staff input indicators in WSAs (e.g. ECSA and MDB). Staff input indicators should be assessed by studying the approved organogram in the IDP, obtaining water services staff lists from the HR department and understating the workplace skills planning processes and performance management reviews in WSAs.

7.2. ASSESSING CAPACITY: WSPs

WSP capacity must first be assessed on output indictors. These indicators must not be newly developed by each organisation providing support but must be taken from the **National Regulatory Strategy**. The WSA should manage the collection of information regarding "output" indicators from the WSPs.

WSPs must then be grouped according to the following:

- Those that do not require support and could support other WSPs;
- Those that require support (as output indicators allude to the WSP still being in its development phase);
- Those that are in crises and require urgent intervention.

Secondly, in the latter two groups of WSPs, capacity must then be assessed using **input** indicators, i.e. looking at the staff, budgets, systems and procedures. Staff input indicators must only be assessed through the workplace skills planning processes and the performance management reviews in the WSP.

7.3. IDENTIFYING THE INPUT CAPACITY GAP AND REASONS FOR THE GAP

There are a few main reasons as to why WSAs who are not meeting their legislative requirements or WSPs who are not operating at acceptable, cost effective levels. These main reasons are:

1. The organisation is not functioning effectively as a whole. (This could be due to various reasons. But, whatever the reason in the case of WSAs, the water sector can only identify the reason and notify **dplg** formally).
2. The organisation has not established the **required number of posts** at the correct level in the water services department.
3. The organisation has **not filled the posts** in the approved organogram.
4. The organisation has **not established clear job descriptions** and KPI's for individual staff.
5. The WSA has filled the posts, but the **staff are not correctly skilled** and experience to do the work as recorded in their job description.
6. The organisation's **finances** are not well managed;
7. The organisation does not have **sufficient funds** to fulfil its responsibilities.

There could of course be other reasons for the input capacity gap. These should be noted for individual WSIs by support organisations in conjunction with the WSI.

7.4. DESIGNING SUPPORT SOLUTIONS

Reasons for the gap above are usually fairly clear or evident. The WSI actually "seeing" or understanding the real reasons is another matter. Many water services departments operate on a day-today basis and lose sight of the larger management picture of having to manage a competent staff team. Understanding the reasons for the capacity gap must be internalised within the municipality before any support is provided. Support organisations could play a significant role in facilitating this process of understanding the reasons for the capacity gap and working with the WSI in designing solutions.

Once output and input capacity has been assessed, and a participatory exercised carried out as to the reasons for the gap, solutions must be designed. Solutions must differentiate between generic support, as opposed to specific support, and must identify the best support "mechanism" through which support should be provided.

7.5. SECURING AND IMPLEMENTING SUPPORT

Once the support areas and the best support mechanisms have been identified the WSA needs to secure the support for both themselves and their WSPs. This could take a long time if the support environment is not responsive.

However, once resources have been secured, the support must by implemented and managed by the receiving WSA with progress reports provided against the original plan.

7.6. MONITORING THE EFFECTIVENESS OF SUPPORT TO WSIs

Once support is being provided the WSA should provided **brief** progress reports on a quarterly basis to the support organisation. The support organisation should also remain close to the WSA, revisiting regularly i.e. the support organisation must walk the road with WSAs

Once a year, usually In June of each year, support organisations should review the improved performance of individuals and the WSA, **using the WSA performance management system**, to determine if support has had any effect. Municipalities are extremely inwardly focused in the month of June due to IDP reviews and reviews as per their Performance Management Systems. If the water sector doesn't integrate water services-related performance reviews into the IDP and PMS reviews, it is likely that the municipality will not have time to separately manage reviews related to water services.

PART C: SUPPORT OBJECTIVES AND STRATEGIC INTERVENTIONS

8. PROBLEM DEFINITION

The preceding discussion about the manner in which capacity constraints are defined and assessed, and the response to these assessments by means of support mechanisms, has alluded to a number of persistent obstacles. It has become evident that the bulk of these obstacles are related to institutional factors. Success of support in the water services sector lies largely in removing these obstacles. The following matters have been identified as inhibiting success in supporting the sector:

- Incomplete municipal and organisational establishment inhibits the receptiveness of local government to interact with and internalise the available support.
- A limited skill set reduces the effect and impact of support at the local level.
- Disjunction between locally identified support needs, often lacking clarity, and the available support mechanisms has led to interventions that failed to have real impact.
- Undeveloped information and knowledge management systems have resulted in limited absorption of documentation support, and thus failed to have an effect on local transformation.
- Poor linkages and alignment between detailed strategies within and between water services support organisations.
- Poor integration and coordination of support programmes within and between water services support organisations.
- Capacity assessment criteria used by sector partners are diverse, lack focus and are not helpful in defining support requirements.
- Support from national institutions is driven by national imperatives to ensure compliance with legislation without recognition of local needs, support priorities and development progress.
- Lack of capacity within support organisations, including district municipalities, to provide support in relation to expertise required in WSIs, and in understanding the local government environment and transformation realities.
- Available support to local government not well communicated, especially in relation to support grants not identified in DORA.

9. STRATEGIC OBJECTIVES AND SUB-OBJECTIVES

While this strategy has identified a range of obstacles that hinder successful support in the sector, some of the root causes are shared between them. Support initiatives aimed at changing the support environment for better results have to acknowledge and deal with these causes as priority matters. They become the broader sub-objectives to the SFWS support objectives that have to be met through more specific and detailed support initiatives. In this way, an enabling environment for sector support will have been established. This sector support strategy has identified the following sub-objectives to address and ultimately overcome the various obstacles identified in the sector:
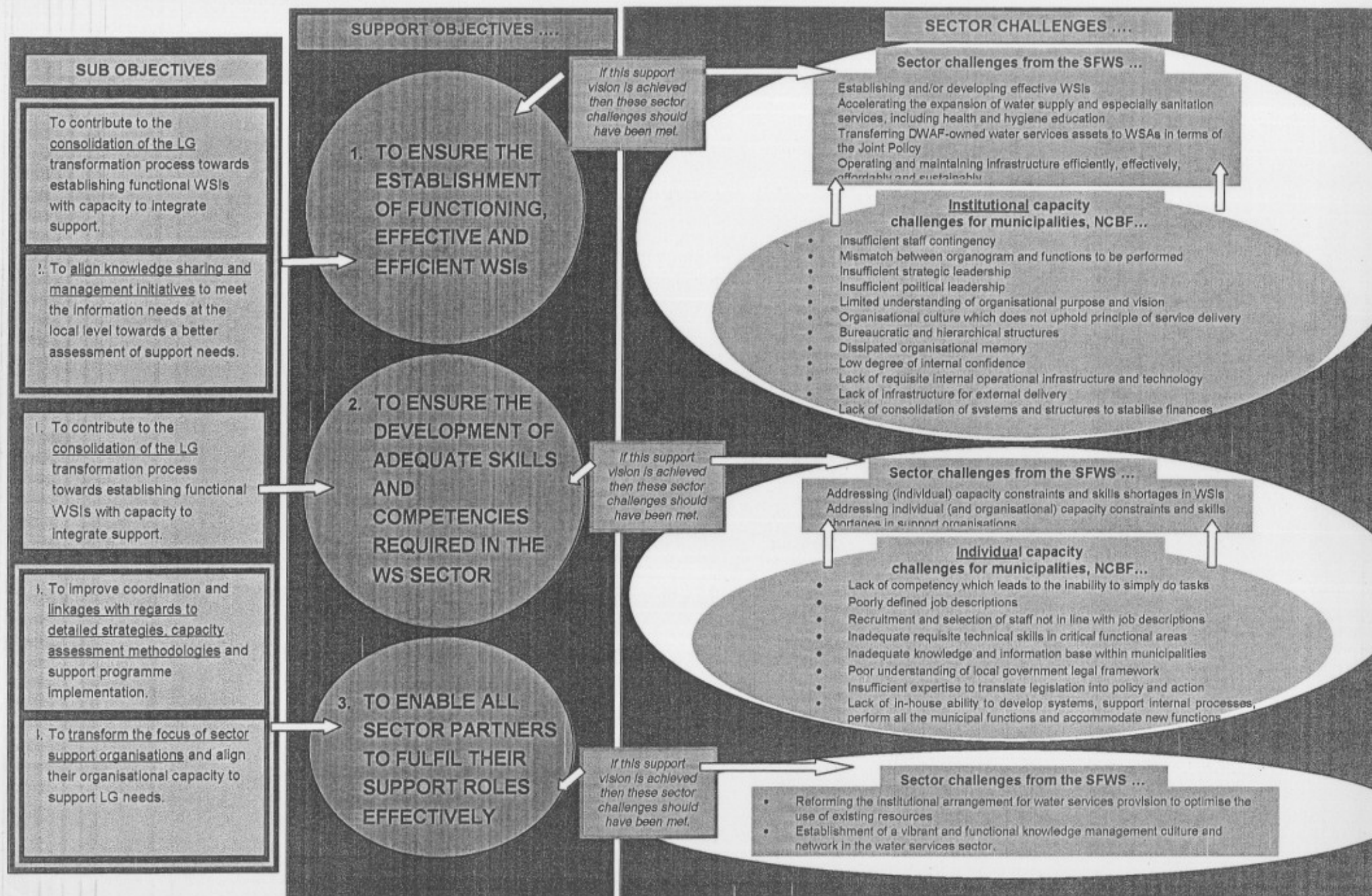
1. To contribute to the consolidation of the local government transformation process towards establishing functional WSIs with capacity to integrate support.
2. To align knowledge sharing and management initiatives to meet the information needs at the local level towards a better assessment of support needs.
3. To improve coordination and linkages with regards to detailed strategies, capacity assessment methodologies and support programme implementation;
4. To transform the focus of sector support organisations and align their organisational capacity to support local government needs;

Essentially, these sub objectives are based on the assessment of the current situation in the sector. Support organisations are insufficiently aligned with each other in the support that they provide to the sector. Moreover, organisations have not attended sufficiently to the internal coordination of support objectives, strategic support initiatives and programmes of actions with the result that support to local government appears disjointed and overlapping. Adding to this perception of duplication is the different understanding of the state of the sector and the support that is needed. This strategy aims to fill this gap.

Following from the above, it must be recognised that the sector has undergone substantial role changes. The impact of transformation has been felt extensively at organisational and individual level. However, resistance to change is a universal human response with the effect that, while organisational structures were realigned to new roles and responsibilities, individuals have not necessarily managed the change to the same extent. Hence the need to manage change more closely at the functional level. In addition, transformation at the local level has had an enormous impact on municipalities with regard to simultaneously establishing functional administrations and delivering (sustainable) services to communities. Project Consolidate is an acknowledgement in the local government sector of the need to bring this establishment process to finality, to which the sector support strategy could add tremendous value.

The above, newly designed support sub objectives need to be linked to the SFWS. The SFWS has identified sector challenges in relation to the three key visions or support

objectives for the sector, namely ensuring effective water services institutions with skilled and competent staff and enabling sector role players to fulfil their support effectively. The review of sector support initiatives in this document has identified various inhibiting factors and challenges specific to the organisations that support capacity development at the local level and the institutions that receive the support. The relationship between these factors and the sector challenges identified in the SFWS exists in the **impact of support** on the overall performance of water services institutions in meeting the identified sector challenges. This important link between the new support sub objectives and the support visions and objectives and sector challenges is shown conceptually overleaf.

SUPPORT OBJECTIVES ....

SECTOR CHALLENGES ....

SUB OBJECTIVES

To contribute to the consolidation of the LG transformation process towards establishing functional WSIs with capacity to integrate support.

2. To align knowledge sharing and management initiatives to meet the information needs at the local level towards a better assessment of support needs.

1. To contribute to the consolidation of the LG transformation process towards establishing functional WSIs with capacity to integrate support.

1. To improve coordination and linkages with regards to detailed strategies, capacity assessment methodologies and support programme implementation.

1. To transform the focus of sector support organisations and align their organisational capacity to support LG needs.

1. TO ENSURE THE ESTABLISHMENT OF FUNCTIONING, EFFECTIVE AND EFFICIENT WSIs

2. TO ENSURE THE DEVELOPMENT OF ADEQUATE SKILLS AND COMPETENCIES REQUIRED IN THE WS SECTOR

3. TO ENABLE ALL SECTOR PARTNERS TO FULFIL THEIR SUPPORT ROLES EFFECTIVELY

If this support vision is achieved then these sector challenges should have been met.

If this support vision is achieved then these sector challenges should have been met.

If this support vision is achieved then these sector challenges should have been met.

Sector challenges from the SFWS ...

Establishing and/or developing effective WSIs
Accelerating the expansion of water supply and especially sanitation services, including health and hygiene education
Transferring DWAF-owned water services assets to WSAs in terms of the Joint Policy
Operating and maintaining infrastructure efficiently, effectively, affordably and sustainably

Institutional capacity challenges for municipalities, NCBF...

- Insufficient staff contingency
- Mismatch between organogram and functions to be performed
- Insufficient strategic leadership
- Insufficient political leadership
- Limited understanding of organisational purpose and vision
- Organisational culture which does not uphold principle of service delivery
- Bureaucratic and hierarchical structures
- Dissipated organisational memory
- Low degree of internal confidence
- Lack of requisite internal operational infrastructure and technology
- Lack of infrastructure for external delivery
- Lack of consolidation of systems and structures to stabilise finances

Sector challenges from the SFWS ...

Addressing (individual) capacity constraints and skills shortages in WSIs
Addressing individual (and organisational) capacity constraints and skills shortages in support organisations

Individual capacity challenges for municipalities, NCBF...

- Lack of competency which leads to the inability to simply do tasks
- Poorly defined job descriptions
- Recruitment and selection of staff not in line with job descriptions
- Inadequate requisite technical skills in critical functional areas
- Inadequate knowledge and information base within municipalities
- Poor understanding of local government legal framework
- Insufficient expertise to translate legislation into policy and action
- Lack of in-house ability to develop systems, support internal processes, perform all the municipal functions and accommodate new functions

Sector challenges from the SFWS ...

- Reforming the institutional arrangement for water services provision to optimise the use of existing resources
- Establishment of a vibrant and functional knowledge management culture and network in the water services sector.

10. STRATEGIC SUPPORT INITIATIVES

The overall support objectives for the sector were not designed in this SSS but taken from the SFWS. This SSS thus instead brought in new thinking as to the **underlying reasons** as to why present support has not achieved the SFWS support objectives and in turn adopted strategic **sub objectives** which respond to the underlying problems. The sub objectives however, are still too broad to provide narrow direction to sector partners as to what strategic support initiatives or activities they need to implement to achieve the sub objectives. This section brainstorms strategic support initiatives required by sector partners as the best manner is which support could be provided. More than one sector partner could of course contribute to the same strategic support initiative but **all** sector partners' activities must be able to be linked to at least one of the strategic support initiatives below. If sector partners can't link their support to one of the strategic support initiatives below, then that support is deemed not to be of strategic national priority.

OBJECTIVE ONE:	TO ENABLE THE ESTABLISHMENT OF FUNCTIONING, EFFECTIVE AND EFFICIENT WSIs
Sub-objective:	To contribute to the consolidation of the local government transformation process towards establishing functional WSIs with capacity to integrate support.

Possible Strategic Support Initiatives:

WSAs

- ✓ Quantify the extent of and integrate WSA systems and capacity development into all water services programmes, notably the asset transfer and basic service delivery programme (MIG).
- ✓ Assess the present effect of WSA by-laws, provide general by-laws which are continually updated on the web and facilitate WSAs using peer learning and support documentation to adopt by-laws;
- ✓ Assess the present quality of WSDPs, provide necessary and simplified guideline documentation and facilitate peer learning to support the development and adoption of legally compliant WSDPs;
- ✓ Provide standard documentation on "standards for design and construction" for service providers, recommended WSA filing systems (referencing the Archives Act), as-built drawing requirements, tender processes, GCC compliance etc. and facilitate peer learning and mentorship to support rapid skills transfer on these matters.
- ✓ Provide critique available information systems for use by WSA to

ensure the required reporting to provincial and national government.

✓ Provide a series of guidelines and training on water services provision on farms and private land, and for sanitation and health and hygiene awareness etc.

✓ Continue to provide support to S78 assessments and transfers.

✓ Provide support and involve all key stakeholders in Management of Water Resources.

WSPs

✓ Quantify the extent of and integrate WSA systems and capacity development into all water services programmes, notably the asset transfer and basic service delivery programme (MIG).

✓ Disseminate the Guidelines on Drinking Water Quality while expanding the National Response Team on Drinking Water Quality but for a fixed period of operation.

✓ Provide critique available information systems for use by WSA to ensure the required reporting to DWAF as the national regulator.

✓ Provide guidelines and approaches to ensure that all customers are on the municipal financial systems and are being metered and billed.

✓ Provide guidelines and/or technical assistance in backlog study, infrastructure audits, water losses, bulk water tariffs etc as a means of establishing a better understanding of water services backlogs.

Sub-objective:	To align knowledge sharing and management initiatives to meet the information needs at the local level towards a better assessment of support needs.

Possible Strategic Support Initiatives:

✓ Develop and maintain a water services information portal that contains key knowledge resources required by municipalities.

✓ Develop a programme that creates web-enabled municipalities.

✓ Establish linkages between water services peer learning and the SALGA/dplg Peer Review programme under the Knowledge Sharing Programme (KSP)

✓ Develop research priorities and coordinate with research and academic institutions to carry out and better disseminate findings.

SUPPORT OUTCOME	ALL WSA AND WSIs FUNCTIONING IN ACCORDANCE WITH LEGAL REQUIREMENTS AND CONTINUALLY IMPROVING EFFICIENCY AND EFFECTIVENESS.

OBJECTIVE TWO	TO ENSURE THE DEVELOPMENT OF ADEQUATE SKILLS AND COMPETENCIES IN THE WS SECTOR
Sub-objective:	To contribute to the consolidation of the local government transformation process towards establishing functional WSI's with capacity to integrate support.

Possible Strategic Support Initiatives:

✓ Develop a skills framework for all occupational categories in WSIs.

✓ Conclude the accreditation system of education and training services providers affecting water services.

✓ Provide benchmarks of typical staff numbers and experience required for various size WSAs against which WSAs can compare themselves.

✓ As part of the annual PMS in WSIs, and against the benchmarks, quantify the overall national capacity gaps for human resources in WSIs.

✓ Facilitate an increase in the short, medium and long term of additional technical human resource capacity to meet the nation's water services needs.

✓ Using Skills Development Facilitators in the WSAs, quantify the extent of and integrate WSA and WSP **skills development** into all water services programmes, notably the asset transfer and basic service delivery programme (MIG).

✓ WSAs to budget for limited term contract staff / engineers in their water services programmes until three months into the next new financial (year when staff posts should have been budgeted for, created and filled) while national departments facilitate a growth in the pool of national technical capacity.

✓ To provide a provincial pool of professional mentors to mentor technical staff for registration with ECSA in those WSAs where technical management do not have the experience to mentor their staff.

SUPPORT OUTCOME	ALL WSIs STAFFED WITH SUFFICIENT AND CORRECTLY SKILLED STAFF

OBJECTIVE THREE:	TO ENABLE ALL SECTOR PARTNERS TO FULFIL THEIR SUPPORT ROLES EFFECTIVELY
Sub-objective:	To improve coordination and linkages with regards to detailed strategies, capacity assessment methodologies and support programme implementation.

Possible Strategic Support Initiatives:

✓ Review and align all detailed strategies in the water services sector for adoption by all sector partners.

✓ Encourage discussions around allocation of equitable share and MIG to an extend that all parties could reach a consensus on the formula being used for equitable share

✓ Review and integrate capacity assessment indicators, methods, processes and reports for joint implementation by sector partners in line with local government performance management timeframes to strengthen the acquisition of data and profiling of WSIs.

✓ Conclude an annual report on the impact of support provided to the water services sector.

✓ Broaden the mandate of the National Steering Committee for the implementation of the NCBF to integrate water services support with their local government capacity building objectives.

Sub-objective:	To transform the focus of sector support organisations and align their organisational capacity to support local government needs.

Possible Strategic Support Initiatives:

✓ Organised local government to develop and implement a change management programme within support organisations aimed at sensitising officials to local government realities.

✓ Develop and implement role transformation interventions for all officials within support organisations that operate in the municipal environment.

✓ Adopt strategies and training modules for the cross cutting issues (gender mainstreaming, HIV/Aids, appropriate technology, environmental management, civil society participation including NGOs) and lobby for WSIs to attend sensitisation workshops on the matters.

✓ Support organisation to study get current LG institutional arrangements and process by looking beyond the WS sector in order to get a better understand the LG environment to enable them to make effective contributions.

- ✓ Sector partners to collectively decide on best means of reporting in a more consolidated manner
- ✓ Political buy-in & commitment in using CSO at local level is vital in addition continue with communication between LG and CSO.
- ✓ Strike a balance between providing support to Municipalities and enabling them to do things for themselves.

SUPPORT OUTCOME	ALL SECTOR PARTNERS FULFIL THEIR SUPPORT ROLES EFFECTIVELY

PART D: IMPLEMENTING THE STRATEGY

11. IMPLEMENTATION STRUCTURES

The five sector partners and support organisations who are signatories to this SSS need to jointly assume responsibly for ensuring that the SSS is implemented according to the strategic support initiatives and support principles agreed to above. DWAF, as sector leader and coordinator of the SSS, thus recommends the establishment of a **SSS Implementation Committee** at <u>national</u> level comprising of representatives from signatory organisations, namely:

- DWAF
- **dplg**
- NT
- SALGA
- EWSETA

DWAF will establish, chair and manage committee meetings which will take place on a quarterly basis. The Implementation Committee will be guided by a Terms of Reference which will include the following responsibilities:

1. Ensure that the responsibility for individual strategic support initiatives is allocated to the most appropriate sector partner/s to manage and implement;
2. Ensure that sector partners, if part of their core function, have allocated sufficient funds and resources to the initiatives in their organisational strategic plans;
3. To link into similar committees established to oversee the implementation of the Regulatory Strategy and M&E Strategy;
4. Report into the **dplg** National Steering Committee overseeing the implementation of the NCBF;
5. To report into other water sector structures where appropriate e.g. the WSSLG and the quarterly Masibambane Coordination Committee meetings;
6. Ensure that structures in the provinces overseeing the implementation of the SSS are well informed and in turn ensure that support provided entirely reflects the strategic support initiatives and support principles of the SSS;
7. Ensure adequate apportionment to water services support in the pending single capacity building grant allocated through MIG;
8. Monitor all new support initiatives in the sector to ensure that they work towards the achievement of support objectives in the SSS;
9. Report on an annual basis as to the progress in implementing the SSS.

Each province will be required to form a core team of provincial representatives from the following four support organisations who are signatories to the SSS, namely:

- DWAF – regional level
- Department of Housing and LG or the equivalent in each province
- SALGA – provincial office
- NT – provincial office

This core group will have similar responsibilities as the national committee in terms of reporting into relevant provincial structures and ensuring that support in aligned to the SSS. Each province will develop their own Terms of Reference indicating responsibilities and reporting lines within 3 months of this SSS being published. Provinces may decide whether there are existing structures that can be used as the core group overseeing the implementation of the SSS.

12. MONITORING THE STRATEGY

Monitoring the strategy has two elements to it as follows:

- Monitoring the extent to which strategic interventions are implemented;
- Monitoring the EFFECT of the strategic interventions.

Monitoring the strategy is not tantamount to monitoring WSI KPIs.

The national SSS Implementation Committee can and will directly monitor the extent to which strategic support initiatives are implemented. Monitoring will make use of information from existing programmes where available. This type of monitoring usually involves less complicated and more direct indicators such as programmes implemented, funds spent and identification of support beneficiaries, mechanisms and support areas (e.g. bylaws, planning etc.).

Monitoring the EFFECT of the strategic support initiatives involves **analysis** of relevant information while drawing conclusions and making deductions as to the extent to which the improvements within WSIs could be attributed to the implementation of the strategic support initiatives. However, it should be borne in mind that external influences, unrelated to the SSS strategic support initiatives, could be responsible for improvements in WSIs. The information on improvement in WSIs will be obtained from the Directorates Regulations and Planning. Sector support will not establish its own set of progress and improvement related indicators in WSIs. In cases where there have been significant improvements, through peer learning or other knowledge management processes, the reasons for improvements could be extracted.

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