

Mid-Term Review of Masibambane III



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Version 2

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Masibambane III Mid-Term Evaluation

Inception Report

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1 Overview

The Department of Water Affairs & Forestry (DWAF) is commissioning an independent, external, mid-term evaluation of Phase III of the water services sector support programme, known as Masibambane (referred to as MSB III). The terms of reference (ToR) call for an evaluation “to assess the effectiveness and efficiency to determine whether the EU support should be redirected if necessary.” The evaluation will cover the period April 2007 to end September 2008, and will measure the extent to which the programme succeeded in meeting the objectives set out in the water sector strategy. The evaluation is a mid-term review and will therefore assess progress made so far, particularly with regards to the efficiency and effectiveness of delivery. In essence, it is an assessment of processes to determine to what extent they assist in achieving the pre-determined key result areas. The intention with the review is also to develop recommendations aimed at improved performance in the second half of Masibambane III.

In brief, the following is proposed:

1. A telephonic survey of all Water Service Authorities, interviewing on average of two key officials¹ at each of the WSAs (approximately 400 interviews in all).
2. In-depth interviews at national level on policy, programme, institutional and related issues.
3. Analysis of financial, programme management and related issues.
4. Analysis of relevant programme documentation.
5. Qualitative, participatory observations in selected provinces during existing planned meetings and fora, such as WATSAN, CollaCom.

2 Objectives

According to the ToR, the overall objective of this study is to assess the progress of the Masibambane III programme against the key result areas of the financing agreement, and to make recommendations for improvement. The review should also assess the status quo regarding the Municipal Infrastructure Grant (MIG) and the Capacity Building Grant (CBG) with the goal to re-orient the Masibambane III programme procedures, if necessary.

To do this, it will be necessary to assess the following:

- The effectiveness of stakeholder collaboration & coordination and the SWAP approach on sustainable water management for all South Africans.
- The transformation and institutional arrangements around the establishment and operationalisation of catchment management agencies.

¹ Typically it will be the person responsible for new project implementation, the PMU manager, and the person responsible for ensuring the provision of water services, the WSA manager.

- The extent to which institutional capacity building of municipalities have been successful in ensuring proficiency in their designated water resource management and water services roles.
- The DWAF's leadership capacity in providing policy direction, regulation and support to the water sector.
- The participation of civil society organisations in providing training and support to, and advocacy in, the water sector.
- Progress, by DWAF as the sector leader, in identifying alternative financing mechanisms for sustainable delivery of water services and water resource management.
- The operating effectiveness and efficiency of Water service providers, with regard to meeting norms and standards.
- The extent to which sustainable, ecosystem based IWRM contribute to social development (policy, strategy, implementation plan).
- The institutionalisation of Masibambane (its approach, objectives and modus operandi) and the effectiveness and strategic impact of Masibambane (as a whole). To what extent has the Masibambane programme results have been entrenched on a sustainable basis.
- The achievement of outputs and progress in meeting strategic objectives as outlined in the Strategic Framework for Water Services, including the extent to which cross cutting issues have been considered.
- The water sector strategy and appropriateness of the changes made, in order to make recommendations for future implementation of the programme.
- The situation with regard to the support from MIG and CBG to the water sector and recommend actions for re-orientation of the Masibambane programme procedures, if required.

3 Approach

The evaluation will focus on three key issues, namely:

1. **Relevance** – does Masibambane III continue to target the priorities of its beneficiaries? If yes, how far has it come since the beginning of MSB I in doing so? How can this be deepened (or corrected, as appropriate) so that a phase III of MSB remains both justified and more sure of dealing with capacity issues, service provision backlogs, a changing inter-governmental environment, and the like?
2. **Effectiveness** – are the planned objectives, results and activities of Masibambane III being achieved? If yes, how is this being achieved, if no what are the challenges preventing this? Do those problems still exist, and how can they be overcome during the second half of MSB III?
3. **Efficiency** - are inputs (resources and time) being used in the best possible way to achieve the objectives of MSB III? If yes, how is this efficiency being achieved, if no what are the reasons for this inefficiency? What could be done to improve efficiency? How can further efficiencies be achieved in the final phase of MSB III?

These 3 criteria will be used *in each* of the following core programme areas:

- Water and sanitation services
- Water Sector Support
- Institutional Support
- Transfers and Alignment
- Integrated Water Resource Management
- Programme Management

Furthermore, cross-cutting issues (as set out below) will be assessed (using a multi-method approach that will include a review of programme documentation, in-depth-interviews with key role players, and the survey with the WSA managers) *within* each of these six core areas as well as stand-alone items in their own right, as follows:

- The participation of **civil society** organisations will be assessed in the manner in which they are providing training and support to, and advocacy in, the water sector.
- **Environmental** issues will be assessed with particular emphasis on capacity building and institutional support for WSA, and the mainstreaming of environment in the programme.
- **Appropriate technology** will be explored with special emphasis on the development and implementation of policy).
- **Gender mainstreaming** will be assessed covering not only the development and implementation of policy but also gender mainstreaming within delivery, within institutional development, within capacity building and within programme management, as well as separately assessed as a deliverable in its own right.
- **HIV and AIDS** will be assessed from both the development and the implementation of policy.
- **Water for Growth and Development** will be assessed at both the policy level and the implementation of actions within the sector.

Table 1 clusters and identifies the priority issues of the Mid-Term Evaluation and also identifies the proposed methodology that will be undertaken by the Review Team.

Table 1: Priority components of the MSB III Mid-Term Evaluation and Proposed Methodology

Core Programmes	Key Objectives	Proposed Methodology
Water and sanitation services	<ul style="list-style-type: none"> • Conduct an assessment of the water and sanitation services provision, results and activities • The achievement of outputs, targets and progress in meeting strategic objectives as outlined in the Strategic Framework for Water Services, including the extent to which cross cutting issues have been considered • Progress with backlogs and perceived interpretations of the backlogs 	<ul style="list-style-type: none"> • Desktop study² • In-depth Interviews
Water Sector Support	<ul style="list-style-type: none"> • The water sector strategy and appropriateness of the changes made, in order to make recommendations for future implementation of the programme • The effectiveness of stakeholder collaboration & coordination and the SWAP approach on sustainable water management for all South Africans • The operating effectiveness and efficiency of Water service providers, with regard to meeting norms and standards 	<ul style="list-style-type: none"> • Desktop study • In-depth Interviews • Survey with WSA managers
Institutional Support	<ul style="list-style-type: none"> • The extent to which institutional capacity building of municipalities have been successful in ensuring proficiency in their designated water resource management and water services roles • The extent to which support has been provided to Water Users' Association 	<ul style="list-style-type: none"> • Desktop study • In-depth Interviews • Survey with WSA managers • Visit to provincial fora
Transfers and Alignment	<ul style="list-style-type: none"> • Assess the implementation of the Transfer Programme • Assess whether alignment is being achieved in the Transfer Programme (collaboration, cooperation, capacity building) 	<ul style="list-style-type: none"> • Desktop study • In-depth Interviews • Survey with WSA managers
Integrated Water Resource Management	<ul style="list-style-type: none"> • Asses the implementation of Integrated Water Resource Management, strategy and implementation and other initiatives such as Water Allocation Reform, WSDM, WUAs development • Progress, by DWAF as the sector leader in identifying alternative financing mechanisms for sustainable delivery of water services and water resource management • The extent to which sustainable, ecosystem based IWRM contribute to social 	<ul style="list-style-type: none"> • Desktop study • In-depth Interviews

² Review of all relevant policy documents, proposals, strategies, workplans, and business plans.

Core Programmes	Key Objectives	Proposed Methodology
	development (policy, strategy, implementation plan)	
Catchment management agencies	<ul style="list-style-type: none"> The transformation and institutional arrangements around the establishment and operationalisation of catchment management agencies 	<ul style="list-style-type: none"> Desktop study In-depth Interviews
Cross-cutting Issues	<ul style="list-style-type: none"> The participation of civil society organisations in providing training and support to, and advocacy in, the water sector Environmental capacity building and institutional support for WSA & mainstreaming of environment Appropriate technology (development and implementation of policy) Gender mainstreaming (development and implementation of policy) HIV and AIDS (development and implementation of policy) Water for Growth and Development (development of policy and implementation of actions) 	<ul style="list-style-type: none"> Desktop study In-depth Interviews Survey with WSA managers
Programme Management	<ul style="list-style-type: none"> The institutionalisation of Masibambane (its approach, objectives and modus operandi) and the effectiveness and strategic impact of Masibambane (as a whole). To what extent has the Masibambane programme results have been entrenched on a sustainable basis The situation with regard to the support from MIG and CBG to the water sector and recommend actions for re-orientation of the Masibambane programme procedures, if required 	<ul style="list-style-type: none"> Desktop study In-depth Interviews Survey with WSA managers Provincial strategy review Visit to provincial fora

The main emphasis of the evaluation will be on a bottom-up approach, where the aims and objectives of the SWAP are tested in the field at local level. Inputs from DWAF and national sector structures are important, but it is critical that interviews are conducted at municipal level to gauge what works and whether or not it can be replicated; what does not work, and why. Therefore, the team will conduct a telephonic survey, which will cover telephonic interviews with the person/s responsible for new project implementation, the PMU manager, the person responsible for ensuring the provision of water services and the WSA manager, in each of the WSAs. Thus 400 officials (i.e. on average 2 officials at each of the approximately 200 WSAs) will be interviewed at the municipal level.

During each interview the following topics will be covered: local management of water resources, other technical services, MIG-funded projects, operational and maintenance aspects, the use of

outside consultants (like GIS experts and retired engineers). Important to note is that the interviews will focus on the projects funded in the specific WSA.

At the provincial level, the Review Team will focus on the quarterly meetings held by DWAF regions and HO, as well as water services authorities. These are important meetings to attend and observe and to gain inputs from, assuming all, or many WSAs, are present. The Team will therefore be visiting as many provincial fora as possible, bearing in mind that not all provinces will necessarily be holding such meetings during the period this evaluation is conducted.

At the national level, structured in-depth interviews will be held with all the key stakeholders in the sector, including officials from the following departments:

- DWAF
- dplg
- DPSA
- SALGA
- Development Partners (including the EU)
- National Treasury
- CSIR
- DEAT

4 Team

A multi-disciplinary team will take responsibility for the evaluation, as set out below (Table 2).

Table 2: Proposed Review Team

	Position
Matthew Smith	Team leader (oversight, instrument design, management, writing, recommendation development, etc), programme management
Phillip Ravenscroft	Water & sanitation delivery, appropriate technology, policy and regulations, integrated water resource management
Dave Still	Water & sanitation delivery, appropriate technology, policy and regulations esp. KZN
Gugu Masibuko	Water sector support and institutional support
Nobayethi Dube	Civil society involvement, HIV and AIDS, and gender
Thandile Ntshwanti	Civil society involvement, HIV and AIDS, and gender
Siyabo Manono	Water sanitation services, water sector support and integrated water resource management
Nicky McLeod	Environment
Jim Gibson	Transfers and O&M
Jonathan Dennison	Water sanitation services, water sector support, integrated water resource management
Ross Jennings	Survey statistical analysis, and financial analysis
Sharon Snyman	Telephone survey of WSAs

5 Roles and Responsibilities

It is critical that the Review Team are supported by DWAF in accessing people, timetables for sector committee and other meetings, letters of introduction and the necessary actions to accelerate the evaluation. In order to facilitate the process, representatives of the Review Team will meet fortnightly with members of the steering committee. This will allow the Review Team to report on progress, receive feedback on the research instruments and to make requests to DWAF to facilitate the process where appropriate.

Furthermore, the Team rely on DWAF to disseminate information about the evaluation to all the regions; however, the Review Team will hold small-scale introductory sessions to further this process, should time and budget allow for it.

6 Process/timeline

The timeline below (Table 3) specifies the main activities that will be followed by the Review Team, the outputs that the Team will deliver and target dates, and also indicate the number of consultant days that will be utilised in conducting the specified activity:

Table 3: Proposed Workplan

Phase	Activity	Description	Deliverable / result	Completion date	Consultant Days
1		Project Planning and Preparation			88
	1.1	Finalise ToR / project plan (budget, activities, roles, responsibilities)	Inception Report	06 February 2009	
	1.2	Literature Review	Literature Review	27 February 2009	
	1.3	Prepare Instruments	WSA Questionnaire + in-depth-interview schedule	23 February 2009	
	1.4	Interview contacts identified & set up (National, Provincial, Local)	Schedule for all Interviews	23 February 2009	
2		Data Gathering and Fieldwork			62
	2.1	National Interviews	National Interviews completed	20 March 2009	
	2.2	Provincial visits (forums & Interviews)	Provincial visits completed	20 March 2009	
	2.3	Telephonic Interviews	Telephonic Interviews completed	20 March 2009	
3		Data Analysis			24
	3.1	Analysis of Telephonic Survey Data	Survey Data set	30 March 2009	
	3.2	Analysis of in-depth interview data (includes Provincial and National Interviews)	In-depth-Interview Data	30 March 2009	
4		Drafting Report			77
	4.1	Writing-up Draft Report	Draft Report submitted	24 April 2009	

Phase	Activity	Description	Deliverable / result	Completion date	Consultant Days
	4.2	Preparing and attending Presentations	Power Point Presentation of Draft Findings	24 April 2009	
	4.3	Revise Draft Report	Revised Draft Report Submitted	08 May 2009	
5		Finalising Report			42
	5.1	Final Report prepared	Final Report Submitted	29 May 2009	
	5.4	Final Workshop and presentation	Presentations at Final workshop	15 May 2009	