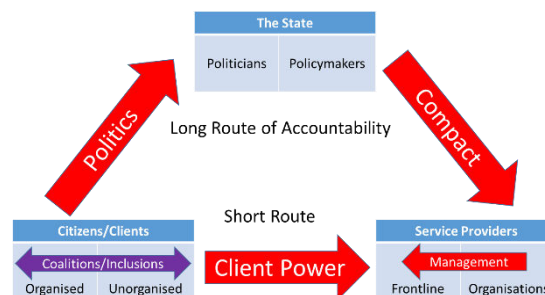
But how do we make sure that the people feel that

- government is there for them, listen to or care about them or
- the government will solve their problems.
- they don't have to fend on their own.

The triangle of accountability

- Every few years, people can influence the policies by voting in the right leaders → **long route**
- On a day to day basis, the citizen can influence through direct relationship with the service provider → **short route**

Information and Feedback play an important role in the accountability of government and service provision through the public sector:



2.4.1 Information

- How can citizens engage with the health centre if they don't know what services are meant to be provided, by whom and at what cost?
- Who can they call and go to if there is a problem?

In practise, it is very hard to get information most of the time.

Many government and civil servants have inherited an operating culture which is closed and secretive where information is not meant to be shared.

Service providers and citizens and do not feel ownership of what is going on.

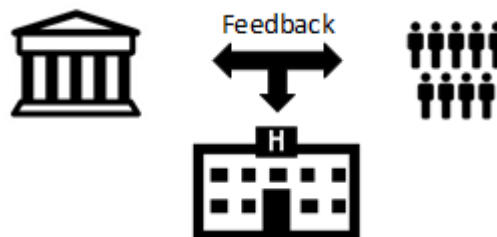
Section 32 of the Constitution provides that **everyone has a right of access to any information** held by the state and any information held by another person that is required for the exercise or protection of any rights.

By sharing information, government increases trust, gets good ideas from people, builds their credibility and helps solve problems.

However, for information to be useful for citizens there are at least five things that are important:

- **Information needs to be relevant**, it needs to matter to people, and it needs to be about something they care about.
- **Information needs to be disaggregated to the local level.** People want to know what is going on in their community, in their school, in their clinic. Information at the district level or national level, is often less helpful.
- **Information must be accessible.** The location needs to be right, the language and the level of language so that people understand.
- Information needs to be **reliable and accurate**
- Information should be timely so that people can trust that the **information is up to date.**

2.4.2 Feedback



Policy makers and service providers **need to ask for feedback** from citizens and **give them feedback** and **respond**.



Exercise: Quick brain storming about the importance of “Feedback” (20 – 40 min)

Instruction:

1. Read the following scenario:

“A municipality realises that a new clinic opened 6 months ago is not well attended.”

2. Plenary to answer the following questions:

- **Why is it important to receive feedback** from the citizens about the new clinic and its service to the community?
- **What kind of feedback** is needed from the citizen?

3. Compare with following possible answers:

- Are clinic visitors informed about what services are offered at the clinic?
- How do visitors experience the clinic?
- How can the service be improved?
- What ideas to clinic visitors have for change and improvements, something that was not yet thought about?
- Is the location, right? How about transport?
- Do the services offered, meet the needs of the citizens?
- Is the service offered of quality?

4. Extension of the exercise: Discuss the following questions:

What is your experience with feedback received from citizens? Was it helpful? Was the feedback used productively to improve service delivery? Was feedback used to document challenges or successes and to share experiences?

Benefits of receiving feedback from citizens:

- Identification of problems
- Challenges can be shared so that similar projects don't make the same mistakes
- Successes can be duplicated to similar projects.
- Success stories can be shared

The role of media in feedbacks: Free media contribute to good governance, empowerment and eradicating poverty. A free press and free and independent civil society organisation can provide valuable feedback to the government.

If feedback is not (or is perceived not to be) taken seriously, it breeds frustration and anger.

- ➔ It is important to **be transparent on how the feedback will be taken seriously** before you ask for it.
- ➔ There should be an accountability function where government needs to **explain to people what is done with the feedback information.**

2.5 Challenges and disadvantages of citizen engagement

Challenges and barriers to citizen engagement: There are multiple <ul style="list-style-type: none">• different attitudes in diverse cultures and contexts• scarce information and education before consultation on public engagement• mistrust because of former experience• memories of generations• lack of networks• uncertain impact of public engagement to the individual, the community and the cause• red tape to channel public opinion into the national democratic procedures• national culture of public debate	Disadvantages to Citizen Participants: <ul style="list-style-type: none">• Time consuming (even dull)• Pointless if decision is ignored• Worse policy decision if heavily influenced by opposing interest groups Disadvantages to Government: <ul style="list-style-type: none">• Time consuming• Costly• May backfire, creating more hostility toward government• Loss of decision-making control• Possibility of bad decision that is politically impossible to ignore• Less budget for implementation of actual projects
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Group work: Challenges with citizen engagement (30 min)

Purpose: To motivate participants to overcome challenges by thinking creatively about solutions.

Instructions:

1. Divide the group in smaller groups of 3-4 people.
2. Brainstorm: Have you experienced any of the above challenges or disadvantages?
3. Choose 2 concrete examples and provide a solution on how these challenges could be addressed.
4. Present in plenary.

Community protest: A special case of public engagement?

Here are some (perhaps) controversial ideas (adapted from Stephens, J. 2015)¹:

There are **violent forms of protest** where people are being hurt or property harmed, whereas **“peaceful” demonstrations** generally do not disrupt traffic or normal activities. There is a grey zone, sometimes labelled as **civil disobedience**, for example blocking sidewalks, roads or buildings.

The idea of public engagement is not restricted to cooperation with the government. Various religious, civic, social, neighbourhood and other efforts engage, mobilize and direct concerns to elected and appointed public officials. **Engagement does not have to be “formal” to be “acceptable” or important.**

More learning occurs through peaceful engagement, but peaceful is not necessarily “quiet” or “nice”: there is a **long history of nonviolent action, which seeks to raise awareness of injustices** and the need for change. Peaceful as well as violent protest have come out because **citizens feel that they are not represented**, or they feel they are not heard and respected day to day and year to year.

Public engagement is also a dialogue that is mutually respectful and educative. But it is only one avenue for how **people raise their concerns, and how government officials in power respond.**

As much as some citizens may view confrontation or “disruptive” protest as unproductive, or needlessly divisive, **participants argue that it is sometimes a step to raise awareness**, gain media attention and then can move toward specific proposals for dialogue and change. Examples from the 1960s, 70s, and 80s come to mind: “disruptive” protests on civil rights, women’s rights, and response to HIV/AIDS.



Exercise: Community protests and how to avoid them

Purpose: To better understand the reason of community protests. To share ideas on how to avoid community protests through better leadership and by improving public participation in municipal planning and implementation.

Instructions:

1. Discuss the following questions in plenary
 - What do you think? Is there a good way to draw a line between civic engagement that is good for a community, and violent or disruptive protests that are not?
 - What do you believe are the main reason for community protests? Try to think about other reasons than lack of service delivery.
 2. Divide the group into smaller multi-stakeholder groups
- Each group to choose a specific case of protest in your community of the recent past.

¹ Stephens, J., 2015. Is there a sharp line between political protest and civic engagement?
<https://cele.sog.unc.edu/is-there-a-sharp-line-between-political-protest-and-civic-engagement/>

- What was the protest about?
 - How could this protest have been avoided through better leadership in the municipality and inside the community? Remember what you learnt about leadership, communication, participation, the importance of information and feedback.
 - Develop two specific actions/projects that could help to avoid a similar case in the future: One action/project to be based inside of the municipality, and one action/project inside the community.
3. Share in plenary.

2.6 Innovative methods and tools for accountability in service delivery

In this section we will introduce interesting bottom-up accountability tools that have been applied with success in other developing countries and are currently stronger debated and tested in their relevance for the South African context.

If we think about actual evaluation, what happens from the process by which services are delivered, we have some very interesting examples of tools that have been developed to monitor outcomes. Ways of getting citizens to see whether the service has been delivered and policy goal was met that it set out to do.

2.6.1 Participatory Budgeting

Participatory budgeting (PB) is a process of democratic deliberation and decision-making, and a type of participatory democracy, in which ordinary people decide how to allocate part of a municipal or public budget. Participatory budgeting allows citizens to identify, discuss, and prioritize public spending projects, and gives them the power to make real decisions about how money is spent. Most broadly, all participatory budgeting schemes allow citizens to deliberate with the goal of creating either a concrete financial plan (a budget), or a recommendation to elected representatives. Neighbourhood budget committees, for example, have authority to determine the citywide budget, not just the allocation of resources for their neighbourhood. There is, therefore, a need for mediating institutions to facilitate the aggregation of budget preferences expressed by sub-jurisdictions.



https://2.bp.blogspot.com/_VcZzAWzYIMw/S384Glekjel/AAAAAAAAAE0/k2ZOSpcdMLg/s1600-h/participatory_budgeting.jpg

Participatory Budgetting generally involves several basic steps:



In South Africa participatory budgeting is currently not practiced. The eThekweni Municipality had experimented with the approach around the year 2000 and had stopped the practice due to experienced challenges. Around 2012 the GIZ-Strengthening Local Governance Programme had supported a pilot project in Makhado Municipality in Limpopo province which could not be fully implemented due to political challenges. The discussion is however still relevant today, if citizen engagement in the IDP process could not be enhanced with elements of participatory budgeting.



Further reading about Participatory Budgeting can be found under the following links:

<http://siteresources.worldbank.org/INTEMPowerment/Resources/486312-1098123240580/tool06.pdf>
http://www.planact.org.za/wp-content/uploads/2014/08/planact_pb_learning_event_summary_report.pdf

2.6.2 Social Audit

A social audit is a community led process that facilitates public participation in the monitoring of government service delivery and expenditure.

During the social audit process, communities study government documents and compare them to their experiences as recipients of a public service. Evidence and experiences are collected, presented, and then discussed with government officials.



Further reading about Social Audits, check following websites:

<https://www.internationalbudget.org/publications/guide-to-conducting-social-audits-in-south-africa/>
<https://www.internationalbudget.org/wp-content/uploads/social-audits-in-south-africa-pocket-guide-2018.pdf>

In South Africa the approach of social audits is just recently gaining momentum. A group of NGOs specialized in governance matters have formed the Social Audit Network. The membership includes among others Afesis Corplan, Equal Education, Ndifuna Ukwazi, Planact and the Social Justice Coalition.

- The first social audit in South Africa was conducted by the Social Justice Coalition with community members of Khayelitsha in 2013.
- In January 2017 Planact implemented the first collaborative social audit in South Africa: The Ekurhuleni Metropolitan Municipality and Planact jointly organized a social audit around the matter of the maintenance of chemical toilets in three informal settlements. The social audit lead to improvements with regards to the quality and security of infrastructure provided,

the cleaning of the toilets, as well as better work conditions for the workers employed by a contractor.

Principles of a social audit:

Principles	Description
Active citizen engagement	Social audits are conducted by residents living in the community.
Realisation of constitutional rights and building of power:	People organise themselves and build community power, they directly help to improve government accountability and performance.
Legitimation of community experience	Experience and knowledge of community members is evidence and is placed at the centre of participation and deliberation
Verification of government documents	Helps the community to understand what government is committed to deliver and provides an opportunity of comparing community experience with documented data
Holding government accountable	Community members can present their findings and experiences and government officials have an opportunity to respond. Opportunity to engage constructively

The following graphic shows the different stages of a social audit:



Social Audit: An opportunity to completely shift the dynamic where the state, rather than the citizen, must respond to questions and give explanation for its behavior.

3 The use of the Asset-Based-Community-Development Approach (ABCD) as one method to improve citizen engagement in Municipal processes

3.1 What is ABCD?

“Sustainable development comes from within.”

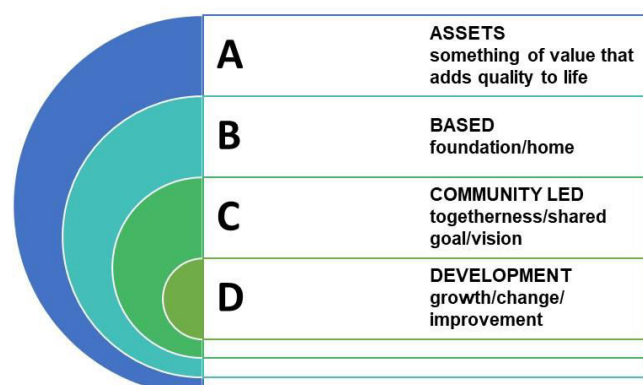
Quick facts ABCD



- ABCD means **Asset-Based Community Development**
- A **bottom-up approach** which shifts the emphasis from a services approach to an **enablement approach**.
- It acknowledges that **every individual has something to contribute**.
- ABCD helps people to **recognize, connect and mobilize these contributions**.
- **Stimulates citizenship**
- Individuals start **using their capacities** and assets → the **system gets stronger**.
- An **‘appreciative approach’** leading to a transformation in communities
- Uses **minimal external stimulus** to effect significant changes
- It gets **people ‘to do’ development for themselves**, and requires people to open, get involved and share.
- It is an **asset-based approach** vs the traditional needs-based approach. Assets include stories, knowledge, innovations, talent, associations and networks, local institutions, physical assets and natural resources, financial resources, cultural assets, rights, claims and entitlements.
- Focus on the **strengths and capacities that communities already have**.
- **Identify hidden gifts**, grow a common vision and appreciation from which to move forward.

Requirements: Community led development requires a shift

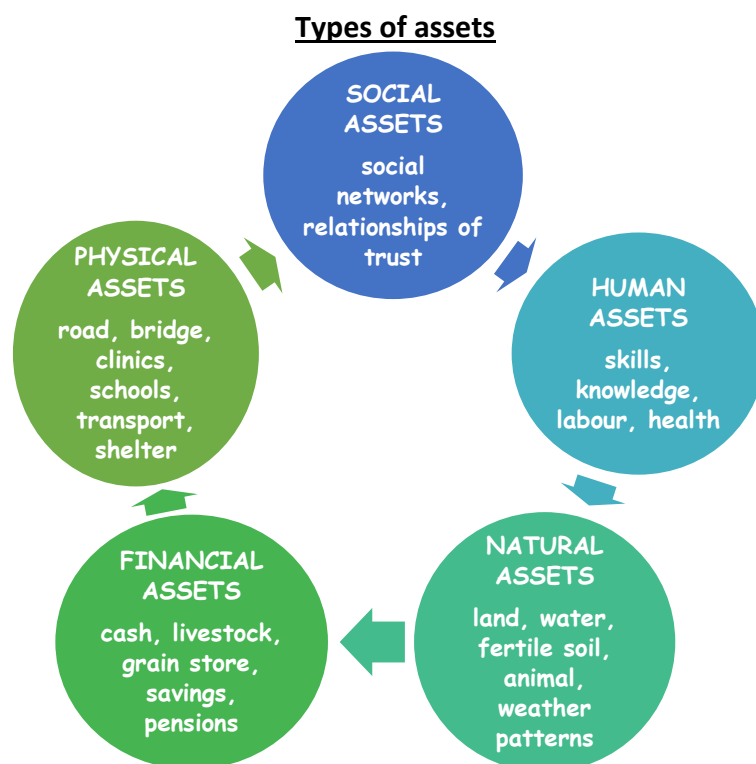
- **from passivity** (clients waiting to receive services) to **active citizenship**.
- from **community leaders**



- And **all role players** that design and implement programmes or bring resources to communities.
- a practice of consciously building relationships rooted in mutual appreciation, respect and collaboration.
- a joint development effort with the driving force firmly rooted in the community.
- **critical thinking** that is generated in the group which will become an important capacity and cornerstone of ABCD work.

What are community assets?

Assets refer to skills, knowledge, associations, network and resources embedded within a community that add value to community life. There are 5 main kinds of assets.



Exercise: Identifying assets in a community: Recycling project in Helenvale (60 min)

Purpose: Lear to identify a variety of assets available in each community

Instructions:

1. Handout copies of the following scenario. Each participant to mark with a pen every community asset that was identified and mobilised by the project.

Scenario (for the long version of case study see annex):

Helenvale is a community in Port Elizabeth badly affected from overcrowding due to insufficient number of houses, poor educational attainment, low household income and high levels of youth unemployment. A group of professionals came together as volunteers to found NAPDI, the Northern Areas Peoples Development Initiative and a civil society network. They interviewed 500 people and held several community focus groups. They found corporate sponsors and private donors to fund the work and distributed their report widely, including to the office of the Eastern

Cape Premier. The office of the Premier contracted NAPDI to partner on a project on waste removal identified as a significant challenge in the community. Public spaces and school grounds were used as dumping grounds. NAPDI approached the project by broad-based communication with community members on the issue. It turned out that the dumping on municipal land was also a sign of silent protest of community members to get attention for their desperate situation. NAPDI invested the grant of R1m received from the Premier's office to construct a model of change. They delivered over 2,000 flyers in the community asking people to apply for an unpaid volunteering opportunity. 250 came to a two-day training course offered by NAPDI which covered everything but waste management – instead it taught the basic skills needed for employment. 50 people were employed to lead the waste recycling project. Within one day, bags filled with 3,000 tonnes of waste were assembled. The project arranged with the municipality and the local grocery store to collect the rubbish, and the trucks rolled despite Helenvale's notoriously bad reputation in terms of security. One other focus was on school-based support as part of the broad strategy of awareness creation, education and mobilization. The plan was for each child to recycle at home and bring their waste to school where it would be sorted and sold. This generated an income per school of R600 per month. Within weeks of introducing the school programme, the area around the Helenvale Primary school was cleared and the park and other areas in the vicinity followed. The involvement of schools helped to sustain the waste collecting. Parents got involved, forming co-operatives to collect waste and earn money. They also set up partnerships with shebeens and local shops.

2. As a group, sort the identified assets in 5 different lists on flip chart paper: Social assets, human assets, natural assets, financial assets, physical assets (see graph above this exercise if you need clarification)
3. Discuss, if the result surprised you and inspired you to look at your prototypes in a different way.

Why are community assets important?

- **External support and funding** for community development is difficult to obtain or **may just not be available**.
- Resources for change may **need to come from within to trigger external support** when others see the value of investing in the work being done.
- Identifying and mobilising community assets encourages **people to gain control over their lives and be proactive** (rather than just waiting).
- In this way one is **building communities from inside** out rather than from outside in → **bigger chances of sustainability**

3.2 ABCD and Social Capital



Quick brainstorming exercise in plenary on Social Assets (10 min)

Purpose: Check the participants understanding of social assets and

clarify any open questions.



Instructions:

1. Ask participants to answer following questions.
 - What is social capital?
 - Why is social capital an asset? What can it be used for?
 - Provide examples of social capital.
2. Compare with below information.

Social Capital is...

- an economic idea. It refers to the **connections between individuals** that can be **economically valuable**.
- generated through **mutual relationships and trust**.
- Unlike other forms of capital, **social capital is readily available and multiplied** the more it is used.
- Social capital unblocks access to other assets and releases potential for collective actions.

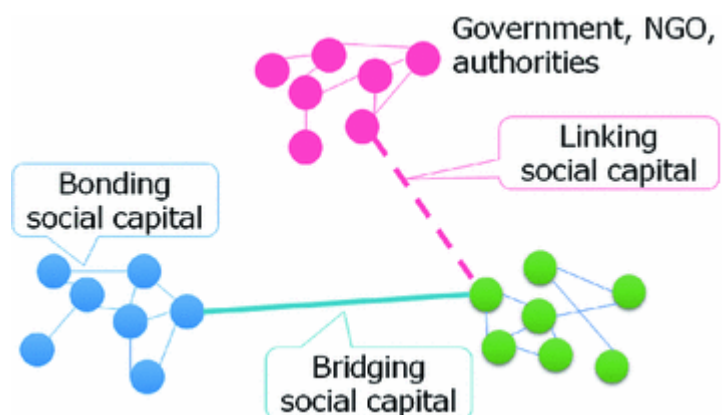
A central feature of ABCD is the recognition of Social capital as an important asset.

Four features of social capital

- **Strengthen relationship and networks:** These are the bond between individuals and groups and their links to one another.
- **Reciprocity:** This occurs when a person gives to someone else expecting a fair return at the same in a same way.
- **Trust:** The highest level of information and resource exchange that takes place in relationships of trust. These are built on the knowledge of others being trustworthy.
- **Norms and Values:** The basis for the underlying culture of any group or community. Norms and values dictate the kind of relationship which will be formed, and the networks developed.

Three types of social capital

- **Bonding Capital** – strong supportive ties which occurs **within a group** be it a family, club, religious groups etc.
- **Bridging Capital** – Weak ties that connect people horizontally **across groups' boundaries**. Critical to providing access to new ideas, resources, communities and culture
- **Linking Capital** – Linking communities **with external resources**



Quick brainstorming exercise on types of social capital (20 min)

Purpose: To deepen participants understanding on the different types of social capital

Instructions:

Referring to the above Helenvale scenario, let participants provide examples of where the project did tap into 1. Bonding Social Capital, 2. Bridging Social Capital and 3. Linking Social Capital.

3.3 ABCD Tools

3.3.1 Ladder of Inference

What is it about?

The ladder of Inference is a tool which **promotes critical thinking**. It encourages to examine our assumptions, beliefs and the data on which our actions are based.

When to use it?

It can be used to engage in critical thinking and is best done in the early phase of the programme as it creates the foundation on which everything is built. It can also be an excellent dialogue tool for partners to get to know one another better.

But as critical thinking with your community partner is always important, it can be used at any stage of the implementation process.



Exercise: Ladder of Inference (30 min)

Purpose: To better understand the how the progressive process of making observations, gathering information, making assumptions, leads to deciding on certain actions. How to avoid jumping to wrong conclusions.

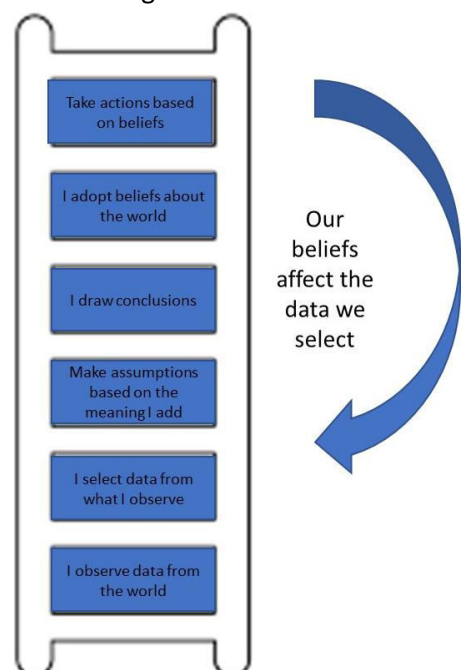
Instructions:

1. Read the following scenario: Nokwanda goes for a job interview as an administrator for a local NGO. When the manager phones to make an appointment, she hears a lot of noise in the background. Nokwanda seems distracted. They agree that the interview will take place on Friday, 2pm. Nokwanda arrives 15minutes late. She has dirty finger nails, smells of cigarette smoke and has a bruise on her arm.
2. Discuss in pairs / groups whether you would give Nokwanda a Job? Share your reasoning.
3. Explain to the group the ladder of Inference:

Starting at the bottom of the ladder, we have reality and facts. From there, we:

- Experience these selectively based on our beliefs and prior experience.
- Interpret what they mean.
- Apply our existing assumptions, sometimes without considering them.
- Draw conclusions based on the interpreted facts and our assumptions.
- Develop beliefs based on these conclusions.
- Take actions that seem "right" because they are based on what we believe.

This can create a vicious circle. **Our beliefs have a big effect on how we select from reality and** can lead us to ignore the true facts altogether. Soon **we are literally jumping to conclusions** – by missing facts and skipping steps in the reasoning process.



By using the Ladder of Inference, **you can learn to get back to the facts and use your beliefs and experiences to positive effect, rather than allowing them to narrow your field of judgment.** Following this step-by-step reasoning can lead you to better results, based on reality, so **avoiding unnecessary mistakes and conflict.**

4. Now discuss with the group if, after better understanding the ladder of Inference, they would change their opinion about Nokwanda?

3.3.2 Paradigms of Development

Development practice arises out of belief systems that individuals have about themselves and how development happens. These paradigms are mental models which shape our actions and assumptions about development and who should be leading. Although there are different paradigms, there are two main types:



Asset based approach – Glass Half Full (What we already have)

- What are the strengths and assets of our community?
- When a time we felt our community was at its best?
- What do we value most about our community?
- What is the essence of our community that makes it unique



and strong?

Needs based approach – Glass Half Empty (What we need)

- What are the needs of our community?
- What needs to change in our community
- What are the barriers to creating change?



Exercise: Listing needs and assets (30 min)

Purpose: To understand the advantages of focussing on assets rather than on needs

Instructions: Read the following scenario: The community's only sport field was built 5 years ago using funding from a nearby factory. During the first year it was extensively used by the community's youth. But since the fence broke and was partly stolen, it has been more and more used as a dump site, animals started to invade the grounds, the grass is high.

In pairs of two workshop participants, take 5 minutes to make two lists:

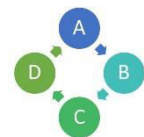
1. First prepare a short list of some of the community's needs about the sports field.
2. Then a list of possible assets that you can imagine exist in the community.
3. Describe how you feel during this listing exercise, first with your partner then in plenary.
4. Discuss in plenary following questions: Do you think that the community could solve the problem using their own assets or do you rather think that they need to wait for further funding from the company? What are the advantages and disadvantages? Who should initiate the project of repairing the sports field?

Comparing asset and needs based approaches

Needs Based Approach	Asset based Approach
Focuses on problems and needs: Communities end up internalising problems leading to the 'deficit mentality' and creates a poverty mindset.	Focuses attention on the strengths and capacities that communities have.

<u>Reliance of external providers:</u> External experts are often brought in to design interventions based on these identified needs and some which may be “artificially” seen from the outsider’s view.	<u>Uses minimal external stimulus:</u> it believes that sustainable development comes from within. It considers residents as experts and key change agents who have a wealth of knowledge about their own communities.
<u>Ignores what already exists</u> and small initiatives that the communities have started on their own. Sometimes even disrupt them and cause them to compete and conflict.	<u>Builds on what exists:</u> ABCD approach focuses on the existing community assets and strengths, in an integrative manner, and appreciates local action.
<u>Fosters dependency on external financial resources</u> that may be difficult to find or that may come with many stringent rules and conditions – and may sometimes disrupt community cohesion. Some funding comes in the form of grants , which only provides hand-to-mouth temporary income relief and creates a ‘dependency syndrome’.	<u>Builds self- reliance</u> through its focus on asset-building strategies. People are encouraged to use their own meagre resources such as stokvels, land, and livestock etc, as leverage for additional financial investment, which puts them in a better bargaining power and make them equal partners instead of “beneficiaries”.
<u>Creates passive communities</u> that wait and look up to government for support.	<u>Stimulates active citizenship and local leadership:</u> people mobilise themselves around a common vision based on the appreciation of their collective and individual’s capacities and abilities.

3.4 ABCD as a Process



ABCD is a process of self-mobilisation and organising for change.

- The **process happens spontaneously in many communities** and is not something new, but it **can also be activated and facilitated** where lacking → **Need for leadership**
- A process can be a **learning rhythm and consciousness, building opportunity**.
- **Impact is ongoing** and not only happening when the project is implemented, but development **processes can touch people’s life from the very beginning** because of the way they are managed and designed. It is the process that holds the magic.
- **A good process will always yield a good outcome.** It might take some time, but relationships can form, and thinking can shift, tackling poverty of mind and spirit at the roots.

Motivating	Asset Mapping	Visioning	Mobilising	Leveraging
<ul style="list-style-type: none"> • Building Relationships with the community members • Engage citizens in telling stories of their past successes without external support • Identification of community strengths • Create a sense of pride and confidence among residents as agents of their own change • This may ignite strong activism and leadership towards a local action team 	<ul style="list-style-type: none"> • Residents know their skills, indigenous knowledge, social and physical assets • Identify and map all assets in a way that helps citizens to see how individual assets and skills can be combined to create new opportunities. 	<ul style="list-style-type: none"> • Decide what can be done with the assets. • Joint development of a long-term vision that should be agreed on by all. • A vision is stakeholders preferred economic future for the community 	<ul style="list-style-type: none"> • Assemble, prepare and organise all known assets and prepare an action plan to use the assets to develop medium and long-term livelihood security and socio-economic sustainability • Identify opportunities and analyse economic flows • Develop medium and long-term goals and action plans. • Start with the “low hanging fruit” 	<ul style="list-style-type: none"> • Use the knowledge about the community’s assets, strength and implementation successes to approach partners and funders. • Mobilise external support to build on what the people of the community are already doing.

3.5 ABCD as a Practise: Tools to identify assets

3.5.1 Sharing experiences: Story telling



Exercise: Story telling

Purpose: To build bonds between people by working towards a shared goal. To improve active listening skills. To share experiences.

Instructions: Individually or in groups, write a story from your own experience where a community used their own assets and implemented a project.

- In plenary allow participant to share their story about a development project where the community exclusively used their resources
- Use the template below to write your story

Name of the community	
Type of initiative	
Reason for the initiative	
How the community organized themselves to make decisions and carry out the work	
Resources, skills and other assets that were mobilized	

3.5.2 Mapping Individual Skills and asset Inventory (40 min)



What is it about: The exercise help people to recognise the variety of strengths each person has: **What gift can I give to my community?**

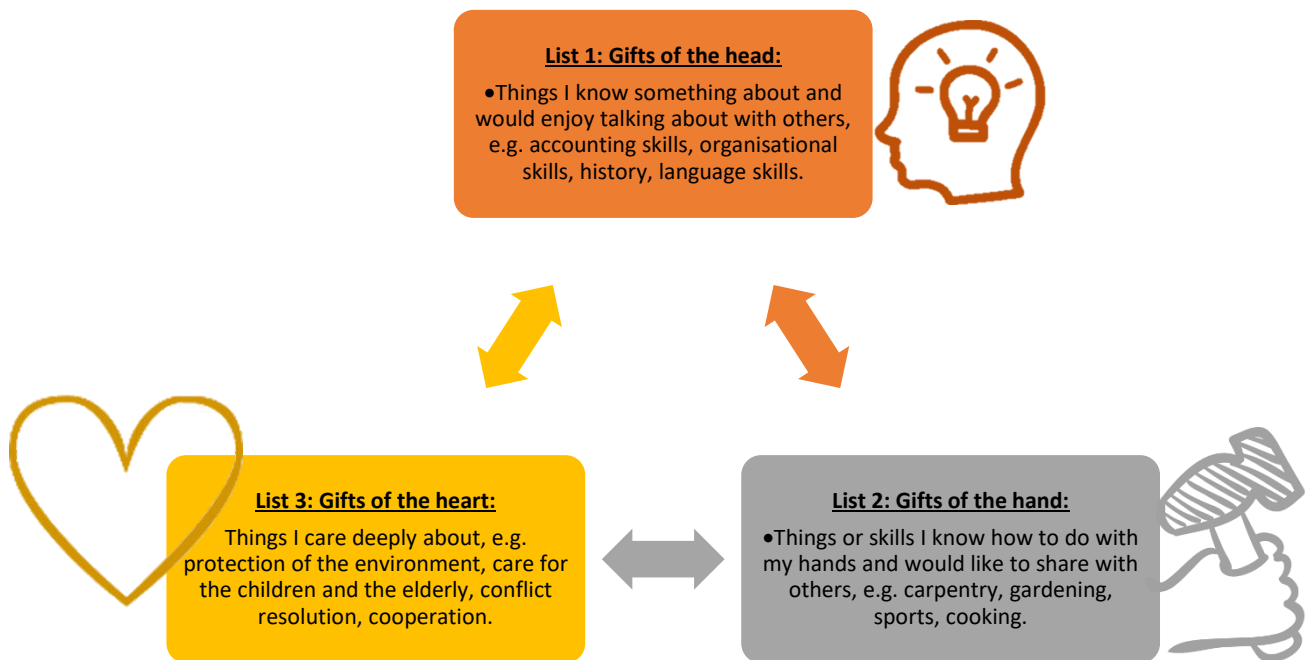
Objective:

- Identify the skills and capacities of individuals for community building

- To encourage individuals to see potential connections between individual skills and work of local associations, institutions and businesses.
- To provide an opportunity for people with hidden skills and talents to be recognised.
- To create a broad inventory of all individuals' skills and talents in the community.

Instructions:

Step 1: Every individual should prepare three lists of what they can give to the community:

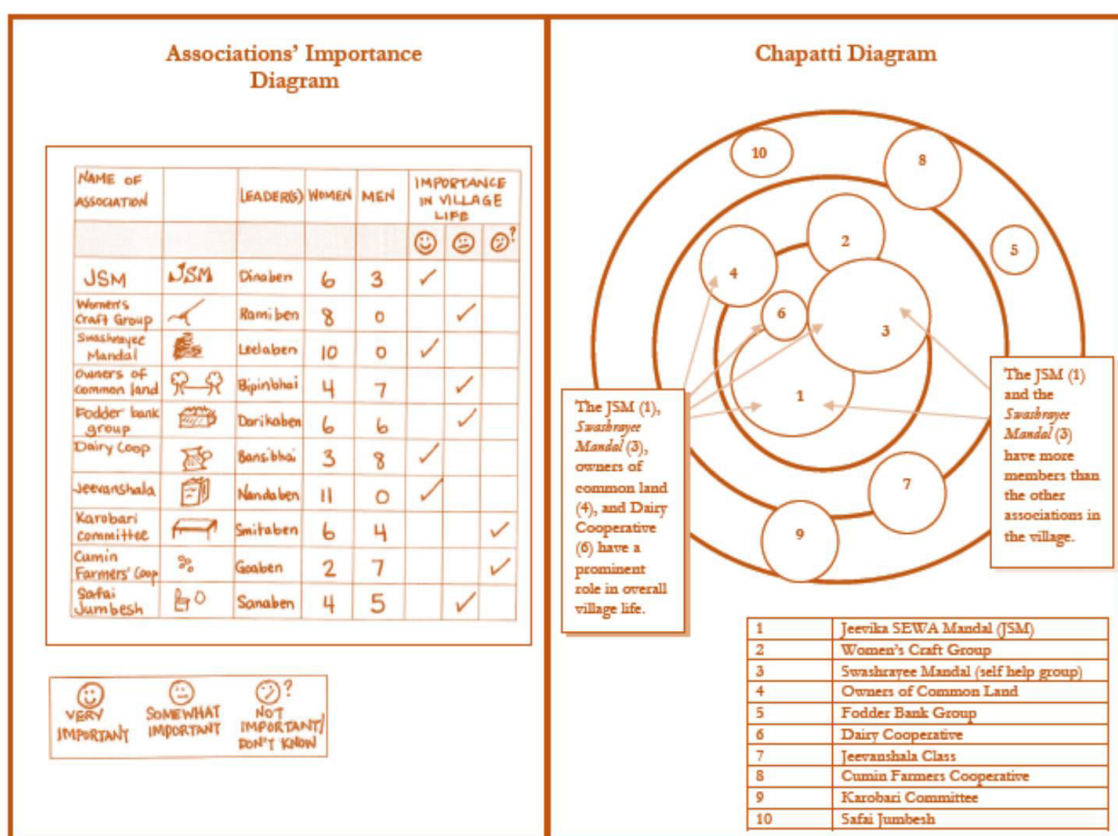


Step 2: Asset Inventory

Once individuals have a better understanding of their own skills, they may want to do an asset inventory of the community. It helps people understand how their assets can be combined with other peoples for development.

- Use the above data and create a broad inventory of all the individuals' skills and talent in the community.
- Encourage residents to see potential connections between the assets of various individuals
- Spark organising and mobilising.

3.5.3 Mapping Associations (60 min)



What it is about: Identifying assets usually begin with an inventory of voluntary groups at community level as these are groups of people already around some form of community activity. These groups are called associations.

Objective:

- Discover the informal and voluntary groups or associations that are active in the community
- To understand the various relationships between these associations.
- To identify the opportunities for collaboration among associations.

Instructions:

1. Develop a list of all associations active in your area. This can be for example
 - religious associations
 - Non-governmental organisations (NGOs)
 - Community based organisations (CBOs)
 - Business and professional associations
 - Sports organisations
 - Neighbourhood groups
2. Develop a comprehensive list

Name of the association	Name of leader	No women involved	No of men involved	Importance in the community		
				high	low	not sure

3. You can now develop a Chapatti diagram to illustrate social or geographical relationships and overlapping interests, see example in the illustration.

3.5.4 Mapping Institutions (60 min)



What it is about: Outside institutions have many assets to share and often seek local partners. It may be government agencies, Donors, businesses or Universities. Making lists of local institutions can often result in the discovery of potential assets the community had not considered.

Objective:

- Discover a full range of institutions
- To identify which assets these institutions can offer for community development
- To understand the links between local institutions and local associations.

Instructions:

1. Ask participants why they think institutions can be assets. Possible answers include:
 - They can provide services and expertise
 - They can offer office space and facilities for community activities
 - They can lend materials and equipment for community activities.
 - They can purchase things made by community members (for example, chairs from a local carpenter, prepared food from a local women's group)
 - They can offer links to institutions outside the community.
2. Create a list of institutions that are already or could potentially be involved in activities in the community:

INSTITUTION	SERVICES ON OFFER	FACILITIES	MATERIAL	EXPERTISE	PURCHASING POWER	LINKS
NGO						
COOPERATIVE						
GOVERNMENT AGENCY						
BUSINESS 1						
BUSINESS 2						

3.5.5 Mapping Physical and Natural Resources (90 min)



What it is about: A simple physical map can help residents better understand the ranges of physical assets and natural assets available. Maps provide a picture and one can often see possible linkages during the mapping processes.

Objective:

- To identify the physical and natural resources with the community
- To show living conditions within the community
- To generate baseline information against which future changes can be analysed over time.

Instructions:

1. To investigate differences in perceptions, it might be interesting to create several groups according to for example gender, age, or sector.

2. Ask each group to draw a map of the community on a large sheet of paper (combine at least four flip chart papers). The map should include all major roads, farmland, forests, water sources, important buildings, like local government offices, schools, police, shops, religious buildings or whatever else seems relevant for the life in the community.
3. Discuss the differences between maps to understand what different assets are important to different groups within the community. Discuss which map might be the most correct one and invite the participants of the other groups to add to this map what they believe is still missing.



3.5.6 Transect Mapping (2-3 hours)

What it is about: Another participatory method of mapping physical assets and natural resources is transect mapping. A transect walk and mapping is an effective way of documenting natural and physical assets in more detail.

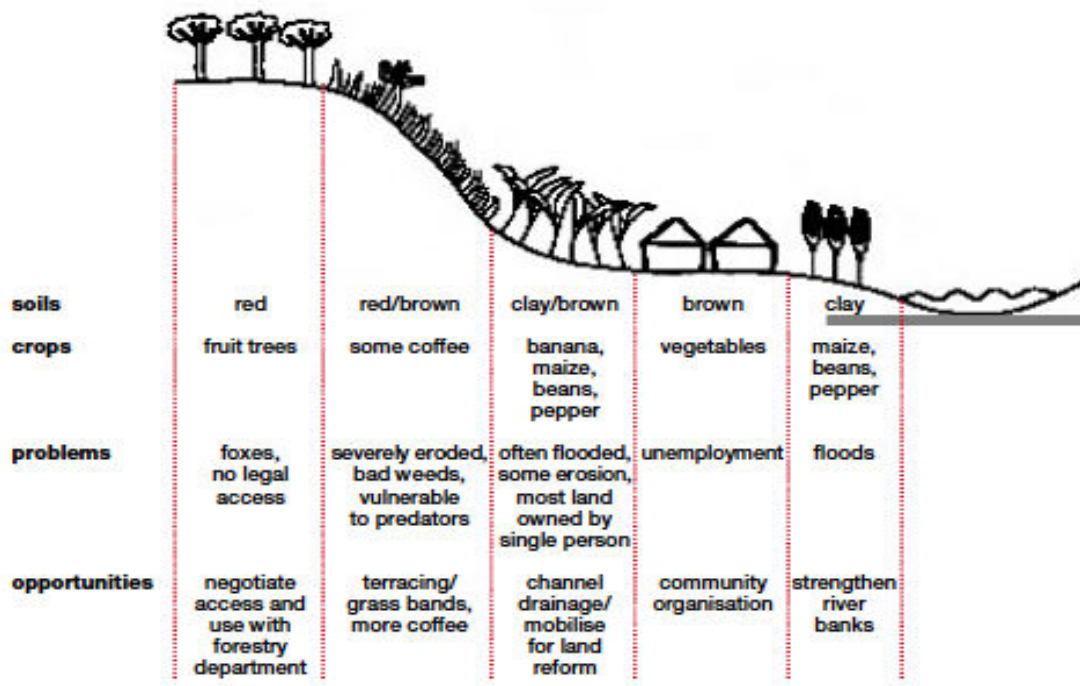
Objective:

- To document the diversity of assets in detail, including the resources and usage
- To identify opportunities for development based on the natural and physical assets that exist in the community.

Instructions:

1. Identify members of the community knowledgeable about the area and with a variety of opinions and experiences, who are interested in conducting the transect walk, as well as those interested in analysing the results of the walk.
2. Agree on the route the group will walk. Develop criteria of observation, like housing conditions, street conditions, public spaces, transport situation, stores, opportunities, etc.

3. Walk slowly, observe, talk to people, let the community guide and teach you. Do not lecture. Take notes. Look for potentials.
4. Ask participants to reproduce the information on a large sheet of paper (1mx2m)



5. Analyse the diagram possibly the same day of the walk
6. Brainstorm available solutions



3.5.7 Mapping exercise

Exercise: Identifying community assets to develop tourism

Instructions: Group work, individual assignments, or class discussion.

Participants to identify the community's best features and do mapping of existing and potential tourist attractions. Find things that visitors might want to see or do in the community. For example: the community is close to a beach, game park or monument that attracts visitors. If the features are existing features, let them research:

- Assets you have in the community to strengthen existing tourism attractions
- The effect that tourism has on the community by using a specific facility as an example.
- Possibility to increase tourism – which will lead to an upgrade of the existing facility.

If the participants identified a site that is not yet a tourist facility, let them research:

- The effect that tourism will have on the community if the site is developed.
- Assets you have in the community to initiate the tourism facility
- Action plans to develop the site into a tourist facility.

Choose the best suitable mapping exercises from the tools described above.

Participants must give feedback on their findings.



3.5.8 Leaky Bucket (180 min)

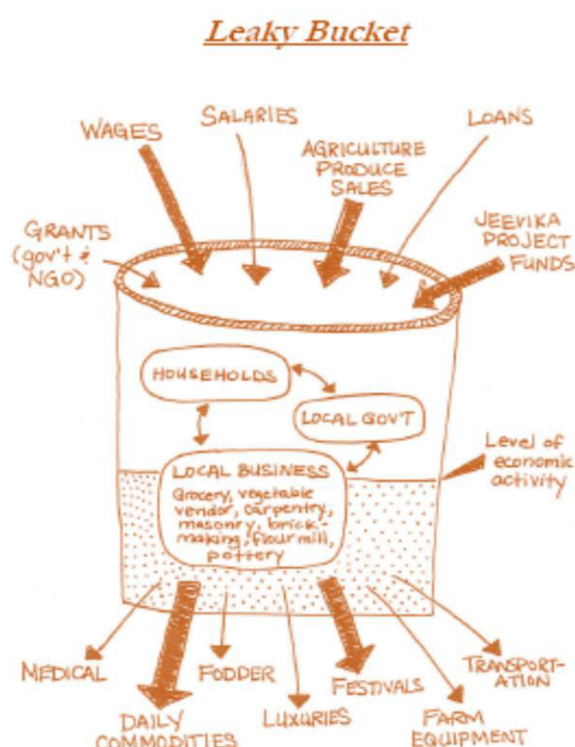
What it is about: The Leaky Bucket is a useful tool for understanding how local economy works. By imagining the community's economy as a bucket with money flowing in and leaking out. People can understand the importance of retaining money in the community.

Objective:

- To identify the money for goods and services flowing in and flowing out of the local economy
- To identify opportunities for income generation in the community
- To understand the local economy and its relationship to the larger economy.

Instructions:

1. Ask people to imagine their community economy as a bucket with income sources from outside the community pouring in from the top and expenditure on goods and services purchased outside the community spilling out of the holes in the bottom.
2. Draw a picture of a bucket. Inside the bucket, draw three boxes representing the three main economic actors in any market economy: 1. Households: all people living under one roof and sharing income and expenditures 2. Local government 3. Businesses: larger formal sector firms like plantations or horticulture operations that provide wage employment, or any other business located outside the household but inside the community.
3. Draw arrows coming into the bucket to represent income coming from sources outside the community. The arrows will begin at the top of the bucket and lead into the appropriate box: households, businesses, or local government.
4. Draw arrows between the three boxes inside the bucket to show the financial interactions between the economic players these boxes represent.
5. Draw arrows leaking out of the bucket from households, businesses, and local government, representing spending that is taking place outside the community. The importance of a particular inflow or outflow can be shown by the thickness of the arrows.
6. Once the participants in this exercise understand the basic idea, then you can ask them to list all the inflows and outflows in the community, so that it looks something like the illustration provided here.
7. **Identify opportunities to increase inflows and circulation of money within the community.** For example, demand for high quality craft products may be an opportunity for Organizing craft workers. These are inflows – money coming into the community from outside.
8. **Identify opportunities to plug leaks.** For example, improving agricultural production in the community might decrease the need to spend money on food outside the community. Composting might decrease the need to buy fertilizers not available locally. Money spent on goods that are produced and sold outside of the community (when they could be produced inside the community at the same or higher quality) is a "leak" in the local economy. Make



clear that not all “leaks” are bad. Leaks can also be investments that result later in higher income.

4 Experiences of aligning the ABCD approach to Municipal Planning (IDP)



Exercise: Open questions about Asset-Based-Community-Development Approach (ABCD) (20 min)

Purpose: To clarify open questions. To provide an opportunity to share experiences. To provide an opportunity to list open questions to be clarified by ECNGOC.

Instructions:

1. Individually: What would you like to know about ABCD approach?
List 3 main questions
2. Share you questions with the group and try to answer each other’s questions. List all open questions to be followed up by an expert.

Pilot projects on ABCD in municipal planning

In 2014 the Eastern Cape NGO Coalition in collaboration with GIZ-GSP started to advocate for the integration of the asset-based community development approach into Municipal processes. Enoch Mgijima and Raymond Mhlaba Local Municipalities agreed to become pilot sites for a project “Integration of ABCD into Municipal Planning”.

The positive outcomes of ABCD pilot phase 1 culminated in the ABCD pilot phase 2 which was funded by HIVOS under the Making All Voices Count Program (MAVC).

Phase 1 of the pilot: The ECNGO Coalition partnered with GIZ to implement the ABCD pilot in Enoch Mgijima and Raymond Mhlaba Local Municipalities.

Theme: ABCD in municipal planning processes.

Objectives:

- To use the ABCD approach as an innovative citizen-oriented methodology in municipal planning processes
- To catalyse a model for strengthening meaningful public participation
- To generate lessons learnt on integration of the ABCD methodology into ward-based planning for the IDP as well as LED sector planning

Phase 2 of the pilot: The ECNGO Coalition partnered with HIVOS – Making All Voices Count Programme (MAVC) to implement ABCD in Municipal Planning using a digital tool – Streetwise Collaborator.

Objectives:

- Bridge the gap of meaningful public participation by use of the streetwise collaborator and organising community engagement sessions
- Empower civil society actors and community workers to implement service delivery surveys and use the outcomes for critical discussion with their municipality and relevant sector departments
- Improve the understanding of citizens of the responsibilities of local government and sector departments

Outcomes:

- Increased number of ABCD champions
- Increased public participation and service delivery monitoring
- Produced Asset Based Ward Based Plans
- E-survey are aligned to IDP to monitor service delivery
- Active engagement with Office of the Premier, SALGA, COGTA and local municipalities to enhance service delivery
- Buy-in from Office of the Premier for ABCD to be incorporated in WAR Room Concept.

Benefits of the Pilot

- The ABCD approach in municipal planning processes has the potential to strengthen the interface between citizens and government at national, provincial, district and local spheres
- These pilots provided an opportunity to enhance meaningful public participation
- The pilot has the potential to address misaligned expectations between citizens and government by including citizens in a bottom up planning process
- Capacitating citizens in terms of municipal planning processes
- ECNGOC increased its foot-print in Local Government space
- The pilots are currently replicated in two municipalities in Gauteng Province to share best practice.

The Eastern Cape NGO Coalition developed a publication comprising of the final report, case study and the portfolio of evidence with ward-based to share the pilot in detail.

5 Conclusion and Way Forward

The chapter shows that public participation only contributes to improved service delivery and advances in the socio-economic development if a clear concept is developed how the concerned citizens are engaged in a meaningful way which also increases their capacity to understand the relevant local government processes. It is therefore necessary to step out from the current public participation routine and invest in more innovative, two-way engagement with citizens. Civil society and local businesses need to be roped in as strategic partners to reform the Municipal citizen engagement approach. Hereby, the good experiences made with the application of social accountability tools and the integration of ABCD in Municipal planning are encouraging to upscale the usage of these tools and bring in even more creativity and local solutions.

The Eastern Cape NGO Coalition would like to partner with you to champion meaningful citizen engagement in your space by taking your good ideas on joint development initiatives into practice.

In groups discuss the way forward to strengthen community engagement in your community, based on the content and lessons you have learnt in this module.

Objectives	Activity	Person responsible	Time frame

6 Annex A: Tools and additional material

6.1 Case study: Effective use of water resources

ABCD case study on the effective use of water resources for the improvement of livelihoods in Hlomendlini village near Matatiele

The project is a good example how natural resources can be used effectively to support community-based initiatives which might be small in volume but have a tangible effect on the participants' livelihoods.

Background:

Matat-EDA is a member organization of the Eastern Cape NGO Coalition based in Alfred Nzo District. The organization is specialized in rural, community-based development and promotes sustainable land use which protects the environment. They have been one of the first organizations being trained on the asset-based community development approach (ABCD) by the Eastern Cape NGO Coalition and since then champion the approach in their region. In 2009 they started to mentor the community of Hlomendlini in the application of the ABCD to their community projects.

Hlomendlini village is situated five kilometers from Matatiele town in Alfred Nzor District. The community is characterized by low socio-economic development and did not have any access to piped clean water before the project started but has as valuable natural asset a strong source of perennial spring water.

Thematic focus of the project:

After the community members had been trained by Matat-EDA on ABCD and completed an asset-mapping of their community, they identified the spring water resource and existing community gardening initiative as important assets that they should leverage on to improve their livelihoods.

Main activities and outcomes:

A village water committee has been established and trained in participatory health, hygiene and sanitation. The committee was also trained in appropriate technology spring maintenance strategies. Because of the good maintenance of the system by the water committee, the residents of the Matatiele low cost housing receive their piped water from the spring and the communal gardens profit from good irrigation. The Provincial Department of Economic Development, Environmental Affairs and Tourism (DEDEAT) contributed to the ongoing initiatives by delivery training on environmental protection to schools and community members.

The community gardening team received mentoring to improve their production and marketing. Later into the project, strong efforts were successful to make young people become the main drivers of the project. Because of these improvements, the project team manages to sell their fresh produce within the village and to neighboring supermarkets.

The neighboring villages showed strong interest that the water system becomes extended to their areas through the piping system but unfortunately the necessary resources could not have been mobilized, yet.

Success factors:

The project linked the villagers to other stakeholders. It has strengthened the team spirit of the community and has shown them that the community can achieve a lot when appreciating and leveraging on their existing assets instead of relying on handouts from outside. The initiative is proof that it is possible to encourage and enable youth to get economically involved in rural development and agriculture.

6.2 Case study Recycling in Helenvale

Case Study on Recycling as means of bottom-up socio-economic upliftment in Helenvale

Helenvale is a township on the fringes of Port Elizabeth which was built at the end of the 1950 as a housing estate for so-called “coloured” people under the Group Areas Act. It forms part of the Northern Areas of Port Elizabeth. Helenvale is considered a hotspot for crime, gangsterism and is characterized with bleak prospects for advancement in socio-economic development but is also known for its strong social ties. The community is badly affected from overcrowding due to insufficient number of houses, poor educational attainment, low household income and high levels of youth unemployment.

Under the common vision to uplift the Northern Areas where they were born and bred, in 2009 a group of professionals came together as volunteers to found NAPDI, the Northern Areas Peoples Development Initiative, a civil society network focused on the northern areas of PE. In accordance with their participatory development paradigm, they implemented a scenario planning exercise in 2011 through which they interviewed 500 people and held several community focus groups. They found corporate sponsors and private donors to fund the work and distributed their report widely, including to the office of the Eastern Cape Premier, the political head of the province.

In June 2012, three years after the foundation of NAPDI and the initiation of the scenarios process, the Office of the Premier’s Priority Intervention Projects, contracted NAPDI with the wish to partner on a project on waste removal which had been identified as a significant challenge in the troubled Helenvale. Co-founder of NAPDI and social entrepreneur Neil Campher managed the project on behalf of NAPDI.

A municipal study had been done across the Nelson Mandela Bay Metropole that suggested plastic rubbish bins with wheels be introduced as a cost-effective means of waste removal. Whereas this investment was fruitful in the more affluent areas of Port Elizabeth, it failed in Helenvale where the rubbish bins were tampered with to sell the parts as scrap metal and where municipal waste removal trucks were hijacked and misused for other purposes. The residents of Helenvale, frustrated with the overflowing rubbish at their homes, quickly started to use Helenvale’s public spaces – its small park, the school grounds and the open municipal land – as dumping grounds.

In accordance with their applied asset-based community development approach, NAPDI approached the project by broad-based communication with community members on the issue. It turned out that the dumping on municipal land was also a sign of silent protest of community members to get attention for their desperate situation.

Accordingly, NAPDI decided to invest the grant of R1m received from the Premier’s office in a holistic project that went far beyond the mandate to clean up the municipal land in Helenvale and aimed to create self-initiated longer-term economic empowerment of the community.

NAPDI constructed a model of change. They delivered over 2,000 flyers in the community asking people to apply for an unpaid volunteering opportunity. Out of the 600 applicants, only 250 came to a two-day training course offered by NAPDI which covered everything *but* waste management – instead it taught interview skills, job placement and financial management – the basic skills needed

for employment. It was a tactic to identify who was really interested in improving their community while developing people's employability and work-readiness. From there, the NAPDI team invited 125 residents to a formal interview, before selecting 50 people to lead the waste recycling project which they called HERI – the Helenvale Recycling Initiative.

Neil Campher explained: "Everything we did was contrarian. We didn't train people in waste, we trained them in job-seeking skills. We didn't expose people to cleaning up but rather we took them out of Helenvale and showed them creative industries that had built up around the waste and recycling value chain. This wasn't about us telling our champions what to do, it was about us exposing them to ideas so that they could decide what it was they wanted to do. From here the project moved quickly."

First, HERI distributed bin bags to community members, doing away with the need for wheelie bins. Within one day, bags filled with 3,000 tonnes of waste were assembled. The project arranged with the municipality and the local grocery store to collect the rubbish, and the trucks rolled in three weeks later despite Helenvale's notoriously bad reputation in terms of security.

The Premier's office extended the grant with an additional R500,000 for the 2013/2014 year to focus on school-based support as part of the broad strategy of awareness creation, education and mobilization. The project managers realized that the heart of sustainability was for people to realize the value of their waste, to shift understanding that it is something that holds worth. They learned that the easiest way to change household habits would be to get children to influence their parents. The plan was for each child to recycle at home and bring their waste to school where it would be sorted and sold.

The system was set up: children would bring cans on Mondays, plastics on Wednesdays and glass on Fridays, generating an income per school of R600 per month. Within weeks of introducing the school programme, the area around the Helenvale Primary school was cleared and the park and other areas in the vicinity followed. The implementation started to create parks out of several reclaimed sites, built play areas, put in basketball hoops and planted trees. Helenvale made it into the local newspaper with the triumphant headline "Helenvale cleans up its act" – a proud moment for the community, more used to being profiled for gang violence and degradation.

The involvement of schools helped to sustain the waste collecting. Parents got involved, forming co-operatives to collect waste and earn money. They set up partnerships with shebeens and local shops. "People got excited about the project, and houses started to clean their yards, and bring their rubbish for recycling", says Gregory Visagie, a project volunteer. The very tangible success of the project was that several community members initiated co-operative business and were employing people to collect, sort and transfer waste to landfill sites. The effect on those families was immediate, with more money available for household needs and schooling. In terms of scaling up the project, the question is however, how many cooperatives can operate alongside each other in the same sector and what kind of framework conditions are needed to create a favorable business climate.

As the project continued, political interference in connection with the government change in the Nelson Mandela Bay Metro overshadowed the positive dynamics of the project and became as

severe that the initiative eventually had to be suspended in 2014 with NAPDI being given the opportunity to extend the model to Schauderville, Korsten and Despatch areas. The result of this extension was mixed without the concomitant impact as was seen in Helenvale.

Campher notes that the project approach in Helenvale was predicated on a high risk of failure but that spurred the volunteers, community and stakeholders into action to make it work once they realized the power of their own agency in practical terms. During the implementation of the Safety and Peace through Urban Upgrading (SPUU) project from 2014-2018, Campher notes that “We recognized over 40 micro collectors now trading in Helenvale to the recycling sector, a 90% increase in recycling activation from when the HERI project was started. Moreover, without a lot of support, the schools have carried on their activities and run regular awareness and educational initiatives based on what they’ve learnt through recycling including monthly trading to generate income for the school’s programme. “

Whilst the initiative left however a good legacy and positive outcomes that the community refers to in terms of clean areas and converted the five areas cleaned of +4000 tonnes of waste “from “Dumpsites to Playsites” or “Dumpsites to Praysites” as people called the freshly created open spaces, it needed further investment by the NMB Metro through weekly waste collection and linking such project to larger programmes for keeping the spaces clean and safe. The Mandela Bay Development Agency (MBDA) through NMB Council funding improved “Die Gaat” area of Helenvale with a R5.6 million road, infrastructure, walkways, new lights and new park upgrades still in use today.

As at 2018, however on-going service delivery strikes at the NMB, violent social protests, increase in gang-warfare and killings in the area has impacted severely on waste collection and maintenance with much of the hard-fought gains from 2012-2016 period has been reversed. But amongst the increase reversal to public dumping, some people are still valiantly working behind the scenes to build the vision and keep Helenvale clean and contribute to the idea of creating worth from waste.

Source: Adapted from the case study “*Social entrepreneurship in South Africa – Neil Campher: Getting to Maybe, by making worth out of waste*” by Kerry Krige, Centre for Dialogue and Leadership at the Gordon Institute of Business Science (GIBS) at the University of Pretoria, December 2015.



BEFORE

AFTER

The Story:

This dumpsite is an unprotected piece of land opposite 50-year old Hillcrest Primary School. The dumpsite was converted into a park "Hillcrest View" as the people called it owing to its view across Windvogel and Salt Pans. The Helenvale Empowerment Co-Operative established from HERI voluntarily kept these areas clean without funding.

Picture Source: Neil Campher

The Story:

This dumpsite is on Reginald Road opposite informal settlement of "Sewende Laan" or official Bramlin Markman Road.

HEMCO placed a slab of concrete, a small garden and temporary basket/netball hoops on the site after clearing it. The site is now used for braai and open-air revival services to the community. Life is returning and "Playsites" are also "Praysites"!

Picture Source: Neil Campher

6.3 Exercises



6.3.1 Sounding board: Receive feedback regarding prototypes

Exercise: Sounding board with high expertise experts from the field (40 min per prototype)

Purpose: To get feedback for the development of prototypes. To accelerate the development of prototypes. To learn and to incorporate expert feedback into prototypes to increase quality of innovation and chances of success

Instructions:

1. Choose experts with the right expertise from a variety of sectors and representing a wide range of stakeholders to provide valuable feedback.
2. Introduce the members of the prototype teams and the expert team (the sounding board).
3. Team A presents to the sounding board (5-10 min), followed by a short question and answer session to increase understanding.
4. All sounding board members provide feedback (critical, yet constructive focussing on opportunities to improve)
5. Now, allow open discussion, including the members of other teams.
6. Then Team B presents, same order as above.

More information on Sounding boards, see AIZ-GIZ Leadership Toolbox, Tool 21, p 105.

6.3.2 Pro action café (90 -120 min)



Exercise: Pro-Action Café to cross-pollinate ideas and move forward with prototype projects.

Purpose: To exchange, cross-pollinate ideas and build networks. To experience co-creation, develop and refine project ideas. To reflect on the purpose of ideas, widen the horizon and develop concrete next steps.

Instructions:

1. Ask participant to become the host of a table by offering a project or a question to work on. Explain “Café etiquette”: Follow what matters; Contribute your thinking; Speak with your mind and heart; Link and connect ideas; Listen together for insights or deeper questions; writing on the tablecloths (flip chart) is encouraged! Have fun!
2. After each round, the host remains at the table, all other participants change the table.
The session will have four rounds of 10-30 min each:
3. **Round one:** What is the project/question about? Clarify and deepen the need and purpose for the idea/project/question.
4. **Round two:** What is missing? What would make the idea/project completer and more possible?
5. **Round three:** What am I learning about my project and my own involvement? What next steps will I take? What help do I need?

6. **Round four:** Rounding up, the host presents his/her learnings and next steps and receives final feedback and further support.
7. If there is time, every host provides feedback to the whole group about his/her experiences during the sessions. What was helpful? What are my new steps?

More information on Pro-Action Cafe, see AIZ-GIZ Leadership Toolbox Tool 19, p. 101

7 Annex B: References:

- Engaging Citizens- A Game Changer for Development? Massive Online Open Course by the World Bank Group in partnership with the London School of Economics, the Overseas Development Institute, Participedia and CIVICUS.
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