

**A multi-stakeholder
dialogue and research process
on institutional approaches
for water and sanitation**

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The Water Dialogues – South Africa

Forum Proceedings

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Venue: The Birchwood Conference Centre, Johannesburg

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Proceedings: Victor Munnik



Stakeholders: City of Johannesburg, Coalition Against Water Privatisation, Department of Water Affairs and Forestry, Environmental Monitoring Group, eThekweni Municipality, Johannesburg Water Management, National Treasury, South African Association of Water Utilities, South African Local Government Association, South African Municipal Workers Union, South African Water Caucus, The Mvula Trust, Water Information Network-SA, Water Research Commission, Water and Sanitation Services South Africa

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1. Welcome and Introduction

(Dr. Mary Galvin, The Water Dialogues-South Africa, Coordinator)

Mary welcomed participants, noting their achievement in coming together from all over the country and from many different sectors. The genesis of The Water Dialogues (WD) lay in the recognition that water service delivery is not working as it should. In response to the ideological divide evident in much of the research and in entrenched positions, the idea emerged that a range of stakeholders could come together and agree on a research design whose findings might be widely accepted. So this meeting contributes to a multi-stakeholder process that is developing plans to embark on an ambitious research process.

Following two years of WD-SA Working Group (WG) meetings, it is a significant time for the WG to pause, get feedback, and share its achievements. In South Africa, a basic distinction is drawn between “being representative” vs. “representing”. The WG is representative of various sectors, but does not attempt to represent the sector (which implies an active process of reporting back and getting mandates).

The following members of the WD Working Group, who were present at the Forum, were introduced:

Kathy Eales, City of Johannesburg
Pat Sindane, Coalition against Water Privatisation
Abri Vermeulen, Department Water Affairs and Forestry
Bheki Ngubo, DWAF
Jessica Wilson, Environmental Monitoring Group
Neil Macleod, eThekweni Municipality
Jean-Pierre Mas, Johannesburg Water Management
Leila Horton, National Treasury
William Moraka, South African Local Government Association
Lance Veotte, South African Municipal Workers Union
Laila Smith, The Mvula Trust
Jay Bhagwan, Water Research Commission
Tony Sanders, Water and Sanitation Services South Africa

WD Working Group Members who were unable to attend:

Ndala Duma, Water Information Network- South Africa
Jeff Rudin, South African Municipal Workers Union
Hameda Deedat, SA Water Caucus
Bongani Dumisa, SA Association of Water Utilities

Other people introduced were:

Malcolm White, Irish Aid (Observer)
Victor Munnik (Recorder)
Heidi Attwood, The Water Dialogues Project Officer
Charles Sibanda, The Water Dialogues Project Officer

This Forum is not a decision making body, but an opportunity for the Working Group to gain comment and advice on how to proceed. We attempted to achieve a balance amongst stakeholders, which was largely achieved. Of the 49 stakeholders present, 6 come from national government, 7 from local government, 4 from the private sector, 2 from water boards, 5 from academic/research, 1 from trade unions, 6 from NGOs, 10 from CBOs and 8 others (including WD staff). Municipal officials from each of the 24 areas where we hope to do research were invited to this meeting, but only three or four are present. The larger number of CBOs is due to the preliminary meeting held yesterday to discuss CBO capacity building.

The aim of this Forum is to provide the Working Group with an opportunity to:

1. Engage with and provide information to a wide group of stakeholders about WD aims and research plans;
2. Obtain input and suggestions about the research process; and
3. Lay a foundation for future communication on research findings.

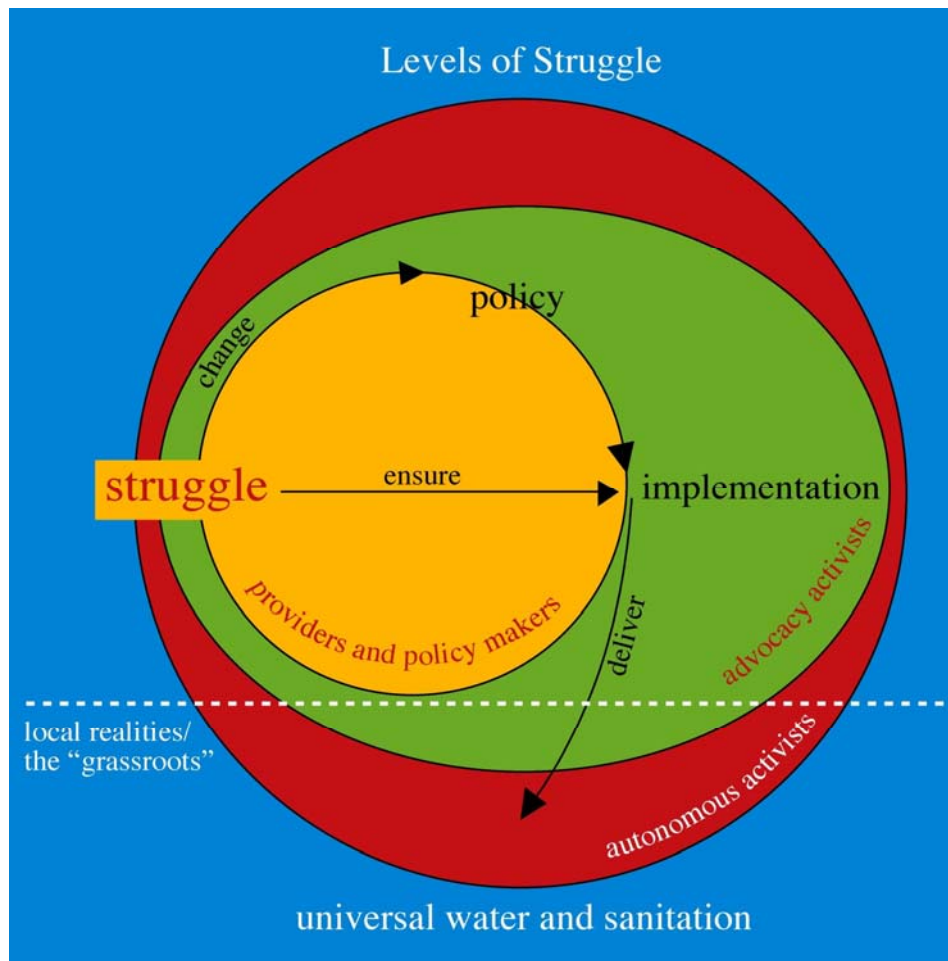
It is important to place dialogue in a wider context. There is a significant difference between what has been referred to as consensual and confrontative dialogue. In my opinion, the WD is clearly the latter.

Consensual dialogue is a “problem-solving and more reformist approach”...“Through a negotiating process, such a dialogue aims to create some kind of consensus as regards required reforms of existing structures in order to increase the sustainability of the system as such.” (Abrahamsson, 2004)

Confrontative Dialogue is a “transformative oriented method for improved understanding between partners whose relationship is asymmetric and characterised by important conceptual gaps and strong mistrust.” (Abrahamsson, 2004) This requires that all parties are aware of the aim of the dialogue, namely to make diverging values and interests visible and understandable and to illuminate political alternatives.

It is also important to acknowledge how different levels of struggle can work together. The diagram below illustrates how struggles at different levels can work simultaneously and support one another.

Illustration 1: Levels of Struggle Diagram



2. History and Aims of The Water Dialogues (Jessica Wilson, Environmental Monitoring Group)

International Beginnings . . .

The idea of bringing together multiple perspectives on private sector participation was born in Bonn in 2001. Berlin (in 2004) brought together people from across sectors and the world, and it was an opportunity to explore that idea. But such a multi-stakeholder process had to be needed, so a PSP (Private Sector Participation) Review scoping process was initiated. It asked of various actors: “is there something to be researched that people would find useful?” And the consensus was: yes, let’s go ahead.

The scope for the process was framed as to whether and how the private sector has a role in water and sanitation services (WSS) for meeting the Millennium Development Goals (MDGs) and for poverty eradication. The decision was to root the process in national processes feeding into an international process. So, the International Working Group (IWG) got a mandate to get the process going. The original movers were Public Services International, Water Aid, Thames Water, ASSEMAE (Brazil) association of small scale water providers in Uganda, Consumers International and Environmental Monitoring Group (EMG).

South Africa joins the process . . .

South Africans interviewed in the scoping process were supportive of such a Review. The Department of Water Affairs and Forestry (DWAF) hosted a multi-stakeholder (MSH) meeting on 10 March 2005 which asked: “Can this be useful for us?”. The stakeholders agreed on such a process’ usefulness for South Africa and discussed how to structure the process so that it delivers maximum benefit in South Africa. It was decided that:

- The focus would be on public and private sectors.
- It must contribute to more effective public service delivery (DWAF proposed and participants agreed).
- It should be aligned with existing policy processes.

Developing a Project and a Process . . .

- Regular meetings of interim working group took place.
- Initial steps were: agreeing on focus, developing a budget, agreeing on a code of conduct, approach, basic definitions (what do we mean by private sector) and problem statement.
- Task teams were established (e.g. fundraising, research).
- Interaction with IWG and other country processes took place.
- The process would be a mix between process (dialogue) & evidence-based assessment (research).
- Our final proposal was to have regular WG meetings AND three broader Forums. Process recording was also an important part with the aim of looking at how people start talking to each other and what levels of information are exchanged.
- We secured Irish Aid funding and hired a Coordinator (Oct 2006).

Working Group Participants

Government DWAF SA Local Government Association City of Johannesburg (Regulator) eThekweni Municipality National Treasury	Civil Society SAMWU SA Water Caucus Coalition Against Water Privatisation Mvula Trust Environmental Monitoring Group
Research Institutions Water Research Commission Water Information Network	Business Water and Sanitation Services Management Johannesburg Water Management
Water Utilities SA Association of Water Utilities	

Code of Conduct

The Code of Conduct came about as the result of quite a process of negotiation. Because we have people in the room who find each others' views extremely difficult to understand, we needed a Code of Conduct. We came up with something very strong. Below are some highlights from the code of conduct. (The full Code of Conduct is available on www.waterdialogues.org).

Openness and transparency – this means that we will clearly share our views and positions, avoiding hidden agendas, and we will also be prepared to enter into discussions on our positions.

Open minds, co-operation, and a spirit of serious inquiry – we shall be willing to explore controversial or difficult questions with an open mind. The group will try to understand the real issue as it is – this means that issues will be explored more deeply to try to understand what is really happening on the ground and to understand the concerns that lie beneath people's positions.

Mutual respect – including respect for minority views.

Confidentiality – “within the room we needed to be able to talk without feeling that what we said will be taken and quoted out of context” – so, transparency but a chance to explore ideas in a safe environment.

Accountability – this includes the responsibility to feedback to our sectors.

Ownership of the results – the group agrees that the outcomes of this review process will be public property. The group will further discuss guidelines for using and interpreting the outcomes of the process.

Innovative – this means that the group will be open to new solutions and ideas.

Sensitive to the distinction between facts and perceptions, and to complexity.

Multi-stakeholder process – the group agrees that multi-stakeholder guidance of the methodology and of the process is critical, and that a consultant-driven process must be avoided.

Collective interest – the group will strive to make workable solutions, and not just to protect personal ideology.

Dynamic and forward-looking – (dynamic sector with lot of changes happening).

Approach – important elements of the approach include agreeing on working definitions; recognising cost implications of the need to distinguish between facts and perceptions (solid funding will be needed to get 'harder facts'); and looking at what is happening in other countries.

Commitment to the process – once our organisations have signed on to participate in the review, this means that we are committed to seeing the process through to its conclusion. The only grounds then for disengagement from the process would be if there is a substantial deviation from what has been agreed to up front. If this appears imminent, the group should be alerted well in advance of any actual withdrawal, to allow for a process of negotiation and/or conflict resolution, to attempt to remove the need for any disengagement.

Problem Statement

The WG agreed on the following problem statement as the basis for research:

“Municipalities in South Africa face many challenges in meeting the constitutional requirements to ensure effective, equitable and sustainable delivery of water supply and sanitation to all. This is taking into account the highly skewed distribution of wealth, service provision and water resources. In the efforts to address these challenges a number of different approaches to service delivery including commercial approaches and PSP have been used.

“The Water Dialogues-South Africa provides the opportunity to create a constructive dialogue to identify, critically analyse and evaluate these approaches leading to greater understanding of service delivery models. It is envisaged that this understanding will lead to more effective service delivery models to contribute to universal supply of safe water and sanitation.”

How will WD be useful?

- Increasing meaningful participation in policy reform & development.
- Greater access to information.
- Greater transparency in decision making, e.g. on how water service providers are chosen.
- Learning from experiences to improve WSS delivery.
- Stronger regulation and governance.
- Action oriented: Findings feed directly into policy and implementation.

Why has WD worked so far?

It is a tough thing to get people with such different ideas into the same room for two years. But it has worked because of the following:

- Participant owned and organised (no single driver)– meetings are not called by government, private sector or civil society, but called by all the participants.
- Volunteer time from participants to get it going.
- Seed funding to get stakeholders to meetings & participant hosting.
- No predetermined outcome.
- We have agreed on the problem.
- Represent vs representative of... we are not a mini-parliament, but the WG has representation of views from all sectors.
- Slow pace – and not having funding for 18 months - allowed working relations to develop.

2.1 Questions and Discussion

The WD Coordinator: Under the Code of Conduct, we also discussed the ownership of results and decided that, even if you have been serving on the WG, there will be scope for having “minority views” in the documents or publications that are produced in the event that you do not agree with the conclusions of the WG.

Questions of clarification, or comments on the term Affordability:

- The word “affordable” is not in the problem statement. It should be. There are municipalities that don’t have the money, and 40% of people are unemployed. Affordability is an important issue.
- Is affordability not covered by sustainability?
- Affordability should be assumed to be part of “effective”.
- The WG considered affordability to be implicit, but it should be added if it is not reflected adequately.
- We should not take it for granted that an implicit meaning will be recognized.
- The original focus was: “How to bring effective partners to serve the poor”. So affordability should be brought back in.
- Something implied, but not expressed, is subject to interpretation. If it is expressed it will put a duty on a service provider.
- I hear the concerns. We chose the word “effective” to link affordability, sustainability and a whole number of words. It is implicitly there, but I agree that we can make it explicit.
- I propose we add “affordable” to effective, equitable, affordable and sustainable...
- Is it really a problem of “universal supply” if there are people with no access at all?
- What do we mean by sustainability? Is it implicit that it is “healthy”, “sufficient” or “adequate” but it is important that it is enough water for healthy living.

Feeding back into policy and what types of outputs?

- It is important that the outputs of this process should link back to policy processes. There is an assumption that findings will link back into policy, but the DPLG (Department of Provincial and Local Government), who is the custodian of the Municipal Systems Act, is not here. How will you ensure that it does link back into policy?
- I share this concern about the lack of DPLG involvement.
- Have you thought this through and planned for policy influence?

- We, as DWAF, have raised the point right from the start that the research outputs must be useful for the sector, DWAF and municipalities. We as a policy unit (in DWAF) will take it very seriously. DWAF has been the department that is most involved in WD, we are happy to have Treasury on board. We will continue our efforts to involve DPLG, and in the absence of their involvement, we will continue our efforts to get policy implications to decision makers.

Co-ordinator: There is a lot of flexibility to still decide what sorts of outputs will allow stakeholders to use the outputs. Yesterday this was discussed in the CBO meeting. You can plan your own advocacy but also decide as WD what outputs will be most useful and what an advocacy strategy would be.

3. Presentation of Research Design and Plans

3.1 Introduction: ideas about research

WD Co-ordinator: Take a small bit of time to chat to your neighbours: What does research mean for you? What kind of research do we want, and particularly what kind of research do we not want? The answers were:

- “We discussed scientific and experiential aspects of research”
- “Researchers going around with a clipboard and asking questions and ticking boxes, that is what we don’t want.”
- “The question of funding is important – because when the funder says “here is the money”, one has to do what they prescribe.” (In this case the funder does not prescribe.)
- “Our group said we don’t want research that shuts down the debate. We want research that asks the hard questions. We want research that reflects the voices of people who are experiencing service delivery problems are reflected. It is important to be factually correct so that reference group receiving the research outcomes can work with it. It is better to articulate ideology up front.”
- “It is about digging deeper, because much research has been done, but there are things that we haven’t reached into. We have to find what went wrong somewhere and what are the real causes of the challenges.”
- “Research is investigation of real facts around the problem with the purpose of finding solutions.”
- “Looking again, even if you thought you knew what it was.”
- “Research should be easy to understand, serve the purpose and add value. It must be based on facts.”
- “Research must be based on fact; as soon as you analyse, you analyse from a perspective. So the question is: What is the role of the Working Group? We propose that the WG should receive the facts and do the analysis.”
- “The research should be owned by the people who are going to use it. If you don’t like what they produce you just ignore it.”



Photo 1: Presentation of Research Design by Mary Galvin

3.2 Presentation of research design (Mary Galvin, WD Coordinator)

3.2.1 The Research Question

The WG developed a lengthy list of guiding questions, and later agreed on the following overall research question. What I am going to present is still work in progress. It is flexible and we are seeking your input.

Research Question:

**Given the varying capacities of Water Service Authorities,
how do different institutional approaches affect outcomes?**

What does the research question mean?

It is important to be able to compare apples with apples. If you compare urban and rural areas, different capacities, resource bases, water resources, it would be difficult to make a proper comparison. So it is important to structure the research, so that when you get to the ground, all the messiness can be allowed to come out. Although the boxes and the matrices in the research design may seem overly rigid, that is the structure we need (see chart on Potential Case Studies for WD-SA).

WD Coordinator's comment on Chart:

- I pulled together existing typologies from available research, such as public/private, management contracts, etc. The WG decided that this needed to be unpacked further to be very clear about different arrangements.
- The matrix shows institutional forms on one axis. It refers to the "Section 78" mechanism selected by a WSA and how it is contracted. These are important differences.
- The other axis refers to WSA capacity. We had a long discussion about "what is capacity?". We noted different explanations of capacity, but ultimately settled on "operating income" as a rough proxy. Data was drawn from the Demarcation Board and the National Treasury study (which had 7 types which we compressed into fewer aspects). Researchers will have to pay attention to other aspects that affect capacity as alternate explanations.

What we can explain

1. If there is significant variation between cases in each cell, we need to look to other explanatory variables. (In other words, if similar institutional set-ups produce different results, there is something else going on outside the questions we are asking.)
2. If we find little variation within each cell, we then can compare across cells.
 - a. If there are similar outcomes across a type of approach, then we can draw conclusion about the approach.
 - b. If there are similar outcomes across capacity, regardless of approach, capacity offers an alternative explanation.

What we might find

- Institutional approach makes little difference to outcome in areas with high capacity.
- Institutional approach makes most difference in areas with low capacity, and we can identify the most desirable approach to deliver certain outcomes.
- We may find something completely different!!

Do we find that certain approaches work ("success" is a term to unpack) across different capacities?

Maybe capacity itself is the explanation – it may be that in a high capacity institution, it doesn't matter what they use, everything works. Or if there is low capacity, you have to be very careful about which approach you take.

Maybe it is because of leadership, or a single driver (champion)?

Illustration 2: Potential Case Studies for The Water Dialogues – SA

	Section 78 Mechanism and WSA-WSP Contract Type	Water Services Authority Capacity		
		High	Medium	Low
Public Private Partnership (PPP)	Private: Private sector with concession	1. eThekweni MM (Durban South Waste Water Treatment)	2. Mbombela LM (Nelspruit) 3. Ilembe DM (KwaDukuza LM, Dolphin Coast)	
	Private: Private sector with lease	4. Amatole DM (Amahlati LM, Stutterheim, Fort Beaufort)	5. Chris Hani DM (Lukhanji LM, Queenstown, including WSSA – WWT)	
Community Based Organisation	CBO with service contract		5. (D) Chris Hani DM (rural) ▶ <i>Mokgalakwena LM</i>	6. Zululand DM (Nqutshini) ▶ <i>Alfred Nzo DM</i>
Public Public (PuP)	Public: Municipal entity with management contract	7. City of Johannesburg MM 8. Emfuleni LM	9. Maluti a Phofung LM	
	Public: National entity (water board) with management contract	10. City of Tshwane MM (Odi) ▶ <i>Mangaung LM (Thaba Nchu, Bloem Water)</i>	9. (D) Maluti a Phofung LM 11. Msundusi LM (Vulindlela) ▶ <i>(D) Mokgalakwena LM</i>	12. Bushbuckridge LM 13. uMkhanyakude DM ▶ <i>uKhahlamba DM (Bloem Water)</i>
	Public: Multi-jurisdictional with lease	14. Ekurhuleni MM (ERWAT, East Rand Water)	15. uThukela DM, uMzinyathi DM, Amajuba DM, Newcastle LM (uThukela Water)	
	Public: Another municipality (nature of contract unclear)		16. Saldanha Bay LM, Swartland LM, plus 2 other LMs (West Coast DM)	17. OR Tambo DM (KSD LM- Umtata) 18. Mopani DM (Tzaneen LM, Phalaborwa LM)
Public (Internal)	Internal	19. City of Cape Town MM (inclu. MSP Sanitation Study) 20. Ugu DM <i>10. (D) City of Tshwane MM</i> <i>4. (D) Amathole DM (rural)</i> <i>1. (D) eThekweni MM</i>	21. Overstrand LM (Hermanus) 22. Kouga LM (Jefferies Bay; St Francis areas) 23. Rustenburg (mining towns – rich TA providing water)	24. Nama Khoi LM (former mining towns) <i>16. (D) OR Tambo</i>

3.2.2 How do institutional approaches affect outcomes?

Four areas of outcomes are listed below, namely service delivery, resource management, financial management and user satisfaction. The full chart is included in appendix 5.3.

Comment:

- Many studies with different starting points select similar indicators.
- We can draw on data available from other sources, e.g. benchmarking, to avoid duplication and/ or to cross check findings.
- Methods to gather data include key informant interviews, participatory community workshops, on site visits. This research needs to have a deep qualitative, community and user basis.
- Quantitative ratings may be possible based on qualitative data.

a) Service Delivery:

“Providing and managing water and sanitation systems as constitutionally and legally mandated.”

Indicators of Service Delivery

- level of sanitation service
- quality of water (good, acceptable, poor)
- quantity of water and FBW
- pressure
- cost (tariffs)
- control (PPMs, flow rate- restrictors)
- continuity of supply (>98% good, 80-98% poor, <80% unacceptable)
- coverage and extension to unserved areas/ percentage of area served (universal supply of water and sanitation)- business plan and contract of WSP
- assurance of supply- is design adequate for supply? 48 hours storage in urban areas?
- functionality- is the scheme maintained? How is water managed? Regularity?

b) Resource Management

Infrastructural: “Developing and maintaining infrastructure to ensure continuous provision of water and sanitation to the present and future population.”

Human: “Ensuring that labour is managed and developed for the present and the future.”

Environmental: “Ensuring that environmental resources are protected for the present and the future.”

Indicators of Resource Management

Infrastructural Indicators:

- Maintenance- breakdowns per year (not recorded properly)
- Water loss / demand management- parks and gardens, leakages, illegal connections
- Pipes replaced per year- did it help losses?
- Asset depreciation: percentage assets replaced each year?
- Baseline and strategy: To maintain what have and to take into account new developments/growth of area and future use.

Environmental Indicators:

- Environmental health: puddles or sewage spills.
- pollution and enforcement
- Educational component: awareness or encouraging environmental conservation of water

Human Indicators:

- Total number of employees (including category breakdown ie management, technical-professional/administrative/manual) and gender breakdown
- Type of employment (casual via labour brokers; or sub contractors) with relevant breakdown as per (1) above
- Pay and conditions of all categories of employees
- Whether or not there are recognised trade unions and, if so, names
- Trade union members

c) Financial Management

“Revenue and expenses are managed effectively to ensure finances are adequate for service delivery and maintenance of water and sanitation systems.”

Financial Indicators

- financial history and where stands now (red/ black)- credit control and gearing/ debt equity
- Profit margin (percentage of surplus to turnover)
- Subsidies received (finance capex from national MIG and housing and opex from equitable share- although now obliged to use for services)
- Capex- use of WSA/WSP own funds
- Ratio of collected/ billed: revenue collection efficiency (are people metered, are bills correct, are funds coming in)
- Credit control (how make sure people pay, eg water restrictions)
- Entire cost chain because municipalities can only control part of this, and impact on retail tariff (eg if resource scare area leads to high cost of bulk water) (ops, capex, profit)
- Tariff structure (cross subsidisation and elasticity, political decision)
- % of operating costs that are labour

d) User Satisfaction

Do users experience services as sufficient/ acceptable to meet their (basic) needs?

User Satisfaction Indicators:

- Sufficient
- FBW implementation
- Health indicators and quality of water
- Sanitation
- Affordability- tariffs/ impact of cost recovery on poor- tariffs as percentage of income
- cut-offs, disconnections, restrictions
- pre-payment meters
- metering and billing systems- efficacy of billing (and accuracy of arrears information)
- User (customer) care/ Batho Pele (responsiveness of WSP to complaints/ queries)
- continuity of supply and pressure
- Participation in decision making and conditions to involve civil society
- Impact on poor people (including very young, old, and sick, esp HIV/AIDS) and social impacts (gender and cultural issues)

Relationship between quadrants represented by a) to d):

There must be a balance between service delivery and resource management, the former providing services rapidly and the latter considering the wider picture of their development, expansion and maintenance.

There must be a balance between user satisfaction and financial management, the former making sure that users have a positive experience of services and the latter ensuring that they are financially sustainable.

A crucial question is: What are we trying to measure? From the existing literature, there are often two sets of conclusions: anti- or pro- privatisation. They reach different conclusions partly because they look at different things. On the one side people may look at service delivery – how much water, reliability, affordability. What are people’s experiences (user satisfaction). Often one side just looks at these questions above, and the other side only looks at financial management (how are the books?) and resource management – technical issues, health hazards etc. To be balanced, we need to address each of these areas, and have findings for each of these areas, and give ratings in each of these areas.

Concurrent National Scoping Exercise

Locate case studies within the wider environment in South Africa. Two aims of a national scoping exercise:

1. To map existing approaches and coverage so we know how prevalent various approaches are (presently have statistic that 3% of population served by private sector)
2. To map trends to plan advocacy approach

Relevance and Use of WD?

Individual case studies

More general findings based on comparisons

Advocacy at all levels, including international

Open ownership of data for other organisations to use

Learning as we go

Phases of research, start with 2-3 cases, then another 12... may not complete 24 cases

Local multi-stakeholder feedback sessions

3.2.3 Who is going to do this research?**Selection of researchers**

Looking for researchers with:

- skills
- objectivity
- availability and interest
- affordability

Trade off of experience and knowledge with objectivity

Principle of checks and balances

Balancing Researchers

Avoid horse-trading “for/ against” privatisation

Pair of fieldworkers/ researchers for each case study (7 teams, 3-4 cases each)

Expert team with financial, social, and possibly technical expertise to review indicators/ methods, reply to researcher queries, and assess data coming in

Who the researchers are is a critical factor. People have positions and will come back with those positions. At first, it was almost a horse trading – if you take my anti-privatisation researcher, I will take your pro-privatisation researcher. So, we thought there should be pairs of researchers, that are balanced ideologically and in terms of skills and who complement each other.

The Coordinator concluded: “It is difficult. I have been told that if I do my job really well, everyone will be equally unhappy!”. The question about the analysis needs to be discussed more. While WG meetings need to grapple with and analyse research findings, the results of those discussions will still have to be written up.

3.3 Discussion of research design presentation

< *This discussion refers to Illustration 2.* >

- We are hoping the cases are placed correctly across the matrix, but they may not be. The reason for constructing the chart was to get a spread of different cases for comparison (some similar, some different). As the research proceeds, we will place them correctly.
- We spent a lot of time arguing where the cases fit, and I agree we should rather move on
- I am trying to understand the issue of capacity. I understand that you can buy capacity (outsourcing). So I am trying to understand, when you are dealing with municipalities, they are always dynamic. You may have one champion in a municipality, giving it a higher capacity classification, but what if that person leaves?
- I am reflecting on experience. For the last ten years we have been looking at solutions that are internationally accepted. But we need to break away from that. People are trying to find how best institutional arrangements work – let us look at what institutional processes are happening in South Africa, and then tie them back into what is new and suits South Africa.

- We will have case study reports, without judgments. Then we will have analytical reports that compare the case studies.

- About the selection of municipalities: is the research focused only on local retail and not on bulk regional services? Bulk regional services is an important aspect we need to look at.

- What is the process of getting the researchers on board – tender process, selected service providers, going through WRC?

- I don't think individual stakeholders should ride on the back of this project and get their research done for them through this.

WD Co-ordinator: We are looking at water services and retail. Water boards are not part of this.

We put an advert in the M&G and we received researcher applications. And now we have a huge pile of applications.

- About the selection of case studies: there are so many cases from high capacity public internal x high capacity box, this may sway the analysis.

WD Co-ordinator: We don't need to add cases, we could replace or reduce cases.

- Zululand district council is using CBOs, and Chris Hani too, we should not be fixated where we locate the cases. The issue for me is that there are incremental improvements and a fluidity in municipalities. Some municipalities are making improvements, others are stuck in their decisions. We need to build something into the research of being a “developmental state”. But we are not really at a point where we can measure mechanisms.

- My concern is about words like “capacity”, “impact”, and “what works”. For example, capacity for what? Different institutional arrangements fit different purposes well or less well.

- We need to come to a convergence that will tell us where the greatest successes are. Over the years these developments will converge to a model that serves the sector. I agree we cannot compare, because we are never going to get a basket of apples, but you can compare processes, to analyse key decisions and their impacts.

- A question of clarity. What are CBOs providing services to municipalities? I think it should be NGOs like Mvula Trust.

- Some comments on the research design. I am concerned that the onus is put on the researchers in the field. I think it is important for researchers to workshop and go through a process.

WD Co-ordinator: There is such a process planned, as well as for experts to check data as it comes in. I forgot to mention it.

- Equity is not just about coverage. For example, are newly incorporated areas receiving different coverage than established areas, e.g. poor areas having to do things themselves?

- I want to congratulate you on your research design.

- The issues of service provision (maintaining what is there) and of capital investment to deal with the backlog, are different. The issue is the capacity to extend.

WD Co-ordinator: It's not good to do a snapshot, it is necessary to look at change over time.

- A district may be very different in its urban and rural areas.

WD Co-ordinator: Yes, how do you, for example, study Ethekwini. We thought to choose a few areas.

4. Small Groups Discussion on Research Design and Implementation

<Process: Over lunch the facilitators and others compiled five questions for discussion, based on the morning's proceedings. The meeting broke into (self-selecting) small groups for discussion. The facilitators asked for five suggestions from each group. It was questioned why everybody should not be in group D (in order to engage with the detailed questions in the research). In the end, group D attracted most people (and was split into two groups for practical reasons), group F and group B attracted no people, and group A was quite small. >

The questions for discussion were:

A: What impact could the WDs have at different levels? What sort of hard outputs would help you take the results of the research back into your work?

B. How can we strengthen the dialogue process at different levels? What role can this forum play? What ideas do you have for the next forum? (October/November)

C. If there are too many case studies to handle, on what basis do we prioritise them? Any other considerations on the case study matrix?

D. Are we looking for the right information to assess the effectiveness of the institutional approaches to water and sanitation? (Refer to the Outcomes in handout, Appendix 1.)

E. What obstacles or challenges do we anticipate in doing the research and how might we deal with these? What are the local practicalities? What opportunities should we look out for?

F. Open group... anything goes!



Photo 2: Participants Moving into Small Groups for Discussion

4.1 Report Back from Small Group Discussion A: Outputs and Impact

A: What impact could the WDs have at different levels? What sort of hard outputs would help you take the results of the research back into your work?

Suggestions for the Working Group:

- Capacity building for civil society on the research method itself, public participation etc.
- By raising the profile of this dialogue it can encourage dialogues at provincial and local levels, e.g. joint workshops, participatory research (involve activists on the ground using this method) and launching the results.
- Publish the results of the research into a booklet. That will enable participants to take the results back to their organisations.

Broad discussion in Group A.

- The research will be able to reveal the effectiveness of institutional approaches.
- DWAF does not expect a specific output from the research but it is looking at the interest of government policy processes.
- The need to acknowledge that the private sector should play a specific role in service delivery.
- How do we avoid exploitation of state resources by the private sector?
- What are cost implications for the poor (affordability of costs by the poor)?
- Municipalities do not use civil society because of long procurement process.
- The research may not come up with the correct results, e.g. rise of tariffs.

- The WD should work hand-in-hand with the civil society and municipalities in order to reach a joint understanding of research done regarding service delivery.
- The approach by government should be clear on whether they take an approach which is pro-poor or pro-private sector.

Comments on Group A's Contribution:

- Because you cannot cover all municipalities but it could be relevant to them – flag results that may apply to specific municipalities for them. We could use, for example, the Water Information Network (WIN).
- The research is important for municipalities, therefore it would be important to present results to municipalities.
- Use existing forums for report back, e.g. forums at provincial level.

WD Co-ordinator: On capacity building: We built into both budget and process an element of capacity building for civil society. We talked about that yesterday (in the CBO preparatory workshop) and what the needs and issues might be. As well as making sure in case study areas that the research is not just in and out but leaves behind real information and understanding and ways of dialoguing with other players in these areas (maybe focused on 5 or 4, not on all of the case study areas).

- One gets a bit overwhelmed by the number of objectives in this project; therefore look at using existing forums in a practical way. Maybe we should set a few indicators in terms of capacity building.

Specific thoughts about raising the profile?

- In the municipal environment: we need municipalities to use newsletters and report on the WD in these. It is important for municipal people to engage with these issues. But we have other sectors here that are not represented in the existing forums, where the private sector is not present, e.g. Eastern Cape lesson sharing forums.

- One could use WISA biannual conferences.

- In my group we spoke about researchers getting access to some municipalities. Raising the profile of the process may make this access easier.

- A word of caution: this is an innovative process and we should wait a bit before the start the profiling and create expectations that this is the platform where all the problems can be solved. Let's rather design the profile process on the basis of what our outcomes are.

4.2 Report Back Group C: How to Prioritise Case Studies

C. If there are too many case studies to handle, on what basis do we prioritise them? Any other considerations on the case study matrix?

How do we strengthen the role of the public sector in water service delivery? This is the main focus of the research. To accommodate the international research agenda, the focus is expanded to looking at what the role is of partnerships/business/CBO arrangements within this broader question.

We asked: what is the main purpose, and that is service delivery. We spoke about municipalities charged with big rural areas, where there is no access to clean water. Areas like Chris Hani in Eastern Cape. We mentioned areas like international communities, Indonesia, Philippines, Uganda, Brazil. We should be able to make a comparison with them. We must make sure that we go down to the people.

We looked at the table in the research design and how applicable it would be in a practical sense, and did these areas cover the ground in terms of the problem statement. We did not say “that project must be in and that one out”.

Case study prioritisation.

- We felt that the grid was good and that it was important, and that actually after 2 or 3 pilot cases we should come back to this.
- Must respond to the purpose of the research.
- Must have good rural spread.
- Within a WSA, focus on a specific area or aspect
- Include case studies with small scale providers (incl. NGO, CBO, small business, ratepayers etc). Area of small business and CBO must be developed further, because that is important for service provision particularly in rural areas.
- Practical considerations will determine which case studies to drop.

Comments on Group C's Contribution:

- Why not make sure that CBOs etc are present in the case studies? Actually count in how many cases the CBOs as service providers are present.
- There is a choice between digging down quantitatively, or a broad sweep, in which case 24 case studies may be a good idea.

WD Co-ordinator: So, would it be possible to have the broad sweep and then to focus for detail in a few selected places (case studies)?

- You will be looking at the challenges faced by the WSA, but you might find yourself zooming in on the service provider. If you look at CBOs, you will be looking at small, stand alone schemes.

WD Co-ordinator: Do you think we don't have that spread right now?

Response: You have them all here, but we are discussing what is cut when you are cutting back.

We also said we do have to look at concessions.

4.3 Report Back Group D1 and D2: Are we looking for the right information?

D. Are we looking for the right information to assess the effectiveness of the ` institutional approaches to water and sanitation? Refer to the Outcomes in handout (Appendix 2).

Working Group D1:

- The need to have additional threads to contextualize the research e.g. the nature of local government restructuring, the impact of municipal legislation on sustainable development, the fluidity of local government.
- Description of roles for the different players in Water Services provision. Performance, contractual arrangements, risk assessments, accountability.
- Leveraging on the practical arrangements in the WSA.
- Outcomes are ambitious and should be factual and not limited to desktop information. Trend analysis rather than comparative analysis in terms of the outcomes.

Working Group D2:

Research Question needs more definition of “Outcome” as “desired outcomes” to suggest a Research Framework

Framework – as (desired) Outcomes.

The question of “effective” vs. performance:

- What indicators hang onto that, and how will it (measure) show a value in analysis?
- “Institutional approaches”:
- governance
- presence of skills that are relevant
- systems – information, upgrading
- “Capacity” (categories)
- does “low” or “high” mean = performance?
- Financial indicator (= operating budget) is not sufficient as a benchmark of “capacity”

Unpack “effectiveness”, “institutional arrangements”, “capacity” for criteria to inform Framework.

Criteria for effectiveness: (= effective institutional arrangements to achieve...)

- affordability for the poor
- Governance: leadership, capacity in skills
- Knowledge management, learning, flexible/adaptable
- Coverage
- User satisfaction
- Functionality
- Financial operations

What Indicators measure “effectiveness” (vs. performance)? Therefore, revise lists of info needed to refine indicators according to key criteria of Research Framework.

Comments on Group Ds’ Contributions:

- It looks as if you are trying to measure the performance, not the effectiveness.
- We did have a discussion about “effectiveness” and we do need to revisit this.
- From the indicators listed here, the issues of governance are missing.

WD Co-ordinator: In the guiding questions there are issues of governance that will frame the research.

- For data collection purposes, it is safer to keep criteria disaggregated and not consolidate them too soon.
- The current modus operandi is too geared to performance management – i.e., how much water is consumed, but not effectiveness – does water reach the poor?
- On effectiveness and performance. Where do we deal with the contractual agreement and compliance? Biwater was evaluated but without consequences.
- The contract itself should have effectiveness in it.
- We have to unpack all the concepts but we are getting bogged down.

4.4 Report Back Working Group E: Obstacles, Challenges and Opportunities in Doing the Research

E. What obstacles or challenges do we anticipate in doing the research and how might we deal with these? What are the local practicalities? What opportunities should we look out for?

Challenges are:

- Approaching and consulting with communities. Identify stakeholders, develop passports (introductory letters explaining the research), organise meetings, which may raise expectations.
- Approaching and interviewing WSAs: Role of the group; good planning.
- Research methodology is critical. Effort must be put in before interviews.
- Choice of researchers: openness and transparency. They should be close to the field of study (to save transport costs).

Opportunities are:

- A well documented process can be used by others, for example research into electricity.
- Potential of mobilisation and capacity building for communities. Depending on funds available, the community involvement could be extended.

Additional Comments from Group Members and Discussion:

- Who in the country should be consulted? Both the rich and the poor.
- How does one identify stakeholders? It is useful to randomly consult to get an idea.
- Working group could identify potential stakeholders.
- Where there are traditional structures, the researchers should get permission to enter the community. Meet with groups in community to identify who should be interviewed.
- Have a letter of introduction that says what the research is, but be careful not to raise too many expectations.
- Make sure that feedback that is promised (and don't over-promise) actually does happen. User-friendly information for feedback is essential.
- There are lots of problems in setting up interviews and collecting data at municipal level. There is distrust and caution about how municipality may be reflected. The passport (letter) idea would be key, and important that researchers come across in a way that they can be trusted. Certain researchers have reputations that precede them, and one needs to be wary of this dynamic.
- One should keep in mind that the point of the research is about the role of the private sector, and one should remain aware that the dynamics of each municipality could be different.
- We spoke about taking a lot of time in working on the methodology before going into the field. It is important to get a good view of the landscape of the case study, and to use pre-existing information before getting into the field.
- There may be budget constraints on level of skill, and length of time you can spend in the field.
- Researchers should make it clear that it is transparent process, and who the other parties are that the researchers are talking to.
- There will be opportunities for dialogue. Process that will flow from this will be documented and will be a process that could be used by others, e.g. for electricity research. And that this could be an opportunity for communities to mobilise etc.
- In all the criteria set out, there has not been enough focus on what are the social relations between the different role players, as well as how they see their own roles.
- Ultimately the point of the research is to see what the role of the private sector is, as identified in Bonn, is the focus on the international research.
- We should open this up for debate. We need to agree on our focus. Are we working with different perspectives on the role of private sector, or is it what different mechanisms are for water services and their effectiveness?

Must WD-SA adopt the approach set by WD internationally?

WD Co-ordinator: We are affiliated with international working group, but in SA context, the WG has taken a different direction, which is the latter option: looking at public delivery and the role of the private sector in strengthening that. Brazil is only looking at the private sector, which is different.

Jessica (member if International WG): This issue was raised at international working group two years ago: The national dialogues are autonomous but linked to the international process by agreeing to key principles. We have raised funding for our national process independently.

- There is a question about what information companies will or won't disclose. This issue did come up and there is concern about willingness of municipalities, including their fear of the media and of misrepresentation. There is a role for the working group to lobby for this research with municipalities for co-operation.

Municipal Participation

- If municipalities buy into the idea of the research you have a better chance of municipalities to participate.

- Observation: municipalities have come into the conversation a number of times, and it sounds like a particular challenge.

- Is it possible that a research focus group with representation from municipalities could be formed?

- From our experience you will not get that, but there is a small chance that you will get such a group together. Maybe in some cases...

- Such a group may also bias information – because the achievers may participate and those not doing so well may not be present and may not give their experience – this will bias the research.

- I suggest that letters should go out to the identified municipalities to pave the way for the researchers.

- SALGA – and William (Moraka) – has pulled off something like this before.

- Give some thought to pitching the research to the municipalities in a way that they will see how it may be useful to them.

5. Conclusion

The facilitators asked participants to write their comments about the Forum or suggestions for the next forum on a card. These cards were collected and participants' comments are listed in Appendix 3.

Other Issues and General Comments:

- I appreciate this project, but in the next meeting there should be a fair chance of discussing the privatization of services, and there is a need for some platform where we get enough time to discuss this issue. It will be difficult in some research, and somebody might say there is no privatisation, but in the way I see it, we do have the need to discuss this whole issue because there is something happening.

- That is why we are conducting this research. I think this debate will happen after the research, if we do it too soon, we may undermine it.

Co-ordinator: I am concerned that we resolve this difference in opinion over process. We can't have a situation where we hide the debate (sweep the elephant under the carpet) for a long time while we wait to be ready. At this meeting, we purposely did not get into the meat of the issue, but focused on laying the foundation for gathering data that will allow us to get into it next time.

Final Comment: The question is: What benefits will this process bring, for the country and at municipal level? I need to express my sincere thanks for the effort that the Coordinator and her team have put into this. For me it demonstrates that there is confidence in the way forward, so let's do it.

WD Co-ordinator: Please use the telephone, or e-mail-- don't hesitate to contact me or other WG members about the project.

Stephen Law, EMG: Thank you all, thank the WG members who have stuck it out this far. You can pat yourselves on the back. It is amazing that we have got this far. Thanks to Mary Galvin who has taken on a lot of the load that the WG has felt burdened by, and not forgetting Heidi, Charles and Brenda, and Victor who has been quietly taking notes. Thanks to Ann and Doug. You did a seamless dance of leading us. And all of the people who put your time and energy into today's process. I would like to encourage you to continue dialoguing, if you have issues, concerns, or are interested to know more.

Appendix 1: Record of Detailed Discussion in Group C

It is critical how we choose our case studies.

Concession = risk transfer

Discussion on what do we mean by privatisation

Need to ms the question

In township we agree that outsourcing is privatisation

Are we drilling down or spreading out?

Current table looks at a broad spectrum

Not a problem to look at 24 cases – if we have the resources (but then we can't dig deep)

We need to give details

It is important to understand the purpose of the research – then it can help us choose

Rural is important, need to focus on these (even within a case study) e.g. Chris Hani

Within a WSA – focus on a specific area or aspect

CBO definition – community based service providers etc, need to understand this better

Spread of private sector involvement

Some things may be impossible to research, e.g. municipality is unresponsive, and there may be practical considerations.

New demarcation is problem because it includes urban and rural

WSAs cover big areas – we need to think this through.

Should we look at concessions? Yes, there might be more of them.

There might be a policy view that makes it hard to get concessions.

Maybe Mbombela was premature.

Are PPPs useful as case studies? Yes – to understand what went wrong.

Discussion on definition of CBO – call it “small scale local providers” or “community based providers”.

We can debate as activists.

Is Mvula a CBO? Yes/no they compete with private sector to be SSA.

There are other PPPs (e.g. management contract, to fit under PUPS in the matrix).

Reason for matrix is to have a spread – this is good.

Will we handle all case studies in the same way? It will be a mix between use of comparative and for in depth specific lessons.

We like matrix for broad coverage and to compare across.

Build on existing research.

Look at where decisions are made and why (e.g. bringing in water board to Chris Hani)

Its not just about municipal self-reflection but also govt led policies.

Appendix 2. Detailed Notes from Working Group D

Are we looking for the right information to assess the effectiveness of the different institutional approaches to water and sanitation?

When will we put the peg in the ground?

What kind of baseline information will be used?

When we are looking at shifts in institutional approaches, how do we draw the causal linkages in terms of what inspired these shifts?

From a time point of view, what is the current mechanism existing in this area, when did it start? Then use this as a base for looking at the four areas for drawing on

Institutional form is a useful peg to hold information on but it is not the only form.

The four areas for gathering data are useful but don't necessarily tell the story. For instance, the kind of data that was available in 2000 is very different from today.

The importance of the municipal environment needs to be a golden thread that ties the data together.

What are these streams?

The profound restructuring in the water sector is happening at the same time as profound changes within the local government environment

The contractual aspect is just one of many that fit into a larger institutional environment. The contractual form is not the only one.

Trying to root the private sector within the framework of understanding the public sector and the challenges it is facing with regard to institutional transformation.

Need to add on other dimensions for how the data connections happen. What explains the change in outcomes?

Researchers have to be adequately briefed in looking at external factors.

How will the research assist WSAs?

Have a wide range of different types of capacity. What is it that this particular institution brings in terms of value added.

In order to understand how the private sector can work and then moving backward from this? Is the legislation utilizing this capacity or is it snuffing it out?

There was more creativity in South Africa before the emergence of a legislative suite such as MFMA, MSA....

Dialogues process came up to explore what we think about the private sector, where does it fit, how do we promote cross learning. When we started to organize how the private sector has participated, we started then focusing in on different ways in which the private sector has participated. This then shifted the focus away from understanding how best to assist the public sector reform agenda in terms of the ways in which municipalities are struggling to meet the requirements of delivering water services.

We actually wanted to look at where the municipal sector is struggling and where it works.

One of the big debates is whether we want the private sector at all? How do we do this in a way that is useful?

We have become so methodologically ambitious that we have caged ourselves in. We need to take smaller bites.

The current table seems to be boxing us in too much.

A lot of the research will be focusing on partnerships that have already taken place. In looking forward, there should be a third dimension in terms of what the expectation was of each stakeholder in these kinds of partnerships. This will be helpful in figuring out what should be built for the future.

Companies would analyze the risks in terms of their survival in entering into a partnership. Current table doesn't look sufficiently at the risks that municipalities take in entering into partnerships.

Most of the arrangements have been done within the legislative guidelines. Need to think creatively about what might be possible in the future.

We mustn't limit ourselves to using mechanisms as the only entry point for this research. The way in which the cases have been selected allow for a good range.

The output of the research, once it is done, must allow us to engage the policy makers.

The MSA has been anti-private sector.

How are we going to package this information?

We need to bring back the questions that guided the Water Dialogues more than a year ago.

We need to use the concept of outsourcing within PPPs – it can be as small as meter reading outsourcing for six months. We need to ensure that there is a definition of PSP that encompasses outsourcing.

Different reforms – Emfuleni - why is it seen as high capacity if it has changed institutional forms so many times? Emfuleni is a project consolidate municipality, which may have caused it to want to find a new institutional arrangement for service delivery.

Why are we only doing 24 case studies? The point is what is the focus? What are the three questions we really want to understand? What are the drivers of the research?

Because we are trying to do so much, we are not going to do justice to any of them.

Is private sector involvement the right focus?

If we are still to debate whether we need the private sector to be involved or not then we will be wasting our time.

How do we use the private sector effectively? This presupposes that there is a role for the private sector. It is not sure - we need to research this first.

Have so many arrangements in order to ensure that there is no bias as to which kind of partnership is favourable. Big issue of contracting in terms of service delivery arrangement between the WSA and WSP. Need to remember the importance of the regulatory framework. Need to look at whether the service is ring fenced.

In the case of an internal option it is difficult to monitor the performance of the WSP.

A contract can outline the standards that need to be rendered-but there is a minority of WSAs that actually have these contracts in place.

Chris Hani - has a contract for using a service provider even though it is internal. Putting it into a contract, you are forced to define what you want. To what extent are these mechanisms useful for assessing performance?

At the end of the day we have a range of people in the dialogue-are trying to find common points that are not contentious. We must have certain common questions that cut across all the case studies to allow for a point of comparison in the analysis phase, ie: whether there is a WSA/WSP separation and if not, why?

How important is it for each player in a partnership to define its roles and responsibilities? Is each player clear about these different roles with regard to the partnership? What about their roles with regard to water provision? Are the roles defined according to the partnership or the arrangement? You want to have this question irrespective of the mechanism.

If we try to understand how the different sectors are being used by municipalities you will get a much broader perspective than if your entry point is just through the contractual arrangement.

What are we doing as the water dialogues? It is also taking place internationally. What are they measuring? They are measuring the private sector. In most countries there is a sense that the private sector should get out of the water sector. This is what we are measuring. In SA, we are using this as an opportunity to look at other partnership arrangements because the private sector doesn't play as substantial a role as it does in other countries.

The contentious issue is that the private sector hasn't got a role because they send the surplus back to their shareholders. The study needs to look at whether this isn't a false way in which the private sector can contribute. The issue is that if the private sector does have a role, it is how you manage it.

How do we strengthen the role of the public sector?

The four quarters should be used to guide the desktop research and can be used for indicative information. Then go into the municipality and verify the important points and use this information to help guide the questions for the research on the ground. There will certainly be a data problem in terms of reliability.

Appendix 3: Process feedback on cards at end of the day

Instruction: Please, each take a card and in your own way, which might be useful for us, write what was the quality of the day, the quality of the dialogue, and was it fruitful for you. Do you have suggestions for the next forum?

.....
1. Q1: The day went well. It wasn't anticipated that lots of people will attend and engage in dialogues. Thought programme was long, but in the process, it is seen that through discussions, the time was enough.
Q2: Discussions on research design and methodology were crucial in my understanding as I am an emerging researcher.

.....
2. Fruitful? Yes, but WD Team was a bit defensive, given the purpose of including other inputs and perspectives and contributions not present in the WG or TEAM.
Spirit of Dialogue requires more confidence in the value of initiative, staff, work done, to open up debate/discourse & finding out. Be more ROBUST, team. (Drawing of Heart).

.....
3. Day feel? Good.
Work for me? Yes.
No suggestions.
Facilitation: excellent
Improve? Add after sessions a get together or visit to surrounding area.
Local municipality involved in opening – This is dialogue in practice??

.....
4. Day felt good – dialogue between sectors (stakeholders) worked in small groups. Focus on a group task helped everyone apply their minds to a common issue. This helped express views in a constructive way and differences could be understood.
We have left a lot of challenges for the Working Group!
Fair balance between raising issues (important) and suggestions for how to deal with them (critical!) Jessica.

.....
5. I was very impressed with the Water Dialog Forum in that it looks at the international influences with respect to Private Sector Participation
It worked well for me in that I will unearth critical issues of water services through the research.
The venue is fine with the exception of power surge from time to time.
Organiser understands the outputs they want out of the session.

.....
6. Effective, well presented. Sense of unity and understanding each other. Will need a lot of constructive debates next time.

.....
7. Session was very useful. Conversations centred on key issues and debates.
Suggestions: Give participants material to read before next session. Write-up of this session should be circulated to attendees. Set up a blog to encourage conversations between participants and post useful information.

.....
8. It was fruitful and knowledgeable. Through I wasn't participating this was a learning experience for me. The inclusion of the CSO is important in this kind of research, though there is capacity but asking them questions in the way they understand you find that there is a whole lot of information that they can contribute.
Logistics: venue is fine. I don't think we can make changes unless there are financial constraints.

.....
9. It was fine though at the beginning was not sure of what we were doing.
It worked out well at the end of the day, more especially during the group discussions.
In future, tea-break should be at 10h00 instead of at 11h00, your exercises were good and the insertions were perfect.
You should not allow delegates to interfere while there is a presentation on process because that leads to dominance of one group by another like those that know.

.....
10. The whole session was informative because delegates had different views from different areas. It is a challenging research to be done but overall the day was well spent.
I'm not sure about the balance of delegate participation but we should have everyone present i.e. government; municipalities; NGOs; "private sector" & some 1 or 2 unions.

.....
11. LA Leballo, Maluti Water.
Today was a fruitful exercise in terms of the frankness of the discussions.
It has opened my eyes on the views of other sector players on the management and provision of water services.
We need to re-arrange seating and maybe level of representivity in the forum. The assumption that SALGA will represent municipalities may need to be revisited.

.....
12. The dialogue today was very helpful in terms of sharing the process of the Water Dialogue to a broader constituency.
The session was well facilitated.
It is important to ensure that the next forum actually has some preliminary research results to discuss or else we risk over-complexifying what is yet to be done.

.....
13. Informative and encouraging.
Suggestions: discuss the issues; words like privatisation, PPPs, PUPs and others.

.....
14. The meeting was okay and more especially getting to know more about the different municipalities' water struggles (this is from our group E).
It worked for me because I just wanted to listen and get to know Water Dialogues better.
I still think the time has come to debate about real issue like private sector vs. public sector.
If we want to involve CBOs then we need to give them a fair chance in our meetings.
Pat Sindane.

.....
15. The forum was insightful but the problem was time whereby participants left during the forum and not being able to hear of the day's outcomes.
The participants should be informed in time and be able to stay throughout the forum so that decision-making debates are all agreed upon.
The possibility of organising a central meeting place where everyone can be on time for forums.

.....
16. Organization of day is very well thought to allow all participants to give input in the dialogue process in general and the research in particular.
Time management was good, balance between breaks, presentation, group work and feedback time.
Organizers should deploy extra vigilance about mutual respect among participants. I expect them to intervene more when they feel a break of such.
Organisers have deployed a lot of energy and should be commended to allow all views to be aired. Thank you, Elie Sakhat.

.....
17. Oliver Ive, Amanzabantu.
It was good that there was a fairly good representation of local government, national government, researchers, anti-private sector lobby, private sector, etc.
Good size of forum (not too big or too small).
Good facilitation.
Based on the existing Working Group's framework.
Feedback for next forum:
Possibly provide pre-forum reading.
Try and keep same delegates so discussions can be built on rather than reworked!

18. The day felt good with various stakeholders present to understand the purpose and aims of the research – and more importantly participants help shape the research to achieve its purpose and objectives. It worked out very well because stakeholders managed to assist the WD to the design of the research. Good facilitation and the atmosphere was good. To the organisers – well done for bringing us together.

.....
19. Skhumbuzo Giyama 082 470 7056

It was very fruitful, it's not an easy thing to combine forums from different groups with different ideologies, only to find that they discuss in such a fruitful manner without hurting each other.

Organisers must contact us telephonically in terms of developmental changes.

I think it will be quite imperative for organisers to organise some t-shirts with the name of the forum and also bags.

Otherwise everything went well except those minor mistakes hoping that you will rectify.

May our wonderful Lord Jesus Christ bless you with this magnificent job sharp-sharp, hoping that we will continue to contact each other in order to maintain or contain the relationship that we started.

.....
20. How did it feel? A lot of catching up between Forum members and WG. Surprised by the general positive attitude.

How did it work for me? Still unhappy when one sector says that it wants to boot out another sector (private sector).

Suggestions: The poor presentation of WSAs is a big problem. They should be the biggest crowd and there are only 3 to 4. Need to shape Water Dialogues profile among them.

.....
21. Creative, stimulating, safe space to express views. Good opportunity to influence and inform outputs.

.....
22. Given the different background, perspectives, experience and expertise, a lot of time was needed to accomplish some very basic things. One would need to be very committed (and patient) and have lots of time to make the outcome meaningful. But I suppose this is a process that must be followed. The facilitators and consultants have been very great and effective.

Laila Horton.

.....
23. I feel good. It is good to go to the next forum.

.....
24. Q1. Well structured. People gave very freely of their ideas. Rich discussions. Felt good.

Q2. Begin to pull out substantive issues so that dialogue on service delivery content issues start sharpening research & enable research team to deepen qualitative understanding.

.....
25. Dialogue is important.

Delivery is more important as the poor can't drink dialogue.

We need to ensure that the sectors are adequately represented & sometimes we should meet closer to the people & not in very posh hotels. Get back to the grassroots.

.....
26. Very good process – and it highlights the need to extend the dialogue beyond the working group! Lots of learning and perceptions to share!

Appendix 4: List of Participants Attending

	Organisation	Participant Email	Tel/ Fax
1.	DWAF	Abri Vermeulen Vermeulena@dwaf.gov.za	012 33 66 546 F 011 336 6737 082 808 5631
2.	DWAF	Bheki Ngubo ngubob@dwaf.gov.za	012 336 7092 F 012 336 5560 082 804 1847
3.	DWAF	Thoko Sigwaza sigwazat@dwaf.gov.za	012 336 7049 F 012 336 6531
4.	DWAF	Marie Brisley marie@dwaf.gov.za	012 336 6565 F 012 3366672
5.	DWAF	Jenny Evans evansj@dwaf.gov.gov.za	082 806 3897
6.	National Treasury	Laila Horton laila.horton@treasury.gov.za	012 315 5132 082 925 7525
7.	SALGA	William Moraka wmoraka@salga.org.za	012 369 8000 F 012 369 8001
8.	EThekweni MM	Neil Macleod nam@dmws.durban.gov.za	031 311 8605 F 031 311 8225
9.	City of Tshwane	Mandlankosi Myanga mandlamy@tshwane.co.za	012 358 7991
10.	City of Johannesburg	Kathy Eales kea@iafrica.com kathye@joburg.org.za	0111 274 3510 F011 274 3350 082 330 5858
11.	Chris Hani DM	Makhaya Dungu mdungu@chrishanidm	045 808 4713 F 045 838 5959 C 083 555 9597
12.	Ekurhuleni MM	Thabang Mogotsi thabangm@ekurhuleni.com	011 899 4351 073 333 9943
13.	Maluti a Phofung Water (Municipal Entity)	Mpho Mabena mmabena@mapwater.co.za	058 718 1100 058 713 5418 083 630 2332
14.	Maluti a Phofung (WSP Head)	Labane Leballo lleballo@mapwater.co.za	058 718 1100 F 058 713 5418 082 7789 749
15.	Water Services South Africa	Elie Sahkat esahkat@wssa.co.za	011 209 9200
16.	Rand Water	Alan Tonks atonks@randwater.co.za	011 682 0257 011 682 0634 082 389 0375
17.	JOWAM	Jean Pierre Mas jpmas@worldonline.co.za	082 459 5745 F 011 804 5847
18.	Amanz'abantu	Oliver Ive oive@aserve.co.za	043 726 7217 F043 726 3093 082 459 5766
19.	Palmer Development Group	Fatima Rawat fatima@pdg.co.za	011 482 9568 F 011 482 9542 082 416 6457
20.	Water Research Commission	Jay Bhagwan jayb@wrc.org.za	012 330 0340 F 012 331 2565
21.	African Water Issues Research Unit	Jaqui Goldin jagoldin@sybaweb.co.za	F 011 726 1405 084 438 0203

22.	York University	Melanie Samson mel.samson@yahoo.ca	073 721 7978
23.	Cape Technikon	Deborah Cousins cousinsd@cput.ac.za	021 959 6638 F 021 959 6638 082 493 0195
24.	Centre for Civil Society, UKZN	Dudu Khumalo Dd_khumalo@yahoo.com	031 2603195 073 8989792
25.	South African Municipal Workers Union	Lance Veotti infotech@samwu.org.za	021 697 1152 F 021 697 0420
26.	Mvula Trust	Laila Smith laila@mvula.co.za	011 403 3425 F 011 403 1260
27.	Environmental Monitoring Group	Jessica Wilson jessica@emg.org.za	021 448 2881 F021 448 2922
28.	Environmental Monitoring Group	Stephen Law stephen@emg.org.za	021 448 2881
29.	WESSA	Garth Barnes gbarnes@wessanorth.co.za	011 462 5663
30.	Masibambane (Durban)	Bongani Dlamini bonganid@ananzi.co.za	031 304 6608 F 0866 918 153 073 935 7742
31.	Pietermaritzburg Agency for Christian Social Awareness	Sibusiso Khanyile sibuk@pacsa.org.za	033 342 0052 F033 342 0303
32.	SAWC (Bayview Flats Residents Assoc., Durban)	Selvarani Pillay b.f.r.a@webmail.co.za	031 400 6431 072 203 7746 F031 400 1776
33.	Imvezo Youth Organisation (Cape Town)	Nkululeko Meje	073 7940 297
34.	Coalition Against Water Privatisation	Pat Sindane sindane@gmail.com	073 052 7005 F 011 339 4121
35.	Coalition Against Water Privatisation (Johannesburg)	Jennifer Makoatsane kedingana@yahoo.com	078 552 4070
36.	Coalition Against Water Privatisation: (Queenstown)	Sikhumbuzo Giyama	082 470 7056 045 838 6501
37.	Isikhathi Sithemba (Illembé)	Sibonsiso Goba	084 0373 926
38.	Vaal Environmental Justice Alliance	Caroline Ntaopane carolinesaqmc@postnet.co.za	016 933 9079 F 016 973 3125 073 246 0081
39.	Vaal Environmental Justice Alliance	Setjele Mofokeng	016 933 9070 016 981 5090
40.	Phiri Concern Residents Association	Ishmael Mokoena	083 7302 717
41.	Working Class Community Co-ordinating Com.	Phineas Malapela	016 933 9079, 016 9733125, 072 234 9005
42.	Irish Aid (Funder)	Malcolm White malcom.white@dfa.ie	012 342 5062 012 342 3461 C 083 378 4141
43.	Facilitator	Ann Harper mtiki@iafrica.com	082 8791272
44.	Facilitator (CDRA)	Doug Reeler doug@cdra.org.za	083 7000 303
45.	Administration (DWAF)	Brenda Maripane mabuyab@dwaf.gov.za	012 33 66 546
46.	Recorder	Victor Munnik victormunnik@iafrica.com	011-6156881 082 906 3699

47.	The Water Dialogues-SA (Project Officer)	Charles Sibanda cmsibanda@mail.ngo.za	031 205 8610 F: 031 205 9034
48.	The Water Dialogues-SA (Project Officer)	Heidi Attwood hattwood@mail.ngo.za	031 205 8610 F: 031 205 9034
49.	The Water Dialogues-SA (Coordinator)	Mary Galvin mgalvin@mail.ngo.za	031 205 8610 072 463 8854 F: 031 205 9034

Appendix 5: Forum Handouts

Background Information on The Water Dialogues- South Africa

1. Introduction and Background

The Water Dialogues is an international initiative to bring the range of views and constituencies round the table to constructively discuss, review and analyse whether and how the private sector has a role in water supply and sanitation. The Water Dialogues does not presuppose a role for the private sector, nor does it aim to “bash” the private sector. Rather, it is a response to the conflicting ideological positions hampering effective service delivery. Worldwide, more than one billion people lack a safe water supply, while two and a half billion have no access to sanitation. To remedy this situation some actors have promoted the involvement of the private sector in service delivery. Others have opposed this, maintaining that public delivery is preferable and no profit should be made from water services. The conflict is having a significant negative impact on progress towards the Millennium Development Goals. Past attempts to resolve the clashes between opposing groups have focused mainly on conducting research to generate evidence about specific areas of disagreement. But since neither side trusts the “evidence” produced by the other, this research has done little to ease tensions or change perceptions.

With endorsement from the *International Conference on Freshwater* held in Bonn, December 2001, a multi-stakeholder working group was established to oversee an international scoping process on water and the private sector. The results were presented in Berlin, June 2004, where a strong majority of the participants, drawn from different countries and constituencies, agreed that a multi-stakeholder review of Private Sector Participation in water supply and sanitation is needed to assist in meeting the Millennium Development Goals. The Berlin statement opens as follows:

The overarching goal of a multi-stakeholder review is to contribute to making progress towards meeting the Millennium Development Goals (MDGs) for water supply and sanitation, prioritising the need to achieve for the poor the human right of affordable and sustainable access to water and sanitation, and to attain the long-term goals of universal access and poverty eradication.

The Berlin workshop agreed on a review process that links national assessments and dialogues between different countries, guided by a multi-stakeholder group in each country, with coordination by an international secretariat and an International Working Group. South Africa is currently one of five countries initiating such a Dialogue. The others are Uganda, Brazil, Indonesia and the Philippines.

At a meeting hosted by the Department of Water Affairs and Forestry (DWA) on 10th March 2005, there was broad in-principle agreement that The Water Dialogues would be beneficial to South Africa, especially if it was aligned with national reform and policy processes. The four major policy reform processes that relate to water services, and that fit with the proposed review, are:

- Review of the Water Services Act (Act No. 108 of 1997)
- Institutional Reform Strategy
- Municipal processes related to Section 78 of the Municipal Systems Act (Act No. 32 of 2000), which amongst other things, outlines a process for municipalities to determine a model for delivery of water services.
- Development of a National Regulatory Strategy

The timeframes for the first three of these four processes will allow for uptake of lessons from the review. It is envisaged that participation in The Water Dialogues will particularly assist municipalities with the Section 78 processes, which will be ongoing and iterative for several years. These processes require municipalities to review and put forward plans for service delivery after assessing the capacity of their own municipality, other public providers and the private sector – in that order.

Stakeholders from government (national and local), labour, civil society (advocacy and delivery NGOs and social movements), and the private sector agreed that the national review process should be broader than identified at the 2004 Berlin Stakeholder Workshop, and should focus on both public and private sector delivery, with the emphasis on how to improve public sector delivery, particularly in less well resourced municipalities. The International Working Group and the national processes from the other four participating countries have agreed to this.

2. Problem Statement for South Africa

After a series of meetings, the South African interim working group concluded the following problem statement to guide the initiative:

Municipalities in South Africa face many challenges in meeting the constitutional requirements to ensure effective, equitable and sustainable delivery of water supply and sanitation to all. This is taking into account the highly skewed distribution of wealth, service provision and water resources. In the efforts to address these challenges a number of different approaches to service delivery including commercial approaches and PSP have been used.

This Multi-stakeholder Review provides the opportunity to create a constructive dialogue to identify, critically analyse and evaluate these approaches leading to greater understanding of service delivery models. It is envisaged that this understanding will lead to more effective service delivery models to contribute to universal supply of safe water and sanitation.

The South African Working Group has met every two to three months since March 2005. It agreed on a Code of Conduct, a draft set of research questions and evaluation criteria, and an implementation plan. On this basis, the Working Group obtained funding from Irish Aid and hired a Coordinator with an office in Durban in late 2006. With guidance from the Working Group, the Coordinator has proposed a research design and organised a Forum to get input from a wider group of participants.

3. Overall Goal and Objectives

The overall goal of this project is to contribute to more effective service delivery models for universal supply of safe water and sanitation through creating a constructive dialogue that identifies, critically analyses and evaluates different approaches to service delivery. Its specific objectives are to:

1. Set-up and manage *The Water Dialogues–South Africa* project so that it is fair, transparent, participatory and accountable.
2. Strengthen multi-stakeholder dialogue on water supply and sanitation in South Africa by establishing a forum in which parties are able to participate equally and effectively.
3. Identify case studies in South Africa that can be used to identify, critically analyse and evaluate the different approaches to service delivery, including commercial approaches and PSP.
4. Plan and conduct research in alignment with the international process so that findings can be shared and lessons drawn from all the national processes.

5. Document lessons on process and content.
6. Disseminate results and lessons from *The Water Dialogues-South Africa* and liaison with The Water Dialogues international umbrella process.
7. Strengthen the participation of CSOs in sector processes and strengthen linkages between South African and International processes, enhancing the status of South Africa in the Region.

This project is participatory in its conception and implementation. A multi-stakeholder National Working Group has been established with members from all the main sectors and many organisations involved in water supply and sanitation. This Working Group provides strategic guidance to the research and other activities, ensuring that it is balanced and fair. Participatory research methodologies will be used which will enable poor and vulnerable communities, and especially women in such communities, to provide their views and experiences. Because many of the key players are active participants in the national Working Group, results from the project will be taken up as they arise, and not only at the end. Ongoing discussion will ensure that results don't just sit in unread reports but are actively engaged with. Documentation through reports, papers and a website will ensure that results can be shared more broadly, including with other countries and international decision makers.

4. Code of Conduct for the South African Working Group

Agreed at a meeting of the South African Working Group, Water Research Commission, 5th October 2005.

We, the undersigned members of the South African Working Group, delegated or authorised to represent our institutions or sectors, guiding the South Africa process of the Global Review of PSP, undertake to abide by the following Code of Conduct for the duration of our working together on the national process for the Global Review of PSP. We agree that the following principles will guide our behaviour and interactions on this Working Group:

- *Openness and transparency* – this means that we will clearly share our views and positions, avoiding hidden agendas, and we will also be prepared to enter into discussions on our positions.
- *Open minds, co-operation, and a spirit of serious inquiry* – we shall be willing to explore controversial or difficult questions with an open mind. The group will try to understand the real issue as it is – this means that issues will be explored more deeply to try to understand what is really happening on the ground and to understand the concerns that lie beneath people's positions.
- *Mutual respect* – we shall treat each other with mutual respect, particularly where there are differences. Mutual respect includes the need to listen to each other, and to be willing to agree to disagree. This also means that opinions expressed here shall not be distorted or taken out of context in order to be used in other forums
- *Respect for minority views* – minority views should always be recorded.
- *Confidentiality* – this means that discussions leading to decisions are not in the public domain, but that the agreed minutes are in the public domain. In the case of unresolved issues that form part of an ongoing group discussion, the group agrees to clarify what will be reported back to sectors and what will be held over until the next meeting or conclusion of the discussion on that particular aspect. The group will discuss further identifying a Chairperson for the group, who

could be provided with an agreed terms of reference and identified as the spokesperson for the group.

- *Accountability* – this includes the responsibility to feedback to our sectors.
- *Ownership of the results* – the group agrees that the outcomes of this review process will be public property. The group will further discuss guidelines for using and interpreting the outcomes of the process.
- *Innovative* – this means that the group will be open to new solutions and ideas.
- *Sensitive to the distinction between facts and perceptions, and to complexity* – the group will strive to distinguish between facts and perceptions, recognising also that facts can be manipulated, and that the subject is a complex one, where no-one has a monopoly over the solutions.
- *Multi-stakeholder process* – the group agrees that multi-stakeholder guidance of the methodology and of the process is critical, and that a consultant-driven process must be avoided.
- *Collective interest* – the group will strive to make workable solutions, and not just to protect personal ideology.
- *Dynamic and forward-looking* – the group recognises that the sector is dynamic so we have to engage with current dynamics and dialogues, and to make sure that the review also has a forward looking element.
- *Approach* – important elements of the approach include agreeing on working definitions; recognising cost implications of the need to distinguish between facts and perceptions (solid funding will be needed to get ‘harder facts’); and looking at what is happening in other countries.
- *Commitment to the process* – once our organisations have signed on to participate in the review, this means that we are committed to seeing the process through to its conclusion. The only grounds then for disengagement from the process would be if there is a substantial deviation from what has been agreed to up front. If this appears imminent, the group should be alerted well in advance of any actual withdrawal, to allow for a process of negotiation and/or conflict resolution, to attempt to remove the need for any disengagement.

5.2 The Water Dialogues- South Africa: Proposed Research Design (April 2007)

From a Problem Statement:

Municipalities in South Africa face many challenges in meeting the constitutional requirements to ensure effective, equitable and sustainable delivery of water supply and sanitation to all. This is taking into account the highly skewed distribution of wealth, service provision and water resources. In the efforts to address these challenges a number of different approaches to service delivery including commercial approaches and PSP have been used.

This Multistakeholder Review provides the opportunity to create a constructive dialogue to identify, critically analyse and evaluate these approaches leading to greater understanding of service delivery models. It is envisaged that this understanding will lead to more effective service delivery models to contribute to universal supply of safe water and sanitation.

To a Research Question:

Given the varying capacities of Water Service Authorities,
how do different institutional approaches affect outcomes?

- See attached chart of **institutional approaches** (and varying capacities of WSAs) to be examined. This includes PPPs, CBOs, PuPs, and public sector.
- Attached chart also lists proposed case studies.
- See attached chart of **outcomes** on which data will be gathered.

5.3 Proposed Outcomes

Service Delivery

Providing and managing water and sanitation systems as constitutionally and legally mandated

1. level of sanitation service
2. quality of water (good, acceptable, poor)
3. quantity of water and FBW
4. pressure (e.g. Durban roof tanks much cheaper but not same pressure)
5. cost (tariffs)
6. control (PPMs, flow rate- restrictors)
7. continuity of supply (>98% good, 80-98% poor, <80% unacceptable)
8. coverage and extension to unserved areas/ percentage of area served (universal supply of water and sanitation)- business plan and contract of WSP
9. assurance of supply- is design adequate for supply? 48 hours storage in urban areas?
10. functionality - is the scheme maintained? How is water managed? Regularity?

Data source: municipal data, WSP interviews, random household interviews and on ground inspection by researchers

Notes: need to show change over time (if any) to show impact of WSP so need baseline

User Satisfaction

Users experience services as sufficient/ acceptable to meet their (basic) needs

1. Sufficient
2. FBW implementation
3. Health indicators and quality of water
4. Sanitation
5. Affordability- tariffs/ impact of cost recovery on poor- tariffs as percentage of income
6. cut-offs, disconnections, restrictions
7. pre-payment meters
8. metering and billing systems- efficacy of billing (and accuracy of arrears information)
9. User (customer) care/ Batho Pele (responsiveness of WSP to complaints/ queries)
10. continuity of supply and pressure
11. Participation in decision making and conditions to involve civil society
12. Impact on poor people (including very young, old, and sick, esp HIV/AIDS) and social impacts (gender and cultural issues)

Data source: interviews with community leaders (health workers, teachers, pastors, shop owners, etc), participatory community workshops, random household interviews

Note: subjective versus objective measurement and local politics as intervening variable, need to assess representivity and qualify findings

Financial management/ viability

Revenue and expenses are managed effectively to ensure finances are adequate for service delivery and maintenance of water and sanitation systems

1. financial history and where stands now (red/ black)- credit control and gearing/ debt equity
2. Profit margin (percentage of surplus to turnover)
3. Subsidies received (finance capex from national MIG and housing and opex from equitable share- although now obliged to use for services)
4. Capex- use of WSA/WSP own funds
5. Ratio of collected/ billed: revenue collection efficiency (are people metered, are bills correct, are funds coming in)
6. Credit control (how make sure people pay, eg water restrictions)
7. Entire cost chain because municipalities can only control part of this, and impact on retail tariff (eg if resource scare area leads to high cost of bulk water) (ops, capex, profit)
8. Tariff structure (cross subsidisation and elasticity, political decision)
9. % of operating costs that are labour

Data source: WSAs, MTEF KPIs, benchmarking project

Notes: difficulty producing stats if not ring fenced, willingness to provide information

Resource Management

Infrastructural: Developing and maintaining infrastructure to ensure continuous provision of water and sanitation to the present and future population.

1. Maintenance- breakdowns per year (not recorded properly)
2. **Water loss (ratio of volume of water is purchased from bulk v. total volume billed for)- demand management- parks and gardens, leakages, illegal connections
3. Pipes replaced per year- did it help loses?
4. Asset depreciation: percentage assets replaced each year?
5. Baseline and strategy: To maintain what have and to take into account new developments/growth of area and future use.

Environmental: Ensuring that environmental resources are protected for the present and the future

1. Environmental health: puddles or sewage spills.
2. pollution and enforcement
3. Educational component: awareness or encouraging environmental conservation of water

Human: Ensuring that labour is managed and developed for the present and the future

1. Total Number of employees (including category breakdown i.e. management, technical-professional/administrative/manual) and gender breakdown
2. Type of employment (casual via labour brokers; or sub contractors) with relevant breakdown as per (1) above
3. Pay and conditions of all categories of employees
4. Whether or not there are recognised trade unions and, if so, names
5. Trade union members

Data source: WSA and WSP interviews, key informant interviews with union representatives and environmental NGOs

Potential Case Studies

	Section 78 Mechanism and WSA-WSP Contract Type	Water Services Authority Capacity		
		High	Medium	Low
Public Private Partnership (PPP)	Private: Private sector with concession	1. eThekwini MM (Durban South Waste Water Treatment)	2. Mbombela LM (Nelspruit) P3. Ilembe DM (KwaDukuza LM, Dolphin Coast)	
	Private: Private sector with lease	4. Amatole DM (Amahlati LM, Stutterheim, Fort Beaufort)	5. Chris Hani DM (Lukhanji LM, Queenstown, including WSSA – WWT)	
Community Based & Small Scale Provision	CBO with service contract		5. (D) Chris Hani DM (rural) ► <i>Mokgalakwena LM</i>	6. Zululand DM (Nqutshini) ► <i>Alfred Nzo DM</i>
Public Public (PuP)	Public: Public – Public - Private	7. City of Johannesburg MM 8. Emfuleni LM	9. Maluti a Phofung LM	
	Public: National entity (water board) with management contract	10. City of Tshwane MM (Odi) ► <i>Mangaung LM (Thaba Nchu, Bloem Water)</i>	9. (D) Maluti a Phofung LM 11. Msundusi LM (Vulindlela) ► <i>(D) Mokgalakwena LM</i>	12. Bushbuckridge LM 13. umKhanyakude DM ► <i>uKhahlamba DM (Bloem Water)</i>
	Public: Multi-jurisdictional with lease	14. Ekurhuleni MM (ERWAT, East Rand Water)	15. uThukela DM, uMzinyathi DM, Amajuba DM, Newcastle LM (uThukela Water)	
	Public: Another municipality (nature of contract unclear)		16. Saldahna Bay LM, Swartland LM, plus 2 other LMs (West Coast DM)	17. OR Tambo DM (KSD LM- Umtata) P18. Mopani DM (Tzaneen LM, Phalaborwa LM)
Public (Internal)	Internal	19. City of Cape Town MM (inclu. MSP Sanitation Study) P20. Ugu DM <i>10. (D) City of Tshwane MM</i> <i>4. (D) Amathole DM (rural)</i> <i>1. (D) eThekwini MM</i>	21. Overstrand LM (Hermanus) 22. Kouga LM (Jefferies Bay; St Francis areas) 23. Rustenburg (mining towns – rich TA providing water)	24. Nama Khoi LM (former mining towns) <i>17. (D) OR Tambo</i>

Key:

- 5. Potential Case Study
- P5 Potential Pilot Case Study
- 5.(D) Duplicate of Case Study (Location on Chart Unclear)
- ▶ Alternative Suggestion for Case Study
- ▶(D) Duplicate of Alternative