

**SECURING THE SUSTAINABILITY OF NEW INSTITUTIONS IN THE WATER
SECTOR
WORKING PAPER 2007/1**

**A PRACTICAL GUIDE
FOR COMMUNITY EMPOWERMENT
THROUGH THEIR ACTIVE ENGAGEMENT
IN PILOT PROJECTS**

SECOND VERSION



water & forestry
Department of Water Affairs and Forestry
REPUBLIC OF SOUTH AFRICA

Programme Partners
Provincial and Local Government
South African Association of Local Government (SALGA)

NOTE

This second draft has been prepared by Roger Short (DWAF/Danida Senior Technical Adviser) with the assistance of Derek Weston (Deputy Director DWAF D: Institutional Oversight and Governance) IWRM National Project Manger), Tshiamo Matabane (DWAF D: Institutional Oversight and Governance and IWRM Programme Officer)) and Nik Wullschleger (IWRM Coordinator Olifants Doorn WMA). The document at this stage does not necessarily reflect the official policies of the Department of Water Affairs and Forestry or Danida.

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EXECUTIVE SUMMARY

EXECUTIVE SUMMARY

Empowerment is the expansion of assets and capabilities of poor people to participate in, negotiate with, influence, control, and hold accountable institutions that affect their lives

The Challenges

How do we best go about creating a level of understanding in rural communities when many are semi-literate as a result of past policies, and many, in particular rural women, are struggling to manage families and get food on the table and basically do not have time to attend training and - what is the use of a certificate of attendance if it does not resolve their daily problems?'

This document is based upon the community empowerment experiences of the Danida supported IWRM programmes in South Africa that commenced in 2000. The approach adopted has evolved since the first evaluation in 2001 of the participation of marginalised groups in the processes related to the establishment of Catchment Management Agencies (CMAs). These findings pointed to the need for the planned CMAs to adopt a developmental role in order to bridge the gap between the representatives of an articulate first economy and those of the disadvantaged second economy. Developing appropriate capacity building programmes had to take into consideration a number of issues. The first was *"how do we best go about creating a level of understanding in rural communities when many are semi-literate as a result of past policies, and many, in particular rural women, are struggling to manage families and get food on the table and basically do not have time to attend training and - what is the use of a certificate of attendance if it does not resolve their daily problems?"*. The second question was *"how do we make a paradigm shift from the top-down planning culture and create an environment of mutual understanding and one that recognises the often extreme conditions of poverty and that communities themselves actually have resources to shape their own lives providing the right catalyst is provided"*. The approaches set out in this document have sought to address these issues.

The component of the IWRM programme dealing with stakeholder capacity building has evolved over its lifetime and has adapted to respond to diverse needs. In particular it has been able to "scale-up" the IWRM I approach to community-based initiatives, to one under IWRM II that now adopts a more holistic approach. IWRM I can be described as having adopted an implicit rights-based approach (RBA) to empowerment and development whereas IWRM II an approach that has placed the RBA at the core of its implementation methodology. This methodology can be summarised as having been guided by the philosophy of the statement contained in the adjacent box.

The core thesis in the process of designing the programmes, must be that water is a catalyst for growth and development in line with the achievement of Millennium Development Goal Targets, and the respect of international agreements and conventions. Thus considerable effort has to be made to empower communities through initiatives that demonstrate benefits to livelihoods and community well-being. Traditional training schemes and participation that involves one-way information dissemination is not sufficient. This may sound reasonable and obvious. Unfortunately there is too often a tendency to adopt top down approaches, particularly in organisations that have a typically technical engineering culture. On the other hand there is a propensity to perpetuate a grant culture whereby, for example, farming communities are visited by a service provider and they are informed of grant opportunities and asked to "sign on the dotted line". No other assistance is given on how to use the grant. Moreover, it can be argued that because of this grant culture certain civil society groups are not capacitated to work in an outcomes based culture, tend to follow their own mandates that they are comfortable with and do not actively engage communities to develop sustainable solutions to improve their livelihoods and community well-being. Above all, at the end of the exercise communities must be able to, either individually or through their representatives, actively engage in local water management issues and to inter-act with their democratically elected representatives whereby they are able to articulate their needs in such a manner that they are listened to and responded to with positive remedial actions.

Water as a catalyst for growth and development really means that it should also be a catalyst for change in communities. It must embrace IWRM principles, and there must be a holistic approach to

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engaging communities in activities and projects where they can, through action learning, see the immediate benefits. As will be seen from the pilot projects in Olifants Doorn, projects range from food gardens, women's organic cooperatives, and water conservation awareness, groundwater, HIV/AIDS and many more. To some this approach may not be viewed as being within the ambit of the Department of Water Affairs and Forestry given its new regulatory rule. For those used to "banging in pipes and meeting backlog targets" the approach may just be seen as that and regarded as just another dimension to service delivery as opposed to being an integral part of the empowerment of marginalised communities.

This second edition of the guideline provides an overview of IWRM in South Africa, the need for cooperative governance, the links to the Millennium Development Goals and the methodology adopted by the IWRM to engage and empower community's in particular marginalised groups and women. It then provides a practical example of implementation in Olifants Doorn WMA.

This is the first of a series of guidelines and working papers that will be produced to disseminate information based on experiences in the IWRM Programme. A guide to the Rights Based Approach and a CD containing examples of international best practice will be available shortly.

PART ONE : BACKGROUND

PART ONE – BACKGROUND

1. IWRM in South Africa¹

The National Water Act makes provision for, amongst others, the implementation framework for Integrated Water Resources Management (IWRM). A feature of this approach is the establishment of Water Management Areas and Water Management Institutions that will allow water resources management to move from a central decision making level to a catchment and local level. **Thus, IWRM is part of the core business of the Department of Water Affairs and Forestry.**

Nineteen Water Management Areas (WMAs) have been established in South Africa, each the home to a set of water management institutions that will be established through the combined initiatives of the Department of Water Affairs and Forestry (DWAF), Local Government, communities living in the catchment, businesses operating in the catchment and any other relevant organisation with a presence or interest in that catchment. The Constitution of South Africa, National legislation and policies, as well as district and local municipality by-laws, guide these institutions.

Defining the interface between water resources management and water services provision and the relevant roles and responsibilities is an evolutionary process. It requires the establishment of new institutions and a redefinition or greater clarity of roles and responsibilities of existing institutions, which is a challenge to conventional practices, attitudes and professional niches. The ultimate goal, however, is well supported by all, namely, **the holistic and sustainable management of water resources for our collective growth and development.**

Three fundamental elements of IWRM have been identified internationally namely:

- The enabling Environment,
- Institutional Roles, and
- Management Instruments.

2. Water Management and IWRM in South Africa

Water management in South Africa comprises water resources management on the one hand and water services provision on the other. The primary objective is to ensure water security to meet the following obligations:

- Water for people;
- Water for food;
- Water for the environment; and
- Water for industry and other users;

¹ This section has been adapted from an earlier document "IWRM Institutional Roles and Responsibilities" prepared under IWRM Phase I

PART ONE : BACKGROUND

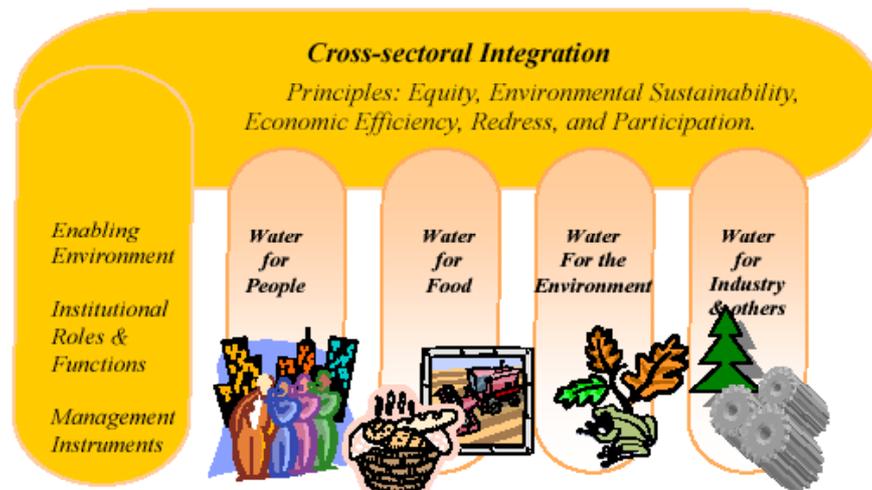
These are guided by the principles of **equity, environmental sustainability, economic efficiency, redress and participation.**

Water Resources Management: The objectives of water resources management, as contained in the National Water Act, is to ensure that water resources are *protected, used, developed, conserved, managed and controlled* in such a way as to achieve optimum *environmental sustainability, social equity and economic efficiency.*

Water Services Provision: Water services provision on the other hand includes: *Activities of water abstraction, conveyance, treatment and distribution; and waste collection, removal, treatment and disposal generated by the use of water.*

To succeed in IWRM, three fundamental elements have to be in place as previously discussed, namely, an enabling environment, definition of institutional roles and functions and establishment of management instruments⁶. Maximum benefit and sustainability will be achieved through sectoral integration and availability of these support elements. **Figure 2:** further depicts this integration, adapted from the GWP and forms the essence of IWRM as enshrined in the National Water Act of South Africa

Figure 2: Cross-Sectoral Integration



3. Creating an Enabling Environment for IWRM

Successful implementation of IWRM requires policies and legislation to be harmonised in all spheres of government. **What is also important is accountability, good governance, committed civil society and institutions that have the capacity to implement the relevant policies.**

LEGISLATION RELEVANT FOR IWRM IMPLEMENTATION

WATER RESOURCES MANAGEMENT

- The Constitution of the Republic of South Africa (1996)
- The National Water Act (Act 36 of 1998)
- The National Environmental Management Act (107 of 1998)
- The Environment Conservation Act (Act 73 of 1989)
- The Conservation of Agricultural Resources Act

WATER SERVICES

- The Water Services Act (Act 108 of 1997)
- The Municipal Structures Act (Act 117 of 1998) &
- Municipal Structures Amendment Act (Act 33 of 2000)
- The Municipal Systems Act (Act 32 of 2000)
- The Public Finance Amendment Act (Act 29 of 1999)

4. Cooperative Governance - Institutional Roles and Responsibilities

The organisational framework for institutional roles and responsibilities that has been adopted is one defined by the institutional role in the water management cycle. In South Africa water institutions may be grouped into the following broad categories:

- Regulatory Bodies and Enforcement
- Agencies;
- Water Services Institutions;
- Facilitators and User Interest Groups;
- Conflict Resolution Bodies.

Regulators are institutions that make and enforce laws and monitor activities with respect to the management of water resources.

Water Services Institutions are institutions assuring potable water supplies to all communities in South Africa, and are also involved in the removal and treatment of wastewater before the effluent is returned to the environment.

Facilitators are organisations and institutions from civil society that are not necessarily statutory yet play a significant role in the management of water resources either directly lobbying for or providing knowledge for the management and protection of the water resource itself, or indirectly by supporting sustainable development and/or conservation of the natural environment.

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Conflict Resolution Bodies, such as the Water Tribunal, are in place to provide a forum for civil appeals against regulatory decision and resolution of conflict between two or more organisations regarding a water resource.

Organisations in South Africa that fall into each of the above categories are presented schematically **Figure 3**.

IWRM is a cross-sectoral holistic approach to water management, in response to the growing competing demands for finite freshwater supplies. It is an approach that aims to ensure the coordinated development of water, land and related resources to optimize economic and social welfare without compromising the sustainability of environmental systems (Global Water Partnership, 2000).

IWRM Phase One was implemented by DWAF, frequently in isolation of other government departments and local government. The rationale for having DPLG and SALGA as partners for IWRM II is, among others, to:

- Promote cooperative governance,
- A common understanding and a vision for implementing IWRM
- Integrating IWRM into service delivery.

PART ONE : BACKGROUND

DWAF: Department Water Affairs and Forestry
 DPLG: Department of Provincial and Local Government.
 DLA: Department of Land Affairs
 DoA: Department of Agriculture
 DoH: Department of Health
 DTI: Department of Trade and Industry
 DEAT: Department of Environmental Affairs and Tourism;
 DAEA: Department of Agriculture & Environmental Affairs;
 DME: Department of Minerals and Energy;
 SALGA: South African Local Government Association;

CMA: Catchment Management Agency
 CMC: Catchment Management Committee.
 CMF: Catchment Management Forum
 WUA: Water User Association;
 NGO: Non-governmental Organisation;
 CBO: Community-based Organisation;

Figure 3: Institutions Involved in IWRM and Their Broad Functional Categories



PART TWO – CONCEPTUAL FRAMEWORK FOR EMPOWERMENT AND DEVELOPMENT

5. Participation - Introduction

5.1. Stakeholder Participation

The concept of stakeholder participation is neither a complex academic exercise nor has it to be mystified - it boils down to a basic common sense approach to affect change and has been used in various ways for many years if not centuries. Stakeholder involvement in project implementation is not a new concept. From an engineering point of view, studies were undertaken in the 1970s to determine ways of “fast-tracking” construction through the engagement of key stakeholders (i.e. client, engineers and architects) as a partnership through all phases of the implementation of capital projects² - it should be added that this is how the major works of, for example, the Renaissance period were almost certainly undertaken. However, the recognition of the need in the 1970s to adopt these modalities for project implementation was anchored in various aspects of cost planning and control. At about the same time concerns arose relating to the large number of international (donor funded) development projects that were not functioning.

There was a realisation that many of these projects were being implemented using “top-down” approaches with limited attention to stakeholder (client and beneficiary) involvement, technology transfer and capacity building. During the early 1980s INTERNET (now the International Association of Project Managers) conducted a number of studies related to the issue that set in motion a greater recognition of the need to incorporate components in capital projects to address capacity development³. This led to, for example, the concept in Denmark of “System-Export” that aimed to include significant capacity building requirements in capital projects and the international tendency towards “turnkey” and “Build-Operate-Transfer (BOT)” projects. At the same time it was also recognised that local cultural and technological realities had to be taken into account in the stakeholder participation process⁴.

5.2. Empowerment

Clearly, stakeholder participation has to be linked to capacity development. The process of stakeholder participation was, and as we will see below is mismanaged and abused. Stakeholder participation is often viewed as being, informing – at the best, consultation. Thus, following a number of international agreements, in recent years the concept of capacity development-empowerment has been introduced as being a cornerstone for sustainable development. This is particularly important in relation to so-called “soft” components of programmes and projects that involve institutional building at all levels. The establishment of institutional arrangements for Integrated Water Resources Management is a clear example of

² See for example US-UK studies undertaken by Flannigan, Roger Reading University Department of Construction Management 1978.

³ For example see Projekplan DK Participatory Approaches to Project Management 1982 (in Danish). The Danish Government also launched a series of initiatives related to technology transfer to assist Danish companies.

⁴ Short, R.W: *Cultural Differences or Poor Project Management - Preliminary Research Findings*. INTERNET Symposium 18-20 October 1984 Sorrento, Italy

PART TWO : CONCEPTUAL FRAMEWORK

"I have been coming here for over six months now, I still don't know what a CMA is for. Pictures keep flashing across the screen keep flashing across the wall – I am afraid to ask questions in case they think I am stupid"
Comment from a member of a marginalised community when interviewed as part of the benchmarking review undertaken at the start of IWRM I

Again from the IWRM I benchmarking review. A Service Provider's time sheet contained five days with the statement 8 hours empowerment for each day. This SP was supposed to help the community select two representatives to attend a CMA meeting. Two bus loads turned up!

this. For stakeholders, and in particular rural and marginalised groups, it is essential that appropriate methodologies be adopted to ensure that these groups are able to clearly understand concepts and be able to not only participate in the management of institutions but also actively contribute to decision-making. This ultimately requires an approach that involves "learning-by-doing" methodologies; a process that can be time consuming but if properly planned should lead to "buy-in" and active involvement by the ultimate beneficiaries.

There are a number of definitions of the meaning of empowerment. The following definitions are embedded in the approach that has been adopted for stakeholder capacity development under the auspices of the Danida support IWRM:

If we are to capacitate people to this level of empowerment, we have to ensure that approaches adopted to achieve these outcomes are effective, appropriate for their situation and allow sufficient time for the capacity development of marginalized groups *and their representatives* to be able to articulate their needs⁵. This is best achieved by adopting a rights-based approach to development.

As will be seen through any literature search, others have of course used approaches that are advocated in this document – there are no templates! What is important is that the environment has to be assessed and a rapport built between the ultimate beneficiaries and those who act as "agents" of authorities that have been tasked with affecting change. For empowerment to be successful all parties have "to exchange baggage", all those involved in the process have a history, culture (even within national boundaries) that will be different.

Irrespective of these different backgrounds and the need to take a very pragmatic and practical approach, we are very lucky that over recent years a number of international agreements have been reached, to which virtually all governments are signatories that are there to guide us. In many cases, and in particular in South Africa, these have been incorporated into national legislation, most notably the Constitution and Bill of Rights. Therefore, officials accountable for affecting change cannot shirk their responsibilities in this area!

5.3. The Millennium Development Goals and empowerment

The adoption of the 2000 UN Millennium Declaration by the largest ever gathering of heads of state places human rights, in the broad sense of economic, political and democratic rights, at the centre of the concrete targets for advancing development and reducing poverty by 2015. The March 2002 Monterrey Consensus, that was later reaffirmed in the September 2002 Johannesburg Declaration on Sustainable Development and the Johannesburg Plan for Implementation, provide a framework for the partnership between rich and poor countries.

The UN Millennium Declaration clearly places the mobilization of grass-roots support as being an essential ingredient for the achievement of the Millennium Development Goals (MDGs).

⁵ Adapted from: *Managing Public Participation A toolkit for planning, designing, implementing, monitoring and evaluating public participation processes related to the implementation of Integrated Water Resources Management with particular emphasis upon the inclusion of marginalized groups*. Department of Water Affairs & Forestry 2004 p.19

PART TWO : CONCEPTUAL FRAMEWORK

Men and women have the right to live their lives and raise their children in dignity, free from hunger and from fear of violence, oppression or injustice. Democratic and participatory governance based on the will of the people best assures their rights [UN Millennium Declaration p.2]

The UNDP Human Development Report 2003 devoted to the Millennium Development Goals, recognises that the implementation of the policies and interventions needed to meet MDGs requires the commitment of political leaders. However, it will also require the sustained political pressure, broad popular support and mechanisms for effective service delivery. Popular mobilization and participatory civic engagement are essential ingredients to enable the poor to pressure their leaders to deliver on the commitments to the development goals⁶. The report further identifies a major risk that the Millennium Development Goals⁷ could be undermined by entrenched groups that resist policies that reallocate resources to the poorest, most marginalized members of society

Table 1 on the following pages illustrates water's contribution to attaining the Millennium Development Goals⁸ and how water impacts directly and/or indirectly upon virtually all MDG Targets. Therefore, when engaging with communities with a view to utilising projects as a vehicle for broader empowerment there is scope within MDG obligations to identify a broad spectrum of projects that can lead to improving livelihoods through application of IWRM principles.

⁶ Human Development Report 2003 p. 133

⁷ Human Development Report 2003 p. 134

⁸ *Linking Poverty Reduction and Water Management*, Poverty-Environment Partnership, SEI - UNDP 2006

PART TWO : CONCEPTUAL FRAMEWORK

Table 1 Water's Contribution to Attaining the Millennium Development Goals			
Goals	Targets	Water Directly Contributes	Water Indirectly Contributes
Goal 1: Eradicate extreme poverty and hunger	Target 1: Halve, between 1990-2015, the proportion of people whose income is less than \$1 a day	Water as a factor of production in homestead gardening, agriculture, animal husbandry, cottage industry and in many other types of economic activity. Investments in water infrastructure and services as a catalyst for local and regional development Household water treatment and safe storage reduces the disease burden among the poorest who have no access to safe drinking water	Reduced vulnerability to water-related hazards boosts investments, production and development Reduced ecosystems degradation boosts local-level sustainable development Improved health from better quality water increases productive capacities
	Target 2: Halve, between 1990-2015, the proportion of people who suffer from hunger	Water as a direct input into irrigation and fertilisers from wastewater and human excreta as a direct input into agri- and aquaculture for expanded food production with due regard for health aspects Reliable water and fertilizers from wastewater and human excreta for subsistence agriculture, home gardens, livestock, tree crops Sustainable production of fish, tree crops and other foods gathered in common property resources	Ensure ecosystems integrity to maintain water flows to food production Reduced urban hunger by cheaper food grains from more reliable water supplies
Goal 2: Achieve universal education	Target 3: Ensure that by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary education		Improved school attendance from improved health and reduced water carrying burdens, especially for girls A safer school environment for girls through appropriate sanitation facilities in schools results in increased attendance
Goal 3: Promote gender equity and empower women	Target 4: Eliminate gender disparity in primary and secondary education preferably by 2005 and at all levels of education not later than 2015	Gender sensitive water management programmes help empower women and give them confidence to increase their role in other societal activities	Community-based organisations for water management including women improve social capital of women Reduced time and health burdens from improved water services lead to more time for income earning and saving activities and more balanced gender roles

PART TWO : CONCEPTUAL FRAMEWORK

Table Water's Contribution to Attaining the Millennium Development Goals			
Goals	Targets	Water Directly Contributes	Water Indirectly Contributes
Goal 4: Reduce child mortality	Target 5: Reduce by 2/3, the under-five mortality rate	Access to improved quantities and quality of drinking and domestic water and sanitation reduces the main determinants of morbidity and mortality for young children	Improved nutrition and food security reduces susceptibility to diseases
Goal 5: Improve maternal health	Target 6: Reduce by 3/4 between 1990-2015, the maternal mortality ratio	Improved cleanliness, health and reduced labour burdens from water portage reduce mortality risks	Improved health and nutrition reduce susceptibility to anemia and other conditions that affect maternal mortality
Goal 6: Combat HIV/AIDS, malaria & other diseases	Target 7: Have halted by 2015 and begun to reverse the spread of HIV/AIDS	Improved access to water and sanitation supports HIV/AIDS affected households and may enhance the impact of home care programmes	Improved health and nutrition and increased incomes reduce susceptibility to HIV infection and the onset of AIDS
	Target 8: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	Better water management reduces mosquito habitats and the transmission risks of malaria (prevention) Reduced incidence of a range of diseases where poor water management induces the breeding of vectors and intermediate hosts (control)	Improved health and nutrition status reduces susceptibility to a range of major diseases
Goal 7: Ensure environmental sustainability	Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	Improved water management, including pollution control and sustainable levels of abstraction, key factors in maintaining ecosystems integrity, and eco-sanitation methods reduce water consumption and recycle nutrients and organics	Development of integrated management within river basins creates conditions where sustainable ecosystems management possible and upstream-downstream impacts are mitigated
	Target 10: Halve by 2015, the proportion of people without sustainable access to safe drinking water and improved sanitation	Actions to ensure access to adequate and safe water for poor and poorly-serviced communities Actions to ensure access to improved and if possible of productive eco-sanitation for poor households	Health and hygiene promotion activities to ensure greater service coverage generates improved health benefits Develop operation and maintenance and cost recovery systems to ensure sustainability of service delivery
	Target 11: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers	Actions to improve water supply and sanitation services for urban poor communities Actions to reduce water-borne pollution and wastewater discharge and improve environmental health in slum areas	Communities organized around water supply provision better placed to negotiate for other needs

PART TWO : CONCEPTUAL FRAMEWORK

6. Water as the catalyst for growth and development

6.1. Key international milestones that impact on IWRM implementation and the water sector

Box1 provides an overview of a number of key international agreements that impact upon the implementation of IWRM and the Water Sector. It is particularly important that these are embedded in processes adopted for the establishment and management of institutions in order to ensure that the spirit of these agreements is incorporated in every phase. The impact of these agreements on water management institutions require that they must think beyond a solely technical remit and adopt a proactive developmental role. The following provides an overview of the agreements. A more detailed description of these is available in another publication and a supporting CD that contains the Conventions, Agreements, links to information and examples of international best practice.

BOX 1: IMPORTANT INTERNATIONAL AGREEMENTS THAT IMPACT ON IWRM AND THE WATER SECTOR

- 1979** The Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)
- December 1986** - UN General Assembly Declaration on the Right to Development
- 1992** Dublin Conference on “Water and Development”
- 1993** Rio World Summit – “Environment and Development”
- 1993** World Conference on Human Rights - Vienna Declaration and Programme of Action
- 1993** Rio World Summit on Sustainable Development
- 1994** UN International Conference on Population and Development, Cairo
- 1994** UNFCCC UN Framework Convention on Climate Change
- 1995** March Copenhagen Summit for Social Development
- 1995** The Beijing Declaration and Platform for Action
- 1996** The World Food Summit
- 2000** September Millennium Declaration - MDGs
- 2002** General Comment No 15 issued by Committee on Economic, Social Cultural Rights
- 2003** Johannesburg World Summit on Sustainable Development
- 2004** February The Millennium Project Interim Progress Meeting of the Task Force 8

1986 - UN General Assembly Declaration on the Right to Development

Article 1

1. The right to development is an inalienable human right by virtue of which every human person and all peoples are entitled to participate in, contribute to, and enjoy economic, social, cultural and political development, in which all human rights and fundamental freedoms can be fully realized
2. The human right to development also implies the full realization of the right of peoples to self-determination, which includes, subject to the relevant provisions of both International Covenants on Human Rights, the exercise of their inalienable right to full sovereignty over all their natural wealth and resources.

PART THREE PRACTICAL IMPLEMENTATION

7. A practical guide

7.1. Background

This section of guideline has been developed based on the initial work in Olifants Doorn WMA as part of the Danida funded IWRM Programme. This has been a challenging and exciting exercise and reaffirms Robert Chambers' ideas around the problems associated with budget support and the continued value / role of projects in the empowerment and development processes⁹.

7.2. IWRM I

At an early stage it was recognised that "new thinking" was required to capacitate marginalised groups from the second economy if they were to actively engage in the new water management institutions

The first phase of the IWRM Programme focused on developing guidelines for two areas of IWRM that had not been previously addressed, namely:

- Guidelines and strategies for water conservation and demand management and;
- Guidelines and strategies for groundwater

In addition support was provided to the CMA establishment process in three WMAs of which Olifants-Doorn WMA was one.

A critical element of the CMA establishment process was that of ensuring the full participation of marginalised communities in line with the ambition of two strands of the National Water Act namely: to "*ensure equity, and to reduce the imbalances of the past*".

In order to develop appropriate programmes a comprehensive needs analysis was undertaken, the results of which indicated that considerable efforts would have to be made to ensure the effective participation of marginalised communities. It was also clear that whatever methodologies were used mechanisms had to be put in place to ensure a mutual understanding between the articulate representatives of first economy stakeholders and those of the disadvantaged second economy.

The need to embed the concept of CMAs having a developmental role was at the core of the capacity development methodology

It was also on the background of the studies undertaken that it was obvious that the CMAs would also have to adopt a developmental role and that it was essential to provide them empowerment models that they could take on board once established. In July 2001 a workshop was conducted for DWAF staff and others to discuss the concept of CMAs taking on a developmental role and that funds should be allocated to support continued capacity building of marginalised groups during the initial years of their establishment. Towards the end of Phase I a toolkit was prepared to serve as a guide to managing and budgeting for these processes.

⁹ Chambers, Robert: *Ideas for Development*. Earthscan, 2005

PART THREE : PRACTICAL IMPLEMENTATION

7.3. Catchment Management Forum (CMF) Champions Programme

A key element of capacity building under Phase I was the training of CMF champions. Two representatives from the CMFs were elected for basic training in the water cycle, administration and conflict resolution. As part of the training they were expected to undertake small pilot projects to demonstrate their understanding of what they had learned. Project funding ranging from 5000 – 30,000 Rand was provided. Many of the projects provide the basis for those that were to be subsequently funded under Phase II. Some of the successes of this programme were the dissemination of a micro project around tap leak repairs. This was developed into a community water conservation awareness programme.

7.3.1. Lessons learned from the CMF Champions Programme

- Much can be achieved through using small amounts of funds
- Over time there was an increase in participation of marginalised groups in the discussions concerning the establishment of the Olifants-Doorn CMA
- It was clear that provided with the correct catalyst, communities were able to identify areas that would improve their livelihoods and community wellbeing.
- In some cases Champions did not anchor their activities in their communities
- There was very limited support from other government departments and municipalities
- It was clear that longer term interventions were needed to ensure the sustainability of projects and to sustain the empowerment process.

7.4. Developmental Project Cycle Management Programme

This modular programme was based upon Danida Guidelines¹⁰. It was aimed to bring together, NGOs, CBOs, government departments, municipalities and other stakeholders to work jointly on developing concrete project proposals relative to their WMA.

Whilst in the Olifants Doorn WMA it did not entirely work out this way in terms of participants, (although Land Affairs and Social Welfare did attend), representatives from other government departments and the private sector were asked to provide inputs to the programme during the twelve months that it ran. At the end of the programme an integrated proposal was presented to a broad spectrum of government bodies.

Also as part of the data and stakeholder analysis, a series of workshops were held with emerging farmer groups in the WMA. This process has also contributed to the design of projects for IWRM Phase II.

7.4.1. Lesson learned

- Key stakeholders need to understand the difference between PCM for capital projects and PM for development projects.

¹⁰ The LFA – A Participatory Approach to Managing Development

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- In a number of cases marginalised communities were able to grasp stakeholder analysis and other concepts of participatory project cycle management
- It was difficult to realise the original ambition of stimulating cooperative governance and active participation of different tiers of government
- There was considerable difficulty in sustaining development and follow-on financing.

7.5. IWRM Phase II

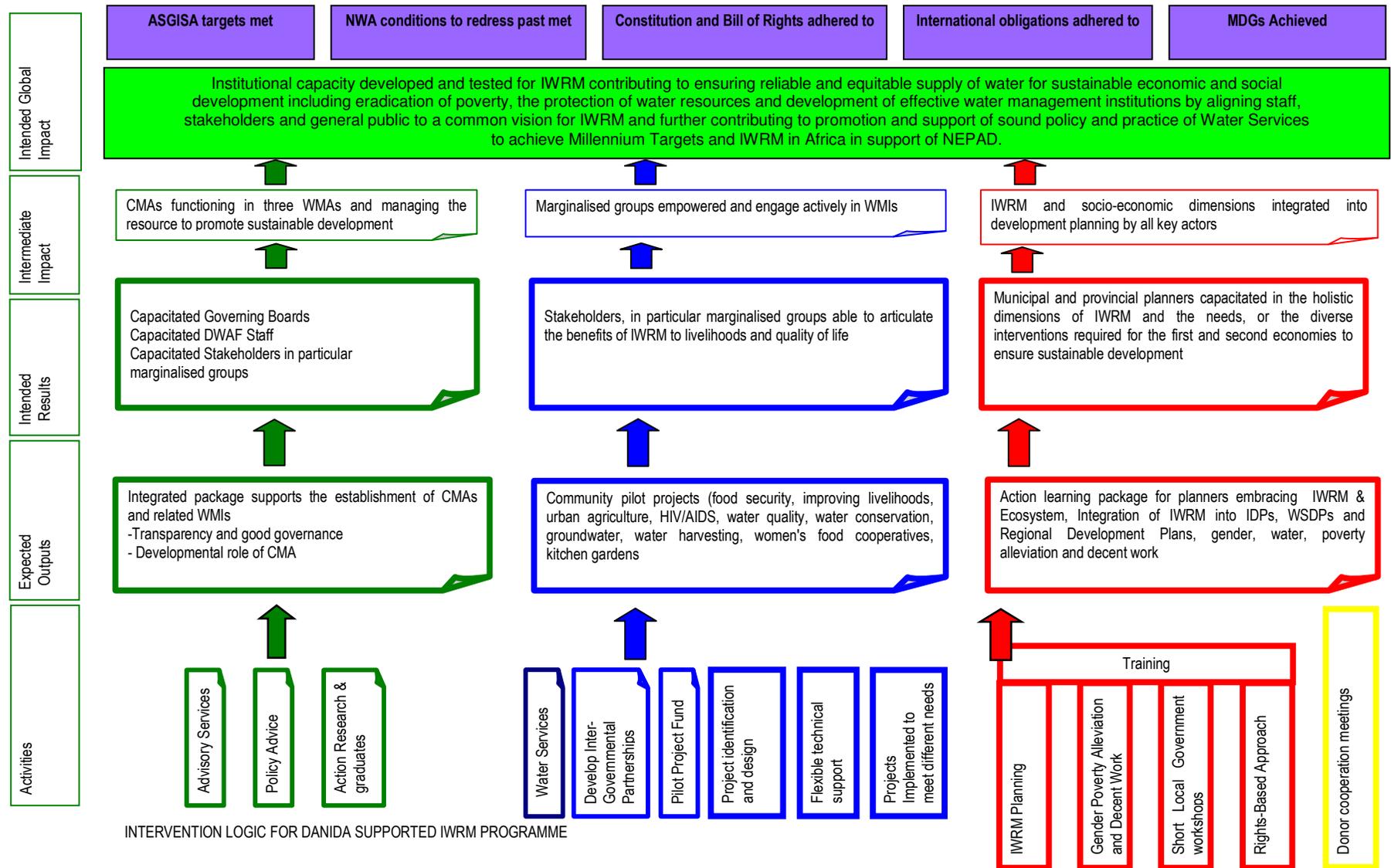
IWRM Phase II is in partnership with the Department of Provincial and Local Government and SALGA. The Danida support further builds upon that of Phase I and includes a significant component for integrating IWRM into service delivery. This is to be achieved through the implementation of pilot projects. The intervention logic for the programme is contained in Fig 4. It will be noted that empowering marginalised communities through pilot projects forms an important part of the Programme

7.5.1. Budget and/or sector-wide support

There are a number of risks associated with budget and sector-wide support. These are that:

- Decision making is retained at a central level and monies are not spent;
- Budget support does not always allocate funding for community-based development through projects as the negotiations are often made at head office away from where things happen on the ground.
- As time moves on and monies are not disbursed there are risks that money is thrown at NGOs, many of which are not capacitated to deliver in terms of output based management and/or insist on working under the own agenda.

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7.5.2. Risks associated with some community development initiatives.

- Because NGOs sometimes “chase their own agendas” and as a consequence do not focus on what the communities see as their needs and their vision for their own development ¹¹.
- It can be argued that many development initiatives fail because of a grant culture that excludes communities from taking ownership of initiatives that shape their future. This means that there is a need to move from Grant Culture to Ownership and Self Reliance Culture, recognise that local capacity exists and recognise indigenous knowledge.

8. The key steps

8.1. Establish the overall approach

8.1.1. Guiding Principles

DWAF Directorate for Water Governance and Institutional Oversight and its IWRM Programme partners strongly believe in the rights based approach and community empowerment in order to underpin the sustainability of local water management institutions. Moreover, these institutions have to promote sustainable development and more importantly to improve the livelihoods and wellbeing of local communities. The following provides an overview of the approach that was adopted for the implementation of the pilot projects.

8.1.2. Establish the enabling environment

This involves:

Do not leave any stone unturned. Make sure everybody understands and that structures are in place to support the entire process from the outset

- Sensitizing the key institutional stakeholders to the approach. In the case of the IWRM programme, this included the staff of DWAF and its partners SALGA, DPLG
- Sensitizing the service providers and others who will be involved in the full project cycle.
- Establish a procurement mechanism that will allow prompt payment to the communities undertaking the pilot projects.
- Establish a procurement mechanism that allows flexibility to establish teams in order to support pilot projects.(without undermining government policies in this area)

¹¹ See Noel Oettle and Bettina

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8.1.3. Focus on stakeholders and beneficiaries

Stakeholders must take ownership from the outset

The methodological approach of engaging stakeholders in the overall programme has to be embedded from the start with empowerment as the key focus. During the Inception Phase and Detailed Design Phases, stakeholders and beneficiaries must be actively involved in formulating the final design of the project. This will involve sensitization workshops with key stakeholders, in particular tiers of government, community representatives, farmer associations and where possible private sector actors and business associations. A detailed design workshop involving stakeholders and ultimate beneficiaries should be conducted with the purpose of achieving a consensus on a common vision for the project and associated participatory monitoring mechanisms.

8.1.4. Focus on cross-cutting issues

Ensure a holistic approach to address poverty reduction, water issues

Special attention has to be made to address the role of IWRM in poverty alleviation through improved food security. In particular issues related to gender roles in rural communities and those of women who have significant responsibilities in ensuring household wellbeing. Every effort should be made to ensure that women play an active role in the various stages of the project and the establishment of special groups (or building on existing groups) is to be encouraged. In line with the philosophy of the Dublin IWRM Principles and MDG 7, the final project interventions are to be designed to ensure environmental sustainability.

8.1.5. Focus on capacity development and empowerment

Be flexible and allow time Make sure everybody is comfortable with the process

It is widely recognised that Millennium Development Goals and the principles of IWRM can only be achieved through effective capacity development that embraces the empowerment of groups that have erstwhile been marginalised. During the detailed design phase a holistic approach should be adopted to determine the development needs of these groups in order to ensure interventions will contribute to sustainability. Considerable flexibility, within budgetary constraints, should be permitted with final decisions on the types of interventions to be agreed with stakeholders and beneficiaries alike to ensure their active involvement in the project processes.

8.1.6. Focus on networking

Cooperative governance and also allow communities to see how they can help each other

The projects should aim to act as a catalyst to ensure synergy and complementarities of actions and potential support that could be made by key stakeholders, in particular tiers of government, and possibly private sector actors, in the project areas. An example of this could be farmer support programmes and initiatives in the area of cooperative development and access to markets and finance. Another could be the development of small enterprises/networks or cooperatives to support the maintenance needs of smaller municipalities. Thus projects that have a spin-off of promoting local employment will be given priority.

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9. The model in practice – Olifants-Doorn WMA

Significant progress has been made in implementing the model in this WMA. The following steps were taken to build capacity, buy-in and responsibilities among stakeholders and beneficiaries.

9.1. Step 1 - Preliminary Consultation

Make sure everybody understands

Allow for brainstorming

Set up a structure to allow communities to be actively involved in the evaluation

*Allow people to go back and discuss with their communities
DON'T RUSH!*

In August 2006 a sensitization workshop was held with representatives from marginalized communities in the WMA drawn from the CMFs. The proposal applications were discussed and groups conducted a first “brainstorming” of potential projects – this resulted in over thirty project ideas being identified. *Of significant importance the participants were asked to nominate two persons from their CMF to be involved in the first round selection of proposals once the first drafts had been prepared.* This was an important step in capacity building and building responsibility.



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9.2. Step 2 - Development of first draft proposals

Provide backstopping support, guidance but do not interfere by trying to influence the wishes of the communities

Following the August workshop the communities were allowed a 6-8 week period to prepare their first draft proposals. Support was provided in guiding them in the type of information they would need to obtain as background material to their proposals. During this period the communities were provided with backstopping support such as, if the project they were considering was appropriate, the type of information that needed to be gathered etc.



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9.3. Step 3 – Preliminary screening of proposals

Provide training to community representatives in evaluation criteria. Allow them to be involved in the prioritization of projects

Some 25 draft project proposals were received. Projects included food security, women's small farming cooperatives, emerging farmers and community awareness relating to IWRM issues. At a workshop held in November in Clanwilliam the community representatives were consulted on the criteria to be used and the evaluation method to be used. On the basis of this exercise the projects were ranked by priority by the community representatives.

9.4. Step 4 – Project design Workshop

Ensure that they are properly briefed prior to the workshop. Provide enough resource people so that each group is coached individually

In January some forty-five participants representing over twenty projects were trained in finalizing their project proposals. This involved taking the participants through the process of developing objectives, outputs and indicators and, more importantly, how to prepare schedules and budgets. It was emphasized throughout the workshop that whilst the IWRM projects funds would be a grant, the monies would only be disbursed against delivery i.e. monthly invoices.

The workshop required intense effort. The day prior to the two-day workshop DWAF head office and regional staff together with service providers, who would all work as facilitators worked through the application forms and agreed on what had to be achieved at the workshop.



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Discuss synergies between projects. Continually ask if they have understood everything. Determine the support needed to finalise their proposals



During the workshop the participants were divided into five groups supported by two facilitators. The workshop was deemed to have been an enormous success and many, particularly rural women, appreciated the opportunity that had been given for capacity development.

Whilst much was achieved during the workshop, the participants were allowed a further two weeks to finalize their proposals and consult with their communities.

9.5. Step 5 - Site visits

During site visit make sure the projects benefit the community as a whole and not individuals.

Collect visual documentation

Start thinking about expert support and training that may be required

Following the design workshop, site visits are arranged in order to allow the project promoters and communities involved to explain their projects. These visits will also serve to gather material for the preparation of a compendium of projects (see also Step 8).

This exercise was also important to determine whether the projects were actually driven by communities or individuals. The on-site visits also offered an opportunity to have a first hand impression of whether the projects were actually feasible, determine the commitment of key community members and to understand whether additional support was being received and the types of other support beyond IWRM that may be critical to the success of the projects.



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9.6. Step 6 - Selection of first round projects

Ensure transparency

Involve as many public funders as possible to avoid duplication

Inform the communities of the decision and reasons if not selected

In March a committee comprised of the IWRM Programme partners, Department of Agriculture, municipalities in the WMA and independent representatives from the CMA Reference Group selected the first round of pilot projects in order that they could commence as soon as possible.

The same criteria were used as during the earlier evaluation. Some projects were discarded as they did not entirely respond to the criteria, or information was lacking. On the basis of the recommendations of the evaluation committee a decision was taken to enter into the inception phase for some twenty projects. It was agreed that a further ten projects would be supported in terms of finalising proposals and presentation materials for the Show-Case Conference. All of the projects were informed of the decisions and justification.

9.7. Step 7 – Inception Phase & Contract Negotiation

Verify detailed budgets and make sure communities understand

Look out for double funding sources

Make sure that they understand their contractual obligations before signing

During the Inception Phase, a 10,000 Rand allocation has been made to initiate key activities; however, the main purpose of this phase is to clarify budgets and synergies/linkages with other initiatives by municipalities, government departments or donors.

All of the contracts for implementation are directly with the communities. To this end, where associations did not exist these were established and appropriate banking facilities opened.

Prior to entering into the contracts, the communities attended a workshop that had the purpose of explaining the contract conditions and obligations. For example the completion of timesheets, monthly invoices, supporting material and the consequences of any fraudulent behaviour. Contracts were carefully explained to each of the communities before their final signing.



9.8. Step 8 – Provide a forum for communities to present their projects

Make the communities feel they are taken seriously and build a platform for sustainable commitment.

If necessary hire a journalist to capture the community story.

Allow the resources to prepare a professional exhibition.

Train the community representatives in making presentations

Water for Growth and Development – Brokerage funding conference

During September 2007 all the participants who had attended the earlier project design workshop were given the opportunity to present their projects to a broad spectrum of potential (additional) funders from the public and private sector. Assistance has been provided in the preparation of presentation materials and coaching during the brokerage workshop. The preparatio included:

- Site visit by professional photographer
- Community interviews undertaken by a journalist in order that the vision of the communities could be “captured” for presentation purposes.
- Preparation of a compendium containing all the projects, both those funded by Danida and those that will be seeking support
- Banners and other presentation material for the project exhibition associated with the Conference
- A workshop for training the communities in making their presentations – Powerpoint presentations.



10. Implementation

During implementation ensure that communities have access to:

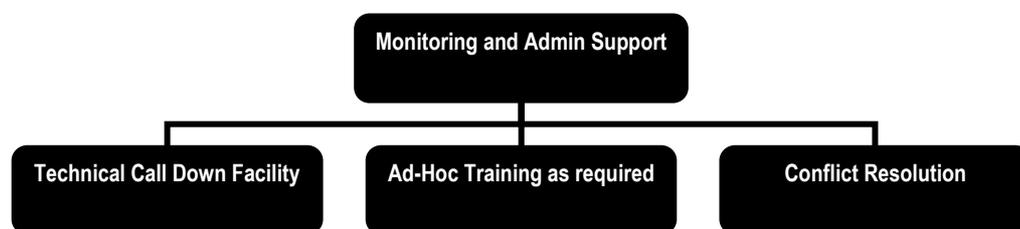
Managerial and administrative expertise

Technical expertise

Training when required

Resources for conflict resolution

Ensure swift payments



- During the implementation phase dissemination and participatory monitoring workshops are being held.
- A service provider has been engaged to assist in project backstopping and monitoring. Additional support will be provided in the form a technical call-down facility and ad-hoc training as required

10.1. Monitoring and Evaluation

Monitoring and evaluation is undertaken in a number of ways,

10.1.1. Community balanced score cards

During the Inception Phase of all the projects, a joint workshop with the participating projects was undertaken. The purpose of the workshop was for the projects to set out a number of indicators against which they should monitor themselves. Thus when projects submit their monthly invoices they also submit their self assessment in the key areas they had selected for monitoring. (see Annex A)

10.1.2. Financial monitoring

A financial monitoring scheme is updated every month and tracks levels of disbursements against those projected during the Inception Phase for each project. The financial performance is one of the issues discussed at the monthly project management group meetings. In cases where there are slow levels of disbursement explanations are sought. If these result bottlenecks being identified that hinder the progress of an individual project, solutions are sought. This may range from technical assistance, training or contact with a local or national authority in cases where permits are being delayed. (see Annex B for an example of a monthly financial performance report)

10.1.3. Periodic Field Monitoring of individual Projects

All projects are visited and monitored on a quarterly basis (see Annex C). A range of indicators covering, managerial, organisational, technical and financial issues are included in the monitoring. From these on-site monitoring visits it is possible to identify progress in applying skills that have been acquired and to identify further areas of potential capacity development.

11. Challenges

11.1. Sustainability

The Danida supported IWRM projects will be implemented over a twelve-month period. From an empowerment perspective, it is clear that more time will be required particularly in areas of management training.

A further issue is that of developing a sustainable support infrastructure for the communities, particularly those engaged in farming. As part of the empowerment process the IWRM programme will provide the communities with training related to a number of potential options. At the same time a contract will be issued to undertake an action research programme to analyse potential options. These findings will also inform the future interventions of Water for Growth and Development.

11.2. Indicators

Each of the pilot projects have described a number of tentative indicators. However, it is clear that indicators need to be developed for “scaling-up” purposes. Moreover, the indicators should reflect the holistic concept of *IWRM, improving livelihoods and community well-being*.

Thus based on the Danida experiences indicators are being developed for:

- IWRM water for food
- IWRM water for people
 - Gender
 - Poverty alleviation
 - Decent work
- IWRM and quality of life (environment at community level)
- Community empowerment to engage in management of water resource
- Review applicability of indicators such as WWF (i.e. from macro to meza-micro level).

11.3. Cooperative Governance & Support Structures

In addition, as programmes are “scaled-up”, the following issues have to be considered;

- Is cooperative governance in place to support this holistic approach to IWRM and development?
- Are intermediaries (e.g. NGOs) sufficiently capacitated and/or are they operating as outputs-based entities, driven by communities rather than own mandates.
- Are systems in place to allow flexibility in contracting communities.
- Are systems in place to permit flexibility to support projects during the empowerment process (management, technical, training, conflict resolution).

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ANNEX A: EXAMPLE OF BALANCED SCORE CARD

Key A: Excellent B: Average & C: Could improve

2008 Jan 21 10:24

0233470338

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GEBALANSEERDE TELKAART

Handag Gaselle

PROJEK: Landi ZI Case Kode: KIZI Datum: 5-2-05

1. Vul asseblief die telkaart met u eie aanwysers.
2. Gebruik A vir uitstekend, B vir gemiddeld en C vir kan verbeter

Intern / Operasioneel	Impak / Resultate	IWRM Doelwitte
Beplanning & vergaderings B	<u>BOERDERY OORLEWINGS</u> B	Water bestuur A
<u>FINANSIELE BESTUUR</u> B	<u>INKOMSTE UIT OES</u> C	Bemagtiging A
<u>SAMENWERKING: LEDE</u> A	<u>INFRASTRUKTUUR</u> B	Armoede verliging B
<u>BYWONING: OPLEIDING</u> A	<u>BESPROEING</u> B	Vroue betrokke A
<u>ADMINISTRASIE</u> B	<u>ANPLANTINGS</u> C	Jeug betrokke C
		Volhoubare projek B
		Ander:
		<u>GEMEENSKAP</u> B
		<u>VERDOENLIGE SONTEKING</u> A
		<u>PLAASLIKE OORLEWING</u> B
Insette	Ekstern / Venote	
IWRM ondersteuning A	Plaaslike owerheid B	
<u>FINANSIEEL</u> A	<u>SPP</u> A	
<u>OPLEIDING</u> A	<u>GEMEENSKAP</u> C	
<u>KOMMUNIKASIE</u> A	<u>DEPT LANDBOU</u> A	
<u>BESOEKE: SPP</u> A	<u>KOMMERSIELE REISE</u> B	

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ANNEX B: EXAMPLE OF MONTHLY FINANCIAL MONITORING

Each month a financial report is faxed to the projects. The report consists of a covering letter containing specific details relevant to the project's status, such as requests for outstanding information or documentation, balanced score-cards. A list detailing all transactions since project inception and the current status of the projects budget (Year to Date and Remainder).

Project Leader: Catherine Frans
Project Name: Lamatzicare Food Gardens
Contact Telephone No.: 078 250 5832
Fax No.: 027 219 1754
Postal Address:
 Lamatzicare Vroue Groente Projek
 Sonneblomstraat 23B
 Vanrhynsdorp

Account No:	186 454 635
Bank:	Standard
Branch:	Vredendal
Branch Code:	050 706
Account Name:	LAMATZICARE VROUE LANDBOUPROJEK

PROJECT STATEMENT

LA01

Period ending 29
February 2008

Budget	Original Budget given by Financial Schedule
Amended	Budget adjustments done on request
Expenditure	Actual transactions related to the Budget
Remainder	Remainder of funds available on budget

Project Admin	Budget	Amended	Expenditure	Remainder
Admin	R 4,800		R 2,400.00	R 2,400.00
Labour	21,600		7,200.00	R 14,400.00
Receipts	0		0.00	R 0.00
Auditor	5,000		0.00	R 5,000.00
Admin - Office	6,000		3,000.00	R 3,000.00
Transport	0		986.33	R -986.32
Sub Total	R 37,400		R 13,586.33	R 23,813.68
Disbursements	Budget	Amended	Expenditure	Remainder
Materials	R 18,900		R 2,672.28	R 16,227.72
Bank Fees (1%)	583		0.00	R 583.00

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Contingency (10%)	5,830		0.00	R 5,830.00
Sub Total	R 25,313		R 2,672.28	R 22,640.72
Total Expenses	Budget		Expenditure	Remainder
	R 62,713		R 16,259	R 46,454
Remainder for Project Invoices	R 18,814			
Remainder for Materials	R 16,228			
Remainder for IWRM Costs	R 11,413			

NOTE: Project Barriers noted and submitted to Informage (February 2008)

Attendance at the Clanwilliam Meeting 7/2/2008 noted

1. Enige vrae aangaande hierdie informasie kan per faks deurgegee word aan Gisela by Informage
2. Die transaksie lys moet asseblief versigtig negegaan word
 - a. Invoice Nommers is miskien verskillend as die wat u deurgegee het
 - Die volgende invoice nommer moet volg op die laaste een in hierdie lys
 - b. Betalings vir aankope van verskaffers is duidelik gemerk
 - c. Items sonder 'n datum, is nog nie betaal nie
 - d. Items wat nie op hierdie lys verskyn nie is nog nie oorweeg vir betaling nie
 - e. Veranderings wat deur projekte aangedui is, is op hierdie lys op datum gebring
3. Die projek se oudit is onderweg by Informage en Venzulu
4. Nuwe projek voorstelle word tans oorweeg deur die nasionale IWRM projek kommittee

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ANNEX C: EXAMPLE OF QUARTERLY MONITORING TICK SHEETS

Olifants-Doorn Monitoring & Evaluation – IWRM II Strand 3 Projects - November 2007

Project Code	Operational Indicator Tick Sheet									
	Production volume recorded for each product	Workers attendance sheets completed	Overhead costs (rent, electricity, water etc) recorded	Input costs (Seed, Materials, etc) recorded	Capital costs (Equipment) recorded	Sales recorded for each product	Wages to Workers recorded	Asset register for Equipment in place	Marketing costs (transport, advertising etc) recorded	Office clearly used for the purpose of project and group management, well organised and all documentation available
BF01	C	C	B	C	C	N/A	N/A	C	C	C
BV01	N/A	A	C	A	A	N/A	A	C	C	B
CB01	N/A	N/A	N/A	C	C	N/A	N/A	C	N/A	B
CW01	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	B
DB01	B	A	C	A	A	C	A	C	C	C
EB01	NA	C	C	NA	A	NA	A	C	NA	C
EB02	NA	C	C	NA	A	NA	A	C	NA	C
JV01	N/A	N/A	N/A	C	C	N/A	N/A	C	N/A	B
LA01	C	C	C	C	C	C	C	C	C	C
LB01	A	A	C	C	C	C	C	C	C	B
LF01	N/A	N/A	N/A	A	A	A	N/A	C	C	A
LU01	NA	N/A	C	C	C	NA	NA	C	C	C
PE01	N/A	N/A	N/A	C	C	N/A	N/A	C	N/A	B
RA01	N/A	N/A	N/A	C	C	N/A	N/A	C	N/A	B
SU01	N/A	A	C	C	C	N/A	C	C	N/A	B
SW01	N/A	N/A	N/A	A	A	N/A	A	A	N/A	A
VA01	NA	NA	C	A	NA	NA	NA	NA	NA	C
VR01	C	C	C	A	C	C	C	NA	C	C
WB01	N/A	N/A	N/A	C	C	N/A	C	C	N/A	C
WT01	A	A	N/A	C	C	C	B	C	C	A

Key: A: Excellent, B : Acceptable, C : Can Improve and N/A Not Applicable

General conclusions regarding the Operational Indicator Tick Sheet:

- A number of project's felt certain questions regarding production volumes and sales records, to were not relevant to their project and resulted in the "Not Applicable (N/A)" grading.
- Overall the projects are poorly managed from an operational perspective and need guidance in terms of operational management systems and structures.
- The IWRM II Project Co-ordination should continue to emphasise and re-enforce the importance of sound operational management within project entities (NGO's, CBO's) and among project management teams.

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Project Code	Financial Management Indicator Tick List						
	All IWRM Invoices to Vendzulu and supporting docs, links to transaction list from Informage	Cash book up to date for organisation	Bank Account reconciliations up to date	Financial reports minuted for discussion in meetings	Clear financial responsibility of individual(s) in group	Balance sheets for previous years	Audit reports (independent auditor) for previous years
BF01	C	C	C	C	A	C	C
BV01	A	A	A	A	A	N/A	N/A
CB01	A	C	A	N/A	A	N/A	N/A
CW01	A	C	A	A	A	N/A	N/A
DB01	A	C	C	B	A	C	C
EB01	C	C	C	C	A	C	C
EB02	C	C	C	C	A	C	C
JV01	A	C	C	C	B	N/A	N/A
LA01	B	C	C	C	A	C	C
LB01	A	C	A	C	A	N/A	N/A
LF01	A	C	B	B	A	C	C
LU01	C	C	C	C	C	C	C
PE01	A	C	A	C	C	N/A	N/A
RA01	A	C	A	C	B	N/A	N/A
SU01	A	C	A	A	A	N/A	N/A
SW01	A	A	A	A	A	N/A	N/A
VA01	B	C	C	C	A	C	C
VR01	B	C	C	C	C	C	C
WB01	A	C	C	C	A	N/A	N/A
WT01	A	C	A	B	A	N/A	N/A

Key: A: Excellent, B : Acceptable, C : Can Improve and N/A Not Applicable

General conclusions regarding the Financial Management Indicator Tick Sheet:

- Generally the projects did well in terms of keeping good records of transactions, timesheets, travel logs and invoices related to IWRM II Funding.
- Most projects were clear in terms of who was financial responsible.
- About half of the projects kept their bank statements reconciled and up to date.
- Less than half of the project had minuted discussions regarding their financial decisions.
- Only two projects used a cash-book to record financial transactions.
- Many projects did not have audited financial books or balance sheets from previous years and felt they were not relevant to the monitoring and evaluation, resulting in the "Not Applicable (N/A)" grading in many cases. This sort of documentation is required for tax purposes by all organizations, indicating that capacity building on this aspect of empowerment is needed. Most of the project organizations have been in existence for a period longer than two years.
- In an overview, the projects may need guidance in terms of financial management systems and structures, including participatory budget management practices. Financial management should be regularly documented in meeting minutes as it supports the financial "health" of the organisation.

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Project Code	Technical Development Tick Sheet					
	Attendance at IWRM2 Contract Signing Workshop?	Attendance at IWRM2 Practice for conference Workshop in Lamberts Bay	Attendance at IWRM2 Conference in Goudini	Attendance at IWRM2 Monitoring and Evaluation Workshop at Citrusdal	Folder regarding IWRM2 Financial system in use	Training Register for group indicating Men, Women, Youth accessing training
BF01	A	A	A	C	B	C
BV01	A	A	A	A	C	C
CB01	A	A	A	A	C	C
CW01	A	A	A	A	A	C
DB01	A	A	A	A	A	C
EB01	A	A	A	A	B	C
EB02	A	A	A	A	B	C
JV01	A	A	A	A	A	C
LA01	A	A	A	A	B	C
LB01	A	A	A	A	A	C
LF01	A	A	A	A	A	C
LU01	A	A	A	A	C	C
PE01	A	A	A	A	C	C
RA01	A	A	A	A	A	A
SU01	A	A	A	A	C	C
SW01	A	C	A	C	A	N/A
VA01	A	A	A	A	B	C
VR01	A	A	A	A	B	C
WB01	A	A	A	A	A	N/A
WT01	A	A	A	A	A	C

Key: A: Excellent, B : Acceptable, C : Can Improve and N/A Not Applicable

General conclusions regarding the Technical Development Tick Sheet:

- The projects responded and participated very well in the technical development provided within the IWRM II Project Co-ordination framework. The participation in the Workshops, Conference and meetings have contributed to the project management skills and understanding for IWRM within the projects.
- Overall the projects tended to have poor record keeping regarding their own development and generally training registers were not in place.
- The project leaders are generally utilizing the tools provided for financial management of the budgets allocated under IWRM II Strand 3.

PART THREE : PRACTICAL IMPLEMENTATION

Project Code	Social Responsibility Tick Sheet									
	Survey of Community Unemployment / Inability to Work - Recent report	Community meetings diarised and attended (6 month period)	Community meetings organised and facilitated (6 month period)	Water Users Association Meetings attended (diarised)	Water Users Association feedback to community post meeting (minutes)	Integrated Development Planning Review Meetings Participation	IDP Review Process resulted in Project listed in the final IDP	Written communication with Municipality regarding project	Written communication with DWAF regarding project	A notice board displays community events and group meeting and operational information in an accessible place
BF01	C	A	C	C	C	C	C	C	C	C
BV01	C	A	C	C	C	C	C	A	A	C
CB01	C	A	C	A	B	A	A	C	C	A
CW01	C	A	C	A	A	C	C	A	A	C
DB01	B	A	C	C	C	A	A	B	A	A
EB01	C	A	A	A	B	A	A	C	C	C
EB02	C	A	A	A	B	A	A	C	C	C
JV01	C	C	C	A	C	C	A	A	A	C
LA01	C	A	C	A	A	A	A	A	B	C
LB01	C	A	C	A	A	A	B	A	A	C
LF01	C	A	C	C	C	A	A	A	A	C
LU01	C	C	C	A	C	C	C	C	C	C
PE01	C	A	C	A	C	A	A	A	A	C
RA01	C	A	C	A	A	C	A	A	A	C
SU01	C	A	C	C	C	C	C	C	A	C
SW01	C	A	A	A	A	C	C	A	A	C
VA01	C	A	C	A	A	A	A	B	B	C
VR01	C	A	C	A	A	A	A	A	A	C
WB01	C	A	C	B	N/A	A	C	A	A	C
WT01	C	A	A	C	C	A	C	A	C	A

Key: A: Excellent, B : Acceptable, C : Can Improve and N/A Not Applicable

General conclusions regarding the Social Responsibility Tick Sheet:

- The projects display some commitment to social development through networking and collaborating with available structures, but this area requires ongoing support.
- Overall the projects are complacent and seem to be willing participants, but not proactive in developing relationships with their local communities as well as with local potential development partners.
- IWRM II Project coordinators should continue to emphasise the importance of joining and working with local development structures and groups.

PART THREE : PRACTICAL IMPLEMENTATION

Corporate Management Tick Sheet						
Project Code	Leadership Role of Chair is documented with list of rights and responsibilities	Leadership Role of Secretary is documented with list of rights and responsibilities	Leadership Role of Treasurer is documented with list of rights and responsibilities	Leadership Role of Office bearer (other) is documented with list of rights and responsibilities	Constitution is clear and available to members	Elections are free and fair (most recent ballots available, results minuted)
BF01	A	A	A	A	A	A
BV01	B	B	B	B	A	A
CB01	B	B	B	B	A	A
CW01	A	A	A	A	A	A
DB01	A	A	A	A	A	A
EB01	A	A	A	A	A	N/A
EB02	A	A	A	A	A	N/A
JV01	B	B	B	B	A	A
LA01	A	A	A	A	A	A
LB01	A	A	A	A	A	A
LF01	A	A	A	A	A	A
LU01	C	C	C	C	N/A	NA
PE01	B	B	B	B	A	A
RA01	B	B	B	B	A	A
SU01	A	A	A	A	A	A
SW01	C	C	C	C	A	B
VA01	A	A	A	A	A	A
VR01	A	A	A	A	A	B
WB01	C	C	C	C	N/A	C
WT01	A	A	A	A	A	A

Key: A: Excellent, B : Acceptable, C : Can Improve and N/A Not Applicable

General conclusions regarding the Corporate Management Tick Sheet:

- a) The projects are mostly community based organizations (CBOs) or non-governmental organisations (NGOs). All these organizations have constitutions and work according to the principles contained therein. The better governed organizations are also generally capable of more effective project management and resource management.
- b) In an overview the projects leaders submit to the authority of the governing bodies, and rely on the principles set out in the constitutions to be able to motivate members toward project goals and resolve issues that hamper progress.