

**Strengthening Oversight Processes to  
Achieve Clean Administration  
by 2014 and Beyond**  
hosted by the  
**Eastern Cape Legislature**  
in collaboration with the  
**Association of Public Accounts Committees**

Ken Smith - Chair, IAP2 SA  
29/09 – 02/10 2013  
Port Elizabeth

# Background and Introduction

- The International Association for Public Participation (IAP2) is the preeminent international organization advancing the practice of public participation (P2).
- IAP2 Southern Africa was invited by APAC to present at the Conference to wrt strengthening the oversight processes through the application of the principles of Public Participation.

# What is IAP2?

- IAP2 Southern Africa is a young, emerging Affiliate of the International Body and represents the SADC region.
- IAP2 **supports people who implement or participate in public decision-making processes.**
- IAP2 focuses on practical tools and best practices.

# IAP2's practical tools

- Core Values for public participation
- Code of Ethics for practitioners
- Spectrum of public participation
- Training on
  - How to plan effective pp (2 days)
  - Strategies for effective communication (1 day)
  - Techniques (2 days)
  - Managing Emotion and Outrage (2 days)

# A community of practice

- Regional professional affiliate established in 2011 (currently 70 members)
- First regional Core Values for Excellence in Public Participation in 2012

# 2012 Entrants

## ASSOCIATION FOR WATER AND RURAL DEVELOPMENT

Public participation in the drafting of catchment management strategies, made easy!

## ENVIRONMENTAL RESOURCES MANAGEMENT (ERM)

Ore Line Expansion Project Public Participation Process

## SONJA PITHEY CONSULTING

City of Cape Town S78(3) Waste Review stakeholder engagement process

# Engaging at legislative level

- Feedback to the **Draft Public Participation Framework for the South African Legislative Sector**

# What we said

- I. Shift from oppositional to collaborative stakeholder engagement
- II. Value the expertise of trained and experience professionals
- III. Reinforce capacity and leadership among stakeholders for long-term engagement
- IV. Measure what matters in public participation



# 4 Critical Questions

- Why do we do public participation?
- Does it work?
- What does excellence look like?
- How do we measure success?

# Why do we do it?

“People’s needs must be responded to, and the public must be encouraged to participate in policy making”

Republic of South Africa. The Constitution of the Republic of South Africa. Act 108 of 1996.

“Leadership is the capacity of a human community to shape it’s future”

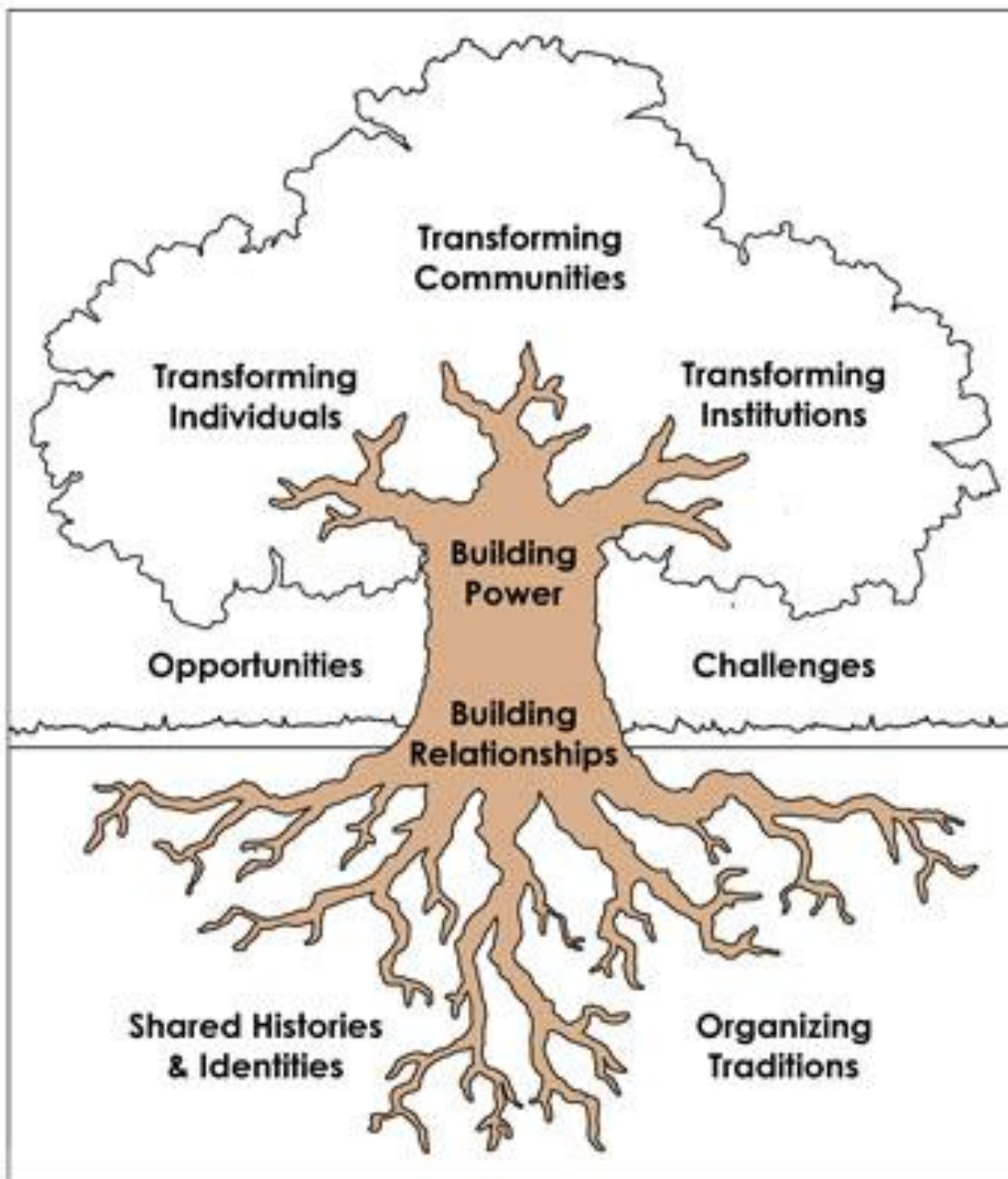
Peter Senge, Thinker and Author

# Does it work?

- Processes and formal structures don't guarantee effective public participation
- People are different
  - How they feel
  - Who they trust
  - What they need
  - How they communicate
- Issues of power are always at play

**Participation is about people - there  
lives, families, health, aspirations.**

**Also about collective, human problem-  
solving**



Source: *A Match on Dry Grass: Community Organizing as a Catalyst for School Reform*

# What does excellence look like?



# Core Values

1. Based on the belief that those who are affected by a decision **have a right to be involved** in the decision-making process.
2. Includes the promise that the public's contribution **will influence the decision**.
3. Promotes **sustainable decisions** by recognizing and communicating the needs and interests of all participants, including decision makers.
4. Seeks out and **facilitates the involvement** of those potentially affected by or interested in a decision.
5. Seeks input from participants in designing **how they participate**.
6. Provides participants with the information they need to participate in a **meaningful way**.
7. Communicates to participants how their input **affected the decision**.

# Definitions

- **Stakeholders:** any individual, group of individuals, organization or political entity with an interest or stake in the outcome of a decision
- **Public:** those stakeholders who are not typically part of the decision-making entity or entities
- **Public Participation:** any process that involves the public in problem-solving or decision-making and that uses public input to make better decisions



# Code of Ethics

1. **Purpose:** we support public participation as a process to make better decisions that incorporate the interests and concerns of all affected stakeholders and meet the needs of the decision-making body.
2. **Role of Practitioner:** we will enhance the public's participation in the decision-making process and assist decision-makers in being responsive to the public's concerns and suggestions.
3. **Trust:** we will undertake and encourage actions that build trust and credibility for the process and among all the participants.
4. **Defining the Public's Role:** we will carefully consider and accurately portray the public's role in the decision-making process.
5. **Openness:** we will encourage the disclosure of all information relevant to the public's understanding and evaluation of a decision.
6. **Access to the Process:** we will ensure that stakeholders have fair and equal access to the public participation process and the opportunity to influence decisions.
7. **Respect for Communities:** we will avoid strategies that risk polarizing community interest or that appear to "divide and conquer."
8. **Advocacy:** we will advocate for the public participation process and will not advocate for a particular interest, party or project outcome.
9. **Commitments:** we will ensure that all commitments made to the public, including those by the decision-maker, are made in good faith.
10. **Support of the Practice:** we will mentor new practitioners in the field and educate decision-makers and the public about the value and use of public participation.

	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PUBLIC PARTICIPATION GOAL	To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.	To obtain public feedback on analysis, alternatives and/or decision.	To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision-making in the hands of the public.
PROMISE TO THE PUBLIC	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advise and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
EXAMPLE TOOLS	<ul style="list-style-type: none"> <li>• Fact sheets</li> <li>• Websites</li> <li>• Open houses</li> </ul>	<ul style="list-style-type: none"> <li>• Public comment</li> <li>• Focus groups</li> <li>• Surveys</li> <li>• Public meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Workshops</li> <li>• Deliberate polling</li> </ul>	<ul style="list-style-type: none"> <li>• Citizen Advisory committees</li> <li>• Consensus-building</li> <li>• Participatory decision-making</li> </ul>	<ul style="list-style-type: none"> <li>• Citizen juries</li> <li>• Ballots</li> <li>• Delegated decisions</li> </ul>

# How do we measure success?



# Characteristics of powerful public participation

- Engagement
- Empowerment
- Deliberation
- Collaboration
- Transformation
- Permanent?

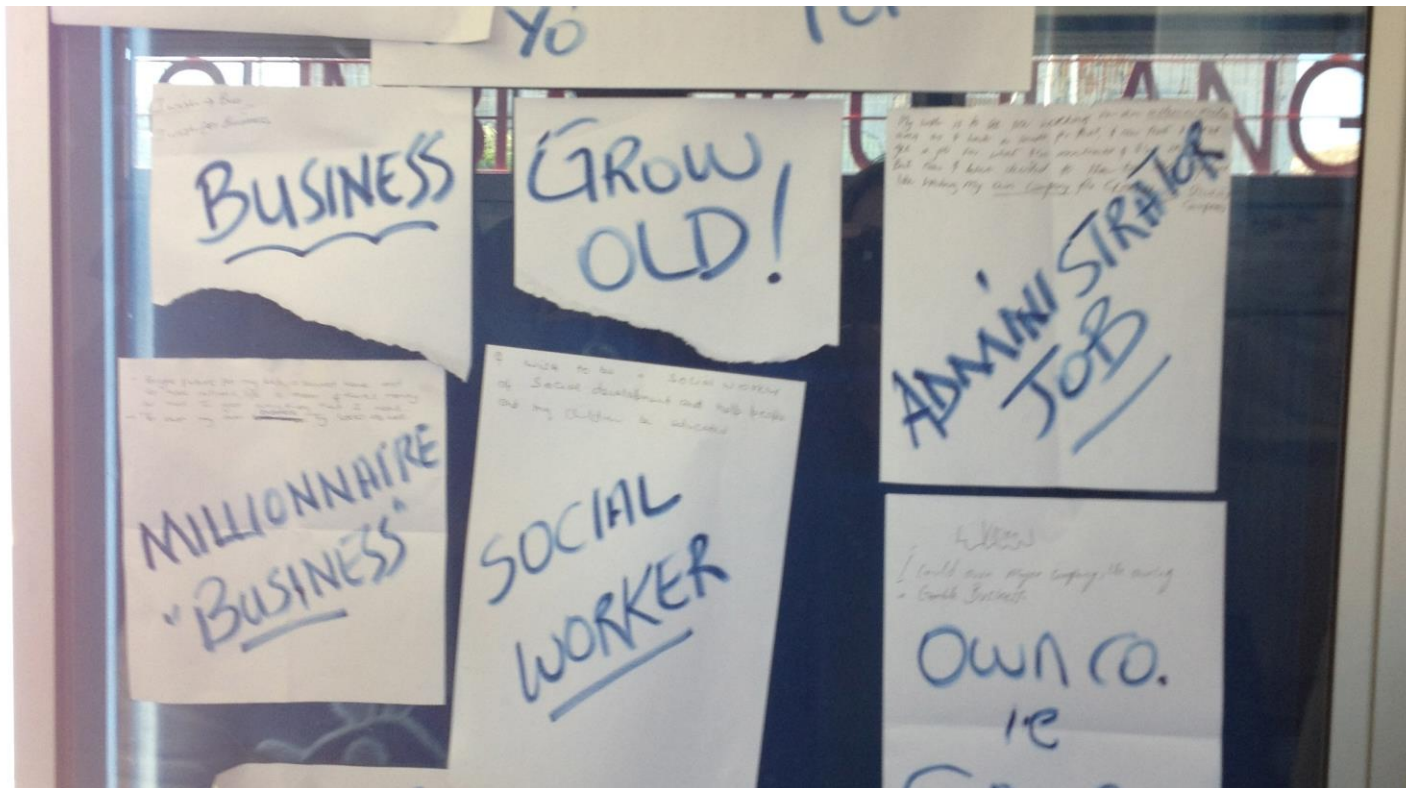
# Cost-benefit analysis

COSTS	BENEFITS
Time	Buy-in of affected communities
Money	Better project design and outcomes
Risk of having to change the proposed activity	Anticipate potential risks thanks to stakeholder input
	Effort and resources contributed by stakeholders to achieve sustainable implementation

# Indicators of successful public participation?

- Stakeholders:
- Are successfully identified (self-selected?)
- Are sufficiently informed at all stages
- Are able to engage effectively with decision and policy makers
- Are able to influence the outcome
- Have control over the final outcome
- Are satisfied with the outcomes
- Contribute to successful implementation

# People know what they need and they have personal visions of the future



# Ability and opportunities to engage with decision-makers

“CBOs tend to lack information on how to work with government and how to get involved in planning and policy-making, stating that they often just do not know whom they are supposed to speak to.”

Hicks, J. *Assessing the effectiveness of community based involvement*. Centre for Public Participation.



# Ability and opportunities to engage with decision-makers

“CBOs tend to lack information on how to work with government and how to get involved in planning and policy-making, stating that they often just do not know whom they are supposed to speak to.” – to be effectively heard.

Hicks, J. *Assessing the effectiveness of community based involvement*. Centre for Public Participation.

# Possible Issues Compromising Oversight Processes to Complement Clean Administration

- IAP2 approach is **neutral** as to the context of the outcome – probably why P2 is not a constant winner of the popularity stakes.
- Neutrality of persons or politics
  - Not neutral of effective P2 and transparency  
(Principle of Advocacy)

# Possible Issues Compromising Oversight Processes to Complement Clean Administration

- Advocacy: Use don't abuse P2 processes for personal/political gain
  - Simply, (trying only to) inform
- Use it for determining issues, feelings, perceptions (often underlying)
  - Collaboration – share responsibilities

# Possible Issues Compromising Oversight Processes to Complement Clean Administration

- P2 is perceived as being risky – and well be so, **until relationships have been forged**.
- But, **respect** begins as soon as the intension of the liaison/engagement is perceived to be mutually beneficial, and **trust** follows with delivery.
- P2 is an **organic** expression of needs and desires
  - in contrast to
- **controlled** information and response programme.

# Possible Issues Compromising Oversight Processes to Complement Clean Administration

- Public has personal **motivations** (ct political)
- An **integration** of the Public may be needed into these exiting structures, including media, Civil Society structures.

# Possible Issues Compromising Oversight Processes to Complement Clean Administration

- When there is passion concerning an unacceptable situation, **without an acceptable solution in sight**, frustration results, and expression thereof may result in action not acceptable to some / one party, in order to gain an ear (protest action).

# Possible Issues Compromising Oversight Processes to Complement Clean Administration

Even though checks and balances are in place within the life cycle of

- planning,
- budgeting, motivation and approval,
- implementation and
- management / monitoring / control

where oversight is noted, recommendations for corrective action may not be seen to be **adequately responded to** or to **bring about the desired change(s)** as advocated by the APAC

# Thank you!

Join us or find out more @ [www.iap2sa.org](http://www.iap2sa.org)

## Welcome

IAP2 Southern Africa (IAP2 SA) is the regional affiliate of the International Association for Public Participation (IAP2).

We are a network of passionate practitioners seeking to raise awareness and standards of public participation in Southern Africa. Our goal is to empower individuals and organisations by offering knowledge resources, training opportunities, and platforms for discussion among members throughout the region.

We are growing and evolving and we look forward to having you be part of that process. Find out how to get connected.



Join



Learn



Connect