

Sustainability check list

| Issue | Problem | Sustainability impact | Solution | Action | Responsibility | Monitoring & verification |
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| Consumer body | | | | | | |
| - Consumer awareness | 1. Lack of awareness by general consumer population | - Lack of acceptance of and commitment to the service resulting in non-payment, illegal connections etc. and eventual breakdown of the service. | <ul style="list-style-type: none"> • Pre-investment campaign of awareness creation. • Establishment of consumer liaison process | <ul style="list-style-type: none"> • Hold community workshops, dissemination of appropriate literature, discussions with community leaders. • Establish consumer liaison process - build relations with WS provider. | <ul style="list-style-type: none"> • Water services authority (possibly through the implementing agency) • Support from DWAF | <ul style="list-style-type: none"> • Household awareness survey • Leader opinion survey • Consumer liaison process established |
| - Payment for services | <ol style="list-style-type: none"> 1. Consumer resistance to payment for wide variety of reasons 2. Inability to pay 3. Lack of social pressure to enforce payment | - Lack of revenue destroys the financial viability of the services resulting in collapse | <ul style="list-style-type: none"> • Establish real reasons for non-payment • Create social pressure • Illustrate willingness and ability to act against defaulters • Establish alternatives for those who are unable to pay | <ul style="list-style-type: none"> • Direct communication with residents to establish reasons for non-payment • Campaign to educate residents of the effects of non-payment and to establish social pressure. • Establish and publicise progressive default plan including ultimate cut-off and prosecution • Implement default plan • Establish alternative sources (eg public stand pipes or welfare arrangements) for those unable to pay | <ul style="list-style-type: none"> • Water services authority (possibly through the implementing agency) • Support from Provinces, DCD & DWAF | <ul style="list-style-type: none"> • Defaulters decreased to between 5 & 10 % • All consumers able to pay for appropriate level of services |
| - Level of service expectations | <ol style="list-style-type: none"> 1. Expectations not met 2. Expectations beyond ability to pay | - Not meeting services level expectations can lead to consumer rejection, non-payment & breakdown in relations. Establishing services which meet expectations but which are beyond the ability to pay will result in lack of cost recovery and financial viability | <ul style="list-style-type: none"> • Establish real services level expectations and ability to pay • If expectations are beyond the ability to pay, negotiate a solution with consumer representatives • If solution is not reached do not proceed with investment | <ul style="list-style-type: none"> • Pre-investment research to establish service level expectations and ability to pay • Workshop results of research with consumer liaison bodies to build understanding of the relationship between level of service and costs of service. Promote the concept of progressive service upgrading. • Assist consumer liaison body to communicate with residents | <ul style="list-style-type: none"> • Water services authority (possibly through the implementing agency) • Support from DWAF | <ul style="list-style-type: none"> • Household survey indicates satisfaction with services level / cost solution • Less than 5% of defaulters cite service levels issues as reason for defaulting |
| - Illegal connections | <ol style="list-style-type: none"> 1. Illegal connections 2. Social acceptance of illegal connections 3. Ignorance of the effect of illegal connections | - Undermines social and legal contracts, builds disrespect for local government, destroys the hydraulics of the system resulting in inefficiencies and poor services to other consumers which in turn results in non-payment and service collapse | <ul style="list-style-type: none"> • Establish the real causes for illegal connections • Educate consumer body of effects of illegal connections and build social rejection • Provide a means to legitimise existing con- | <ul style="list-style-type: none"> • Research reasons for illegal connections and address these wherever possible • Undertake an awareness campaign amongst residents on illegal connections and their effects • Create process to legalise existing connections and create incentives not to make illegal connections | <ul style="list-style-type: none"> • Water services authority (possibly through the implementing agency) • Support from DWAF | <ul style="list-style-type: none"> • Household surveys indicate social rejection of illegal connections • All existing illegal connections legalised or disconnected • Prosecutions of continuing offenders |

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| | | | <p>nections</p> <ul style="list-style-type: none"> Prosecute as last resort | <ul style="list-style-type: none"> Advertise the intention to prosecute, send warning notices and proceed to action in test cases including prosecution and removal of illegal connections | | |
| Services authority | | | | | | |
| - General | <ol style="list-style-type: none"> Inadequate understanding of responsibilities and functions Lack of political will Internal conflict Inadequate support from District, Province and/or central government | - General lack of responsibility for services provision resulting in inadequate leadership, decisions not being made, delays, and service failure. | <ul style="list-style-type: none"> General education on water services Political pressure Build conflict resolution skills | <ul style="list-style-type: none"> General training in water services issues General local government training Training in conflict resolution | <ul style="list-style-type: none"> Local government DWAF Implementing agent Provinces and DCD | <ul style="list-style-type: none"> Direct verification through questionnaires Discernible commitment Lack of conflict |
| - Administration | <ol style="list-style-type: none"> Inefficiencies Mismanagement Lack of staff commitment Lack of trained staff Inadequate communication with Water Services Provider Lack of understanding/clarity regarding subsidies, "fair share" etc. | - Poor administration leads to inevitable service failure, loss of public support, resistance to payment, illegal connections etc. | <ul style="list-style-type: none"> Proper planning and recruitment of human resource requirements Initial and ongoing training of admin staff Monitoring and audit procedures to identify and correct mismanagement, including consumer feedback Regular formal communication with services provider Clear communication from central government regarding fiscal transfers | <ul style="list-style-type: none"> Establish human resource plan for the admin function with TORs for positions and clearly set out functions Establish or link to existing entrance and on-going training program for admin staff Establish performance criteria and indicators, and monitoring system of admin functions Set up consumer liaison and complaints system and advertise this effectively Set up formal communication processes with water services providers Establish effective communication with relevant District, Provincial and central government departments regarding fiscal transfers. | <ul style="list-style-type: none"> Water services authority (possibly through the implementing agency) Support from Provinces, DCD & DWAF | <ul style="list-style-type: none"> Adequate human resources plan exists and is implemented Monitoring system established and functional Regular meetings with services provider/s happening Consumer satisfaction with service provided by local government Local government is fully aware of latest fiscal transfer arrangements |
| - Governance | <ol style="list-style-type: none"> Conflict Lack of decisive leadership Lack of vision and enterprise Lack of political commitment to enforce payment and to | <p>- Conflict results in a breakdown of leadership and control.</p> <p>- Lack of leadership and vision may lead to confusion or lack of control over service providers by local government.</p> | <ul style="list-style-type: none"> Develop conflict resolution skills in local councils. Develop leadership skills and capacity. Reinforce political authority and function in local government | <ul style="list-style-type: none"> Run workshops on conflict resolution within local government and service providers. Run leadership development workshops for new councillors and regular refresher workshops. Leadership workshops must include service-oriented training so that coun- | <ul style="list-style-type: none"> Local Government Provinces and DCD DWAF Implementing agent | <ul style="list-style-type: none"> Lack of conflict. Clear vision and purpose demonstrated by local government. Political will demonstrated through fulfilment of leadership responsibilities |

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| | take action on illegal connections | - Lack of political will disempowers service providers resulting in non-payment for services and illegal connections not being controlled with resultant possible collapse of services. | with increased sense of political responsibility. | cillors understand their responsibilities and functions fully. | | and decisive action being taken against defaulters. |
| - Technical understanding | 1. Lack of understanding of basic water services issues | - Poor and inadequate decision-making resulting in technically inadequate solutions and consequent failure of water services. | <ul style="list-style-type: none"> Develop an understanding of basic water services principles and technical limitations such as the nature of groundwater, the costs of construction and operation and maintenance etc. | <ul style="list-style-type: none"> Run a workshop on basic water services principles and technical issues. | <ul style="list-style-type: none"> Local Government DWAF Implementing agent | <ul style="list-style-type: none"> Survey of councillors indicates adequate understanding of basic technical issues. |
| Services provider | | | | | | |
| - Consumer relations | 1. Lack of consumer orientation 2. Inadequate notion of "service" | - The development of poor relationships with consumer body resulting in consumer resistance. Lack of "service" orientation results in lack of responsiveness and poor consumer relationships. | <ul style="list-style-type: none"> Develop customer service as the primary modus operandi of the service provider. Ensure an active and articulate consumer body. | <ul style="list-style-type: none"> Develop key performance indicators of customer orientation and incorporate these into service provider contract. Establish consumer liaison process. | <ul style="list-style-type: none"> Water services provider Water services authority (possibly through the implementing agency) Support from DWAF | <ul style="list-style-type: none"> No complaints from consumers. Key performance indicators of customer orientation met by water services provider. |
| - Administration | 1. Poor communications with the Water Services Authority 2. Inefficiencies 3. Lack of staff commitment 4. Lack of trained staff 5. Inadequate stock control of spares etc. 6. Financial mismanagement | <p>- Poor administration will make it impossible for water services providers to fulfil their functions resulting ultimately in the failure of the system.</p> <p>- Poor communication with the Water Services Authority will result in the Water Services Provider being unaccountable.</p> | <ul style="list-style-type: none"> Regular formal communication with services authority. Ensure that the water services provider has an adequate human resources plan. Ensure that water services provider has an ongoing programme of staff training. Ensure that adequate monitoring and audit systems are in place to | <ul style="list-style-type: none"> Establish regular meetings with water services provider using a pro forma agenda designed to ensure all issues are properly covered. Include key performance indicators of efficiency in the contract and monitor these regularly. Include a requirement for an approved human resources development process in the contract. Formally review the human resources development progress on a six monthly basis including ongoing staff training. Over and above normal annual | <ul style="list-style-type: none"> Water services provider Water services authority Support from DWAF | <ul style="list-style-type: none"> Efficient services rendered with minimum complaints from consumers. Regular well attended meetings held between water services authority and water services providers. Key performance indicators of efficiency met. Efficient, well |

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| | | | identify and correct mismanagement, including consumer feedback | auditing procedures, include quarterly financial reporting in the contract. <ul style="list-style-type: none"> Establish a consumer complaint system and monitor consumer perspectives of efficiency of service. | | trained staff in position with minimum staff turnover. <ul style="list-style-type: none"> No indications of mismanagement of finances. |
| - Revenue collection | <ol style="list-style-type: none"> Inadequate or unaccepted cost-allocation system (metering etc.) Inefficient and/or inaccurate billing Inadequate collection Lack of political will to support service providers in revenue collection activities | Financial sustainability of services depends on revenue collection. | <ul style="list-style-type: none"> The introduction of a system to fairly measure consumption and allocate costs. Consumer education and the promotion of acceptance of metering or other systems of fairly determining the usage of water. Development of efficient revenue collection systems and staff training. High-level political support for payment of services | <ul style="list-style-type: none"> Hold discussions with consumer bodies to agree on metering and measurement methodologies. Reach agreement with consumers regarding the allocation of usage of water so that costs can be allocated. Ensure that adequate management exists within the service provider to implement proper revenue collection activities and administration. Training of staff responsible for revenue collection on an ongoing basis. Ongoing promotion of payment for services by senior politicians. | <ul style="list-style-type: none"> Water services authority Water services providers Support from DWAF Senior politicians | <ul style="list-style-type: none"> Efficient and accurate cost allocation system functioning. Revenue collection levels of at least 90%. Independent consumer survey indicates satisfaction with cost allocation mechanism and revenue collection. |
| - Technical service provision (O&M) | <ol style="list-style-type: none"> Frequent breakdowns Hydraulic failure of system Failure of the source High system losses High operating costs Lack of qualified technicians Long repair periods Lack of spare parts Lack of adequate support | The technical failure of water services creates discontent amongst consumers and consumer resistance to payment for services. It promotes unilateral activity by consumers such as illegal connections. Lack of adequate operation and maintenance leads to ultimate failure and the need for expensive rehabilitation. | <ul style="list-style-type: none"> Proper initial design of systems including the adequate assessment of water sources. The establishment and maintenance of adequate management systems and operation and maintenance planning. Adequate allocation of finances. The establishment of appropriate support structures. | <ul style="list-style-type: none"> The technical design of the water supply system must take into account the probable operation and maintenance capacity of the long-term water services provider. Water sources must be assessed for adequacy during dry years as part of initial design Water Services Development Plans must include the management and planning of operation and maintenance activities and how such activities are to be financed. Clear, accessible and functional support systems must be established including responsive lines of communication. | <ul style="list-style-type: none"> Water services authority Water services providers Support from DWAF | <ul style="list-style-type: none"> No source failure even during dry years. Minimum interruption of services and short repair periods. Independent consumer survey indicates ongoing consumer satisfaction with the service. |
| - Business planning | <ol style="list-style-type: none"> "Project" rather than "Service" oriented business plan | Sustainable services will not be possible without adequate planning. | <ul style="list-style-type: none"> Business plans must be "service-oriented" rather than construction | <ul style="list-style-type: none"> Business plans must indicate not only how infrastructure is to be provided but also how the ongoing function of sus- | <ul style="list-style-type: none"> Water services authority Water services provid- | <ul style="list-style-type: none"> Business plan meets the requirements of guidelines. |

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| | <p>2. Inadequate business plan</p> <p>3. Lack of adequate skills to prepare business plan.</p> <p>4. Business plans are not updated and become redundant.</p> | | <p>or project oriented.</p> <ul style="list-style-type: none"> Guidelines on the preparation and content of business plans should be prepared. Training should be available for those preparing business plans. Regular review of business plans. | <p>tainable water services provision is to be accomplished.</p> <ul style="list-style-type: none"> Business plans must meet minimum requirements in terms of guidelines. Business plans are to be prepared by competent personnel who have been adequately trained where necessary. Management is specifically tasked with updating the business plan annually. | <p>ers</p> <ul style="list-style-type: none"> Support from DWAF | <ul style="list-style-type: none"> Business plans are up-to-date, are relevant and are being implemented. |
| Local support systems | | | | | | |
| - District Council support | <p>1. District councils are unable to support local activities.</p> <p>2. District councils unwilling to support local water services providers.</p> <p>3. Lack of adequate capacity to provide support</p> | <p>Without the availability of ongoing and appropriate support, it is unlikely that local services will be sustainable in the long run.</p> | <ul style="list-style-type: none"> Develop capacity in the district councils to be able to support local service provision. Engage the services of other water institutions such as water boards to undertake support functions on behalf of district councils. Ensure that adequately trained staff are employed at district council level to provide support services | <ul style="list-style-type: none"> Undertake a survey of district council capacity to provide support services. Develop a water services support plan in each district council. Establish water services support structures within district councils. Employ staff at district council level and train such staff to be able to support water services at local level. | <ul style="list-style-type: none"> District councils. Provincial local government departments. DWAF in consultation with DCD and Provinces. | <ul style="list-style-type: none"> Effective support received at local level to enable the sustainable provision of services. Survey of local water service providers indicates satisfaction with support. Customer satisfaction with continuous and efficient service provision. |
| - Provincial support | <p>1. Province are unable to support the water services activities of local government at district council level.</p> <p>2. Lack of adequate capacity or expertise to provide support.</p> | <p>Without adequate support from provincial level, district councils will be unable in turn to support local water services activities which will seriously compromise the sustainability of services.</p> | <ul style="list-style-type: none"> Ensure that provincial local government departments are aware of the support needs of district councils. Ensure that provinces or other water sector institutions such as water boards are able to provide support to district councils. | <ul style="list-style-type: none"> Establish a water sector local government support planning process in each province. Establish clear communication links within provincial structures. Ensure that provincial structures have the capacity to support district councils or that alternative arrangements are made using the capacity of other water services institutions such as water boards. | <ul style="list-style-type: none"> Provincial local government departments. DWAF in consultation with DCD and Provinces. | <ul style="list-style-type: none"> Effective support is received by district councils from provincial structures. District councils are providing an effective support services to the local level. Customers are satisfied with continuous and efficient services. |

