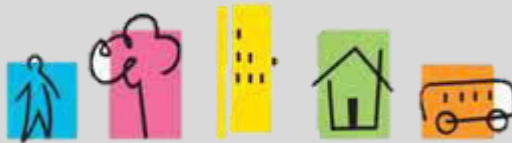




# **The Game Changer Workshops: Leadership in meaningful citizen engagement in Municipal planning**



***“Module 3: Municipal planning processes”***

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# Module 3

## “Municipal planning processes”

### 1 Introduction

This module 2 of the Game Changer workshop series focuses on Municipal planning processes, the underlying legislation, public participation in these processes and the role of leadership in developing our communities. The formal processes of developing the Integrated Development Plan (IDP), the budget and the Service Delivery Budget and Implementation Plan (SDBIP) and how they feed into each other underline the importance of leadership in the promotion of citizenship and public engagement to enable collaborative partnerships between local government, communities and private sector in Municipal planning processes. The objective is to reach tangible progress in service delivery while activating communities or residents to play their part in unlocking the local development potential.

The module will give a brief overview of the powers and functions of local government and its mandate or duty to foster meaningful engagement with communities and all stakeholders in municipal planning and implementation of service delivery or projects. Even though Municipal leaders know what the mandate of local government is, it is important for them to facilitate in-depth discussion with communities and residents to ensure active participation to address the implementation challenges on the ground. Although the overview on the design of the Integrated Service Delivery Model for the Eastern Cape Province is based on a recent Municipal stakeholder engagement tool which is still a work in progress, it holds potential for innovation.

Overall the chapter aims to inspire the participants to apply their knowledge to collectively develop challenges and opportunities in their Municipal area and generate ideas on how the processes for public engagement can be improved to craft and champion customised development initiatives.

#### 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).

### 2 Core policy documents and legislation on active citizenship and public engagement: A short overview

## 2.1 Introduction Exercise



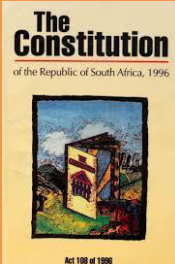
### Exercise: Group discussion in Plenary about policy documents and legislation on active citizenship and public engagement (15-30 min)

**Purpose:** To introduce core policy documents and legislation on active citizenship. To put participants on the same level of knowledge. To motivate participants to openly talk about challenges and be open to discuss possible improvements.

**Instructions:** Discuss in plenary the following question

1. Which acts, policies, planning and implementation documents do you use to guide your work in the municipality and community? Facilitator to complete a list on flip chart paper.
2. Extension of the exercise by discussing following questions:
  - Have you ever actively participated in the development of such acts, policies, planning and implementation documents?
    - Do you feel that your input was valued?
    - What challenges did you experience?
  - Provide specific examples of plans, strategies and specific goals that guide your daily work in the municipality and community and answer following questions:
    - Do you feel that the set goals are achievable?
    - What challenges do you see?
    - Would you sometimes like to do things differently (outside the set strategies)? Why?
    - What are your experiences with working with government institutions/private sector/civil society organizations in achieving these goals? Are these partnerships helpful? Or not? Why?

## 2.2 The Constitution

		
Chapter 2: Bill of rights	Chapter 7: Local Government	Chapter 10- Public Administration
<ul style="list-style-type: none"> <li>Prevents abuse of power by government</li> <li><b>Ensures respect, equality before the law and the promotion of democracy in the country</b></li> </ul>	<ul style="list-style-type: none"> <li>Provision for three spheres of government: National, Provincial and Local Government</li> <li>Local government ensures               <ul style="list-style-type: none"> <li>the provision of services to the people,</li> <li>the promotion of social and economic development</li> <li><b>active involvement by communities in how they are governed</b></li> </ul> </li> </ul>	Ensures <ul style="list-style-type: none"> <li>accountability and adherence <b>to the values</b> and principles of the constitution</li> <li>that all organs of state and state departments provide services to the people <b>equally, effectively</b> and impartially</li> <li>that <b>resources of the country are managed effectively</b> and economically</li> </ul>



**FURTHER RESOURCES:** All legislation can be found on the South African Government Information site at [www.info.gov.za](http://www.info.gov.za).

[https://www.westerncape.gov.za/text/2006/4/handbook\\_for\\_municipal\\_councillors.pdf](https://www.westerncape.gov.za/text/2006/4/handbook_for_municipal_councillors.pdf)

## 2.3 The National Development Plan 2030



**NATIONAL  
DEVELOPMENT  
PLAN  
2030**

**Vision 2030:** “Addressing the Triple Challenge of Poverty, Unemployment and Inequality”

“Building a Capable Developmental State “and emphasizes that Government alone cannot address the complex socio – economic challenges of our nation. It requires a Triple Helix of **partnership including public sector institutions, private sector (business and labour), and people (civil society).**

Outcome 14: In the new South Africa there will be:

- An inclusive society and economy
- **Increased interaction between South Africans from different social and racial groups**
- **Strong leadership** across society and a mobilised, active and responsible citizenry

Against this back-drop the country must therefore continue with measures to facilitate active engagement of the populace in its own development.

One of the priorities to achieve the vision of nation building and social cohesion is:

- **Promoting social cohesion through increased interaction across race and class**

This is the focus of our Game Changer workshops.



Further resources:

Please see official government site: <https://www.gov.za/issues/national-development-plan-2030>

## 2.4 Provincial Development Plan- Eastern Cape



Translation of the NDP into strategies tailor-made to the development challenges and opportunities of the Eastern Cape

**Vision:** By 2030 we will see the **revitalisation of the Eastern Cape** with a much improved social and economic situation and active African and global partnerships

→ **The PDP is being reviewed in 2018 and the reviewed 5 year plan still needs to be endorsed by legislature.** ←

During the review process, **following challenges** have been identified to affect the Eastern Cape:

- National **prolonged recession**, low growth and low investment levels
- **Increasing unemployment**
- **Stagnant population growth** and high out-migration
- **Urbanisation** and densification along transport corridors and **changes in demand for infrastructure and services**
- Improvement in access to social services, but **quality of social services is a challenge**
- Close to **30% of the population below the food poverty line**

**Proposed goals:** (see also annex for more detail)

- Goal 1: An innovative, inclusive and growing economy
- Goal 2: An enabling infrastructure network
- Goal 3: Agrarian reform and an innovative and high-value agriculture sector
- Goal 4: Human development
- Goal 5: Sustainable Environment
- Goal 6: Capable democratic institutions

In attaining goal 5, one objective is to build local, African and international **partnerships**.

**The institutional framework for implementation** aims to ensure and guarantee the implementation of the PDP. It creates scope for the systematic integration of efforts as well as **the participation of relevant stakeholders and social partners relevant to the life of the PDP.**

- Executive Council of the province, cabinet committees ECPC, HOD technical cluster committees, provincial management committee
- Inter-government relations system – including traditional leadership, technical support groups etc.
- Government cluster system includes National, Provincial, Public entities and Municipalities
- **Trans-governmental consultative forums, including NGOs. Universities, business, labour, and other civil society groups**



**What does Active Citizenry and Leadership mean?**

Active citizenship is a key priority of the NSP and is meant “to lead us out of a governance crisis”.



**Exercise:** Quick brainstorming to answer the question. (10 minutes)

**Instructions:**

1. Ask participants to answer the following questions:

What does active citizenry mean and what has this to do with leadership?

Facilitator to collect answers on flip chart paper.

2. Then compare with possible answers below.

Possible answers include:

- Citizens have rights and responsibilities; an **active citizen is one who fulfils both his/her rights and responsibilities in a balanced way.**
- Communities must help to facilitate development
- **People getting involved** in their local communities and democracy at all levels
- **People hold the government to account** for the quality of service it delivers.
- Organisations expose or advocate the need for the government and private sector to remain responsible to the people and society through **empowerment of society with knowledge, protest action and litigation.**
- Municipalities encourage participation of citizens in delivery processes.
- **Formal structures of participation are actively used**, like stakeholder forums, ward committees,
- It is going beyond participation in workshops by focussing on the **engagement in successful change processes**
- Can be done in any language, by anyone irrespective of one's position, one's belonging to a specific economic or social group, or one's educational level.
- **Members of society who take charge of their future** and are the agents of what they want to happen in their communities.
- Communities and people should make government and municipalities aware of the real challenges and problems
- Communities and people should check that the standard of work by officials are acceptable



**What does “Social Compact” mean?**

The NDP proposes the development and adoption of a social compact for South Africa.



**Exercise:** Quick brainstorming exercise to answer the question (10 minutes):

**Instructions:**

1. Participant to individually brainstorm on a piece of paper *What does “Social Compact” mean?*

2. Facilitator document all the answers on flipchart paper

3. Compare with possible answers.

4. Based on the input formulate a joint definition.

Possible answers include:

- A way to develop a more inclusive social order that brings labour, government and business into agreement.
- A sort of partnership with the buy-in by all stakeholders to a clearly articulated vision and the commitment to find solutions to tackle challenges on the way.
- An attempt to address problems, in the growth path, that are best resolved through collective action and agreements between various interest groups.

- The contract/partnership must offer attractive benefits so that all parties should believe that the necessary sacrifices are relatively equitably shared amongst all participants.
- An essential foundation for overcoming the country's challenges of chronic poverty and worsening inequality.
- The success of any government is rooted in its partnership with society and the upholding of the values and demands of society.

To **build an effective social compact**, we will need to:

- **Involve all role players** to make a significant economic impact
- **Build and maintain trust** among all social partners (public/private/people)
- Create a shared analysis of the problem and a mutual recognition that **all stakeholders must commit** to find solutions
- **Define a clear vision** of what stakeholders are aiming for, and a set of manageable objectives
- **Inspire leaders to accept responsibility** and take risks.

#### **Batho Pele Principles** ("People first", a "Back to Basics" Strategy)



A policy to improve service delivery to citizens introduced in 1997

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

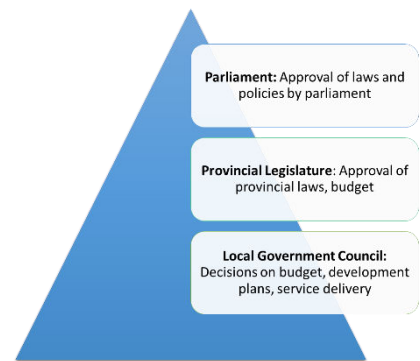
### 3 Roles and Functions of Different Spheres of Government



The Constitution of South Africa sets the rules for how government works.

There are **three spheres of government** in South Africa, i.e. National government, Provincial government and Local government.

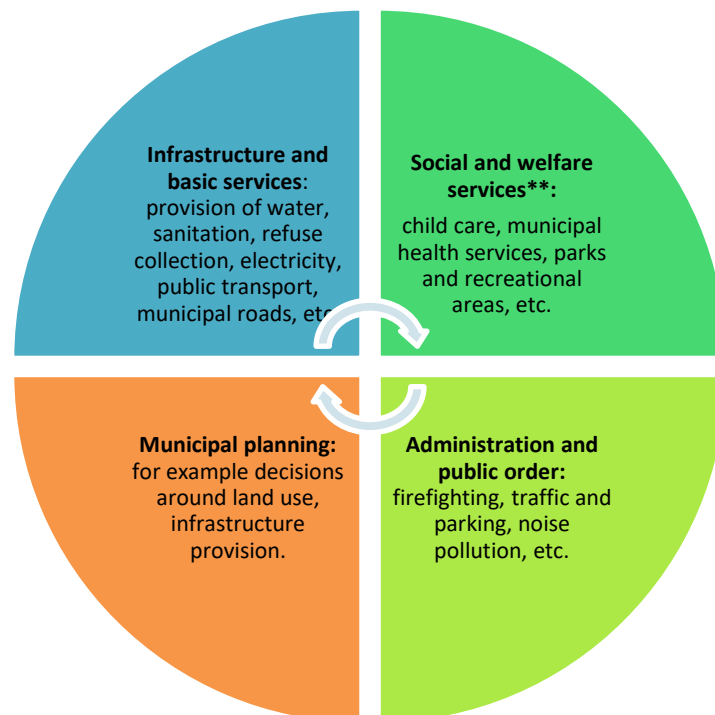
The spheres of government are autonomous and should not be hierarchical. The Constitution provides that the spheres of government are unique, inter-related and inter-dependent. No sphere of government is subordinate to another. **They all work together to deliver services to the citizens, this is called Cooperative Governance.** It means that the spheres of government must:



- Provide effective, accountable and transparent government,
- Cooperate with one another and foster good relations,
- Consult and contribute actions and legislation, and
- Avoid legal proceedings against one another.

Main roles and functions of the different spheres of government		
National	Provincial	Local
<b>Parliament:</b> approval of laws and policies by parliament <b>Public Service Administration:</b> Development of policies and framework for service delivery <b>Treasury:</b> Management of finances, equitable distribution of revenue between national, provincial and local government <b>Department of Provincial and Local Government:</b> national co-ordination of provinces and municipalities, monitoring and support of municipalities	<b>Provincial Legislature:</b> Approval of provincial laws, budget <b>The Office of the Premier:</b> provision of strategic leadership, coordination in policy formulation, planning and overseeing service delivery planning and implementation <b>Provincial MEC and Department of Local Government:</b> co-ordination, monitoring and support of municipalities in each province.	<b>Council:</b> Decisions on budget, development plans, service delivery, by-laws and policies <b>Mayor and councillors:</b> oversee the work of municipal officials and staff. Coordination of the council and municipal administration. <b>Municipal administration:</b> implement the work of the municipality according to the IDP, SDBIP, Budget. Implementation is monitored according to these documents and are reported on quarterly to the Council.

## Responsibilities of municipalities in terms of service delivery:



### **\*\*Please note that:**

Municipalities **are not directly responsible for social welfare and education** and for Park and Recreation only to some extent. To this end Intergovernmental relations are very important. Sector departments are essentials when the IDP is crafted, especially in IDP Representative Forums. However, **there is an important indirect role of municipalities in ensuring social welfare** namely, facilitating economic development (job creation), streetlights (safety), water and electricity (health, safety) and halls for people to meet.

## 4 Local Government Planning Instruments

### 4.1 The Integrated Development Plan (IDP)

Integrated Development Planning is an approach to planning that **involves the entire municipality and its citizens** in finding the **best solutions to achieve good long-term development**.



#### **Exercise: Question and answer session on IDP (45 Minutes)**

**Purpose:** To clarify open questions around IDP. To train listening and communication skills.

#### **Instructions:**



1. Divide participants in groups ensure there is a mixture of municipal employees, members of the private sector and members of the civil society.
2. Show the first 6 minutes of the film "IDP explained" by Afesis Corpan :  
<https://www.youtube.com/watch?v=o4Z67zpl-To>
3. Based on the video *IDP explained* one group member should in a few words explain to the others:
  - What is an IDP?
  - Why is it necessary to have an IDP?
  - How is it developed and how often is it reviewed?
  - What are the challenges in the implementation of the plan?

- How can a citizen participate in the development/review and implementation of the plan?
4. Encourage group participants to ask questions, for example
    - Where can I get information about the content of the document?
    - How can I participate in the review process?
    - How can I participate in projects to achieve the goals of the IDP?
    - What can be done to overcome described challenges?
    - How is the IDP and performance management linked?
    - What can I do to monitor the implementation of the IDP and service delivery?
    - What is the relationship between the IDP and budget?
  5. Every group should in a few words describe the success of the session. Are all questions answered satisfactorily? Discuss open questions in plenary.

## Quick facts on the IDP

- It is a strategic tool designed to bring together and to harmonize individual plans of the municipal departments.
- It guides all future development of the municipality by setting priorities, allocating resources and defining time frames and indicators.
- It gives an **overall framework for development** e.g. for how land should be used, what infrastructure and services are needed and how the environment should be protected.
- It aims to **co-ordinate the work of local and other spheres of government**
- It is a coherent plan to **improve the quality of life for all the people living in an area.**
- It should consider **the existing conditions and problems and resources** available for development.
- The plan should look at **economic and social development for the area.**
- The **municipality is responsible** for the co-ordination of the IDP.
- The **municipality must draw in other stakeholders** in the area who can impact on and/or benefit from development in the area.
- The IDP is the source document for performance management and budgeting in the municipality

### Process of developing, reviewing the IDP and the bottom up approach:



Continue presentation of the film IDP explained:

<https://www.youtube.com/watch?v=o4Z67zpl-To>

While participants watch the film, ask them to listen how often they hear: "participation", "citizens", "consult community".



Please refer to annex for more information on the processes to develop and review an IDP.



Why do we need an Integrated Development Plan?	
Effective use of scarce resources	<ul style="list-style-type: none"> <li>• Focus on most important needs considering available resources</li> <li>• Most cost-effective way of providing services</li> </ul>
Speed up delivery	<ul style="list-style-type: none"> <li>• Focus on least serviced and most impoverished areas</li> <li>• Stakeholder engagement</li> </ul>

	<ul style="list-style-type: none"> <li>Efficient implementation based on available resources</li> </ul>
<b>Attract additional funds</b>	<ul style="list-style-type: none"> <li>Clear development plans convince government and private investors to invest</li> </ul>
<b>Strengthen democracy</b>	<ul style="list-style-type: none"> <li>Active participation of stakeholders</li> <li>Transparent process</li> </ul>
<b>Overcome legacy of apartheid</b>	<ul style="list-style-type: none"> <li>Integration of rural and urban areas</li> <li>Extension of services to the poor</li> </ul>
<b>Better coordination</b>	<ul style="list-style-type: none"> <li>Different spheres of government are encouraged to work together</li> </ul>



### Exercise: Community opinion about the IDP

**Purpose:** To create a platform for open discussion on the purpose of the IDP. To respond to the community's opinion about the IDP.

- Instructions:**
1. Explain, that the below statements come from community members that were questioned about the purpose of the IDP.
  2. Participants should individually rate if these statements are correct or not and what argument they would use to defend their answer.
  2. Discuss in plenary participants opinions about the statements.

Statement	True	False	Discuss your answer
"The interpretation of the purpose of the IDP should shift, away from the flawed view of it as an implementation plan to the correct use of it as a strategic document."			
"The IDP plans self-sufficiency, its design has self-empowerment of the community in mind and not dependency on government grants."			
"Because the new IDP is explicit councillors and municipal officials cannot lie to the community anymore. In the past we could all hide behind the vagueness, but now that things are clear people are accountable and we can start to trust each other. That is a major achievement for us".			
"To draft a successful IDP "internal commitment" from municipal staff is essential as the municipality will be responsible for its eventual implementation."			
"An IDP "which is not on standard creates false expectations which leads to dissatisfaction which leads to mistrust which in turn leads to conflict".			

## 4.2 Budget Process and SDBIP

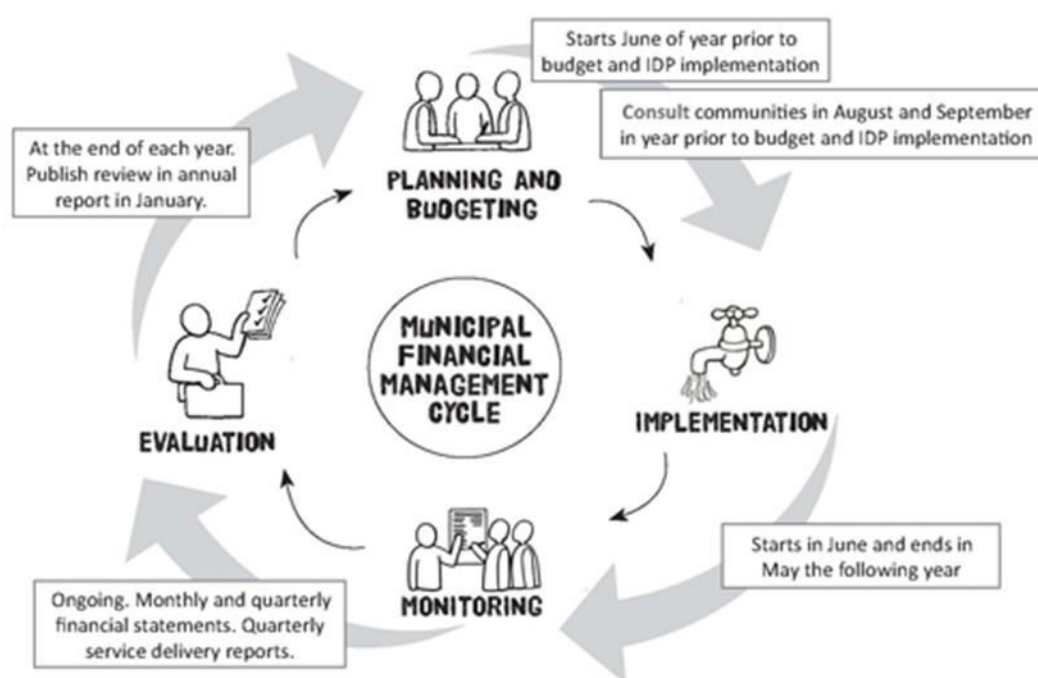
### Quick facts on the Budget and SDBIP

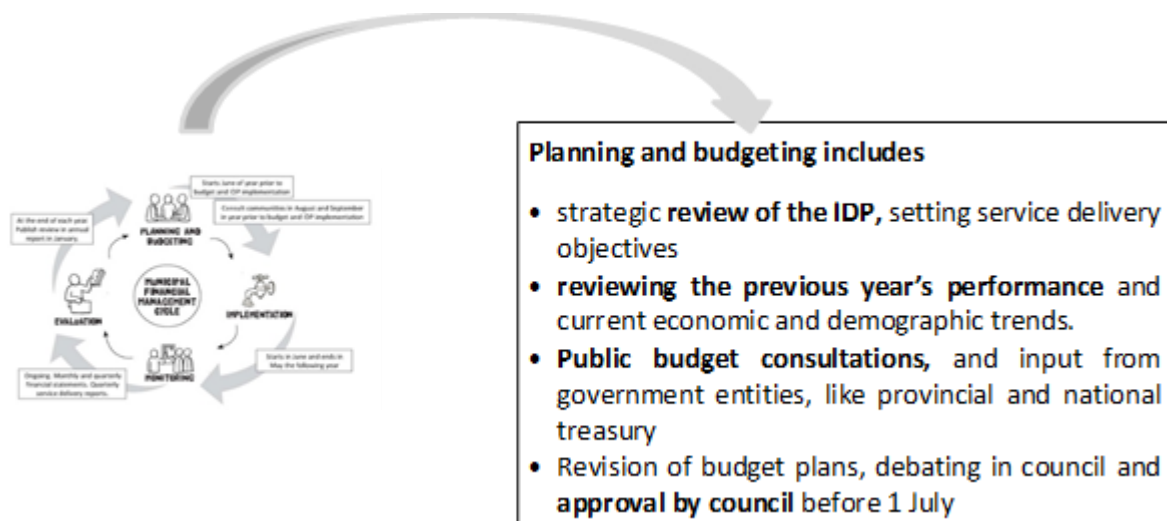
- Budgeting is the process of **allocating limited resources to priorities**.
- The budget is crafted for five years (as the IDP) wherein projects might not be considered in the first year, but in the outer years depending on the availability of funds and the scope of the project.
- Community participation
  1. Communities participate in **identifying needs that would ultimately be reflected as projects in the IDP**. Not all needs would be listed as projects and it is therefore important **to manage expectations from communities when needs are identified**.

**2. The needs identified by communities must be analysed and assessed and prioritised**, in terms of funding available, the municipality's mandate and whether the municipality possess the necessary skills and human resource to implement a specific need.

- The municipality is **not responsible to implement all the needs** identified by communities, e.g. schools, clinics and housing are not within the mandate of the municipality. The Municipality has a **responsibility to ensure that these needs are fed to the sector departments** by way of the IDP Representative Forum and Inter Governmental Structures that are established.
- The Municipality can also **enter into public private partnerships to solicit the assistance** of the private sector to implement some projects.
- The Service Delivery Budget and Implementation Plan (**SDBOP**) is the **one-year plan for implementation of projects** and determines the budget for one year that is needed to implement projects.

The budget process to be followed in municipalities' is legislated. **Municipal finance management** can be presented as an annual cycle that includes four broad activities:





### Exercise: How can the budget be influenced by the public?

**Purpose:** To sensitise participants to the real-world challenges of finding consensus. To improve on prioritising skills.

#### Instructions:

1. Read the following scenario: You are attending an IDP Rep Forum meeting in BP Municipality where the draft IDP is presented. At the Forum, the Mayor in her opening speech, stresses that the Municipality is a cash strapped municipality with major challenges in collecting revenue. Consequently, the Municipality is presenting a limited number of projects. The mayor indicates that there is R100000 in a kitty that the IDP rep forum can decide on which project to prioritise.

The mayor hands out the table below and request the IDP Rep Forum to unpack each project in terms of the following socio-economic interventions:

- Poverty Eradication
- Nutrition
- Community Development
- Income generating projects and support to SMMEs
- Job creation
- Youth development

2. The IDP Rep Forum to make a recommendation to the mayor of which project they would like to prioritise. Participants should use the below table to help the IDP Rep Forum to make a choice on which project to prioritise.
3. Discuss your choice in plenary.

#### Scoring:

1 point per socio economic intervention that the project will impact on

\*As an example, see the scoring for water tanks that has been completed.

The highest scoring project will indicate which project to be prioritised

Type of project	Poverty Eradication	Nutrition	Community Development	Income generating projects and support to SMMEs	Job creation	Youth development	Total Score
Gardening projects – in the community in							

health facilities. Negotiate with the Department of Agrarian Reform and the Department of Health							
Train unemployed youth. Initiate a New Venture Creation Project							
Refurbish the cultural heritage site (an apartheid memorial) to attract tourists (create opportunities for private sector)							
Water tanks (rain water harvesting)	1		1				2

### 4.3 Linking IDP, Budget and SDBIP

The **Service Delivery and Budget Implementation Plan (SDBIP)** details the implementation of service delivery and the budget for the financial year. It provides the basis for **measuring performance** in the delivery of services.

The Service Delivery Budget Implementation Plan (SDBIP) is the implementation tool used to **align the budget to the IDP**.

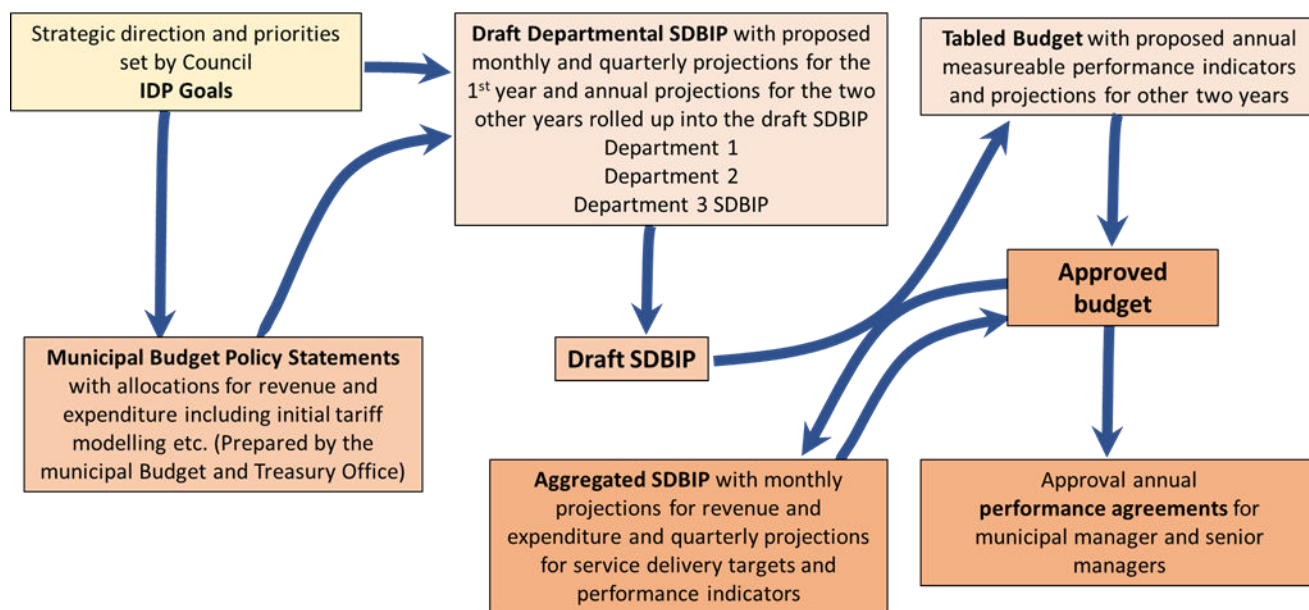
- The Municipality's strategic document (IDP) is translated into the SDBIP which is then integrated into the municipality's budget and performance management system.
- It is essentially the **management and implementation tool** which sets in-year information, such as quarterly service delivery and monthly budget targets.
- It links each service delivery output to the budget of the Municipality.
- It provides credible management information and a detailed plan for how the Municipality will **provide such services and the inputs and financial resources to be used**.
- The SDBIP is derived from the IDP and all projects listed in the SDBIP must be listed in the IDP.
- The municipality's performance is also measured according to the SDBIP.

**The performance measures** that will be used to measure organizational performance need to be developed. In doing so, it is necessary to

- **consider the funding and staff requirements,**
- availability of the necessary skills
- time constraints.

Sometimes it will be prudent to use own resources and at other times, it will be more practical to outsource the service.





#### 4.4 Intergovernmental Relations (IGR) at Municipal Level:

Intergovernmental relations are the set of **processes, channels, structures and arrangements for interaction** within and between spheres of government.

Although the national, provincial and local spheres of government are autonomous, they exist in a unitary South Africa and **they must work together on decision-making**. They must co-ordinate budgets, policies and activities, particularly for those functions that cut across the spheres.

The three spheres must **help and support each other, share information and coordinate their efforts**. **Every municipality through its IDP also aims to coordinate the work of local and other spheres of government in a coherent 5 years development plan for the municipal area.**



##### Exercise: Intergovernmental collaboration (20 minutes)

(Facilitator: Please also see “the leader as a coach”, p 61 GIZ leadership manual)

**Purpose:** To train coaching and communication skills. To develop ideas about how to improve IGR.

##### Instructions:

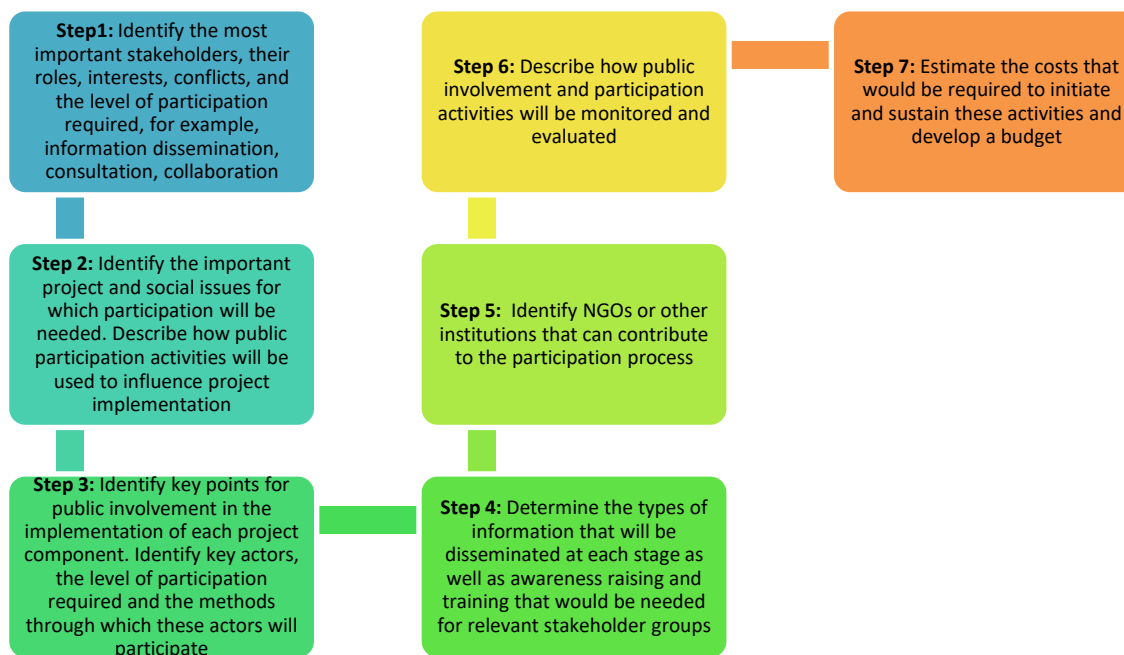
1. Divide the municipal participants to ensure representation in each group.
2. Participants working for the municipality explain to their respective group
  - What is their respective department contributing to the development/review of the IDP?
  - How do they perceive the cooperation with other departments? What works well? What are the challenges?
3. The group should then discuss how to improve the situation by respecting following coaching principles:
  - Try to understand the situation from the perspective of your dialogue partner, do not judge your partner.
  - Listen empathically and generatively.
  - Focus on the ‘what’ before going to the ‘why’ questions. Why questions can take people back into their heads where they justify and qualify. Give positive feedback and acknowledge what has been shared.
  - Enjoy silence. Sometimes the best move is to do and say nothing. Slow down and an opening can come for your dialogue partner to speak more from her heart and real experience.
4. In plenary, discuss the coaching experience, and present and discuss the different proposals.



#### 4.5 Public Participation

The South African Constitution, together with various policies and legislation, is a benchmark for institutionalizing good local governance wherein **community participation is featured as a central theme.**

## Steps in Preparing a Public Participation Plan



### Exercise (20 minutes) Public participation in the IDP

#### Instructions:

#### 1. Read the following scenario:

One of the objectives in Makana's IDP is to make use of green energy. The project that is identified is to appoint a service provider to sell green energy to the Municipality.

#### 2. Discuss in small groups:

- What are ways to facilitate public participation to reach this objective?
- What is the municipality's role to make the community aware of this project?
- What are the opportunities for the community that can derive from this project?

#### 3. Extension of the exercise:

One participant to share his/her experience/challenge with public participation with the group.

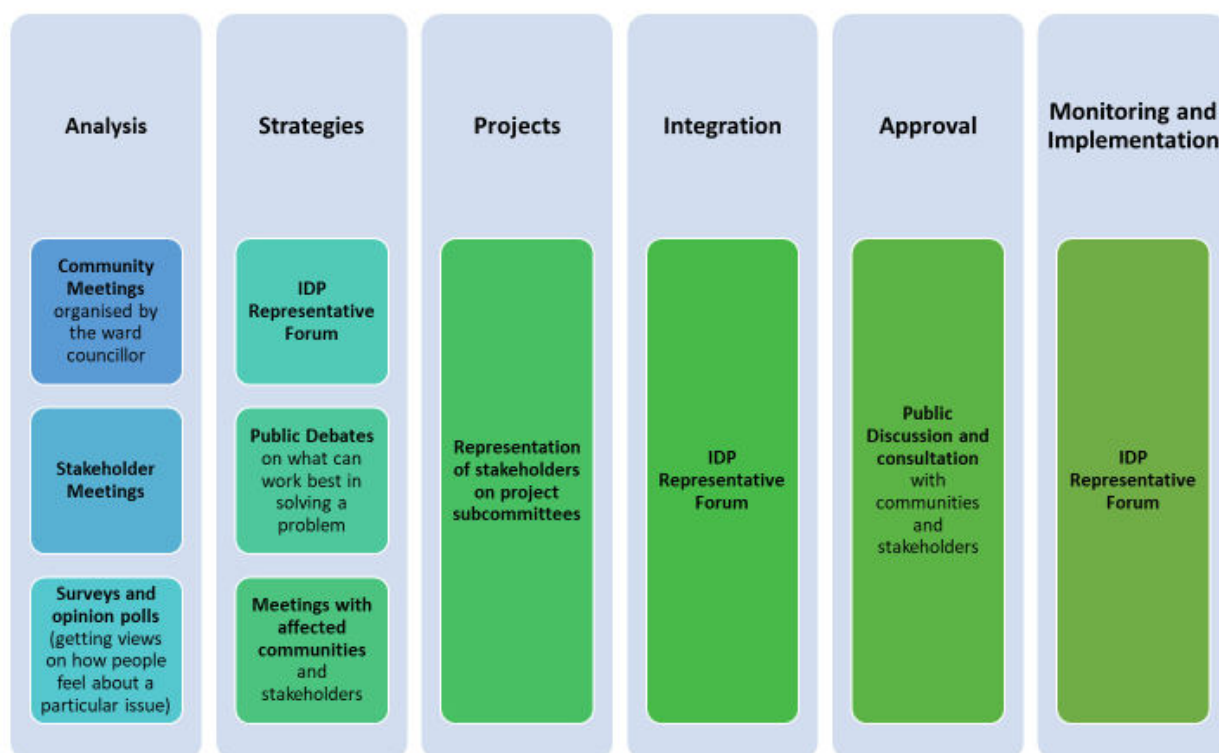
- What are experiences/challenges with public participation, what worked, what did not work, why? When? Where?
- How would you organise things differently in future?

#### 4. Present to the plenary and discuss:

- Are there different perceptions to these challenges from the:
  - municipality
  - community
  - business sector?
- How could these challenges be overcome?

#### 5. Results should be compared with following content

During the different stages of IDP planning, the following methods of participation can be encouraged:



The diagram below sets out the purpose, code of conduct, the participants and strategy for public participation of the IDP representative Forum:

The IDP representative Forum	
<b>Purpose:</b> <ul style="list-style-type: none"> <li>• Provide an opportunity for stakeholders to represent the interests of their constituencies.</li> <li>• Provide a structure for discussion, negotiations and joint decision making</li> <li>• Ensure proper communication between all stakeholders and the municipality</li> <li>• Monitor the planning and implementation process</li> </ul>	<b>A code of conduct:</b> <ul style="list-style-type: none"> <li>• Meetings – frequency and attendance</li> <li>• Agenda, facilitation and recording of proceedings</li> <li>• Understanding the role of various stakeholders as representatives of their constituencies</li> <li>• How feedback to constituencies will take place</li> <li>• Required majority for decisions to be taken</li> <li>• How disputes will be resolved</li> </ul>
<b>Participants:</b> <ul style="list-style-type: none"> <li>• Members of the executive committee of the council</li> <li>• Councillors including district councillors</li> <li>• Traditional leaders</li> <li>• Ward committee representatives</li> <li>• Heads of departments and senior officials from municipal and government department</li> <li>• Representatives from organised stakeholder groups</li> <li>• People who fight for the rights of unorganised groups – e.g. A gender activist</li> <li>• Resource people or advisors</li> <li>• Community representatives (e.g. RDP Forum)</li> </ul>	<b>Strategy for public participation:</b> <ul style="list-style-type: none"> <li>• The roles of the different stakeholders during the participation process</li> <li>• Ways to encourage the participation of unorganised groups</li> <li>• Method to ensure participation during the different phases of planning</li> <li>• Timeframes for public and stakeholder response, inputs and comments</li> <li>• Ways to disseminate information</li> <li>• Means to collect information on community needs</li> </ul>

## 4.6 Role of Leadership in the IDP Process

When being involved in the IDP process, leaders from local government, civil society and local businesses should collectively keep in mind that.....

- the **IDP is the plan of the people of the municipality**. This means the people of the municipality, as individuals and as represented by organizations, must define the intent and priorities of the plan, and must be involved in the budget allocation, monitoring and accountability processes of the IDP. Municipal officials (administrative and political) must facilitate and support the development and implementation of the IDP in this spirit.
- **representatives of civil society and local businesses have an obligation to represent their constituencies in the all stages of the IDP cycle**. They should advocate for enough opportunities to make meaningful inputs into these processes as stipulated in the local government acts. In return, they should lead their constituencies to contribute their expertise and resources to the design and implementation of the IDP instead of only criticizing from the outside.
- the IDP process should **not be misused for following individualistic agendas** and profiting from internal information but business- and civil society leaders must honour their representative function by acting in the interest of their constituencies and **feeding back all relevant information**. Otherwise trust will be lost on all sides and the quality of engagement will suffer.
- neither Municipal representatives nor the leaders of civil society and local business should see local development through a competitive lens but **rather as collaborative undertaking where each stakeholder must play its distinctive role**. They should mutually acknowledge successful initiatives and **learn from each other on the success factors**. The learnings should be actively considered in the IDP and **synergies build with promising initiatives**.
- municipal representatives and leaders from civil society and local business should be firm in their conviction that **only shared wisdom and full collaboration of all stakeholders can solve more complex problems** and invest the necessary time and energy to make the collaboration work. They should be **mentally prepared that multi-stakeholder projects are time-consuming**, require more coordination- and communication efforts and might require overcoming temporary disagreement and conflict.



### Exercise: Elements of good leadership (30 min)

**Purpose:** To increase sense of personal involvement as a leader in the IDP process

- Instructions:**
1. Individually provide examples where you as a leader can take over a leadership role in the IDP process using the below table.
  2. Choose two or three of the basic elements of good leadership where you can make an important contribution. Share these with the plenary.



Basic elements of good leadership	Good leadership applied to your contribution to the IDP process
Fulfil your role as leader in <b><u>giving direction and overseeing implementation</u></b> : Do not run away from taking decisions and apply quality assurance. Practice <b><u>wise delegation of work that empowers your team</u></b> and enhances	

efficiency.	
Create a <b>positive environment</b>	
Establish unity of purpose & direction	
Understand clearly <b>your roles and functions</b> to connect well with others	
<b>Communicate very well with your team</b> and stakeholders; without you travel alone.	
Look for <b>opportunities through networking and seeking information!</b> Talk 20% and listen 80 % when collecting information.	
<b>Stay connected.</b> Be in touch. Never forget the people in your network and never let them forget you.	
<b>Show presence</b> at events, processes and groups that matter. Network everywhere.	
<b>Anything else you believe is important</b>	

Municipal leaders should...	
<b>Take full responsibility for their contribution to the IDP process</b>	Be brave enough to <b>push for the application of new approaches</b> discussed among practitioners and researchers in the sector. They shouldn't adapt to an environment that sticks to routine and is oriented towards fulfilling only the minimum requirements.
<b>IDP is not the sole responsibility of the planning directorate</b>	It requires collaboration and contributions of all departments of the Municipality. They should <b>take active steps to break out of the silo mentality</b> in their Municipality and make a team effort to assess what kind of processes and capacities building measures are needed to improve the analytical quality and responsiveness of the whole system.
<b>Have realistic consideration of existing resources and capacities of the Municipality and all stakeholders</b>	<b>Aim for an IDP document that is implementable.</b> Break the trend of producing glossy, lengthy documents which do not focus on the essence, are hard to grasp by the communities and are reliant on costly input by service providers.
<b>Do a critical self-evaluation of what has contributed to good results in the IDP process and what impacted</b>	Don't accept these challenges as inevitable but put your heads together with colleagues and stakeholders to <b>think outside the box and come up with innovative solutions.</b>

negatively on its quality	
<b>Respect all stakeholders as partners at eye-level</b>	Even if they do not bring along the same financial resources as the Municipality or are not so familiar with the technicalities of the IDP process, <b>they are nevertheless experts in their own field and will know much better what works on the ground</b> and how a difference can be made with small, practical steps.
<b>The ultimate beneficiaries of the IDP are the citizens, including yourself</b>	<b>Citizens deserve tangible progress in service delivery.</b> They should not allow themselves to perceive the IDP and its annual review primarily as a compliance target that the Municipality must tick.
<b>Should not let themselves be discouraged by mistrust in local government, apathy to participate in the IDP process and unrealistic demands from the communities</b>	The only way to restore trust and interest in the IDP process is that <b>every Municipal representative makes extra efforts to engage with all groups and views of the community and provide honest feedback</b> as to which extent the Municipality was able to consider input and why certain demands could not have been met.
<b>Champion the development of innovative initiatives that are based on the inputs of the community.</b>	<b>Stimulate citizens in the process and leverage the existing resources in the community.</b> They should not resort to blueprint solutions that do not consider local conditions and are therefore bound to fail.

## 4.7 The Integrated Service Delivery Model (ISDM)

The Integrated Service Delivery Model (ISDM) is an innovative tool for Stakeholder Engagement. It has been modelled on the good practice of the Operation Sukuma Sakhe (OSS) developed in the province of KwaZulu Natal.

The ISDM has been launched as Operation Masiphathisane in the Eastern Cape in 2014 and as Operation Vuka Sisebente in Mpumalanga in 2015.

At provincial level, the programme is managed and coordinated from the Office of the Premier and implemented by municipalities with support of Community Development Workers (CDWs). All municipal wards in the Eastern Cape are expected to implement the programme. However, a challenge exists in terms of coordinating the work of the programme on the ground, and in terms of resourcing it since it is not entirely a municipal initiative.

The ISDM utilises the concept of a **War Room for community-driven service delivery**, founded on **multi-sectorial partnerships of government and civil society actors**.

There are following important key elements:

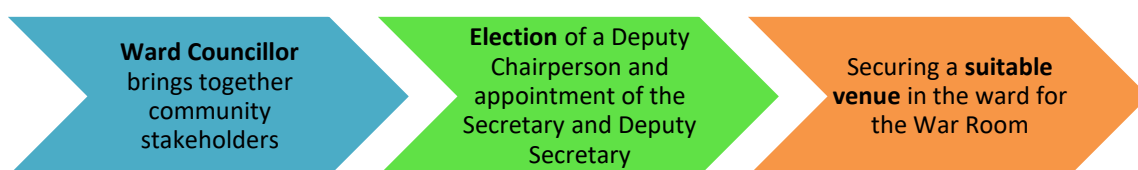
- The **War Room** as service delivery engine
- The integration of all field-based **community workers**
- The integration of **AIDS Councils** into the War Room
- The creation of a **Command Centre** for performance monitoring and measurement.

The ISDM is meant to address following challenges in the provision of services:

- The misalignment between Government structures and other policy implementation platforms;
- poor participation of sector departments;
- weak or no integrated planning and reporting which negatively impacts on the work of government;
- poor coordination of government programmes resulting in duplication of work;
- lack of community participation and ownership of government projects.

### 4.7.1 How shall the war rooms work?

The process of establishing the War Room



**All existing community structures shall be integrated in the war rooms to**

- combine resources,
- coordinate interventions,
- contribute to the identification of community needs,
- organize community dialogues on social ills,
- provide access to information on service delivery to all community members



- improve referral of problems to the right stakeholders.



### **Exercise: War rooms (20 minutes)**

#### **Instructions:**

1. Read the following scenario: Clr Plaatjies is establishing a war room in her rural ward.
2. Discuss in plenary:
  - Discuss who should be represented in the war room?
  - How is she going to ensure that issues and solutions discussed in the war room are implemented?
  - Where do you see the challenges and how could they be overcome?
  - Where do you see the advantages of war rooms?
  - Has anybody experienced war rooms in their municipality? Share with the group.

## **5 Conclusion and wrapping up**

The chapter shows that the South African legislation and policy background is in general very progressive in terms of demanding meaningful citizen engagement and promoting active citizenship through transformative leadership. The crux of the matter lies however in translating these directives into a consistent practice on the ground, where the South African Municipalities still must catch up.

The recent policy documents as the B2B strategy and the Integrated Service Delivery Model underline the intention to rejuvenate meaningful citizen engagement. Hence, we wish to encourage the participants to play their part to shape the implementation of these policy directives at their space through their exemplary leadership.

What are the most important lessons learnt from these two day?

What will you do differently in your community and in your respective position?



## 6 Annex 1: Additional material

### 6.1 Revised PDP Goals and Objectives under review as per 01 August 2018:

# Revised PDP Goals and Objectives

Goal 1: An innovative, inclusive and growing economy	Goal 2: An enabling infrastructure network	Goal 3: Agrarian reform and an innovative and high-value agriculture sector	Goal 4: Human development	Goal 5: A Sustainable Environment	Goal 6: Capable democratic institutions
<ul style="list-style-type: none"> <li>1.1 Stronger industry/enterprise support</li> <li>1.2 Rapid development of high-potential economic sectors.</li> <li>1.3 Spatially balanced economic development, Urban Development and Small-Town Revitalization</li> <li>1.4 Drive digital transformation and development of ICT sector</li> </ul>	<ul style="list-style-type: none"> <li>2.1 Build resilient economic infrastructure that promotes economic activity.</li> <li>2.2 Ensure universal access to social services</li> <li>2.3 Develop energy generation capacity, distribution network and ensure universal electrification</li> <li>2.4 Develop sustainable and integrated settlements</li> </ul>	<ul style="list-style-type: none"> <li>3.1 Sustainable community agriculture and diversified livelihoods</li> <li>3.2 Development of agricultural value chains</li> <li>3.3 Resolve urgent land issues</li> </ul>	<ul style="list-style-type: none"> <li>4.1 Enhanced early childhood development</li> <li>4.2 Improved quality primary and secondary education system</li> <li>4.3 Improve education and training for economic development</li> <li>4.4 Improve the health profile of citizens</li> <li>4.5 Enhance safety and security</li> <li>4.6 Promote social cohesion and moral regeneration</li> <li>4.7 Advance youth and women development, and disability advocacy</li> <li>4.8 Effective social protection and sustainable livelihoods</li> </ul>	<ul style="list-style-type: none"> <li>5.1 Safeguarding existing natural resources</li> <li>5.2 Respond to climate change and green technology innovations</li> <li>5.3 Environmental governance</li> </ul>	<ul style="list-style-type: none"> <li>6.1 Developmental Government Systems</li> <li>6.2 Public sector transformation</li> <li>6.3 Strengthen intergovernmental relations (IGR)</li> <li>6.4 Strengthen evidence based monitoring and evaluation</li> <li>6.5 Sustainable public finances</li> <li>6.6 Zero Tolerance on Fraud and Corruption</li> <li>6.7 Build local, African and International partnerships</li> </ul>

## 6.2 Constitution

### 6.2.1 Chapter 2- Bill of rights

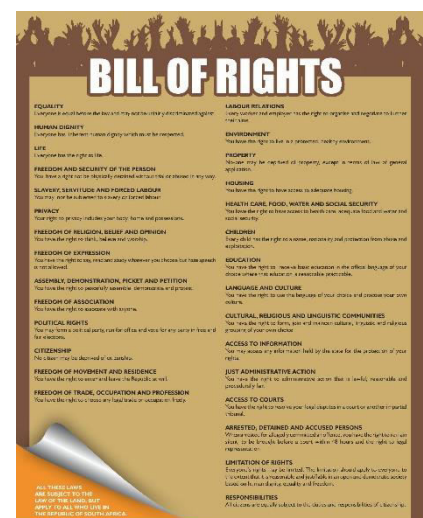
The Constitution of the Republic of South Africa makes provision for a Bill of Right to prevent the abuse of power by the government. This Bill is one of the key cornerstones of democracy. It ensures that all South Africans irrespective of race, gender, religion and creed are equally protected by the Constitution. Any violation of the rights enshrined in the Constitution shall be deemed unconstitutional. Any South African who feels that his or her rights have been violated by any organ of the State can refer that to the Constitutional Court for remedial action. In a sense, the Bill of Rights is about ensuring respect, equality before the law and the promotion of democracy in the country. (Refer to Chapter 2 of the Constitution.)

### 6.2.2 Chapter 7- Local Government

The Constitution makes provision for three spheres of government namely National, Provincial and Local Government. The Local level of government is the one that is closer to the people. It is a coalface of service delivery. The powers and functions of this sphere of government are enshrined in the constitution. Local Government were established to ensure the provision of services to the people, promote social and economic development and lastly to ensure active involvement by communities in how they are governed. This is a very important sphere of government that plays a crucial role in terms of deepening and advancing democracy in the country. (Refer to chapter 7 of the Constitution)

### 6.2.3 Chapter 10- Public Administration

This Chapter is about ensuring all organs of state and state departments provide services to the people equally, effectively and impartially. It's about ensuring accountability and adherence to the values and principles of the constitution. Public Administration must ensure that resources of the country are managed effectively and economically.



### 6.3 IDP Process and Phases

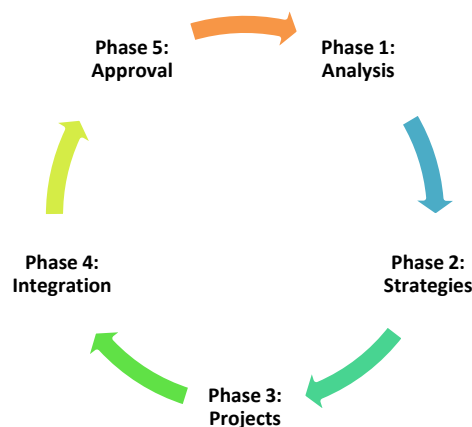
Before starting the planning process, an **IDP Process Plan** must be drawn up. This plan is meant to ensure the proper management of the planning process.

This plan should outline:

- The structures that will manage the planning process
- How the public can participate and structures that will be created to ensure this participation
- Time schedule for the planning process
- Who is responsible for what?
- How will the process be monitored?

At District Council level, a framework will be developed in consultation with all local municipalities within the district. This framework will ensure co-ordination, consultation and alignment between the district council and local municipalities. The framework will guide the development of the IDP Process Plan for each local municipality.

The process undertaken to produce the IDP consists of 5 phases:



#### 5 phases of IDP

##### PHASE 1 ANALYSIS

During this phase information is collected on the existing conditions within the municipality. It focuses on the types of problems faced by people in the area and the causes of these problems.

The identified problems are assessed and prioritised in terms of what is urgent and what needs to be done first.

Information on availability of resources is also collected during this phase.

At the end of this phase, the municipality will be able to provide:

- An assessment of the existing level of development
- Details on priority issues and problems and their causes
- Information on available resources



##### PHASE 2: STRATEGIES

During this phase, the municipality works on finding solutions to the problems assessed in phase one.

This entails:

- **Developing a vision -**

The vision is a statement of the ideal situation the municipality would like to achieve in the long term once it has addressed the problems outlined in phase one. The following is an example of a vision statement:

*An economically vibrant city with citizens living in a secure, healthy and comfortable environment*



- **Defining development objectives**

Development objectives are clear statements of what the municipality would like to achieve in the medium term to deal with the problems outlined in phase one.

For example: *Provide access to clean water for all residents living in the informal settlement*

- **Development strategies**

Once the municipality has worked out where it wants to go and what it needs to do to get there, it needs to work out how to get there. A development strategy is about finding the best way for the municipality to meet a development objective.

For example: *Co-operate with the Department of Water Affairs to provide one water stand pipe for every 20 households.*

- **Project Identification**

Once the municipality has identified the best methods to achieving its development objectives it leads to the identification of specific projects.

### **PHASE 3: PROJECTS**

During this phase the municipality works on the design and content of projects identified during Phase 2.

Clear details for each project has to be worked out in terms of:

- Who is going to benefit from the project?
- How much is it going to cost?
- How is this project going to be funded?
- How long would it take to complete?
- Who is going to manage the project?

Clear targets must be set, and indicators worked out to measure performance as well as the impact of individual projects.



### **PHASE 4: INTEGRATION**

Once all projects have been identified, the municipality must check again that they contribute to meeting the objectives outlined in Phase 2. These projects will provide an overall picture of the development plans.

All the development plans must now be integrated. The municipality should also have overall strategies for issues like dealing with AIDS, poverty alleviation and disaster management.

These strategies should be integrated with the overall IDP.



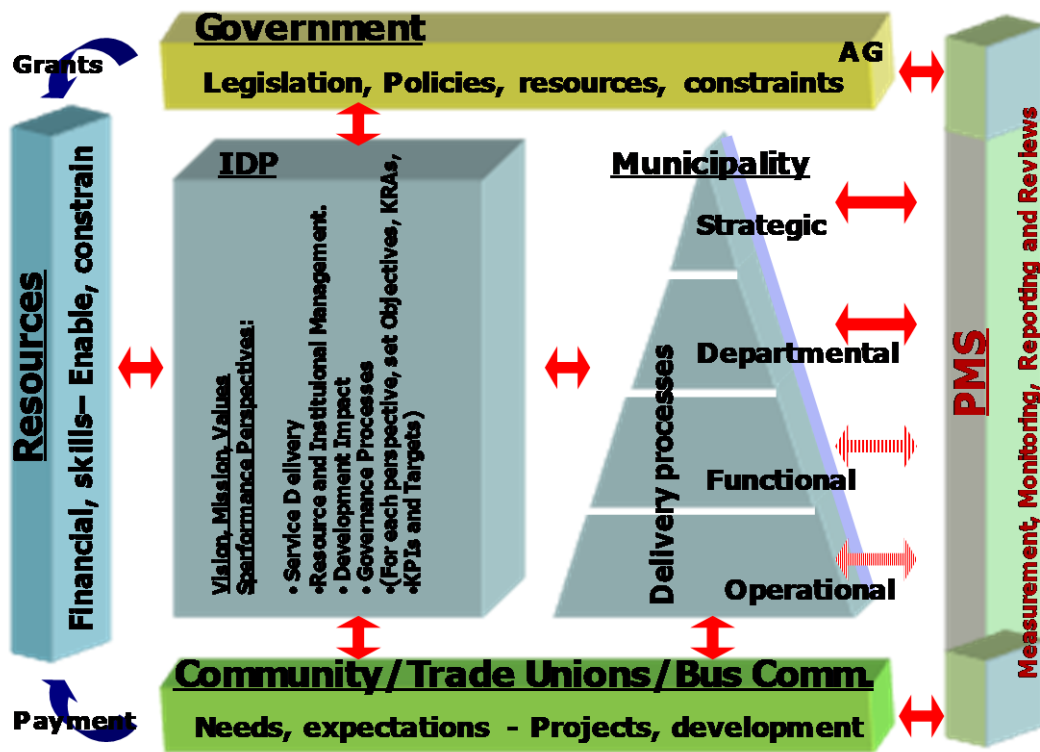
### **PHASE 5: APPROVAL**

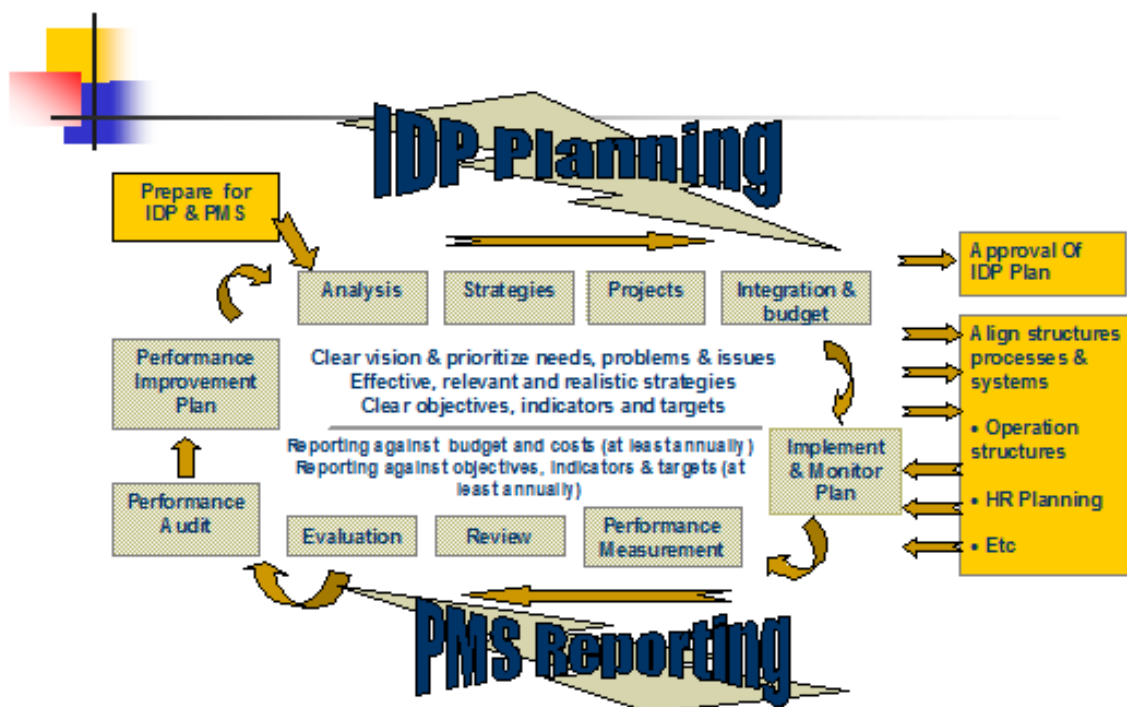
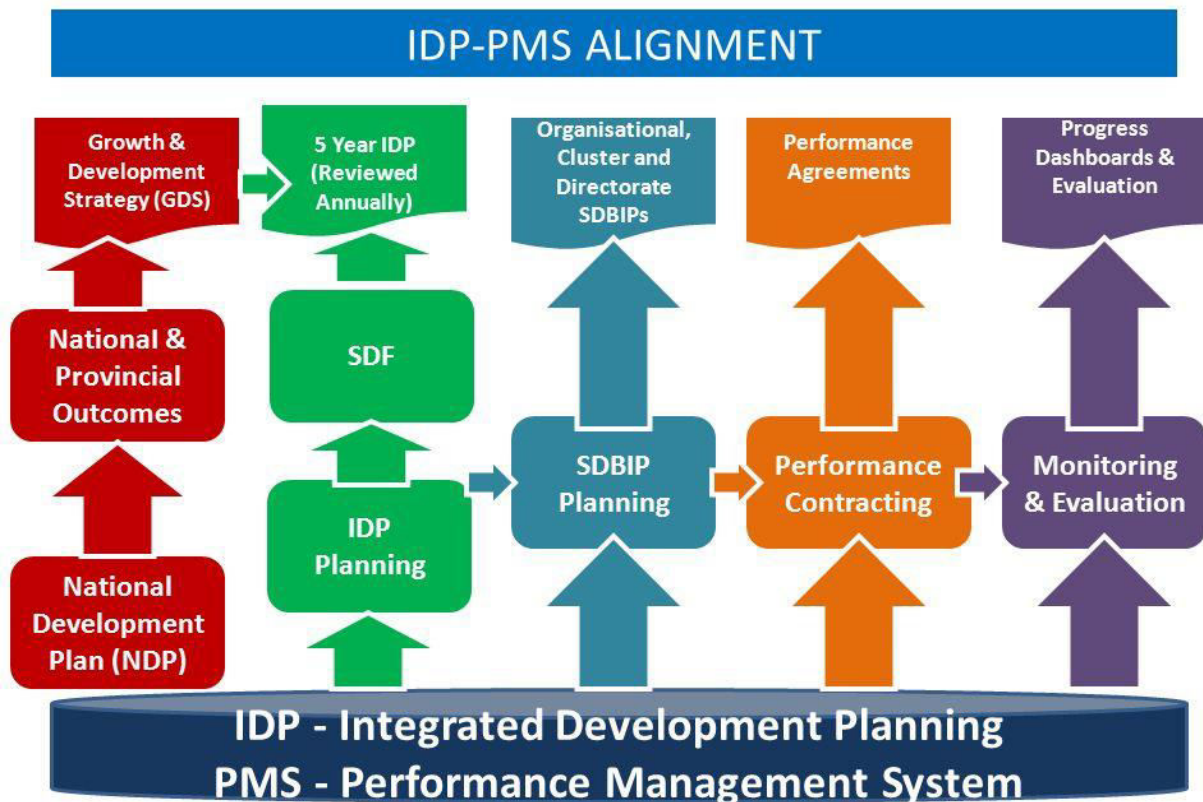
The IDP is presented to the council for consideration and adoption. The Council may adopt a draft for public comment before approving a finalised IDP.



## 6.4 Graphs of municipal processes

### The Municipal IDP and PMS Context Diagram 1: IDP / PMS Context





## 7 Annex 2: Resources & References

- South African Local Government Association (SALGA), Generic Induction Handbook for Municipal Councillors 2016
- Making Local Government Work- an Activist Guide (2011) published by SECTION 27, the Treatment Action Campaign (TAC), the Socio-Economic Rights Institute of South Africa (SERI) and Read Hope Philipps.
- Best Practice Guidelines for the Implementation of an Integrated Service Delivery Model - Generic Implementation Guide (2015), Office of the Deputy President of South Africa

## 8 Annex 3: Additional exercises

### 8.1 Exercise: Sharing of information and skills development of the public

**Scenario:** The Municipality must implement 30% preferential procurement to local SMME's when tenders are allocated. The Municipality must now decide how it will affect this regulation prescribed by National Treasury and want to develop a policy to do this. In Makana you have several Contractors' Fora, NAFFCOC, the Grahamstown Business Forum, The Grahamstown Residents Association, Ward Committees and War Rooms.

**Discuss** how you will assist the municipality to ensure that all the stakeholders are aware of possible tenders and work for SMME's, how the municipality should ensure that SMME's are upskilled to complete tender documents and negotiate with main contractors, how the municipality should ensure fairness in allocating work to the 70 registered SMME's on the municipal data base, how the municipality should ensure quality work to the benefit of the community.

The Directorates involved internally in the Municipality is Local Economic Development Planning, Budget and Treasury Office (Supply Chain Management), Infrastructure, as well as the Speakers' Office.

The Directorate LED and Planning has used SEDA, ECDC and Rhodes University in the past to assist with the upskilling of SMME's.

### 8.2 Exercise: Information, feedback, participation

**Exercise: Discussion in plenary: Look at the reasons as to why it is important to have an IDP (20 min).**

**Scenario:** The Mayor of ABC Municipality is embarking on her annual roadshows, as determined by legislation, to present the Municipality's 2017/18 Budget to communities. When she embarks on roadshows members of her Council and the ward councilor and the directors of each directorate accompanies her, as well as the IDP Manager. In extension 10, one of the wards in the municipality, the community became very aggressive and threatened to hold the Mayor, the councilors and directorates hostage until she can explain why only some of the projects that the community identified were reflected in the budget.

**Discussion:** In groups discuss how you (if you were the Mayor) you would have diffused the situation. Consider the following:

- a) In preparation for the 17/18 IDP, the IDP Manager did prepare a process plan that outlines the public participation events that were going to take place to compile the IDP. This Process Plan were presented to Council and was advertised in the local newspaper and was also published on the Municipality's website. According to the process plan, ward councilors were supposed to convene meetings which would have been attended by the IDP Manager to facilitate the identification of needs by the specific ward. An IDP Representative Forum was arranged where stakeholders could participate and present specific needs.

- b) The draft IDP was published and made available in all libraries during the month of March for comment.
- c) The IDP Process determines that communities and stakeholders should be consulted during the analysis phase of the IDP, as well as phase 2 where strategies and projects are going to be determined. It also provides for a realistic IDP and not a dream. This requires that once needs were identified by communities, a reality check must be done during phase 2 to determine whether it will be possible for the municipality to implement a specific project and or attend to all the needs that were identified. During this phase (strategy) where strategic objectives are determined and finally projects (phase 3) the following should be determined – does the municipality have the resources (money and staff) to implement a project. Should the municipality perhaps budget for a specific project in outer years (once the municipality did leverage funding to implement a project that it did not have money for in this year). Is the municipality responsible for a project that was identified by the community, e.g. schools, crèches, houses, clinics, etc. What should the municipality then do if a specific project does not fall within its mandate? It is also important to understand that some projects e.g. bulk water supply will take more than one year to implement.
- d) Only projects that are reflected on the IDP, could be budgeted for.
- e) The Municipalities revenue and grants received is going to determine how much money would be available to fund projects. Municipality ABC is a cash strapped Municipality and was identified as a municipality in distress on national level. The Municipality struggles to raise revenue because most of its residents do not pay its rates, water and electricity accounts.