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# EXTERNAL EVALUATION OF THE MVULA TRUST

## VOLUME 2: ANNEXES

Evaluation Management Team

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**Johannesburg, 20 September, 1996**

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## Acronyms

|      |  |
|------|--|
| ACER | Agricultural, Community, Environmental and Rural Development Consultants |
| CLO  | Community Liaison Officer  |
| CSIR | Council for Scientific and Industrial Research                           |
| DBSA | Development Bank of Southern Africa                                      |
| DRA  | Data Research Africa   |
| DWAF | Department of Water Affairs and Forestry                                 |
| EMT  | Evaluation Management Team   |
| EU   | European Union   |
| IA   | Implementing Agent   |
| IDT  | Independent Development Trust  |
| LAPC | Land and Agriculture Policy Centre                                       |
| MT   | The Mvula Trust  |
| NGO  | Non-Governmental Organization  |
| O&M  | Operation and Maintenance  |
| R    | Rand (R1 = approximately US\$0.22)                                       |
| PDG  | Palmer Development Group   |
| RDP  | Reconstruction Development Programme                                     |
| Sida | Swedish international development agency                                 |
| TA   | Training Agent   |
| WRC  | Water Research Council   |

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**Evaluation of the Mvula Trust  
Members of the Steering Committee**

|                                |                                  |
|--------------------------------|----------------------------------|
| Mr. Deon Richter (Chairperson) | DBSA                             |
| Dr. Dave Tapson                | DBSA                             |
| Mr. Barry Jackson              | DBSA                             |
| Mr. Paul Jackson               | DBSA                             |
| Mr. Thuso Ramaema              | DoHealth                         |
| Ms. Isabel Blackett            | DWAF/UNICEF                      |
| Ms. Louis Colvin               | DWAF                             |
| Ms. Adie Viennings             | DWAF                             |
| Mr. Thokozane Aubrey Hadebe    | Estcourt Hospital                |
| Mr. Elias Phiri                | ETRDF                            |
| Mr. Richard Zink               | EU                               |
| Mr. Trevor Fowler              | Gauteng Province                 |
| Dr. Sholto Cross               | IDT                              |
| Mr. Seetella Makhetha          | Makhetha Development Consultants |
| Mr. Piers Cross                | Mvula Trust                      |
| Mr. Martin Rall                | Mvula Trust                      |
| Ms. Janet Love                 | NACAWF                           |
| Ms. L Khoali-Mccarthy          | NRDF                             |
| Mr. Ouma Ramathlodi            | NRDF                             |
| Ms. Rejoice Mabudafhasi        | Parliament                       |
| Mr. Andy Green                 | RDS Networks                     |
| Mr. Piet Odendaal              | WRC                              |
| Dr. Steve Mitchell             | WRC                              |
| Mr. Manor Govender             | Umgeni Water                     |
| Mr. Lee Bosch                  | Zimele Nawe                      |

## Terms of Reference for an Evaluation of the Mvula Trust

### Background

The Mvula Trust was created by its founders - the Development Bank of Southern Africa, the Kagiso Trust (with the financial support of the European Union) and the Independent Development Trust - as a mechanism for water and sanitation project support amongst poor and disadvantaged South African communities. The Trust's founding deed prescribes a mandate for the first 4 years of the Trust's life after which time the Trustees should decide on what (if any) the future role of the Trust should be.

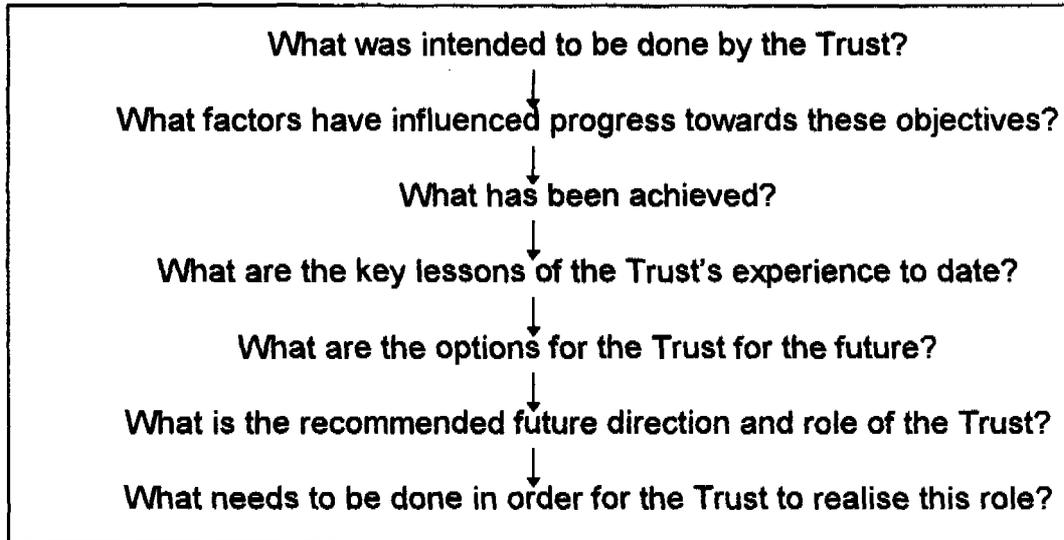
The progress of the Trust has exceeded initial expectations. By December 1995 the Trust's executive will have been in operation for 2 years and 4 months, a period in which the Trust has provided financial support to over 200 projects, has played a significant supporting role to the establishment of national water and sanitation initiatives by the new democratic government, lead by the Department of Water Affairs and Forestry (DWAF), and has generated such considerable project interest that all the Trust's initial funding was fully committed by April 1995.

A substantial, independent evaluation of the Trust is proposed to be undertaken in early 1996. The timing is appropriate for several reasons:

- Sufficient project experience has now been gained to undertake a first review of what has been achieved through the Trustee's approach.
- The Trust has developed and established a detailed set of policies and an innovative system of project development and implementation. The effectiveness of the Trust's approach requires review.
- The Government's new policies and development plans with respect to water and sanitation focusing on the unserved are now more evident. The emergence of a legitimate state with a specific interest in community water and sanitation services, the devotion of considerable state resources to this sub-sector and extensive plans for institutional development all raise questions regarding the future role of non-governmental institutions such as the Trust.
- The Trust and the DWAF have entered into a agreement to collaborate on community water and sanitation development. The agreement provides an encouraging general framework for collaboration. More detailed work is required to define the specific areas on which the Trust might concentrate to complement the Department.
- The full commitment of the Trust's initial finances raises the question of the financial sustainability of the Trust and fund-raising strategies the Trust might adopt for the future.
- A major comparative review of South Africa's community water and sanitation sector and the Trust's contribution would generate the first significant empirical project data set in the new South Africa and contribute to sectoral development well beyond the ambit of the Trust.

## Terms of Reference for the Evaluation

The logic of the basic questions to be asked in this evaluation is as follows:



### ***Specific Evaluation Tasks***

1. To evaluate the Trust's performance against the initial objectives and targets as outlined in the Trust deed.
2. To review the Trust's policies against best practice approaches in the field of *community water supply and sanitation development*.
3. To undertake an empirical review of the performance of Trust-supported projects, particularly in terms of the Trust's own key policy objectives (in particular cost-effectiveness, sustainability and community empowerment).
4. Compare the Trust's performance and approaches to those being adopted by the other major contributors to community water supply and sanitation development in South Africa (including DWAF RDP, Umgeni, Microprojects, local government and other NGO project approaches).
5. To provide the data for this assessment undertake a detailed sample survey of projects undertaken by the Trust and other comparative leading agencies. The study will collect information on the social, institutional, financial and technical aspects of project development.
6. The policies of the Trust and the government are broadly complementary. There are, however, some specific areas of difference - particularly with regard to community empowerment and cost-sharing - and the project mechanisms employed by an independent agency and that of the government are necessarily different. Review the differences between Mvula and DWAF micropolicies and identify areas where these differences may be problematic.
7. To review in general terms the likely environmental and health impact of the Trust's operations.
8. To review the Trust's progress in the development of both its grant and loan finance facilities.
9. To review the institutional and organisational development of the Trust (including the partnerships, structure of the Trust, management structures, appropriateness of its staffing, regional development and human resource development policies)

and to review the operational effectiveness of the major functional divisions within the Trust.

10. To review systems and mechanisms of project management and financial control.
11. To review the Trust's financial position and develop options for future financing of Trust operations.
12. To identify the Trust's major stakeholders (including financial supporters, sector agencies, sector consultants and specialists, contractors, materials suppliers, national and provincial government agencies, beneficiaries) and to canvas their views on the Trust's performance and likely future role.

### **Evaluation Phasing and Activities**

The evaluation will be undertaken in the following manner:

#### ***Establish Steering Committee***

The Trustees will establish an Evaluation Steering Committee to which will be delegated the responsibility for management of the evaluation. The Steering Committee would be responsible for finalising the detailed evaluation design, supervision of the evaluation process and production of the draft final report for approval by the Trustees.

The Steering Committee would comprise the following members:

- Chair (Trustee) (1)
  - Trustees (4)
  - Trust Executive representatives (3)
  - DWAF representative (if required additional to the Mvula/DWAF Trustees) (1)
  - National Assembly Committee on Agriculture, Water and Forestry Representative (1)
  - EU Representative (1)
  - RDP Representative (1)
  - Provincial Government representative (1)
  - Umgeni representative (1)
  - Water Research Commission representative (1)
  - DBSA Sector and Evaluation specialists (2)
  - NGO representative (1)
  - Private sector water and sanitation and training specialists (2)
- Other multilateral, bilateral or national agency sector specialist expertise as required by the Committee.

#### ***Appoint Evaluation Team***

The evaluation team would be lead by a sector specialist of high international standing and experience and objective standing in relation to the Trust and partner institutions. The evaluation team leader would work with a team of local specialist expertise. The full team would require expertise in the following areas:

- Water and sanitation policy
- Development finance
- Project management

- Institutional development
- Rural water and sanitation technology
- Participatory development, community management and community-level training.

It is likely that these skills could be acquired in an evaluation team comprising:

- International consultants - water and sanitation specialists - probably engineer and economist
- Local social science consultants to undertake sample survey and social and institutional analysis.
- Local consultants to undertake financial and project management analyses.

### ***Evaluation Data Collection***

After mobilization and orientation the evaluation team would embark on data collection. Data collection would derive from 3 major sources:

#### **Project Sample Survey**

A detailed sample survey would be undertaken of Trust projects and a subset of comparative water and sanitation projects from other leading development institutions.

#### **Project Case-Studies**

Certain representative project case-studies would be developed in detail which illustrate the Trust's work.

#### **Institutional, Financial and Managerial Assessment**

A review of the Trust's legal and institutional position and an assessment of the management of the Trust.

#### **Stakeholder Interviews**

Identification and consultation with the Trust's major partners and stakeholders.

#### ***Review Data and Establish Themes for Main Report***

On the basis the data collected the evaluation team would establish the main lessons of the Trust's experience and develop options for the its future development.

As part of this review the Steering Committee may wish to host a workshop at which first draft papers on different aspects of the evaluation were presented for comment by a wider selection of sector specialists for their comment.

#### ***Reporting***

The draft evaluation report would be presented to the Steering Committee for their detailed comment and review. The draft final report would be presented to the Trustees who would decide in what manner the evaluation findings should be published.

**CASE STUDIES INCLUDED IN THE EVALUATION**

| REGION       | NORTHERN    | MPUMALANGA | EASTERN CAPE | KWAZULU NATAL |
|--------------|-------------|------------|--------------|---------------|
| MVULA TRUST  | BOSCHKOP    | BELFAST    | AMAHLEKE     | FAIRVIEW      |
|              | GUNDANI     | STEENBOK   | EMBIZENI     | MVOVENI       |
|              | LEBOENG     | KHUMBULA   | ENSIKENE     | MAPHOPHOMA    |
|              | LEOKANENG   |            | HLANKOMO     |               |
|              | MATHABATHA  |            | NGQELE       |               |
|              | MORAPALALA  |            | QOQODALA     |               |
|              | SOETFONTEIN |            |              |               |
| TURKEY       |             |            |              |               |
| DWAF         |             | SIBANGE    | QINA         |               |
| UMGENI       |             |            |              | MOPHELA       |
| NGO TSOGANG  | MAFEFE      |            |              |               |
| NGO THUTHUKA |             |            |              | OBANGENI      |

Shading signifies that water is flowing in the pipes, although the scheme might not yet have been officially opened.

ANNEX 3  
(CONT.)

POPULATION AND COST DATA FROM CASE STUDIES ON PROJECTS  
FUNDED BY THE MVULA TRUST

| Region<br>Project    | Population | Cost<br>R1000 | Per Capita<br>Cost | Remarks      |
|----------------------|------------|---------------|--------------------|--------------|
| <b>Eastern Cape</b>  |            |               |                    |              |
| Amahleke             | 23,500     | 2,626         | 104                | Bulk Supply  |
| Embizeni             | 1,000      | 205           | 170                | Gravity      |
| Ensikene             | 5,600      | 724           | 120                | Gravity      |
| Hlankomo             | 1,000      | 218           | 203                | Gravity      |
| Ngqele               | 4,000      | 272           | 63                 | Extension    |
| Qoqodala             | 18,700     | 3,576         | 191                | 12 Projects  |
| <b>KwaZulu-Natal</b> |            |               |                    |              |
| Fairview             | 1,900      | 479           | 236                | Bulk Supply  |
| Mvoveni              | 1,000      | 202           | 188                | Gravity      |
| Maphophoma           | 3,900      | 594           | 141                | Pumped       |
| <b>Mpumalanga</b>    |            |               |                    |              |
| Belfast              | 3,200      | 383           | 112                | DWAF Proj.   |
| Steenbok             | 13,000     | 144           | 10                 | Reticulation |
| Khumbula             | 3,300      | 335           | 97                 | Extension    |
| <b>Northern</b>      |            |               |                    |              |
| Boschkop             | 1,100      | 257           | 215                | Pumped       |
| Gundani              | 1,200      | 248           | 196                | Pumped       |
| Leboeng              | 10,500     | 665           | 59                 | Upgrading    |
| Leokaneng            | 2,300      | 313           | 125                | Upgrading    |
| Mathabatha           | 15,000     | 2,656         | 163                | Surface/Pump |
| Morapalala           | 2,300      | 580           | 231                | Pumped       |
| Soetfontein          | 12,500     | 895           | 66                 | Upgrading    |
| Turkey               | 7,300      | 825           | 105                | Gravity      |

## LIST OF REPORTS PREPARED FOR THE EVALUATION

|          |   |
|----------|---|
| EMT      | Inception Report  |
| EMT      | External Evaluation of The Mvula Trust, Volume 1: Main Report<br>Volume 2: Annexes  |
| P Morgan | Technical Aspects of the Operations of the Mvula Trust  |
| PDG      | Financial & Management Aspects Final Report   |
| PDG      | Financial & Management Aspects,<br>Annex A: Detailed Reports on Regions and Projects;<br>Annex B: Case Studies for Projects from other Programmes |
| PDG      | Financial & Management Aspects, Factors Affecting Project Cost  |
| ACER     | Mpumalanga & Northern Province - Social and Institutional Aspects Synthesis   |
| ACER     | Northern Province Household Observations  |
| ACER     | Northern Province Questionnaire   |
| ACER     | Northern Province Rapid Rural Research  |
| ACER     | Mpumalanga Household Observations   |
| ACER     | Mpumalanga Questionnaire  |
| ACER     | Mpumalanga Rapid Rural Research   |
| ACER     | Belfast Case Study Report   |
| ACER     | Boschkop Case Study Report  |
| ACER     | Gundani Case Study Report   |
| ACER     | Khumbula Case Study Report  |
| ACER     | Leboeng Case Study Report   |
| ACER     | Leokaneng Case Study Report   |
| ACER     | Mafefe Case Study Report  |
| ACER     | Mathabatha Case Study Report  |
| ACER     | Morapalala Case Study Report  |
| ACER     | Soetfontein Case Study Report   |
| ACER     | Sibange Case Study Report   |
| ACER     | Steenbok Case Study Report  |
| ACER     | Turkey Case Study Report  |
| LAPC     | Eastern Cape - Community Water Project Evaluation Synthesis   |
| LAPC     | KwaZulu-Natal - Community Water Project Evaluation Synthesis  |
| LAPC     | Amahleke Case Study Report  |
| LAPC     | Embizeni Case Study Report  |
| LAPC     | Ensekeni Case Study Report  |
| LAPC     | Fairview Case Study Report  |
| LAPC     | Hlankomo Case Study Report  |
| LAPC     | Maphophoma Case Study Report  |
| LAPC     | Mophela Case Study Report   |
| LAPC     | Mvoveni Case Study Report   |
| LAPC     | Ngqele Case Study Report  |
| LAPC     | Obangeni Case Study Report  |
| LAPC     | Qina Case Study Report  |
| LAPC     | Qoqodala Case Study Report  |

## SUMMARIES OF CONSULTANTS' REPORTS

### A) CASE STUDIES: NORTHERN & MPUMALANGA - ACER (AFRICA)

#### EXECUTIVE SUMMARY

According to its Trust Deed, after its first three years of operation the Mvula Trust presently is undergoing an evaluation to determine its impact and effectiveness in terms of cost efficiency, sustainability and community empowerment. Through financial assistance from the Swedish International Development Cooperation Agency, the evaluation is being conducted by international specialists who constitute the Evaluation Management Team. Inputs are provided by a range of appointed sub-consultants.

ACER (Africa) was appointed to conduct social and institutional evaluations of thirteen water projects (11 Mvula Trust projects and two projects of comparator organisations involved in water supply development in the country). Four of these projects are located in Mpumalanga and nine in the Northern Province.

Within broadly defined generic terms of reference, the social and institutional evaluation addressed five categories of information:

- Project development (origins of the project).
- Local level management and ownership.
- Functioning and knowledge of the system (including water usage).
- Financing (cost recovery).
- Broader impacts of the development intervention.

A range of questions and methodologies were discussed and refined during a pre-evaluation design workshop attended by the evaluation team and representatives of the Mvula Trust. Problem areas were resolved following the completion of two pilot case studies. Principle methodologies were participatory research, focus groups, a questionnaire survey, household observations, and informal interviews and observations. Within the assumptions and limitations of the evaluation exercise, data were gathered during an extensive field trip. Quantitative data were analysed and interpreted in terms of qualitative information and are documented in a suite comprising 20 reports. This report, the Provincial Synthesis Report, provides an overall analysis of findings for projects in Mpumalanga and the Northern Province.

Thirteen projects were evaluated. Four of these projects are located in Mpumalanga. The Steenbok project in which an existing borehole was equipped and linked to an existing reticulation network can be described as a failure which impacted negatively on community cohesiveness. Ramifications are felt to the present day. In contrast, the Belfast and Khumbula projects can be considered successful although Khumbula remains to be completed in entirety. Positive aspects of the Mvula Trust approach to development can be ascribed to both projects. Importantly, the Khumbula project also involved a sanitation component which, although not very successful during Phase 1, is expected to contribute enormously to sanitation development in Khumbula once Phase 2 has been completed. The fourth project, Sibange, was implemented by the Department of Water Affairs & Forestry and completed recently. The major difference in approach between the Department and the Mvula Trust is that no community contribution is required by the Department. Also, significantly, the approach of the Department appears less empowering than that of the Mvula Trust. However, in fairness, only one Departmental project was evaluated during the entire exercise.

In the Northern Province, nine projects were evaluated. The Leboeng project is not functioning as intended and has caused a number of community differences which must still be resolved. Similarly, the Mathabatha project has been beset with problems of a social and institutional nature. As a result the project has experienced a number of delays and must still be completed. The converse is true for the Leokaneng project which has proved to be very successful in addressing most of its original

objectives. The Boschkop project has achieved in the delivery of water but has failed in a number of social and institutional aspects many of which relate to the design, functioning and level of service of the scheme. The Morapalala project was one of the first Mvula Trust projects and can be regarded as very successful. Two success criteria appear to be the high level of Mvula Trust involvement throughout the project cycle and the open and transparent nature of community involvement, including the involvement of the Traditional Authority. The Turkey project is a large one which involves a number of separate villages. Although water supply in the villages has improved, there are a number of social and institutional problems which impact negatively on the management and long-term sustainability of this project. A similar situation exists for the Soetfontein project where one of three beneficiary villages must still be connected to the water supply system. The Gundani project in the far north of the Northern Province is similar to the Morapalala project. Success has been achieved with initial objectives and the community is keen to expand its efforts. The final project evaluated in the Northern Province was Mafefe which was implemented by a non government organisation. Although considerable and commendable effort was expended in community organisation and capacity enhancement, social and institutional difficulties have arisen as a result of technical limitations within the project.

In the analysis of projects a number of key issues were identified, described and assessed. There appears to be a comparatively poor understanding by communities of the complex Mvula Trust policies and procedures and simpler policies and methods of conveying information to communities are suggested. Added to this is the belief that the Mvula Trust and comparator organisations have underestimated community expectations. In general, communities aspire to the highest possible level of service, an aspect which threatens the sustainability of lower service systems because of the threat of illegal private household connections and non contribution to O&M funds. Further, poor understanding of policies and procedures often results in a poor understanding of the technical aspects of a project by communities. This can lead to community dissatisfaction upon completion of the project. In combination and in order to promote cost effectiveness, there is merit in considering installing bulk infrastructure that is adequate to meet a high level of service from the outset. This obviates the necessity to replace bulk infrastructure when systems are upgraded.

Many of the problems described above could be off-set by more intense involvement by the Mvula Trust during all phases of the project cycle, most notably, during planning exercises between the community and its appointed implementing agent. To some degree, a facilitation role by the Mvula Trust throughout the project will prevent scenarios where projects become technically driven at the expense of community involvement and empowerment. Nevertheless, where the Mvula Trust approach to projects has been followed, communities themselves have indicated this to be an empowering process which, in some cases, has found application in other development initiatives.

Allied to project planning is the need to commence training as early as possible, even before the project has been appraised and approved by the Mvula Trust. If accepted, this will have major policy and procedural implications for the Mvula Trust.

Project implementation is the responsibility of the implementing agent and the community. For the most part it has been carried out competently. However, there is a strong argument for more direct Mvula Trust monitoring as shown by results of projects implemented in Mpumalanga where lax monitoring has led to a number of difficulties on projects. Generally, training has been carried out during implementation. Most training has been of a sufficiently high standard. However, in Mpumalanga a number of problems have been experienced and in some cases training was never completed. In connection with the Department of Water Affairs & Forestry project in Sibange training was totally inadequate and needs to be redone by a competent training agent.

One aspect of implementation which is cause for concern to communities is the lengthy period required by the Mvula Trust to settle requisitions. In cases this has resulted in labourers being paid wages months after work was completed. Consequent difficulties have been caused for committee members.

Operation and maintenance of the water projects is the responsibility of the community through the water committee. However, it can become complicated when water projects are attachments to existing systems currently operated and maintained by the Government. Similarly, wholly owned

Government schemes in the neighbourhood of Mvula Trust projects impact negatively on O&M contributions because the Government presently provides water free of charge.

Although rules/guidelines are said to be in place, community members are either ignorant thereof or choose to ignore them. There does not appear to be an effective method to enforce rules and much pressure is placed on Traditional Authorities. However, they are reluctant to do so as this impacts negatively on their image at a time when they are struggling for political survival.

Much has been discussed concerning the 8% capital contribution required by the Mvula Trust. Although there may be difficulties in certain communities to contribute in cash, contributions can be made in the form of labour. In summary, there can be little doubt that the 8% contribution significantly contributes to a sense of ownership of a system by the community. Similarly, contributions to the O&M fund improve the community's sense of ownership. However, there are a number of aspects influencing non-payment. Perhaps most of all is a general dissatisfaction with the level of service for which a water service payment is required.

Many of the projects (Mvula Trust and comparator organisations) have led to broader impacts within the community. Many have been manifest in secondary development initiatives utilising skills and experience obtained from the water project. This is another good example of community empowerment effected via the water projects.

Certain general issues are discussed, including: many water committees are not formally constituted, many committees are reliant on one or two members which raises sustainability concerns and many committees are not gender and age equal which raises concern over representation. At all times the Mvula Trust and implementing agents should take care to ensure committees with whom they are working are representative of the broader community.

Sanitation is dealt with only briefly as only one project had a sanitation component attached to the water project. In summary, once all phases of the development have been completed it is likely that the sanitation project would have contributed enormously to an improved standard of living of residents.

The report ends with a comparison between Mvula Trust projects in Mpumalanga and the Northern Province. In general, the Mvula Trust appears to have been more successful in the Northern Province than Mpumalanga. This could relate to a greater need in the Northern Province and enhanced willingness amongst community members to assist themselves. Further, training and Mvula Trust monitoring in the Northern Province appears to have been better than in Mpumalanga.

The major differences between Mvula Trust projects and those of the Department of Water Affairs & Forestry relate to the capital contribution of beneficiary communities and project management, particularly financial management. The latter are missing from Departmental projects and can be said to impact negatively on community sense of ownership and community empowerment. No major differences could be found between the Mvula Trust and Tsogang (non government organisation) approaches, save that Tsogang invested heavily in community organisation, capacity enhancement and training. This should be commended.

In order to assist the Evaluation Management Team a number of success criteria were identified. These are important and, therefore, repeated in their entirety in the Executive Summary. Similarly, there are other important considerations which are repeated in entirety in the Executive Summary.

#### **SUCCESS CRITERIA**

- Smaller projects comprising one community and developed from scratch are easier to manage and have more potential for success than larger projects comprising more than one community and which may be linked to existing (often failed) systems.
- Traditional Authority support for a project is crucial. Opposition can sink a project before it even gets a chance to start or prove itself.

- For most successful projects there have been no power plays between different community structures. Added to this, there has been an open and honest relationship between structures and with the community. Community decision taking (rather than committee decision taking) is viewed as extremely important.
- There needs to be absolute honesty and transparency by the Water Committee in dealing with all project related issues, most notably, finances. Water Committee members need to demonstrate accountability to their membership.
- The community should be consulted on all aspects related to the project, even if this is time consuming. Everybody should be aware of what the project can offer and within which parameters. This is to avoid community tension and conflict which arises normally when technical failure occurs.
- It is unrealistic to expect a 100% contribution by the community to the capital and O&M costs of the project. This should be addressed up front by the Water Committee, community and the Mvula Trust in order that all stakeholders are aware at the outset of the situation and contingency plans.

#### **IMPORTANT CONSIDERATIONS**

Although not stemming directly from the social and institutional evaluation of projects, the project team has formulated a number of issues which are worthy of consideration for future Mvula Trust initiatives.

- All communities should be prepared adequately for water projects prior to project initiation and planning. This preparation can take the form of a social assessment and facilitation by Mvula Trust Community Liaison Officers or outside agencies. Further, such an assessment should be independent and free of interference by agents who may have a vested interest in a project. Also, it is worth noting that larger projects involving more than one community probably will be more socially complex than smaller ones involving a single community.
- It would appear that technical design optimises available finances more than it does resources and the needs and desires of communities. Possibly this is a result of prescribed funding conditions established by the Mvula Trust. Unfortunately, the result could be a less than optimal technical design or a technical design that cannot accommodate extension or upgrading of the system. In this regard, there is much merit in considering bulk infrastructure sufficient to accommodate the highest level of service, viz. individual household connections, from the outset.

Similarly, one must question the merit of connecting Mvula Trust projects to existing infrastructure, particularly existing reticulation networks which, more often than not, are plagued by innumerable illegal private connections. Although cost-effectiveness may be enhanced, sustainability is jeopardised.

- In connection with funding criteria, presently different criteria exist for different organisations involved in water and sanitation development in South Africa. There is much merit in standardising criteria to avoid confusion within and between communities, particularly as confusion can lead to dissatisfaction, tension and conflict.
- At risk work by implementing agents can constrain the sustainability of a project. Consideration could be given to establishing a panel of implementing agents from which communities can choose. After a choice has been made, the implementing agent no longer works at risk and disbursements are made against a prearranged schedule. This would also enable earlier training in the project cycle. However, both approaches will require a financial commitment from the Mvula Trust before a project is approved. Since not all projects are approved, certain investments will not produce tangible results.

- It is unfair to communities and implementing agents for the Mvula Trust to continue accepting projects for appraisal when funds have already been committed in full. The Mvula Trust should state up front the availability of funds and only plan projects that are within the financial capacity of the Mvula Trust. This could be effected through the panel of implementing agents discussed earlier.
- Community ownership of facilities is central to Mvula Trust policy on sustainability. It is of concern that water projects could be under threat from newly elected Local Governments who require "successes" to maintain credibility. While certain communities are happy to allow Local Government to take control of their projects, others are not. Future conflict can be expected.

However, of importance is whether the Mvula Trust continues to motivate for community ownership in the face of changing Local Government. It is the understanding of ACER that the Mvula Trust is investigating the role of Local Government in its water projects. This will need to be monitored on an on-going basis and flexibility built into the procedure to allow changes in course as dictated by events in the country.

- The Mvula Trust has positioned itself with regard to water supply in South Africa at the lower end of the scale of level of service, viz. communal standpipe systems within 200 m of every household delivering 25 l of water per person per day. If this is the interface at which the Mvula Trust wishes to operate, it should target only those communities who have no water supply and who are desperate for assistance. This information should be available from the Department of Water Affairs & Forestry Community Water Supply and Sanitation Programme which has established a data base of water supply to communities in eight provinces (excluding Gauteng) of South. Also, in order not to compromise its niche, the Mvula Trust should leave communities desiring a higher level of service to other state and parastatal agencies.
- Finally, in connection with incentive bonuses, the equality of a bonus equal to 5% of capital costs must be questioned particularly when existing infrastructure is used. One method of attaining equity is to calculate the bonus inclusive of assumed costs for existing infrastructure. This would assist those communities where existing infrastructure (which may be aged) breaks down early in the life of the project and there are insufficient O&M funds (despite the earnest efforts by community members) to pay for repairs.

Finally, in summary and conclusion, the Mvula Trust deserves to be commended for its efforts in the water and sanitation field in South Africa. There is no doubt that in most cases the intervention of the Mvula Trust has been timeous and of enormous benefit to recipient communities. It is hoped that the results of the present evaluation will refine policies, procedures and approaches to enable the Mvula Trust to continue its work in an enhanced manner and to the benefit of all stakeholders.

### CONCLUDING REMARKS

In conclusion, for systems that are functioning, the MT has achieved its aims and water projects are of real benefit to beneficiary communities. In terms of water delivery for projects that formed part of the evaluation benefits can be classified as follows:

- |   |                         |   |   |
|---|-------------------------|---|---|
| • | Great improvement       | - | Morapalala                                  |
|   |                         | - | Turkey                                      |
|   |                         | - | Leokaneng                                   |
|   |                         | - | Boschkop                                    |
|   |                         | - | Leboeng (when there is water in the system) |
| • | Good improvement        | - | Gundani                                     |
|   |                         | - | Belfast                                     |
|   |                         | - | Soetfontein (parts of)                      |
| • | Very little improvement | - | Khumbula                                    |

- No improvement
  - Steenbok
  - Mathabatha
  - Soetfontein (parts of)

This excludes social and institutional aspects which are many and varied between the projects listed above.

Overall it is true to comment that women have benefitted the most from water projects. This is because most water related activities are the responsibility of women (and sometimes delegated to young children). There has been a significant reduction in the distance to a water supply point, for example, in Morapalala this distance has been reduced from up to 4 km to 200 m and similarly for Turkey where the distance has been reduced from 2 km to 200 m. Allied time savings (up to two hours in some cases) have freed women to undertake other important household tasks and also to relax with their families. The performance of household tasks has also been aided, for example, washing clothes, vegetable gardening and building houses. Personal hygiene has also been aided.

Water consumption in villages has increased. Prior to the implementation of water projects, per capita consumption was as slow as 8 - 11 l per day. This has increased markedly to an average per capita consumption of approximately 20 l per day. In addition, for most projects there has been a significant improvement in water quality with added spin-offs of reduced illnesses.

Contributions to the capital and O&M costs of projects have yielded mixed results and have been discussed in detail in this report. There can be little doubt that capital cost contributions do increase the sense of community ownership of projects. However, there is not unanimity on this subject. Similarly, O&M contributions remain problematic despite incentive bonuses paid by the MT. Ultimately, individually metered standpipes may be the only way by which to effect payment for a water service. However, for most areas this is many years into the future.

In general, water projects have been cost effective and have contributed significantly to community empowerment. In this regard, the MT also has achieved its objectives, at least in the short-term. Particular mention should be made of community empowerment where the MT process is seen by communities as empowering. This is enhanced by a number of ancillary activities, for example, training as an integral component of projects. However, the same cannot be said for the sustainability of projects where there is concern for the majority of projects. However, in fairness, much of this concern relates to the non-payment for O&M. However, one should not ignore the contribution of social and institutional difficulties which impact negatively on project sustainability.

Finally, the issue of reporting back to communities involved in the social and institutional evaluation is deserving of consideration. Many communities are tiring of investigative exercises where researchers expect the community to contribute to the research process but never return to the communities to present and discuss findings. This was the case for the present evaluation. Therefore, community feed back should form a part of the entire evaluation being undertaken by the MT.

In connection with reports, care should be taken when handing these over to communities because they do contain sensitive information that can be misinterpreted or taken out of context by community members and leaders. In this regard, it is important that household observations are not made public with participants names. However, it is important that leaders hear what their community members are saying. Therefore, names should be removed from documents before they are released.

ACER is confident that the MT and EMT will handle documentation in a sensitive and attentive manner in order not to jeopardise any body involved in the evaluation.

## **B) CASE STUDIES: EASTERN CAPE & KWAZULU/NATAL - LAPC/DRA**

### **MAIN FINDINGS - KWAZULU/NATAL**

In the research, there were three principles under investigation: cost-effectiveness; sustainability; and empowerment. It was never intended that one be prioritised above the others, or to find causal relationships between them. The only level at which they were prioritised was at the community level, where the community made trade-offs according to their needs. It was not always possible, even feasible, to achieve all three principles concurrently. Under different circumstances and in varying contexts, this was demonstrated. For instance, in Mvoveni the use of local labour was only cost effective with a substantial amount of training, which in itself was a cost. The water committee in achieving a cost effective tank installation, traded-off empowerment by forfeiting training.

Sustainability was the dominant principle raised by the communities, as shown by their ultimate concern with the water provision now and in the future. The other principles received relatively less attention as the committees ultimately had less influence over these. The water committee were marginalised from the project finances and the control their of, and as such the committee were not really able to influence the issues relating cost-effectiveness. Furthermore, the extent to which empowerment occurred was determined largely by chance and training. The management training was largely ineffectual and misdirected, specifically the omission of specific water supply management. Empowerment was largely aided by the implementing agent who was accessible to the community in providing advice, set up the community financial system and providing some informal financial training. This assisted with capacity building, the extent of which was determined by the site engineer's personality, as opposed to the implementing agency's policy. Not all the engineer managed to achieve this limited empowerment, most fostered a dependence relationship.

### **THREE PRONGED RELATIONSHIP BETWEEN THE MAIN ROLE PLAYERS**

The paper is concludes by briefly looking at the tripartheid relationship between the main role players. This three pronged formation was comprised of the outside agencies, the community and the water committee. The water committee performed as one of its role the bridging of the disjuncture between the community and the implementing agents. As summarised below each role player had their own role and responsibilities. This conceptualisation is useful for informing the partnership agreement motivated for in the recommendations presented below.

### THREE PRONGED PARTNERSHIP AGREEMENT

| <u>ROLE<br/>PLAYER</u> | <u>ROLE<sup>1</sup></u>  | <u>RESPONSIBILITIES</u>  |
|------------------------|--|--|
| Outside<br>agency      | funding<br>development facilitation  | sustainability<br>efficient delivery<br>ensuring appropriate project plans   |
| ↕                      |  |  |
| Water<br>committee     | engaging between agency & community<br>managing the project<br>liaising with the community<br>undertaking implementation | legitimacy<br>how decisions are made<br>does it have the authority<br>resource allocation  |
| ↕                      |  |  |
| Community              | set up rules<br>peer pressure<br>hold committee accountable  | articulating affordability requirements<br>control over resource<br>articulating the various water usage by<br>differing groupings |

#### **WATER COMMITTEE**

Mvula Trust major task was community water delivery in the most sustainable manner. The Mvula Trust held a delivery philosophy based on the key component that the water committee was the appropriate agent for project implementation. This was found to be appropriate as the water committee was crucial to sustainability. However, the water committee still had to be evaluated in terms of two equally important criteria: legitimacy and its management capacity.

In order to realise the full potential of these water committees, a certain number of obstacles need to be removed, amounts other than the domination of the committee by one person; the dependence on the implementing agents; the broadening of the skills bases, specifically in terms of book-keeping. However, these issues were difficult to address at this late stage in the development process. They need to be targeted from the start, even before the feasibility study is commissioned. Outside agencies were partly accountable for the domination of the committee by one person. Resources were continually channelled through this person and meetings set-up with individuals, as opposed to committees. Although the delivery process may be slowed by this, the long run implications are vast. It was usually just after the project was completed, that water committees realised how poorly equipped they were as a management authority. Some committees dissolved, others hobbled along hoping for assistance and others turned hopefully to the implementing agent for assistance fostering their continued dependence.

It was found that the most successful water committees were those comprised with members who had business skills, as well as were able to communicate and deal with outside agencies. These skills are obtained through to a certain extent by training and experience. This experience was gained throughout the development process, as indicated by the greater competence displayed by committee members who had been involved in previous community development projects.

A link was made between the training received and the committee's ability to function well. The committee members expressed a need for further training as a means of improving their capacity to manage the development process and administer the project. The formal committee training was felt to be insufficient on the grounds that it attempted to cover too much in a very short space of time and the course content did not go beyond the basic committee functioning. The financial training was also given in isolation of the context in which the committee functioned. In Fairview and Obanjeni, the implementing agent was viewed as the person responsible for capacity building in the water

<sup>1</sup> The roles and the responsibilities identified refer to the most appropriate location of these, as opposed to the roles and responsibilities enacted in the 5 KwaZulu-Natal case studies.

committee as the implementing agents were accessible for follow-up questions and guidance. In most communities the construction workers also identified the central role played by the implementing agent in their training which was felt to be appropriate because of its on-site hands-on nature. The same sentiments were expressed in Maphophoma where a community members took responsibility for the both technical and management training. In those communities where there was a poor relationships between the implementing agents and the construction workers, it was attributed to the low level of interaction between themselves and the implementing agent. The labourers complained that they often had to wait for the implementing agent to arrive as they did not know what to do next, such as in Mvoveni, Mophela and Maphophoma.

## **RELATIONSHIPS BETWEEN THE ROLE PLAYERS**

### **THE RELATIONSHIP BETWEEN THE OUTSIDE AGENTS AND THE WATER COMMITTEE**

The sustainability of the water project was informed to a large extent by the nature of the relationship between the community and the implementing agents. Those water committees with good relationships with implementing agent appeared to have more sustainable water projects. It was interesting that it was not the relationship with the community liaison officer or the official committee management training received which were the key factor in project sustainability. In these specific case studies, they performed a small role in the communities. Each will be dealt with individually. Firstly, although this presented a strong role for a community liaison officer, they were found to be less accessible than the implementing agent officials. Thus, a closer relationship between the implementing agent and the community was the high profile of the implementing agents. The water committees usually turned to those people they could get hold off. There were many complaints of the difficulty of communication between the committee and outside development agencies. It also appeared that since many of the decisions were technical in nature, the water committee found the implementing agent the most informed on these issues.

Overall, the relationship between the committee with the engineer held more with than the relationship between the training received and the CLO. It should be mentioned that the relationship between the CLO and the community may be a case specific findings. The CLO operated in a very technical fashion in that they were trying to implement the rule manuals. The water committees were trying to draw on a broad based experience and required skills in problem solving. The community liaison officers required a forum in which the communities problems could be aired.

Secondly, the importance of the training was appreciated by the committee but it was felt that it missed the crux of what the water committee required to know for effective functioning. The water committee required problem solving techniques and a support base on which they could rely for advice, specifically given their inexperience and the relatively new exposure to project management.

In those areas where the implementing agent had a high profile in the community, which made them more accessible as a support base for the water committee and as a training agent. When the community had a close relationship with the implementing agent, besides benefiting from the above factors, the chance of articulating the needs of the community was increased. This affected the overall level of project satisfaction. Thus, capital payments were higher and the water committee improved their management skills to operate the project in a more sustainable fashion.

### **THE NATURE OF THE RELATIONSHIP BETWEEN THE COMMUNITY AND THE COMMITTEE**

In those areas where there was a good relationship between the water committee and the community, such as Mvoveni and Maphophoma, it was found that there was also a high level of involvement in the process by both parties. This built accountability between the two, which had repercussions which were associated with the high level of project ownership. In Fairview, the relationship between the water committee and the community was not as close as in the previously mentioned communities. The repercussions of this was the certain grouping in the community were not prepared to assist or give suggestion of how to improve the operations and maintenance of the water project. In Obanjeni, the community were described as being apathetic. They did not appear concerned about not being involved in the water project. This was interesting as the community still felt the project was to be sustainable, although there were no clear indications of how successful future operation and maintenance payments would be.

## **PRINCIPLES REVISITED**

In the pen-ultimate section, the three principles are revisited: project sustainability; committee empowerment, and cost-effectiveness. Cost-effectiveness is immediately segmented into ownership and cost-recovery, two aspects of this principles over which the water committee have some control.

### **PROJECT SUSTAINABILITY**

The water supply system was more sustainable in those communities with a higher level of project and process satisfaction,. This was attributed to a few factors. Firstly, the level of community satisfaction rose when the water committee was empowered to articulate the community's needs to the outside agencies. In none of the cases studies, did the community actually contribute towards helping the development process when it stalled. It was only in Fairview that it was found that there were certain sections of the community which said they were not prepared to offer advice to the water committee as they were not consulted in the development process.

Often, the level of committee / community interaction affected the level of project and process satisfaction. This was attributed to two factors. Firstly, the community needs were articulated and secondly, the committee constraints were recognised by the community.

### **COMMITTEE EMPOWERMENT**

In Obanjeni, Mvoveni and Maphophoma, the water committees were more empowered through the development process than they were prior to it. As discussed previously, empowerment was not an absolute concept but a relative concept. Thus, even though relative to Maphophoma, the Obanjeni water committee were not as empowered by the development process - the Obanjeni committee were more empowered than before the process started. For instance, they recognised that there were many elements in the process which they did not control out of choice as they were still learning how to do things by themselves.

When the committee were involved in the process, they became empowered as they were able to learn from the development process procedures which were required to accommodate involvement.

### **OWNERSHIP**

There was a wider perception of ownership in those communities which made both labour and cash contributions towards project capital costs. However, these were one in a number of factors that contributed to ownership. Other factors included, consultation and the level of project satisfaction.

There was a high level of perceptions in project ownership in those communities where the community were satisfied with the project. This was usually associated with the fact that the to be satisfied, the community's needs had to be taken account of.

### **COST-RECOVERY**

The questions as to why the payments were so low was on the whole difficult to address as there was no one community where there was sufficient evidence that payment will or will not continue into the future. It is recommended that further research be undertaken into this specific aspect of water projects in those communities where utilities and services payments have been sustained. This should be researched across sectors such as like crèches, burial societies. Another trend that started to emerge was that communities seemed to spend their own money differently to money which come from Mvula Trust. There is some evidence to suggest that this was the result of the communities perceptions of ownership - ultimately the money from the Mvula was not perceived to be the communities own.

It appeared that in the smaller more consolidated communities, such as Mvoveni and Obanjeni, the level of community payments were higher. This was associated with the increased feelings of accountability that were prevalent in smaller grouping as each individual was recognised as paying or

not paying and their contribution was more significant. Thus, it is recommended that smaller sub-grouping be established to assist with the collection of payments, such as street based water sub-committees.

## **RECOMMENDATIONS**

There were five main recommendations which arose from the research process. It should be reiterated, that these stem from the findings of the communities surveyed and are based on the researchers accumulated knowledge of community water delivery projects. In other words they reflect community interpretations to the evaluation process and not that of the expert's.

### **Involvement of the water committee in the establishment of the feasibility study:**

- The feasibility study process was not understood by communities. If it were explained to them before hand, it would prevent the implementing agent's domination and the resultant dependence of the development process. Most communities were unaware that the budget submitted in the feasibility study was finalised and because of the complex nature of the feasibility study, none of the communities obtained a second opinion. Perhaps, the feasibility process should be changed to one where the committee call for project tender, whom they have to evaluate before they select one. The benefit would be a greater amount of control in the process and the water committee will have to think through what best suits their needs. This may even to bridge gap made by the lack of understanding of the development process, roles and budget requirements. In essence it is important that one or two key committee members need to be involved in the feasibility study.
- Mvula Trust should take some responsibility or offer assistance to communities with the application process before the engineering agent is selected. The assistance should include providing a brief description of the sequential approach utilised; the generalised roles and responsibilities of the various agents, the committee and the community. A better understanding of what is required from the community could be provided in a form of an accessible booklet which covers the experiences of other communities and the ways to deal with problems which commonly arise.
- There needs to be a more critical evaluation of how the water committee was elected and constituted. This will re-dress the current situation in which one or two key individuals dominated the functioning of the committee.
- There also needs to be an evaluation, soon after the implementation of the project, on whether the water committee is able to manage the project, and if this proves to be negative, a mechanism needs to be in place where those skills that are lacking, can be upgraded.
- There needs to be more transparency in the project finances. This is best addressed by financial training needs to be restructure to a more hands on approach which could be linked to the committee being involved in drawing up their own budgets.

### **Definition of the roles and responsibilities of the community, water committee, implementing agent and funding agent in the process:**

- A partnership agreement clearly defines the role, functions and responsibilities of actors in a process. This will ensure the water committee is involvement from the start of the process; that accountability is increased; and community's confusion held over the various development agencies is decreased.

### **There are two feasible strategies to bring about empowerment: targeted training and conflict resolution:**

- The training needs to critically evaluate which candidates receive training; their existing capacity, role and level of authority in the community; the content of the training needs to focus specifically on problem solving and management relating specifically to water project, as opposed general committee functioning. There were valuable lessons to be learnt from the that certain implementing agents empowered the committee through the setting up of their financial systems.
- The establishment of some form of pro-active conflict resolution procedures be established. The clear definition of roles and responsibilities in the terms of contract would to a large extent facilitate the application of these. The conflict resolution strategies need to be facultative, as opposed to prescriptive.

**Management of the post development phase:**

- Some form of control needs to be put in place over the water resources as a sanction on water usage against non-payers. The water committee's clearly do not have the authority to achieve cost recovery. This opens a role for a state authority to aid community cost recovery - as a necessary step to a sustainable water project.
- There is a basis for a 'cost recovery road show' to assist water committees in cost recovery. The communities perception of the government will deliver and the culture of non-payment had to be re-dressed. In Obanjani, the water committee made a suggestion that the implementing agent came and discuss with the community the importance of cost recovery. The implementing agent was seen as an authority. This authority figure appeared to be the motivation behind community payment in Mophela since the community had a low sense of ownership.
- There would seem to be the need to investigate whether it is necessary to provide a post-implementation training course, geared around meter reading and record keeping. More important however, this could be used as a means of re-motivating what would seem to be disintegrating water committees.

**More equality in terms of community access to Mvula Trust and other Water Delivery Agencies:**

- The rate of obtaining development assistance is much higher amongst those communities with greater exposure to knowledge about the various services offered by development agencies. Most communities who are part of the water delivery programme, have either had this prior knowledge or simply heard about the Mvula Trust by chance or through recently established social networks. In order to ensure that every community is given an equal chance to participate, there needs to be a national effort to produce and distribute a user-friendly information booklet which outline both what channels of delivery are available and the stages that are involved in the development process. This would go a long way towards better equip communities to effectively deal with development.

## MAIN FINDINGS - EASTERN CAPE

### RECOMMENDATIONS

There were a number of recommendations which arose from the research process. These reflected the findings and general perceptions in the case studies.

- **Methods to address the low profile of Mvula Trust.** Mvula Trust was unknown to most, if not all, communities prior to the present water project. Given that most communities came to hear about Mvula Trust via another NGO or Development forum, it follows that these organisations should be the targets of an Mvula Trust publicity drive. Despite priority being given to NGOs, Mvula Trust should also attempt to make itself known to the communities themselves. This would involve investigating various mediums, for example a community radio station.
- **Role for Mvula Trust to brief the community before the feasibility process.** Ideally, Mvula Trust needs to make contact with the communities which applied to them before the feasibility study and formal application were made. In this way an Mvula Trust CLO would get the opportunity to explain to the community in detail every aspect of the application process. As such two advantages would emerge. Firstly, a clear understanding of the process would give the water committee a firmer more empowered footing on which to engage the engineer. Secondly, this would expedite the application process, which was in most cases far too long.
- **Clearer definition of the roles and functions of the water committee.** Communities required guidance on the role and functions of the water committee. If Mvula Trust got involved in the community at an earlier stage, they could explain the roles and functions of the water committee prior to the community election of the water committee. Mvula could also ensure that the election procedures were followed and that the members who were elected onto the committee had an appropriate understanding of their role and function. This would lead to fewer committee members leaving the project. Furthermore, Mvula Trust could ensure that the entire community was made well aware of the water committee elections and thereby safeguard that the elections were better attended. Mvula could also make a valuable contribution in the structure of local level management that would be adopted. This was particularly important for the larger projects where more than one tier of representation would be needed (e.g. Qoqodala and Amahleke).
- **Water committee involvement in the decision-making process.** Mvula Trust being involved at an earlier stage would also mean that they could ensure that the water committee was included in implementation decision-making from the start of the project. Thus, the water committee's opinions would be expressed in both the project design, such as the location of the standpipes, and the budget, such as the level of affordability of capital contributions and labour rates. These were both areas in which water committees had very little say. This would ultimately increase the range of decision-making areas in which the water committee and communities could participate in. Consequently this would also have the desired effect of facilitating a greater sense of shared responsibility for the effective implementation of the project.
- **Evaluation of training.** Mvula Trust needs to play a more active role in evaluating the training which would be provided to the water committees by the training agents.
- **Clarification on the Payment of water committee members.** Mvula Trust needed to have a more definite policy with regard to the payment of committee members. The terms of payment were of particular concern, and should therefore be clearly spelt out. It was recommended that the remuneration of committee members should not exceed that of the construction workers.
- **More effective labour management.** Mvula Trust should promote greater intervention with regard to labour management in its various projects. The question of labour rates needs particular attention, guided by more concrete guidelines offered to water committees. In some projects, for example Hlankomo, this had threatened the well being of the project.

- **Definition of the parameters of the water committees decision making.** The decision-making ambit of the water committees must be clarified, particularly in relation to the Mvula Trust CLO and the implementing agents. In a number of cases, it was not quite clear who exactly made the decisions, but it was evident that the effective contribution of the water committee was nil.
- **Definition of the level of intervention of the Mvula CLO.** In relation to this, the Mvula Trust CLOs needed to be made more aware of their authority and parameters of intervention.
- **Accountability to operations and maintenance from the start of the project.** Mvula Trust should ensure that the question of operations and maintenance was broached right at the beginning of the project, as this was found to be the most effective way to make the community accountable for cost recovery. If the community were made aware of the conditions of the subsidy i.e. that they would have to shoulder the costs for sustaining the facility. Mvula should oversee the selection of the operations and maintenance team and ensure that they were adequately trained before the project was operational.
- **Past experiences of communities needs to be documented to inform the decisions.** The water committee ought to be furnished with information on which to make decisions, specifically round cost recovery. For example, evidence suggests that for operations and maintenance, the use of bulk payments were preferable to monthly payment.

## **C) FINANCIAL AND MANAGEMENT ASPECTS - PALMER DEVELOPMENT GROUP**

### **INTRODUCTION**

This report is a brief summary of the findings of the financial and management aspects of the evaluation of Mvula Trust. The work on these aspects was done as part of a broader evaluation process which included inputs on technical and social aspects, all of which has been drawn together in a final report prepared by the evaluation management team.

The evaluation process has included a look at three other groups involved with rural water supply and sanitation in South Africa: the Department of Water Affairs and Forestry, Umgeni Water, and two Non-Government Organisations. However, the emphasis here is on Mvula Trust itself.

### **METHODOLOGY**

The work for this part of the evaluation has been based on a interviews with 61 people who have been involved with the Mvula's water and sanitation project development programme or with the programmes used as context for the evaluation. The majority of the people have been directly related to projects.

A review of literature, particularly that relating to policy and the specific programmes, programmes, has also been carried out.

### **KEY FINDINGS**

#### **POLICY POSITION**

Overall Mvula's the policy position is believed to be sound but there are specific aspects - raised below - which need debate.

#### **SELECTION OF PROJECTS**

Mvula Trust has used a demand based approach to selecting projects: communities have to apply and their willingness to pay is a key criterion for selection. This approach has worked reasonably well in the past and Mvula continue to receive more applications than they can fund. However, with the closer relationship to the Department of Water Affairs and to local government, the planning priorities of these organisations will have to be taken into consideration and this will dilute the purely demand driven approach to project selection.

A further issue which is becoming important is **project size**: experience has indicated that the community management approach which Mvula promotes is more suited to smaller projects, generally serving less than 5 000 people. Further, it is notable that the projects which Mvula selects currently are not necessarily new "greenfields" projects and often connect to some other existing infrastructure or use other funds. In future it would seem preferable for Mvula to concentrate on "greenfields" type projects as far as possible.

#### **LOCAL INSTITUTIONAL ARRANGEMENTS**

When Mvula Trust was established, in 1993, there was no local government existing in rural areas. Now, in mid-1996, local government is established throughout the country. On the positive side this brings new opportunities as local government can take responsibility for managing the infrastructure once a project has been complete. However, the need to involve local councils in the negotiations over projects in their areas of jurisdiction also introduces complexity.

There is also a new opportunity for Mvula here: local governments in rural areas have little capacity and Mvula can assist them build capacity, particularly with regard to the management of water and sanitation services.

## **GRANT FINANCE MECHANISM**

Mvula applies a R170 per capita limit to its grant finance for water supply projects, with an adjustment upwards for small projects. Looked at in national perspective, this limit means that their market is in the bottom 10% of projects, in terms of cost (average costs for the country are of the order of R500 per capita). The fact that many of the projects which Mvula funds are not complete "greenfields" projects does expand the "market" with this subsidy limit.

While the concept of a per capita subsidy limit is supported, as this promotes efficiency both in terms of project cost and settlement, it is held that the amount needs to be reviewed.

## **COMMUNITY CONTRIBUTION**

The requirement for a community contribution of 8% of the capital cost has worked well and is strongly supported by the people involved in implementing Mvula projects primarily because it plays such an important part in building community support and thus promoting the sustainability of projects. However, there are difficulties here in that this is incompatible with projects implemented under other programmes. There is also misunderstanding by communities as to how this relates to the contribution required for operation and maintenance. These issues need to be dealt with but the principle of a community contribution should not be changed.

## **LEVEL OF SERVICE**

The Mvula policy is targeted at basic needs (25 litres per capita per day within 200 meters of the dwelling). However, there is a strong demand in rural areas for yard connections and such connections will be made in the future. (On at least 4 of the 20 Mvula case studies yard connections are being made with the permission of the water committee. On one project everyone has yard connections, with the capital costs affordable as a second donor has contributed funds).

Mvula policy needs to be revised to incorporate the demand for yard connections.

## **MVULA TRUST MANAGEMENT**

Considering the short time that it has been in business, Mvula established an effectively functioning organisation which is well managed and able to deal with internal difficulties. But there are aspects which need attention, some of which are dealt with briefly below.

## **RELATIONSHIP BETWEEN HEAD OFFICE AND REGIONAL OFFICES**

The success of Mvula's operations relies substantially on having a presence "on the ground" close to projects and thus the successful functioning of five regional offices is critical to the success of the programme. There have been problems here in the past, generally associated management of regional offices, but these have been dealt with by Mvula's directors. However, the regional offices typically remain under-resourced and often regional staff do not feel adequately supported by head office.

It is proposed in this report that greater de-centralisation of responsibility to regional offices is important.

## **OVERHEADS**

In the financial year ending March 1996, Mvula's operating costs were R7.1 million, equal to 23% of disbursements for the year. It is recognised by the Trust that this figure is high. However, at the same time it is evident that the capacity of regional offices needs to be increased if successful projects are to be implemented. This is a difficult situation to deal with and will require a combination of improved efficiency - particularly in head office - decentralisation of functions, and greater involvement of training agents on projects.

## **INFORMATION SYSTEMS**

Mvula has set up an excellent project information system which can continue to be modified and improved. A key focus here should be to allow better access to the information by regional offices. It is also considered that better management reporting could be produced by the system.

## **DISBURSEMENTS**

The disbursements track record of the Trust is not good but this has been recognised and new systems have been put in place which are resulting in greatly shortened times for making disbursements. The system is centralised, with much of the control in head office and there may be room here for greater efficiency through increased delegation of authority.

## **PROGRAMME MANAGEMENT**

The management of the water and sanitation project development programme depends on an interaction between head office and the regional office, as the process passes through application, appraisal, approval, contract preparation and implementation. The regional offices are primarily responsible for the project appraisal and project implementation while head office deals with the approval process and contract preparation. There were early difficulties, largely associated with the need for Mvula to get into "delivery" mode quickly. Thus too many applications were accepted for appraisal and some projects were not appraised properly. However, these problems have largely been ironed out and the systems generally work well. The time taken to process applications through to approval stage has recently increased due to the need to interact with the provincial planning process but this interaction is a key part of the new procedures and can not be bypassed.

## **ARRANGEMENTS AT PROJECT LEVEL**

Since 1991 there has been a new approach to rural projects in South Africa, with community involvement a central part of this. Thus the way projects are implemented under the Mvula programme has much in common with other programmes. However, there are certain key differences which are discussed below.

## **CENTRAL ROLE OF COMMUNITY**

The fact that the community are responsible for the financial management of the project and directly appoint both implementing and training agents gives them much more responsibility than is the case with other programmes. They need to handle money and make payments to contractors and consultants.

This approach has its difficulties in that local people are not familiar with dealing with public money. However, in general water committees have demonstrated an extra-ordinary degree of responsibility and there has been little evidence of funds being mis-appropriated.

Overall the approach is held to be a good one as it promotes empowerment, develops responsibility and allows people to gain essential financial management skills. It also closely mirrors arrangements which are likely to be used in the future with local councils.

## **ARRANGEMENTS WITH IAS**

The implementing agents (IAs) are central to the project: they do the feasibility studies and designs, advise the community and manage the project on their behalf. This is a difficult task when compared to conventional engineering work and many IAs do not feel comfortable doing it and would prefer other work. However, most have done the job with reasonable success to date. In order to keep them involved and motivated in the future, better communication with IAs is essential. It may also be possible to reduce the risk to which they are exposed.

## **TRAINING AND CAPACITY BUILDING**

Training is carried out by Training Agents (TAs) who are generally private firms contracted to the water committees. Here too there have been difficulties in the past, with training being inadequate or badly timed. However, procedures are improving and there is a recognition that training must start early and be carried out to meet specific milestones. The Training Agents have a key role to play in the future and it is held that their input needs to be expanded so that they are in a position to give more support to communities. This will have the effect of reducing the support responsibilities of Mvula staff.

## **COMMUNICATION**

As with all human activity, good communication is essential. More contact is needed between Mvula field staff, IAs, TAs and communities. Within the community there is also need for better contact between individuals and the committee, a topic which is the subject of other evaluation team reports.

## **OPERATION AND MAINTENANCE OF SERVICES**

There are not sufficient complete Mvula projects to enable the O&M activities to be evaluated. However, it is held that Mvula needs to increase its level of interaction with the community during the post-project stage with a view to ensuring that ongoing management is done successfully.

## **CLOSURE**

Overall Mvula has achieved remarkable success with its rural water supply programme. There have been problems but the organisation has been able to adapt to deal with these.

Finally, it must also be acknowledged that Mvula has really only been the facilitator of success; it is the communities themselves, assisted by competent professionals working with them, where much of the credit is due. They should be proud.

## **D) TECHNICAL ASPECTS - PETER MORGAN**

### **SUMMARY OF FINDINGS AND RECOMMENDATIONS**

1. The rural population of South Africa has a desperate need for improved water supplies and sanitation. It has been estimated that 21 million people do not have access to adequate sanitation and an estimated 12 million people do not have access to potable water. 75% of existing water schemes in the rural areas (former Homelands) are thought to be out of order.
2. The Mvula Trust was established to facilitate the provision of water and sanitation services in South Africa. Initially, provided grant funds by its founders, the Trust now operates largely with funds The Trust operate on a generous budget of about R100m a year (US\$1.00 = R ). 60% of this coming from the Department of Water Affairs and Forestry.
3. In order to gain the maximum involvement of the community the proposals for building new water (and sanitation) schemes are accepted directly from rural water committees based in the rural areas. The committees get assistance in proposal preparation from the Trust and from local consultants. These proposals are examined by regional and then central offices of the Trust.
4. Once a proposal is accepted, the funds are transferred into bank accounts operated by the water committees. The committee appoints a consultant and contractor to undertake the design and construction work. Between 15% and 35% of the funding for any scheme go the consultants.
5. The Trust is prepared to spend up to R170p/p on the provision of a water supply with the beneficiaries raising 8% of total capital costs as their contribution to the capital investment.
6. For family sanitation the Trust provides a subsidy of R700 per family VIP latrine. The family contribution is about 10%. A subsidy of R1200 per seat is provided for a institutional latrine.
7. Since 1993 a total of 151 projects have been funded. 21 of these are sanitation projects, 8 are training projects and the remaining 122 are water projects. Most Mvula funded water schemes are small to medium sized projects each serving between 1000 - 5000 persons.
8. Once the scheme is finished a completion certificate is signed and the ownership of the water supply is transferred to the users (usually a water committee) and a legal document is signed to that effect. The Mvula Trust expects the beneficiaries to cover the full cost of maintaining the project in accordance with government policy.
9. The water committee thus signs a formal agreement with the Trust accepting official responsibility for funding and undertaking the maintenance of the scheme.
10. An Operations and Maintenance Performance Incentive is included in addition to project capital costs by the Trust for water projects and institutional sanitation. 2% of actual project capital is deposited into the community maintenance account after six months of effective maintenance has been achieved and a further 3% after two years of effective maintenance has been achieved. No project so far been operational for long enough has achieved the second level.
11. So far about 10 water projects have been handed over to the communities with several more close to this stage. The great bulk of schemes are still in the planning or construction phase.

## WATER TECHNOLOGY

12. All the schemes being financed by Mvula are piped schemes in which water is fed from a source to large reservoir then reticulated to a series of standposts. The "piped water" technology is well known in South Africa, works well and is entirely appropriate for the task of providing water to comparatively densely populated settlements. The technology is discussed in the main body of the report.
13. Boreholes fitted with diesel engines are the most common sources of water followed by borehole water pumped by electric pumps. In the Northern Region 66% of schemes use a borehole and diesel pump, with 12% using a borehole and electric pump. 10% use a dam or weir and a gravity fed system with 3% using a dam/weir and diesel driven system.
14. In the more southerly KwaZulu/Natal region most systems take their water from dams and weirs with less from boreholes. Gravity schemes are also used, more in the Eastern Cape and KwaZulu Natal regions. 90% of the water schemes supervised from the Kokstad office are gravity schemes with the water source often being a spring. Some schemes take their water from existing bulk supplies formerly built by government. Others used a combination of these various methods.
15. Gravity schemes are the most sustainable, since they have a few running costs and are simple to maintain. Monthly charges are small and therefore revenue for O & M is more easily collected from the beneficiaries. Gravity schemes should be chosen if they are technically feasible, even where capital costs are higher because of increased lengths of pipeline needed to convey water from the source to the central reservoir.
16. Borehole pumps fitted with electric engines are the next most sustainable technology, since these are also cheaper and easier to run than diesel engines. The additional cost of leading electricity to the pump site should not necessarily deter from an electric installation. Only where the electricity supply is far away should a diesel engine be fitted. For electric pumps, switching should be manual or by simple time clock.
17. A great variety of hand pumps have also been used in South Africa, although the hand pump is thought not to be popular with the users, and is commonly dismissed as inappropriate by most water engineers and consultants. Simple hand pumps have been designed at the backyard level and many of these can be seen installed on family owned property, especially in the northern region. The Afridev hand pump has been used in several schemes and a South African equivalent of the India MK II called the President Pump has been manufactured locally. It would be wise for South Africa to develop its own user friendly hand pump, possibly based on the India MK III for use in the margin areas where the use of piped supplies is too expensive. Namibia has taken this route and have chosen "user friendly" models of the Zimbabwe Bush Pump for ease of maintenance.
18. Windmills have been used widely in homesteads and many can be seen scattered around the former Homelands in South Africa, but many are broken down due to lack of maintenance but their potential for serving communities is limited. Windmills are not cheap to buy (R30 000 - R50 000) and must be built in combination with large storage tanks which increase the cost of the whole unit. A new South African innovation which has much merit was seen at Ngqele (fitted 1994). This windmill rotated on a vertical axis and has a series of cone shaped vanes. It was thought to be resistant to damage by high winds and is relatively cheap (R10 000). This design deserves much further investigation.
19. Large numbers of rainwater catchment tanks were seen especially in the eastern cape and KwaZulu Natal areas. These had been erected entirely by the owners families at their own expense. The fact that such large numbers had been put in at the users expense is a good indicator that the technology is viable and appropriate. This method of providing water needs much further investigation.

20. In the case of electric pumps powered by photovoltaic systems, the main problem in South Africa seems to be one of theft. The initial cost is high, and even with this reportedly simple system maintenance is required - usually cleaning the panels. However South Africa must continue to expand its expertise in this method of providing power to electric pumps.
21. There is unparalleled expertise in the provision of small, medium and large piped schemes and almost every project encountered is based on this level of service. The writer feels that there is little need to change this level of service because it is well known and well established in the country. Moreover it is the best method of delivery water to settlements which are quite densely populated by most African standards.
22. Those schemes which have the greatest chance of surviving the test of time are those which are simplest and depend least on mechanical pumping. Gravity schemes should therefore be chosen as a priority even if they cost more per head to install than motorised schemes. The widespread use of rainwater catchment systems is probably underestimated in South Africa and this concept should clearly be promoted more widely where it has practical application in the higher rainfall areas.

### **SANITATION TECHNOLOGY**

23. The sanitation technology of choice is the VIP latrine, Many different types have been designed for family use and at least 2 standardised drawings have been produced. Multi-compartmental institutional latrines are also being built. Currently a subsidy of R700 is provided for a family latrine and R1200 per seat for a institutional latrine.
24. Both family and institutional latrine designs need careful assessing, particularly the latter, which does not follow the design principles of the VIP latrines.
25. Large numbers of VIP latrines are being built in South Africa, but observations made in the field lead the writer to conclude that simple as they are, the basic design principles of the VIP latrines need further explanation in South Africa. Vent pipes are invariably small and unscreened, doors, when fitted not self closing. In the multi-compartment school unit, the pit is not subdivided and vent pipes are fitted at either end of the pit through a bend in the pipe. It would be fitting for a new technical handbook to be written and widely distributed.
26. Efforts should be made to lower the cost of latrines, particularly the family unit. The most cost effective design is the square (doorless) spiral unit fitted with an internal bench seat and masonry vent pipe. Currently this is not one of the two basic designs shown in the Mvula workshop report. More work is required in designing an effective low cost masonry vent.
27. Efforts should be made to increase the proportion of the total paid for b the beneficiary and reduce the costs to the donor. Constancy fees offered to contractors and committees are unnecessary for such a simple technology.

### **SUSTAINABILITY & OPERATIONS AND MAINTENANCE**

28. The challenge the Mvula Trust faces is not just the establishment of new water schemes serving large numbers of people. The far more difficult challenge for Mvula and for South Africa as a whole is to ensure that the completed schemes remain in working condition. The question of prolonged maintenance of these schemes is the single biggest issue affecting the long term success of these water schemes.
29. Currently there very few schemes that have entered the phase where O & M costs are being borne by the beneficiaries. The evidence so far available suggest that whilst many communities are initially willing to contribute to O & M costs, and even prepared to sign documents to this effect, that in practice this willingness fades away with time.
30. In several cases where the schemes are close to completion, or where water was already being consumed prior to final commissioning, the water committees had not yet worked out

precise charges and methods of collecting revenue. The current level of expertise in most committees is not sufficient for them to confidently proceed along the O & M path.

31. Willingness to pay may be related to many factors including actual monthly charge which varies from R1/household/month up to R20/h/m. Most schemes charge about R5-6/h/m. Clearly the simpler the scheme the lower the charge. For gravity schemes which require no diesel or electric power the costs are lowest. Diesel schemes are more expensive to run and maintain.
32. Beneficiaries of new Mvula schemes may also be less willing to pay their dues if existing bulk schemes, where the beneficiaries do not pay, are operating nearby.
33. Disputes between the water committees and Transitional Local Councils may also cause confusion in beneficiary communities, leading to a reluctance to pay.
34. If the consumers seem unwilling to pay, for various reasons, alternative methods of collecting revenue may also need to be considered, such as vending water or operating kiosks of some sort.
35. If the currently perceived method of maintaining the water system fails, the government may be forced to step in to rescue the schemes, pose immense logistical problems as well as a considerable financial burden for the government.
36. Therefore every effort should be made to examine this problem in far more detail at the earliest possible time.
37. Clearly the communities need a greater input from outside, not necessarily in the form of cash, but with additional training and mobilisation as part of the development process.
38. The Mvula Trust should more thoroughly assist the committee to prepare for its new role long before any scheme is finished. This process has been referred to as "workshopping the committee."
39. The Trust should seriously consider re-examining the schemes that are operational and ensuring that O & M practices are being carried out. This may mean that the Trust must remain linked with the scheme for long enough to encourage an ethos of payment so that it becomes entrenched in the communities way of life. This could be for a period of 2 - 3 years.
40. One thing that became very apparent to the writer during the tour was the considerable thought and concern that was being expressed on the topic of cost recovery and sustainability by most of the Mvula staff in the field. The writer heard many well reasoned and valid points of view expressed, many of the coming from long experience. It would be wise for Mvula to hold a workshop, or a series of workshops, where its staff are given the opportunity to air their views on this very important aspect of Mvula's work.

#### **FUTURE ROLE OF THE TRUST AND OTHER NGO'S**

41. It is clear that NGO's can play a very active and positive role in increasing the access of rural communities to improved water supplies and sanitation.
42. Whilst several NGO's are active in the sector, they do not appear to co-ordinate their activities, and they are not as visible as the Mvula Trust, which has come very close to government and plays an active part in formulating policy. It would probably be wise for the Mvula Trust to encourage a dialogue with other NGO's working in the sector so that working experiences can be exchanged.
43. It is clear the Mvula Trust has made a considerable impact on the development of the water supply and sanitation sector in the new South Africa, and it is hoped that this effort will be allowed to continue and grow.



## ANNEX 6

| 0  | Title | First Name | Surname  | Role                            | COMPANY  | POSITION  | POSTAL ADDRESS   | STREET ADDRESS   | TEL NO                               | FAX NO                       | EMAIL                  |
|----|-------|------------|----------|---------------------------------|--|---|--|--|--------------------------------------|------------------------------|------------------------|
| 18 | Mr    | Trueman    | Goba     | IA                              | GMA  | Associate Director                                      | P O Box 32439, Braamfontein, 2017  | 4th Floor, Field North, 23 De Beer Street, Braamfontein, 2001                  | (011) 403 3533                       | (011) 403 2453               |                        |
| 19 | Mr    | Andrew     | Green    | NGO                             | Rural Development Services Network                       | Acting Co-ordinator                                     | PO Box 9558, Johannesburg 2000   | 12th Floor, Longsbank Building, 187 Bree Street, Johannesburg, 2001            | (011) 833 4080<br>(011) 782 4200(H)  | (011) 833 4139               | agreen@iafrica.com     |
| 20 | Ms    | Gabusile   | Gumbi    | Mvula                           | Mvula Trust  | Communication & Liaison Manager                         | P O Box 32351, Braamfontein, 2017  | Mvula Trust, 12th Floor, Braamfontein Centre, 23 Jorrison Street, Braamfontein | 011 403-3425 X124                    | (011) 403 1260               | gabusile@mvula.co.za   |
| 21 | Mr    | Zakhele    | Gumede   | Mvula                           | Mvula Trust  | Director Finance and Administration                     | Mvula Trust, 12th Floor, Braamfontein Centre, 23 Jorrison Street, Braamfontein   | P O Box 32351, Braamfontein, 2017  | 011 403-3424 X136                    | (011) 403 1260               | zakhele@mvula.co.za    |
| 22 | Ms    | Clare      | Hansmann | Evaluator                       | DRA/LAPC   |   | P O Box 37656, Overport, 4067  | 305 Musgrave Rd, Strathmore Park, KwaZulu/Natal                                | (031) 202 8434                       | (031) 202 8437               | akidra@iafrica.com     |
| 23 | Mr    | Simon      | Hartley  | gov - nat                       | DWAF - CWSS  | Sanitation Coordinator                                  | Private Bag X313, Pretoria, 0001   | 185 Schoeman Street, Residensie Building, Pretoria, 0001                       | (012) 299-3456                       | (012) 324 3659               | TBE@dwa-pta.pwv.gov.za |
| 24 | Dr    | Dieter     | Heinsohn | Evaluator                       | ACER (Africa) Consultants Pty Ltd                        | Managing Director                                       | P O Box 503, Mtunzini, 3867, KZN   | 48 Hely Hutchinson Street, Mtunzini, 3867, KZN                                 | (0353) 402715,<br>cell: 083 626-5772 | (0353) 402232                | rdh@iafrica.com        |
| 25 | Mr    | Richard    | Holden   | Mvula                           | Mvula Trust  | Sanitation Coordinator                                  | P O Box 32351, Braamfontein, 2017  | 12th Floor, Braamfontein Centre, 23 Jorrison Street, Braamfontein              | 011 403-3425<br>011 403-7616         | 011 403 1260<br>011 403-7549 | richard@mvula.co.za    |
| 26 | Mr    | Robin      | Husband  | IA - NGO                        | Thuthuka   | Director  | P O Box 159, Mtunzini, 3867  | 15 Linzie Road, Greyville, Durban  | (0353) 401-216                       | (0353) 401 443               |                        |
| 27 | Mr    | Peter      | Ikin     | Mvula                           | Mvula Trust  | Project Officer   | P O Box 32351, Braamfontein, 2017<br>266 Wessels Street, Arcadia, 0083, Pretoria | 12th Floor, Braamfontein Centre, 23 Jorrison Street, Braamfontein              | 011 403-3425 X107                    | (011) 403 1260               | peter@mvula.co.za      |
| 28 | Mr    | Rogers     | Jack     | gov - nat EC                    | DWAF   | Provincial Programme Manager                            | PO Box X7485, King Williams Town, 5600   |  | 0433 33011                           | 0433 21737                   |                        |
| 29 | Mr    | Barry M    | Jackson  | Expert                          | DBSA   | Associate Director<br>Centre for Policy and Information | P O Box 1234, Halfway House, Midrand, 1685                                       | 1685 Headway Hill, Midrand   | (011) 313 3686<br>(011) 444 3478 (H) | (011) 313 3533               | barry@dbsa.org         |
| 30 | Mr    | Paul E.N.  | Jackson  | Trustee                         | DBSA   | Divisional Manager,<br>Policy and Information Centre    | PO Box 1234, Halfway House, Midrand, 1685  | 1685 Headway Hill, Midrand   | (011) 313 3592<br>(011) 444 3478 (H) | (011) 313 3086               |                        |
| 31 | Mr    | Ken        | Jeenes   | Mvula - Mpum                    | Mvula Trust  | Regional Coordinator,<br>Mpumalanga                     | PO Box 3023, Mpumalanga 1200   | Room 206, Momentum Building, Brown Street, Nelspruit                           | 013 755 1726<br>013 752 3513         | 013 752 7780                 | nelsp@mvula.co.za      |
| 32 | Ms    | Mukiami    | Kariuki  | Internat                        | UNDP-World Bank<br>WSS Program -<br>East/Southern Africa | Project Officer   | PO Box 30577, Nairobi, Kenya   | World Bank Office, Nairobi   | 09-254-2-714141                      | 09-254-2-720408              | mkariuki@worldbank.org |
| 33 | Mr    | Andrew     | Kennedy  | Evaluator                       | Consultant for ACER                                      |   | P O Box 503, Mtunzini, 3867, KZN   | 48 Hely Hutchinson Street, Mtunzini, 3867, KZN                                 | 0353-402715<br>0353-404022           | 0353-402232                  | rdh@iafrica.com        |
| 34 | Ms    | Tlamele    | Kgositau | Mvula                           | Mvula Trust  | Projects Administration<br>Manager                      | P O Box 32351, Braamfontein, 2017  | 12th Floor, Braamfontein Centre, 23 Jorrison Street, Braamfontein              | (011) 403 4325                       | (011) 403 1260               | tlamele@mvula.co.za    |
| 35 | Mrs   | Tshepo     | Khumbane | Trustee -<br>Development Agency | Environmental &<br>Development Agency                    | Associate Director                                      | P O Box 15840, Doornfontein  | 5th Floor, Hallmark Building, 54   | (011)402-5161                        | (011)402-0298                |                        |

| 0  | Title | First Name   | Surname         | Role  | COMPANY                            | POSITION                                       | POSTAL ADDRESS                               | STREET ADDRESS   | TEL NO   | FAX NO                              | EMAIL                     |
|----|-------|--------------|-----------------|---|------------------------------------|--|--|--|--|-------------------------------------|---------------------------|
| 36 | Mr    | John         | Kings           | NGO   | Rural Development Services Network | Acting Co-ordinator                            | PO Box 9558, Johannesburg 2000               | 12th Floor, Longbank Building, 187 Bree Street, Johannesburg, 2001         | (011) 833 4080<br>(011) 782 4200(H)                  | (011) 833 4139                      | agreen@iafrica.com        |
| 37 | Mr    | Horst        | Kleinschmidt    | Trustee                                     | Kagiso Trust                       | Chairperson Kagiso Trust<br>Director Executive | P O Box 1878, Johannesburg, 2000             | 18th Floor, Total House, 209 Smit Street, Braamfontein, 2001               | (011)403 6319  | (011)403 1941<br>(011)4031940       |                           |
| 38 | Ms    | Janel        | Love            | Parliament                                  | NACAWF                             | M.P.   | Parliament of SA, PO Box 15, Cape Town, 8000 |  | (021) 403 3044                                       | (021) 403 2074                      |                           |
| 39 | Mrs   | Maris-Stella | Mabitje-Sexwale | Gov - Local/Prov                            | Environmental Affairs & Tourism    | MEC  | Private Bag X9488, Pietersburg, 0700         |  | (0152) 295-9300 OR<br>7025                           | (0152) 295-5819                     |                           |
| 40 | Ms    | Rejoice      | Mabudafhasi     | Trustee - Community                         | Parliament                         | Vice Chairperson - SC                          | P O Box 15, Cape Town, 8000                  | New Wing, Room E-446, Cape Town, 8001                                      | (021) 403 3114<br>01522 671294<br>01522 295 7025 / 6 | (021) 403 2072                      |                           |
| 41 | Mr    | Seetella     | Makhetha        | Expert                                      | Makhetha Dev. Consultant           | Director                                       | P O Box 875, Cramerview                      | 16 Tongani Street, Bryanston Ext. 45                                       | (011) 462 2545<br>Cell:0824413308 (2060)             | (011) 462 2688                      |                           |
| 42 | Mr    | Mike         | Makhura         | Mvula                                       | Mvula Trust                        | Monitoring and Evaluations Manager             | P O Box 32351, Braamfontein, 2017            | 12th Floor, Braamfontein Centre, 23 Jorison Street, Braamfontein           | 011 403-3425 X135                                    | (011) 403 1260                      | mike@mvula.co.za          |
| 43 | Mr    | Sefako       | Mamabolo        | Implementation                              | DWAF                               | RDP Coordinator                                | Private Bag X313, Pretoria 0001              | 185 Schoeman Street, Residensie Building, Pretoria 0001                    | 012 299-3004   | 012 324-3659                        |                           |
| 44 | Mr    | Ebenezer     | Moahloli        | Trustee - Community                         | Goba Moahloli & Associates         | Director                                       | P O Box 471, Umtata, Transkei                | 1st Floor, Fort Gale Shopping Centre, Office 8,9,10, Sisson Street, Umtata | (0471) 310149<br>or 150                              | (0471)310149<br>(0471) 26794 (H)    |                           |
| 45 | Mrs   | Maria        | Mokoena         | Community                                   | Northern Transvaal Water Board     | Community Development Officer                  | Private Bag X104, Haenertsburg, 0730         |  | (0152)764200<br>(015276) 764201                      | (0152) 764200                       |                           |
| 46 | Mr    | Brian        | Monteath        | Gov - nat - Finance (Replacing Maria Ramos) | Department of Housing              |  | PO Box 644, Pretoria 0001                    | 240 Walker Street, Cnr Walker and Troy Streets, Sunnyside                  | (012) 341-2147                                       | (012) 341-8511<br>Attn Room 120     |                           |
| 47 | Dr    | Peter        | Morgan          | Evaluator                                   | Mvuramanzi Trust                   | Evaluation Team                                | 215 Second Street Ext.                       | P O Box A547, Avondale, Harare   | +263/4/335172  | 263/4/335172                        | morgan@harare.iafrica.com |
| 48 | Mr    | Helgardt     | Muller          | gov - local/prov O&M Mpumalanga             | DWAF                               | Mpumalanga                                     | Private Bag X11259, Nelspruit, 1200          |  | (01375) 24183  | (01375) 24185                       |                           |
| 49 | Mr    | Mike         | Muller          | Trustee                                     | DWAF                               | Deputy Director General                        | Private Bag X313, Pretoria, 0001             | 185 Schoeman Street, Residensie Building, Pretoria, 0001                   | (012)299 3312  | (012)326 2630                       | XBA@dwafpta.pwv.gov.za    |
| 50 | Mr    | Andrew       | Murray          | Evaluator                                   | Data Research Centre (for L&APC)   | Local Secondment - Practitioner                | P O Box 37656, Overport, 4067                | 305 Musgrave Rd, Strathmore Park, KwaZulu/Natal                            | h:0404 22138<br>alt: 045 962-1154                    | (031) 202 8437<br>home:045 962-1220 | akdra@iafrica.com         |
| 51 | Mr    | Mandi        | Mzimba          | gov - nat - Health                          | Department of Health               | Deputy Director Systems Development            | Privat Bag X828, Pretoria, 0001              | Room 2714, Civitas Building, Struben St. Pretoria                          | (012) 312-0753                                       | (012) 325-8721                      |                           |
| 52 | Ms    | Mankone      | Ntsaba          | IA  | CSIR                               | Envirotech                                     | PO Box 395, Pretoria, Building 16            |  | (012) 841-2341                                       | (012) 841-3954                      | mvzyi@csir.co.za          |
| 53 | Mr    | Dzunani      | Nyathi          | Mvula - Mpum                                | Mvula Trust                        | CLO - Mpumalanga                               | PO Box 3023, Nelspruit, 1200                 | Room 206, Momentum Building, Brown Street, Nelspruit                       | 013 755-1726<br>013 752-3513<br>cell.083 227-5574    | 013 752-7780                        | nelp@mvula.co.za          |

## ANNEX 6

| 0  | Title | First Name | Surname      | Role                | COMPANY                            | POSITION                                       | POSTAL ADDRESS                                     | STREET ADDRESS  | TEL NO                              | FAX NO          | EMAIL                     |
|----|-------|------------|--------------|---------------------|------------------------------------|--|--|---|-------------------------------------|-----------------|---------------------------|
| 54 | Mr    | Piet       | Odendaal     | gov - nat - WRC     | WRC                                | Director                                       | P O Box 824, Pretoria, 0001                        | Room 301, 3rd Floor, Watco Building, Cnr 18th Avenue, Fredrikus Street, Rietfontein | (012) 330 0340                      | (012) 331 2565  |                           |
| 55 | Mr    | Ian        | Palmer       | Evaluator           | Palmer Dev. Group                  | Research & Management Support.                 | PO Box 53123, Kenilworth, 7745.                    | 254 Main Road, Kenilworth, Cape Town  | (021) 797 3660                      | (021) 797 3671  | pdg@iaccess.za            |
| 56 | Mr    | Elias B.   | Phiri        | NGO                 | Mpumalanga Rural Development Forum | MANCO Member                                   | PO Box 1301, Nelspruit, 1200                       |   | (013) 752 8249<br>(01375) 942613(H) | (013) 753-3550  |                           |
| 57 | Mr    | Martin     | Ralf         | Mvula               | Mvula Trust                        | Project Director                               | P O Box 32351, Braamfontein, 2017                  | 12th Floor, Braamfontein Centre, 23 Jorison Street, Braamfontein                    | 011 403-3425 X123                   | (011) 403 1260  | martin@mvula.co.za        |
| 58 | Mr    | Thuso      | Ramaema      | gov - nat - Health  | Dept. of Health                    | Director Environmental Health                  | Private Bag X828, Pretoria 0001                    | Room 1325, 13th Floor, Hallmark Building, Cnr Andries and Proes Street, Pretoria    | (012) 312 0260                      | (012) 312-0376  |                           |
| 59 | Mr    | Petrus     | Ramashaba    | TA                  | In Touch                           | Manager  | P O Box 3619, Tzaneen, 0850                        |   | 0152-3071825                        | 0152-3075609    |                           |
| 60 | Mr    | Antony     | Rayment      | Mvula               | Mvula Trust                        | Financial - Loan Finance                       |  | 12th Floor, Braamfontein Centre, 23 Jorison Street, Braamfontein                    | cell:083 2900520                    | 011 447-2347    | antony@mvula.co.za        |
| 61 | Mr    | Deon       | Richter      | Trustee             | DBSA                               | Chairperson - SC Policy and Information Centre | P O Box 1234, Halfway House, MIDRAND               | 1685 Headway Hill, Midrand  | (011) 313-3911<br>cell:0825014285   | (011) 313-3389  |                           |
| 62 | Mr    | Sybille    | Roeh         | EU                  | EU                                 | Project Officer Water                          | P O Box 945, Groenkloof, 0027                      | No. 2 Greenpark Estate, 27 George Storrar Driver, Groenkloof, 0189                  | (012) 464 319                       | (012) 469 923   |                           |
| 63 | Ms    | Kate       | Roper        | Mvula - Pietersburg | Mvula - Pietersburg                | Regional Coordinator Northern Province         | PO Box 4538, Pietersburg, 0700                     | 17b Landros Mare Street, Pietersburg  | 0152 291 2405<br>0152 291 5595      | 0152 291 1713   | pietersburg@mvula.co.za   |
| 64 | Mr    | Gunnar     | Schultzberg  | Evaluator           | Consultant                         | Evaluation Team Leader                         | P O Box 30600, C/o Swedish Embassy, Nairobi, Kenya | P O Box 30600, C/o Swedish Embassy, Nairobi, Kenya                                  | +254/2/520584                       | 09254/2/522621) | GunnarS@KEN.HEALTHNET.org |
| 65 | Mr    | Aki        | Stavrou      | Evaluator           | Data Research Centre (for L&APC)   | Managing Director                              | P O Box 37656, Overport, 4067                      | 305 Musgrave Rd, Strathmore Park, KwaZulu/Natal                                     | (031) 202 8434<br>cell: 08277 17365 | (031) 202 8437  | akidra@iafrica.com        |
| 66 | Ms    | Odo        | van der Kemp | Internat            | EU                                 | Rural Development - Project Officer            | P O Box 945, Groenkloof, 0027                      | No. 2 Greenpark Estate, 27 George Storrar Driver, Groenkloof, 0189                  | (012) 464 319                       | (012) 469 923   |                           |
| 67 | Mr    | Wantens    | Yves         | TA - NGO            | Thuthuka                           | Organisational Development Manager             | P O Box 1801, Pietermaritzburg, 3200               | 15 Linzi Rd, Stamford Hill, Durban  | 031 309-2777                        | 031 309-2821    |                           |
| 68 | Ms    | Agnes      | Zuma         | gov-nat-KZN         | DWAF                               | Senior Organisation Development Officer        | PO Box 1018, Durban 4000                           |   | 031 306 1367                        | 031 304-9546    |                           |

**ANNEX 7**

**SUMMARY OF FINANCIAL AND PROJECT INFORMATION ON THE MVULA TRUST**

**A) PROJECT APPROVALS AND DISBURSEMENTS BY SOURCE OF FUNDS**  
(R million by fiscal year)

|                       | FY94        | FY95        | FY96        | FY97<br>first half |
|-----------------------|-------------|-------------|-------------|--------------------|
| <b>Approvals:</b>     |             |             |             |                    |
| Mvula Trust           | 20.5        | 77.0        | 3.0         | 9.7                |
| DWAF                  | -           | -           | 43.0        | 12.3               |
| Ext. Donors           | -           | -           | 1.2         | 0.7                |
| <b>Total</b>          | <b>20.5</b> | <b>77.0</b> | <b>47.2</b> | <b>22.7</b>        |
| <b>Disbursements:</b> |             |             |             |                    |
| Mvula Trust           | -           | 7.8         | 24.9        | 10.7               |
| DWAF                  | -           | -           | 5.4         | 3.2                |
| Ext. Donors           | -           | -           | 0.6         | 0.6                |
| <b>Total</b>          | <b>-</b>    | <b>7.8</b>  | <b>30.9</b> | <b>14.5</b>        |

**B) SUMMARY OF PROJECTS UNDER IMPLEMENTATION**  
(FROM CONTRACT SIGNED BY COMMUNITY TO COMPLETION)

| Province      | Water Projects | Sanitation Projects |
|---------------|----------------|---------------------|
| Eastern Cape  | 50             | 5                   |
| KwaZulu-Natal | 27             | 5                   |
| Mpumalanga    | 13             | 2                   |
| Northern      | 73             | 9                   |
| Other         | 7              | 8                   |
| <b>Total</b>  | <b>170</b>     | <b>29</b>           |

**C) SUMMARY OF APPROVED PROJECTS BY STATUS**

| Status                | Water Projects | Sanitation Projects |
|-----------------------|----------------|---------------------|
| Approved*             | 118            | 15                  |
| Contract Signed       | 9              | 2                   |
| In Progress           | 137            | 17                  |
| Final Instalment Paid | 12             | 2                   |
| Completed             | 11             | 2                   |
| <b>Total</b>          | <b>287</b>     | <b>38</b>           |

\* Projects at various stages of approval by the Trust, but before contract signing

### CASE STUDY COMMUNITIES - PROSPECTS FOR SUCCESS

Rating of the success rate of the twenty Mvula Trust supported projects included as Case Studies:

| <b>Rating</b>             | <b>Scheme</b>        | <b>Region</b> |
|---------------------------|----------------------|---------------|
| <b>Success</b>            | Boschkop             | Northern      |
|                           | Leokaneng            | Northern      |
|                           | Leboeng              | Northern      |
|                           | Maphophoma           | KwaZulu-Natal |
|                           | Morapalala           | Northern      |
|                           | Mvoveni              | KwaZulu-Natal |
|                           | Ngqele               | Eastern Cape  |
|                           | Ensikeni             | Eastern Cape  |
|                           | Turkey               | Northern      |
| <b>Moderate Success</b>   | Amahleke             | Eastern Cape  |
|                           | Belfast              | Mpumalanga    |
|                           | Fairview             | KwaZulu-Natal |
|                           | Embizeni             | Eastern Cape  |
|                           | Gundani              | Northern      |
|                           | Hlankomo             | Eastern Cape  |
|                           | Qoqodala             | Eastern Cape  |
|                           | Soetfontein (partly) | Northern      |
| <b>Little Improvement</b> | Khumbula             | Mpumalanga    |
| <b>Failure</b>            | Mathabatha           | Northern      |
|                           | Soetfontein (partly) | Northern      |
|                           | Steenbok             | Mpumalanga    |

## IMPLEMENTATION PRACTICES OF THE AGENCIES INCLUDED IN THE EVALUATION

|  | <b>Mvula Trust</b>   | <b>DWAF (1)</b>  | <b>Tsogang/RAC (1)</b>  | <b>Umgeni (1)</b>   |
|--|--|--|---|---|
| <b>Project development</b>                                 | Community initiated, with later assistance from Implementing Agent   | Initiated by community or implementing agent   | Initiated by community or NGO   | Community initiated   |
| <b>Flow of funds</b>                                       | Water Committee handles, tranche disbursements but controlled by Mvula Trust   | DWAF->consultant->contractor wages, material, etc. Minimal community involvement or control of funds   | Donor with promissory notes to Water Committees/supplier low level involvement of Water Committee   | Umgeni controls funds, including money collected by community, and disburses to committee for their expenses. |
| <b>Community contribution to capital</b>                   | 8% of capital cost in cash or cash and labour prior to project completion for basic service.   | Not required (basic service only provided)   | Donors fund materials. All labour provided free of charge by the community  | R250 per household (of estimated R1000 total cost) for yard connection with meter                             |
| <b>Community Contribution to Operation and Maintenance</b> | Community (monthly, yearly or when the need arises). Collected and administered by the Water Committee. MT provides incentive bonus for successful projects (2% after 6 months and 3% after two years) | Not addressed by time of evaluation, four months after project completion. Intention is that the community will contribute towards O&M on a monthly basis. O&M to be managed by Project Steering Committee (with two water bailiffs) and Local Government. Reliance on DWAF until community take over. | Community but not through formal contribution to an O&M fund; residents make repairs themselves   | R5 O&M fee per month plus metered consumption   |
| <b>Level of service</b>                                    | Generally, all residents within 200m of a communal standpipe. Private connections desired in all projects, and some already made in many projects.   | Policy (community perception) that all households should be within 200 m of a communal standpipe. Exist Private connections. Strong desire for new private connections but temporary halt on new connections through Local Government intervention   | Communal standpipe within 200 m of all households. Level of service attained but two villages scheme not functioning because of private connections | Yard connections plus "water shops" for those not connected.  |

|  |  |  |   |   |
|--|--|--|---|---|
| Training                                   | Water Committee selects agent (normally on advice of implementing agent and/or Mvula Trust CLO). Normally prior to or during project implementation. Technical training also by suppliers, for example, in pipe laying. Training components include: book-keeping/financial management, community organisation, administration and committee functions, and health and hygiene | Minimal at time of project completion. Limited to water scarcity and awareness, and project management. Technical training provided by contractor and consulting engineer on site. Outstanding is financial training: (O&M) for the two water bailiffs and members of the Project Steering Committee | Committee skills and financial management. Technical training on site by NGO and suppliers. Some external training by Valley Trust. Focus of training on Water Committee members                    | Promised to Water Committee (did not take place in case study community)  |
| Support during Implementation              | CLO involvement with Water Committee (between 1-3 community meetings to explain policy and procedures. Monthly site meetings. Number of community meetings attended by CLO can increase with problems, particularly with regard to the 8% contribution.  | DWAF Organisational Development: Officer (twice monthly) and engineer (monthly site meeting) provide supervision and monitoring  | Regular contact, liaison and consultation.  | Support personnel available in principle, but not accessible in case study community  |
| Follow-up Support after Project Completion | Minimal CLO follow-up in terms of O&M incentive and if problems arise. However, tendency to want to distance from projects after completion. Consulting Engineer follow-up depends on relationship between engineer and community, but can play an important role. DWAF support on some projects with DWAF source.   | O&M of scheme by DWAF until such time community (Project Steering Committee) in position to take over. Organisational Development Officer involvement decreases. Consulting engineer remains connected to project through one year retention period  | On-going involvement in project area with strong support in this particular case study (through the development of further projects in the area and not specifically to support the Water Committee | Liaison person designated, but not accessible in case study community. Local Umgeni office can explain rules and procedures |

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