

ANNEXURE B

COMMUNITY ENGAGEMENT FRAMEWORK

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1. BACKGROUND AND CONTEXT

Community participation has political and developmental connotations in South Africa's history of freedom. Before 1994, the black majority were excluded from participating in the political, social, cultural and economic spheres of public life. This exclusion was institutionalised and legislated through the apartheid policies introduced prior to and after 1948 through a system that was colloquially referred to 'separate development' by successive apartheid governments. The core of this policy of separate development was the exclusion of the black majority from participating in decision-making on matters that affected them. It was during this period that communities mobilised through political organisations, community-based organisations, non-governmental organisations and other formations initiating development interventions to address challenges they confronted in health, education, arts and culture, sport, and other areas. These organisations gave communities the voice and power to make decisions about their own development.

The White Paper on Reconstruction and Development (1994), in acknowledging this history of community participation as an objective tool for transformation, included a principle of people centredness as an important pillar that should characterise the development approach of the new government. Articulating a key principle that seeks to depart from the apartheid past, the RDP says:

[...] this programme must become a people-driven process. Our people, with their aspirations and collective determination, are our most important resource. The RDP is focused on people's immediate as well as long-term needs and it relies, in turn, on their energies. Irrespective of race or sex or age, or whether they are rural or urban, rich or poor, the people of South Africa must together shape their own future. Development is not about the delivery of goods to a passive citizenry. It is about involvement and growing empowerment. In taking this approach the Government will build on the many forums, peace structures and negotiations that our people are involved in through the land. The Government therefore commits itself to maximum transparency and inclusivity.

This principle and the Batho Pele principle seek to reinforce the centrality of community engagement in development that affects communities, therefore, all activities. This is done not only to smooth the passage of development initiatives proposed by government, but also to ensure that such initiatives address people's immediate as well as long-term needs. By

participating in and identifying with the initiative, communities take pride in the development that alleviates their immediate challenges and protect the assets brought to their areas. They jealously guard them against all forms of misuse or vandalism – they take ownership of the infrastructure, maintain, and protect it.

Community engagement is critical for the success of any government programme or project; it is a source of pride) for the community to be at the cutting edge of their own development. Community engagement restores the dignity of people, it strengthens transparency and accountability, and most importantly, it contributes to sustainable development. This framework document outlines the key tenets of community engagement which is hinged on Annexure A: Social Facilitation Process Flow and the Five Phase model which must drive all infrastructure projects and programmes initiated by the Project Management Office (PMO), Infrastructure South Africa, and its implementing agents.

1.1 Aims and Objectives

The aim of this framework is to promote active community participation in infrastructure roll-out driven by government at national, provincial and local government level and to set standards for community engagement in order to build sustainable development and to strengthen community ownership and dutiful care of public infrastructure. It is important to note that community engagement approaches are derived from a community profile that then informs the development of community specific change plans. See Annexure D: Change Management Framework. (It is good to continuously remind oneself that all the annexures to the overarching guideline are interlinked.)

The objectives of this framework are as follows:

- To promote the principles of the social facilitation model of co-creation and co-ownership
- To allow for the principle of “Organic” – meaning that all interventions should be based on the profiles of communities. It thus assumes that all actions should be community centric
- To promote coordination, integrated planning and implementation of government infrastructure programmes across all spheres.
- To promote the steps of the social facilitation model and processes within government as an instrument for empowerment and development of sustainable solutions.
- To encourage communities and other stakeholders to contribute towards ... and embrace infrastructure development initiatives.
- To assert stakeholder engagement as a critical component of infrastructure service delivery.

- To standardise and promote an appropriate use of community engagement methods and tools by the department and its implementing agents.
- To strengthen ownership and care of community and state infrastructure.

2. PRINCIPLES OF COMMUNITY ENGAGEMENT SF MODEL

This Community Engagement Framework subscribes to the following guiding principles that is inherent to the principles and standards of Social Facilitation (for ease of reference see sections 8 and 9 of the Social Facilitation Guideline) :

2.1 Timely:

Engagement should occur when the community has the best chance of influencing outcomes and should not appear to be tokenistic. Opportunities for involvement should be identified early in the process so that the community have time to digest the information and express their ideas or concerns, rather than just inviting feedback on a solution that has already been selected. Once engagement has occurred, milestones and outcomes should be timely.

2.2 Mutual Respect:

Communities have a right to voice their views on matters affecting them. The PMO acknowledges the plurality of those voices and will all times ensure that there is sufficient consensus on the course of action to take in a spirit of transparency and mutual respect.

2.3 Information and Feedback:

The community should be provided with enough information for them to decide their level of participation and to understand and be able to contribute in a meaningful way. Communities have a right to information that will assist them to make informed decisions about development initiatives that impact their well-being. The communication between the PMO and its partners must be open and transparent, and with regular feedback regarding any decisions proposed by policy makers and programme planners which affect them.

2.4 Build on existing initiatives:

The PMO will ensure that infrastructure projects introduced to communities must take into consideration existing development initiatives and build on available resources, skills, structures and assets to ensure community ownership and sustainability.

2.5 Flexible:

A variety of consultation mechanisms are available and chosen to best suit the level of engagement, circumstances and stakeholders. The PMO will seek input from participants in relation to the process of participation.

2.6 Community-focused:

Participants should be asked to consider what is appropriate for the community, not what they want personally or what is in their own interests. Interactive participants should be allowed to have space to explore topics and not be reduced to an either/or response. The community engagement plan template collects and implements as a guide.

3. STAKEHOLDER ANALYSIS

There are inherent strategic and operational risks associated with lack of appreciation of the concerns and issues raised by key stakeholders. This is why community profile process is a key enabler of the Social Facilitation Model from where a coherent stakeholder analysis can flow to provide project management teams with an opportunity to understand not only people, groups and organisations that have vested interests in a particular project, but also the depth of these priorities and needs that impact the principle of co-creation.

The first of the three-step process in stakeholder analysis is stakeholder mapping. Stakeholder mapping is a method of identifying appropriate tools clarifying and categorising different stakeholders by drawing or mapping out potential stakeholders that may have an interest in the success or outcomes of a project. This is done by identifying the stakeholder groups, what interests they serve, how much influence they have, whether they are inhibiting or enabling factors for the project to achieve its goals, and how they should be managed. All these factors thus influence the change and communication plans in order to realise the aims with the social Facilitation model and its processes.

There are various stakeholder groups inside and outside the community. For example, within the community, there are youth, women, senior citizens, people with disabilities, etc. Other groups outside of community include government departments at national and provincial level, municipalities, state-owned enterprises, private companies, trade unions, organised business formations, donor organisations (bilateral and multilateral), community-based organisations, non-governmental organisations, and other civil society organisations. The stakeholder analysis template must be used to collect and analyse information related to relevant project stakeholder identification and analysis matrix.

4. UNDERSTANDING COMMUNITY DYNAMICS

In defining and understanding a community, a community profile becomes key. Communities are not monolith; they are made up of different individuals and groups, some with divergent interests, priorities and needs. It is important therefore to carefully consider these dynamics and incorporate them in the conceptualisation and design of development programmes and projects. These dynamics are informed by political, social, economic, cultural and historical power relations among members of the community. These relational variables differ from community to community and evolve over time. They must be studied and analysed carefully because they have a potential to impact negatively on departmental programmes if not managed appropriately. Another important factor which requires consideration is that communities are made up of two types of people: those that engage and those that do not. The ultimate goal of any government programme or project is to ensure that its initiatives receive maximum support from communities. In attempting to ensure communities are engaged in their own development, the department and its implementing agents must understand the relationship between communities and development organisations (government, donor agencies, CBOs, NGOs etc). Arnstein's ladder of citizen participation is a useful tool that can be used to understand this relationship. It is recognised that the methodology may have elements such as the reference to "therapy" that is not applicable in this instance but overall it does provide guidance on the concept of participation. Lastly, because of the complexities found any development initiative, it is important to ensure that the process is handled by credible and highly experienced social facilitators. The reference made to experienced social facilitators assumes more than having the ability to communicate in a specific language; it is about understanding the social facilitation processes, community profiles and how the communication and change interventions are to be constructed based on contextual realities, preferences and priorities— again moving away from cookie cutter approaches – which brought us to this point in the first instance.

There is a mistaken belief that social facilitation is a 'soft skill' that anyone possesses. There is a trail of failed projects in South Africa and elsewhere which can be attributed to the poor management of relationships among communities and programme and project implementers. This alone provides sufficient evidence that social facilitation is a critical function that must be used to engage communities at all times.

4.1 Types of engagers and non-engagers

There are different types of engagers and non-engagers in all communities. Government must always find ways of understanding these categories of people in communities to develop strategies of engaging them effectively. The strategies to involve engagers will be different from those used to work with non-engagers. Even within the engagers' category, it may be necessary to utilise different approaches, for example, to engage vulnerable groups. Vulnerable groups are generally the most marginalised in the community; their voices are usually drowned out by the powerful, and their views are hardly considered when decisions are made. Active citizens and community anchors are important groups within communities that must always be engaged. These groups have institutional knowledge of what has worked or not worked in the community; they are influential, and their views would in most cases reflect those of the broader community and potential offenders are another group that should be given a voice. They live within the community and share important information with other members of the community (families, neighbours, and friends). It is important to obtain their views about a development initiative.

A group that is difficult to engage is the non-engagers. There are different types of non-engagers, ranging from dismissive to alienated. Although it may be difficult to engage with this group, their views matter, and through extensive social facilitation by experienced practitioners, their views can be sourced and heard. Those in the dismissive, disengaged or uninterested groups are generally cynical about development and the intentions of government or development efforts. Although in most instances they do not offer reasons for their attitude, an experienced social facilitator or researcher is able to get a glimpse of their thinking. The group resorting under the time- limited category generally comprises professionals who can be very resourceful in communities. They are generally not available because of work commitments or other reasons. The stakeholder analysis template and non-engager template must be used to collect and analyse information related to relevant project stakeholder identification and analysis matrix.

Table 1: Types of engagers and non-engagers (adapted from Lloyd & Foster, 2017)

| TYPE OF ENGAGER | |
|--|---|
| The vulnerable | Individuals and groups with a high probability of victimisation or with high fear of victimisation deriving from their physical, cognitive or emotional state. |
| Active citizens | Individuals who are already formally engaged in community activity (through sports, religion, politics or other social or economic activity). |
| Concerned network members | Individuals who have a shared concern or informal network to a particular issue, regardless of whether the issue has been the subject of attention of policy makers or programme implementers. |
| Community anchors | Individuals who are trusted by particular communities although they have no formal representative status in the community. |
| Offenders and potential offenders | Those with regular contact with law enforcement agencies because of their past, present or potential offending behaviour. These individuals carry back important information to their often wide networks of non-criminal associates. |
| TYPES OF NON-ENGAGERS | |
| Dismissive, disengaged, and uninterested | Individuals who have made a decision to distance themselves from community activity and are not prepared to elaborate or explain. |
| Time limited | Individuals who excuse themselves or offer genuine explanation that they were unlikely to have time to engage. |
| Fearful | Individuals who fear reprisals of whatever nature as reasons for non-engagement. |
| Alienated | Those distanced from the community by individual or group characteristics or physical circumstances, who have made no specific decision not to participate. |

People who fall under the alienated category are those generally marginalised as result of economic or social circumstances. It is this group that requires special attention from policy makers and programme implementers. Social facilitators contracted by the department and its implementing agent must outline in their engagement plan how they intend to identify and work with all these groups of people within the communities.

4.2 Arnstein's Ladder of Citizen Participation

Participation can be used for good and sometime bad reasons. As a social construct, its meaning and usefulness may mean different things to different people. It can be used to genuinely mobilise community to have a say and make decisions about development that affects them. It can also be used to subvert the canvassing of the true feelings of the community in pursuance of self-serving agendas by the most powerful in society. Sherry Arnstein (1969) developed a typology of participation that has been popularly known as the ladder of participation. Arnstein identifies eight different types of participation: manipulation, therapy, informing, consultation, placation, partnership, delegation, and citizen control.

The first two (see




Figure 1 below) are characterised as non-participation. Manipulation involves using participation as a ruse to fulfil a predetermined outcome, with no genuine intention to engage communities constructively on an issue that requires their views and possible decisions. Therapy, on the other hand, is used to influence the behaviour of communities to take a particular form that may be in the interest of the most powerful. The first two 'steps' are counterproductive and should be avoided at all costs.

Steps 3 to 5 (informing, consultation, and placation) are referred to as tokenism. Informing occurs when those with power communicate their decisions to communities without seeking to canvass community views about such decisions or providing information. Consultation, on the other hand, occurs when community views are canvassed through surveys, community meetings and other media, without any guarantees that such views will be considered in the decision-making processes. Placation occurs when those with power offer incentives to influence communities to agree to a particular course of action.

In Steps 6 to 8 (partnership, delegated power, and citizen control) communities have real control of decision-making. Partnership occurs when communities and institutions of power become co-owners of the structures that make decisions. They jointly identify the problem and

agree on the course of action to resolve it. In delegated power, communities have control of certain aspects of the programme or project. This form of participation is used to operate and maintain community infrastructure. Citizen control is a meaningful and genuine empowerment of communities to take ownership of their own development. Communities are assisted to set up institutions and systems that will be responsible for managing programmes and projects within their area.

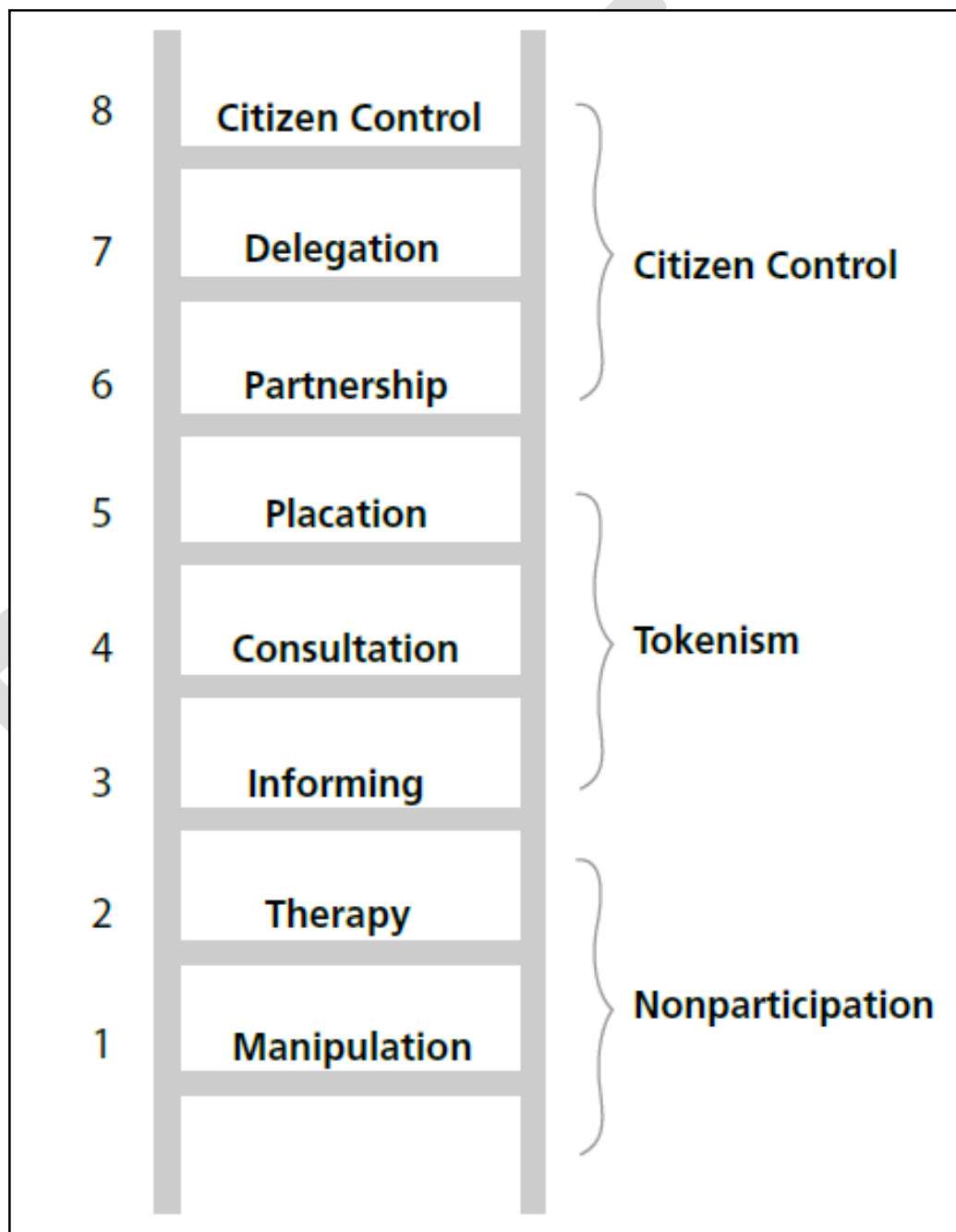


Figure 1: Arnstein's ladder of citizen participation (Mak et al., 2017)

5. COMMUNITY ENGAGEMENT METHODS

The International Association for Public Participation (IAP) developed the Spectrum of Public Participation to clarify the role of communities in the participation continuum. The spectrum identifies five levels or methods of public engagement. Each of these levels fulfils a particular goal and may be appropriate in certain contexts.

| | 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 advice and recommendations into the decisions to the maximum extent possible. | We will implement what you decide. |
| Example Tools | <ul style="list-style-type: none"> • Fact sheets • Websites • Open houses | <ul style="list-style-type: none"> • Public comment • Focus groups • Surveys • Public meetings | <ul style="list-style-type: none"> • Workshops • Deliberate polling | <ul style="list-style-type: none"> • Citizen Advisory committees • Consensus-building • Participatory decision-making | <ul style="list-style-type: none"> • Citizen juries • Ballots • Delegated decisions |

Figure 2: IAP2 Spectrum of Community Engagement (IAP, 2018)

The goal of informing is to keep every stakeholder informed about certain aspects of the programme or project. The goal of consulting is to obtain views and receive feedback from the communities. Involvement is about working with the community throughout the programme or project and ensuring that their views are considered in the decision-making process. The goal of collaboration is to partner with communities in all facets of the

programme or project. The goal of empowerment is to play a facilitative role and allow communities to make their own decisions about matters that affect them. The department provides the necessary support to ensure that communities take informed decisions and actions. The framework has included an additional engagement method, 'listening', used by Haringey Council (2009) which extends the original spectrum of community engagement methods developed by the International Association for Public Participation (IAP2) in 2018. Listening is an important aspect of community engagement.

South Africans' perspective of public participation is the direct involvement and engagement of ordinary people in the affairs of planning, governance and overall development programmes at local level, ranging from village level and ward level. The Municipal Systems Act, No. 32 of 2000 (The Presidency, 2000), Chapter 4, sub-sections g and h, also state this clearly at all local government levels. Community development workers (CDWs) were established to bring government closer to the people and improve the delivery of quality services by government institutions and all three spheres. Their mandate is to strengthen public participation to achieve the political objectives set for the country. CDWs are empowered to regularly communicate government and relevant information to communities and civil society in an accessible manner, while also providing feedback to government regarding any developments. The methods of community engagement are discussed briefly below. The Community Engagement Plan must be prepared by the community/social facilitator before the commencement of the project (during stage 1). The Community Engagement Plan must be approved by the relevant programme manager and Project Steering Committee (PSC).

5.1 Informing

Informing is about collecting relevant information and making it available to communities and other stakeholders using appropriate communication methods. Although informing is a one-way means of communication, it does provide useful information about certain aspects of the project. The PMO will use this method to mobilise communities, communicate important information about the projects, or raise awareness about an aspect of the project. The PMO will use the departmental website, Facebook and Twitter, brochures, newsletters, information sheets, posters, the public broadcaster, and community radio to inform communities about various aspects of the departmental projects.

5.2 Listening

Listening is about collecting information through participatory research tools that will provide insights into and knowledge about a particular phenomenon in the community that may be of

interest to the department. Listening provides the department and its implementing agents with an opportunity to learn and understand communities' views on a wide range of issues, including those that may not be related to the programme or project. Methods used to listen to community issues include interviews, focus-group discussions, surveys, and *imbizos* (*lekgotla*). The department will commission research studies, community meetings, seminars and community workshops to obtain first-hand information on any topical issues related to the work of the department.

5.3 Consulting

Consulting involves a process of engagement with communities in order to inform the decision-making processes within the department. The purpose of consulting citizens is to obtain their input or views on certain aspects of the programme or projects or to give feedback and establish what the views of the communities are with regard to matters affecting them. Consulting takes the form of public meetings, community workshops and other participatory approaches. The PMO will consult stakeholders on a regular basis and establish direct communication between the department and key stakeholders.

5.4 Involving

Involving is about ensuring that communities are party to the decision-making relating to a programme/project/initiative that may impact on their lives. Involvement means communities are part of the planning and implementation process of a programme or project – it is co-created. A community's input is not only limited to giving a project its approval, but is part of the decision-making related to the alternative approaches to addressing a community problem. The PMO will ensure that communities influence certain aspects of the project delivery and that community voices are heard and taken into consideration when decisions are made. The PSC is a structure at community level in which the department, contracted service provider and community representative meet to discuss and agree on project-related issues. The PMO will ensure that the PSC is provided with support to carry out its mandate. The Terms of Reference of the Project Steering Committee regulates the nature of decisions taken, frequency of meetings, and specific roles of the members of the PSC.

5.5 Collaborating

Collaboration is about the department and communities using their respective resources to plan and implement a programme, project or initiative. Collaboration means that communities are part of the conceptualisation, design, planning, implementation, monitoring and evaluation of a project. Government will work with community representatives to strengthen the capacity of the community to participate meaningfully in the activities and decisions

related to the projects. These relationships are managed through the PSC which is responsible for recruitment of community workers and providing feedback to the broader community.

5.6 Empowering

Empowering occurs when communities plan, develop, and implement their own programmes or projects which are meant to address a particular social and economic need. This is done with the support of the department, community-based organisation or non-government organisation. The PMO will use the Social Facilitation Model to strengthen the technical and management capacity of communities to manage and operate infrastructure projects. In addition to this, the department will promote local economic development through localisation of economic opportunities, small enterprise development, training of young people, women and people with disabilities, and promoting beneficiation from infrastructure projects implemented by the department. The objective of empowerment is to create sufficient economic activity which will contribute to the maintenance of local infrastructure on a sustained basis.

6. INFRASTRUCTURE PROJECT STAGES AND ENGAGEMENT OBJECTIVES

Table 2: Link between infrastructure project stages and engagement objectives

| Infrastructure Project stages | Phase Definition | Engagement Objectives | Source documents |
|---|--|---|---|
| Project Infrastructure Planning stage (Pre-feasibility stage) | In this phase the programme conceptualisation and design of infrastructure projects within the department take place and include infrastructure planning, procurement planning, project packaging, and design development. | <ul style="list-style-type: none"> Stakeholder profiling and mapping Identify entry point and leaders Gather community intelligence To identify and prioritise community needs Seek community co creation To involve stakeholder in the problem analysis and decision-making on the possible solutions. | Stakeholder profiling and analysis template: <ul style="list-style-type: none"> Project progress report/input collection template Conflict resolution management process template |
| Procurement Planning stage Feasibility (Procurement planning) | | <ul style="list-style-type: none"> To solicit stakeholders' buy-in to the proposed programme or project. To build relationship with the stakeholders To ensure that stakeholders are part of the planning and decision making process that shape key elements of the project. | Community Engagement Plan Template |
| Packaging planning services | | <ul style="list-style-type: none"> To ensure that there is shared understanding of the programme goals and outcomes between all stakeholders. | Templates will be provided during the Institutional and Social Development process |

| | | | |
|------------------------------|---|---|---|
| | | <ul style="list-style-type: none"> • Appoint the social Consultant • Establish PSC • Appoint the LDOs | |
| Design development services | | <ul style="list-style-type: none"> • To develop standard operating models/ processes. • To develop a communication strategy. • Present plans and designs to the community for their approval. • Conduct training needs assessment and training plan. • Conduct training. | Technical Training Framework for Local Skills Development and Needs Assessment Template |
| Design documentation stage | | <ul style="list-style-type: none"> • Recruit workers. • Develop training manuals for approval. • Conduct technical training. | Recruitment of Community Workers' Template |
| Design document services | | <ul style="list-style-type: none"> • To use stakeholder input in the design of the programme or project. | Project charter |
| Implementation service stage | In this phase the construction or implementation of the project is undertaken and is informed by the detailed project design from Phase 2. | <ul style="list-style-type: none"> • To provide two-way feedback between the project and stakeholders related to the programme/project progress and results. • To minimise misunderstanding and to resolve disputes related to the project promptly. | Social Facilitation Quality Assurance Tool Project progress report |
| Hand-over stage | In this phase the programme or project is evaluated. Depending on the project scope, size and complexity, implementation evaluation, outcomes evaluation or economic evaluation, impact evaluation could be undertaken. | <ul style="list-style-type: none"> • To improve programme/project conceptualisation, design, planning and implementation. • To establish areas of improvement and share lessons with all project stakeholders. | Close-out report signed off by the PSC Chairperson |

7. CONFLICT MANAGEMENT

Given the competing interests of stakeholders in development projects, conflicts are bound to happen. A conflict arises when one or more parties express disagreement on a particular matter or course of action which results in a stalemate or affects the smooth running of an organisation or project. Conflicts in development projects may result from a clash of values, interests, cultures or power dynamics between stakeholders (IAP, 2018). According to Leung et al. (2005) there are two main types of conflict: task and team conflict. Task conflict arises when people in a group have differences of opinion which impact on the decision-making and project activities. Team conflict arises from interpersonal clashes between the members of a team. Conflict management “is the practice of identifying and handling disagreements in a sensible, fair and efficient manner that prevents them from escalating out of control” (Engel & Korf, 2005). The first step in resolving conflict in community engagement exercises is determining the nature of the conflict and selecting the most appropriate approach to resolving

it. The conflict resolution template must be use as a guide and to standardise the process to resolve the conflict at hand.

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8. ABBREVIATIONS

| | |
|-------------|--|
| CBO | Community-Based Organisation |
| IAP | International Association for Public Participation |
| ISD | Institutional and Social Development |
| NGO | Non-Governmental Organisation |
| OECD | Organisation for Economic Co-operation and Development |
| PMO | Project Management Office |
| PSC | Project Steering Committee |
| RDP | Reconstruction and Development Programme |

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