Municipal Infrastructure

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PURPOSE OF THIS BOOKLET

The purpose of this booklet is to clarify the roles and responsibilities of national sector departments, their provincial counterparts, and municipalities, in the planning, implementation and monitoring of municipal infrastructure programmes. These roles and responsibilities are critically important to ensure that municipal infrastructure projects result in sustainable services.

This publication also attempts to highlight the value that sector departments and their provincial counterparts can bring to municipal infrastructure programmes.

Introduction to this booklet

Government has put in place the legislative, policy and institutional frameworks for municipal infrastructure provision. These frameworks outline what has to be done in providing municipal infrastructure.

This booklet focuses specifically on roles and responsibilities of all the important stakeholders in the process of municipal infrastructure delivery. These roles and responsibilities have been drawn from the various legislative, policy and infrastructure frameworks and consolidated into one document.

This booklet outlines the following for sector departments:

- the role they need to play towards ensuring that municipal infrastructure development is part of sustainable human settlements (as opposed to the delivery of sectoral infrastructure which takes place in a parallel manner)
- the framework within which municipal infrastructure support should be provided
- the importance of collaboration across sectors
- specific support to be provided to municipalities in terms of municipal infrastructure through the service delivery life cycle

This booklet aims to clarify the following for municipalities:

- their role and responsibilities in the delivery of municipal infrastructure
- the type of support they can access from different sector departments and from the provinces

Support will vary depending upon the nature of the sector, for example the type of support required for a roads project is very different to that required for a sanitation project. This booklet provides some guidelines on generic support that should be provided by sector departments, as well as details concerning the nature of the support provided.

This booklet is not intended to replace any policies or guidelines about municipal infrastructure.
Rather it is intended to provide a user-friendly overview of the different roles and responsibilities that stakeholders need to fulfil towards ensuring sustainable municipal infrastructure.

Who should read this booklet?

This booklet provides information that will be useful to:

- Those responsible for municipal infrastructure, particularly municipal infrastructure projects within municipalities
- Ward Councillors responsible for infrastructure in their portfolio
- All those providing support to municipalities in terms of municipal infrastructure
- Sector Departments
- South African Local Government Association
- Project planners (those undertaking project feasibility studies and those responsible for developing project business plans)
- Contractors, service providers, enterprises and all those contracted as part of implementing capital projects
- Community development workers, social and technical staff / practitioners
- Anyone who wants to know more about planning and implementing sustainable municipal infrastructure projects

Contact details are listed on the back cover.

What information is covered in this booklet?

Apart from explaining the overall roles and responsibilities of national departments, their provincial or regional counterparts and municipalities in the delivery of municipal infrastructure, this booklet also examines the specific responsibilities of each of these stakeholders through the service delivery life cycle.

This means that for each phase in the service delivery cycle, the specific responsibilities of each sphere of government are unpacked. A distinction is made between the responsibilities of dplg and its provincial counterparts on the one hand, and sector departments and their provincial or regional counterparts on the other hand. Dplg and its provincial counterparts are responsible for developing policy, systems and procedures to ensure the proper co-ordination and management of municipal infrastructure delivery. Sector departments are responsible for developing policies, norms and standards for sectoral municipal infrastructure to ensure sustainable municipal services.

The support that is provided by dplg and its provincial departments of local government is towards developing municipal infrastructure programme management capacity (structures, systems, procedures) whereas the support that is provided by sector departments and their provincial or regional departments is towards developing capacity to deliver appropriate municipal infrastructure and sustainable municipal services within that sector.
The diagram on the right illustrates the phases of the service delivery cycle and the different levels of government within each sphere for which roles and responsibilities for municipal infrastructure are allocated. Whilst four phases are illustrated, this booklet focuses on the first three phases which culminate in commissioning. The service provision phase is where operation and maintenance takes place which is the actual provision of services.

The Service Delivery Life Cycle should not be confused with the Project Life Cycle. The Service Delivery Life Cycle is all the phases and processes from policy through to service provision. It applies to all spheres of government and is an interactive process where policy is improved over time as lessons are learnt through the cycle and fed back into the policy making process.

The Project Life Cycle is the different phases that a project goes through and forms part of the service delivery life cycle. A project has a beginning and an end and is time bound. The project life cycle happens at the local level, however it is supported by other spheres of government where required.
## PHASE 2: Planning

- Develop framework for National Spatial Development Perspective (NSDP)
- Macro sector planning
- Provincial Growth and Development Strategies (PGDS)
- Provincial Sector Plans

## PHASE 3: Implementation

- Municipal infrastructure programme management, collaboration, mobilise support and monitoring
- Monitor implementation of norms and standards and collaboration around support
- Provincial Growth and Development Strategies (PGDS)
- Provincial Sector Plans
- IDP
- Local sector plans
- Project Pre-Feasibility and Feasibility Studies and Business plans
- Infrastructure delivery systems put in place and project management
- Technical department (e.g., water, roads etc. oversee project implementation)
- Project cycle – implement technical norms and standards

## PHASE 4: Service Provision

- Regulate and oversee systems and procedures
- Regulate and oversee sectoral norms and standards
- Systems and procedures support
- Service provision support and intervention
- Regulate and oversee sectoral norms and standards
- Service provision (O&M)
Introducing Municipal Infrastructure

What is municipal infrastructure?

Municipal infrastructure is defined in broad terms as ‘the capital works required to provide municipal services. It includes all the activities necessary to ensure that the works are delivered effectively, such as feasibility studies, project planning and capacity building to establish sound operational arrangements for the works.

The term ‘works’ is taken to exclude readily movable assets such as specialised vehicles and equipment and land not directly required for the construction of municipal infrastructure. This definition excludes vehicles whether these be conventional trucks or specialised vehicles such as fire engines. But it includes the mechanical and electrical equipment that is required for, amongst others, water and wastewater treatment works.

Who are the Role Players?

Sector Departments

The following national departments, including their regional or provincial counterparts, where relevant, are directly contributing and adding value to the municipal infrastructure programmes through supporting the planning, design, implementation, operation and maintenance, monitoring and evaluation phases of infrastructure projects implemented by municipalities countrywide:

- Department of Provincial and Local Government (dplg) and its provincial counterparts
- National Treasury (NT) and its provincial counterparts
- Department of Water Affairs and Forestry (DWAF)
- Department of Public Works (PW) and its provincial counterparts
- Sports and Recreation South Africa (SRSA) and its provincial counterparts
- Department of Environmental Affairs and Tourism (DEAT) and its provincial counterparts
- Department of Minerals and Energy (DME)
- Department of Transport (DT) and its provincial counterparts
- Department of Housing (DH) and its provincial counterparts

The South African Local Government Association (SALGA) is also a sector partner.
Who is the ‘sector’ in terms of municipal infrastructure?
The sector is all those government departments, structures, spheres of government, municipalities and their representatives that are directly involved in either the policy making, co-ordination, planning, development, implementation, monitoring, reporting or auditing of municipal infrastructure. Amongst these stakeholders a number of structures have also been formed for policy making, planning, co-ordination, monitoring and reporting purposes.

Institutional Framework for Municipal Infrastructure
The purpose of having an institutional framework for municipal infrastructure is to ensure that the respective roles and responsibilities of the different spheres of government and various sector departments are clearly defined. It is also to ensure that the imperative of both co-operative government and sector collaboration is recognised and that overlapping mandates are minimised.

This booklet outlines the institutional principles and the roles and responsibilities of the different spheres of government for municipal infrastructure delivery. It also explains the structures for co-operative government.
Institutional principles for municipal infrastructure

The following principles guide the institutional framework for the delivery of municipal infrastructure where municipal infrastructure is decentralized to municipalities within national norms and standards. However, since the delivery of municipal infrastructure involves all spheres of government and a whole range of sector departments, there is a strong need for both co-operative governance and cross sector collaboration. The principles are designed to ensure an enabling institutional environment for the delivery of municipal infrastructure, which institutionalizes a collaborative approach.

Co-operative governance and collaboration

- **Co-operative governance.** There are many stakeholders involved in the development of municipal infrastructure that cut across all three spheres of government. Co-operative governance is therefore essential to ensure that the different departments and spheres of government are working towards common goals and objectives in the development of municipal infrastructure. The need for structures to facilitate co-operative governance, particularly cross sectoral structures is recognised.

- **Municipal infrastructure sector leadership.** This is the role of dplg and entails leading the co-operative governance effort but does not mean that dplg takes responsibility for the sustainability of the different types of sector infrastructure. Dplg support to municipalities relates to compliance with cross sectoral conditions and criteria, programmatic issues and, monitoring and reporting requirements.

- **Multi-sector wide approach.** Infrastructure delivery and service provision are premised on a multi-sector wide approach. This approach will be institutionalised through multi-sectoral forums which will be responsible for co-ordinating policy and implementation thereof.

- **Co-ordination.** In as far as practical and feasible, support and monitoring related to municipal infrastructure will be co-ordinated so that there is no duplication of activities which may negatively impact on municipalities in terms of additional effort.

Policy development

- **Municipal infrastructure policy.** Dplg is responsible for developing overall policy for municipal infrastructure that addresses the vision for municipal infrastructure and the planning, financial, institutional, regulatory, monitoring and support frameworks to achieve this vision. This policy provides the overall co-ordinating framework for sectoral policy for municipal infrastructure.

- **Sectoral policy for municipal infrastructure** is the responsibility of sector departments and must be consistent with the municipal infrastructure policy. Sector departments are responsible for ensuring that municipalities understand the implications of their policies in terms of municipal infrastructure delivery and municipal service provision.

Setting norms and standards

- **Norms and standards** related to municipal systems, procedures and structures are the responsibility of dplg and the purpose of these norms and standards is to enable the efficient and effective delivery of municipal infrastructure.

- Sector departments are responsible for setting norms and standards for their sector and for ensuring that municipalities have a good understanding of how to achieve these norms and standards in municipal infrastructure delivery. The purpose of these norms and standards is to ensure the delivery of sustainable municipal infrastructure.
Planning

- **Planning and implementing municipal infrastructure** is the responsibility of local government. Developmental and democratic local government is in the best position to make accountable decisions related to how services should be provided, taking into account the needs of their constituencies as well as social, economic and environmental aspects within their areas of jurisdiction.

- **Roles and responsibilities are guided by the planning framework.** The National Spatial Development Perspective, the Provincial Growth and Development Strategies, Provincial Sector Plans and IDPs are all key development plans that form part of the planning framework across the different spheres and sectors of government. Role players must undertake their planning responsibilities within the planning framework to ensure that they provide the necessary inputs for municipal infrastructure development.

- All municipal infrastructure projects (i.e. not just MIG projects) must be part of the municipality’s IDP and the appropriate sectoral plan.

Support

- **Co-ordination of support** and providing support to the establishment of **efficient and effective systems** for municipal infrastructure delivery is the responsibility of **dplg** and its provincial counterparts.

- **Integrated development planning support** to ensure that sector plans are brought together into a holistic IDP where municipal infrastructure projects are appropriately prioritised is also the responsibility of **dplg** and its provincial counterparts.

- **Support to local sector plans** (such as the WSDP, Integrated Transport Plan, etc.), and project planning is the responsibility of sector departments.

- **Support to ensure the delivery of sustainable municipal infrastructure** is the responsibility of sector departments. This means that sector departments must ensure that municipalities are able to access the type of expertise and technical capacity they require to plan and implement municipal infrastructure projects.

- **Support beyond MIG projects.** Sector departments are responsible for providing support to all municipal infrastructure projects and not only those that are subsidised by the MIG.

Regulation and monitoring

- **Regulating and monitoring municipal systems** is the responsibility of **dplg**. With regards to municipal infrastructure, **dplg** is responsible for ensuring that municipalities have the necessary systems in place to identify, plan, implement and operate and maintain municipal infrastructure.

- **Regulating and monitoring infrastructure delivery** is the responsibility of the different sector departments for their sector area. Sector departments must ensure that municipal infrastructure projects result in sustainable services and thus they have a monitoring and regulatory role throughout the service delivery cycle to ensure that planning and implementation complies with sectoral norms and standards.
Overview of Responsibilities of Different Spheres

National sphere

The national sphere comprises the national government departments. Broadly their responsibilities include the following:

- Creating an overall enabling environment for municipal infrastructure service delivery;
- Policy development on municipal infrastructure;
- Macro planning to identify infrastructure and resource requirements;
- Allocation, transfer and disbursement of government’s contributions towards municipal infrastructure;
- Support all spheres of government (capacity building) in fulfilling their mandated functions on the delivery of municipal infrastructure;
- Monitor and evaluate policy outcomes;
- Communication and awareness.

Department of Provincial and Local Government (dplg)

The Department of Provincial and Local Government is the leader of the municipal sector and thus the custodian department of municipal infrastructure.

Dplg fulfils an overall municipal infrastructure policy making and implementation support role (including administering the MIG programme), which involves all those activities related to policy development, facilitating cross sectoral co-ordination, and ensuring collaboration across the spheres of government. It is also responsible for putting in place the necessary structures and systems to ensure efficient and effective monitoring, identification of interventions needed, reporting, and auditing.

Whilst it does not get involved in the actual planning and implementation of municipal infrastructure projects, it has an overarching responsibility for co-ordinating municipal infrastructure policy and implementation thereof. It is also responsible for overseeing the municipal infrastructure activities of all sector institutions and municipal service delivery support structures with respect to municipal infrastructure. It leads the collaboration effort to ensure that the delivery of municipal infrastructure is planned and implemented within a sector wide approach.
OVERVIEW OF RESPONSIBILITIES OF DIFFERENT SPHERES

DEPARTMENT OF PROVINCIAL AND LOCAL GOVERNMENT
Responsible for:
- establishing municipal infrastructure delivery SYSTEMS to monitor performance on mandates and to identify support requirements

SECTOR DEPARTMENTS
Responsible for:
- developing sector specific NORMS and STANDARDS
- Providing SUPPORT to achieve norms and standards
- MONITORING norms and standards,

PROVINCIAL DEPARTMENT OF LOCAL GOVERNMENT
Responsible for:
- monitoring the implementation of municipal infrastructure
- co-ordination across sector departments
- supporting municipalities to implement

PROVINCIAL SECTOR DEPARTMENTS
Responsible for:
- support to municipal sector planning
- technical advice throughout the project cycle
- monitoring of sector norms and standards
- providing implementation support

REGIONAL SECTOR DEPARTMENTS (DWAF AND DME)

MUNICIPAL LEVEL
Responsible for:
- Developing an IDP which identifies infrastructure projects based on sector plans
- Developing Infrastructure Investment Plans (IIPs)
- Multi-year budgets (Capital and Operations and Maintenance)
- Programme and project management of municipal infrastructure

LOCAL SECTOR LEVEL
Responsible for:
- Development and implementation of sector plans (such as WSDP, Transport Plan, etc.)
- Oversight of project implementation by appropriate technical section (e.g. water, roads, etc.)

PROJECT LEVEL
Activities in the project life cycle take place such as:
- feasibility study, business plan, design of project, tender activities, construction of infrastructure, commissioning of the infrastructure.
The dplg’s responsibilities in terms of municipal infrastructure include:

- Coordinate and facilitate municipal infrastructure policy development through intergovernmental forums at a national level;
- Establishing municipal infrastructure delivery systems to monitor performance on delivery mandates and identify support requirements;
- Administering the transfer of Municipal Infrastructure Grant (MIG) funds to municipalities according to the Division of Revenue Act (DORA) Schedule;
- Providing support to municipalities to establish effective project management capacity;
- Providing support to provinces in fulfilling their mandate with regard to their role in municipal infrastructure delivery;
- Monitoring performance of municipalities with regard to municipal infrastructure delivery;
- Compiling reports for various intergovernmental fora, national and provincial government departments on the overall progress in terms of municipal infrastructure delivery.

It is not dplg’s responsibility to ensure the success of all municipal infrastructures. This responsibility lies with sector departments.

Municipal Infrastructure (MI) Unit for Programme Management

The dplg has a National MI Unit to administer the Municipal Infrastructure Grant and overall municipal infrastructure related matters. Its functions have been broadened to monitor progress across all municipal infrastructure. Its functions include:

- Co-ordinate the IDP reviews in terms of infrastructure;
- Monitor the DoRA and cross cutting conditions as well as overall progress in the implementation of the programme;
- Monitor progress and impact of the MIG programme through the Key Performance Indicators (KPI) reports received from municipalities;
- Communicate the achievements, challenges and interventions related to municipal infrastructure to various stakeholders, including the socio-economic impact of the MIG programme on communities and municipalities;
- Build the capacity of municipalities to ensure that they fulfil their capital programme and project functions;
- Auditing the local programmes to ensure compliance;
- Preparing reports to the Technical Task Team on Infrastructure and Sustainable Human Settlement, Youth Commission, Human Rights Commission and all provincial and national government departments.

Other National Departments (Sector Departments)

National departments (and their provincial counterparts) retain their policy making and regulatory functions in terms of municipal infrastructure. They also retain their constitutional rights to intervene directly in the affairs of municipalities where it pertains to their sector mandate. In addition, each department has specific responsibilities in terms of municipal infrastructure. These responsibilities include:
- Develop sector policy and set norms and standards for the sector, which addresses infrastructure development

- Provide a sector planning oversight role, which includes ensuring alignment between regional / provincial sector plans and the municipality’s sector development plan within the IDP

- Support municipalities to prepare and implement their sector development plan (for example in the case of DWAF, support should be provided to municipalities with the development of their Water Services Development Plan)

- Monitor the performance of municipalities in the planning and development of sector infrastructure and compliance with sector related conditions (for example ensuring that a municipality is meeting the targets for that particular sector)

- Verify sector information in Key Performance Indicator Reports as part of the National Monitoring System

- Provide support to municipalities in terms of all the steps and processes from identifying municipal infrastructure projects, through to implementing the projects so that they become sustainable services (this includes, feasibility studies, business plans, procurement of services providers, construction, project related capacity building, and reporting)

- Initiate remedial interventions where necessary related to sector specific infrastructure issues

- Ensure that funds allocated for sector infrastructure are budgeted and spent responsibly towards ensuring the provision of sustainable services (for example ensuring correct choice of technology)

**National Treasury**

National Treasury is responsible for the following:

- Co-ordinate the overall allocation of government’s contribution towards municipal infrastructure through DoRA

- Monitoring financial reporting on revenue related criteria and spending trends

- Ensuring that municipalities and sector departments fully understand and operate within the macroeconomic framework driven by national government;

- Facilitating adjustments to the funds to be received by municipalities in collaboration with stakeholders;

- Administering legislation that has implications for municipal service delivery, notably DORA and Municipal Finance Management Act (MFMA);

- Providing support to municipalities in terms of all financial matters relating to municipal infrastructure.

**Department of Public Works**

The Department of Public Works is responsible for the following:

- Developing policy and setting criteria related to poverty alleviation and employment generation through the Expanded Public Works Programme (EPWP);

- Co-ordinating the EPWP and collaborating with sector departments where appropriate;

- Advising and training municipalities on EPWP guidelines;

- Monitoring compliance with the EPWP guidelines;

- Liaising with municipalities concerning procurement reforms.

- Providing support to municipalities in terms of all financial matters relating to municipal infrastructure.
Provincial Sphere

Provincial Departments of Local Government
Provinces have the responsibility in terms of section 155 (6) of the Constitution to monitor and support to municipalities as well as promote the development of local government capacity to enable municipalities to perform their functions and manage their own affairs. Within this context, a key role player in this process at provincial level is the department responsible for local government which is responsible for coordinating the monitoring and support.

The role of provincial departments of local government in terms of municipal infrastructure is to:

- Ensure proper co-ordination between all municipal infrastructure programmes and sector departments at the provincial level
- Monitor the performance of municipalities with regard to infrastructure delivery
- Ensure that planning for regional scale infrastructure is guided by provincial government working collaboratively with municipalities and the relevant sector departments
- Ensure that IDPs properly address municipal infrastructure requirements
- Support municipalities to develop their capacity to effectively manage the delivery of infrastructure
- Assist municipalities to establish and maintain programme management systems.

Provincial Project Management Units have been established within each Province to fulfil the following functions:

- Verify the accuracy of project registration forms, monthly reports as well as quarterly reports and forward these to the dplg and sector departments;
- Provide assistance to municipalities in managing municipal infrastructure projects;
- Co-operate with all sector departments in monitoring the implementation of projects;
- Monitor the performance of project management within municipalities.

Sector Provincial / Regional Departments
Sector provincials departments are responsible for:

- Providing supporting to municipal sectoral planning where required
- Providing technical advice as required by a municipality through the feasibility, planning, design, tender and construction phases of a municipal infrastructure project
- Monitoring municipal infrastructure programmes as they relate to their sectors.

Local sphere

Whilst national and provincial government are responsible for creating an enabling policy, financial and institutional (support) environment for municipal infrastructure, municipalities are responsible for planning and implementing municipal infrastructure. This is reflected in the various policies, which support the devolution of responsibility for municipal infrastructure development to the lowest possible level. Infrastructure development at a local level is dependant on both programme based and project based activities. Both types of activities are dependent upon adequate resources in terms of skills and funding. This section deals with both programme and project based activities since they are both relevant to the delivery of municipal infrastructure.
Programme based activities refer to those activities which are cyclical in nature, where the processes are repeated periodically.

These activities include:
- Integrated Development Planning (IDPs)
- Infrastructure Investment Plans (IIPs)
- Multi-year budgets (Capital and Operations and Maintenance).

On the other hand project-based activities happen once-off for a particular project and include activities such as the pre-feasibility study, feasibility study, project design, tender process, construction and commissioning. These activities have a beginning and an end and are aimed at addressing a particular need of a community.

Within the local sphere there are different levels of responsibility that impact on municipal infrastructure. These are described below.

**Municipal level (multi sectoral infrastructure programme)**
- This is where programme-based activities take place as mentioned above.
- The overall municipal level is where integrated development planning takes place that brings together all sectoral planning into a programmatic approach.
- Municipalities need to ensure that they have programme and project management capacity for the overall management of the municipal infrastructure programme.

**Local sector level**
- The local sector level is where sectoral planning and provision takes place, for example water services development planning and the provision of water services, transport planning, and the provision of transport services, and so on.
- Sectoral planning feeds into the integrated development planning (IDP).
- Sectoral provision includes deciding the most appropriate service provider to operate and maintain the municipal infrastructure.

**Project level**
- The project level includes all activities that directly relate to the planning and implementation of projects.
Co-operative governance between the three spheres of government

The framework for the roles and responsibilities of national sector departments, their provincial counterparts, and municipalities in terms of the delivery of municipal infrastructure are based on Chapter 3 of the Constitution of South Africa (1996) on co-operative government. The Constitution states that the three spheres of government are distinctive, interdependent and interrelated.

Thus the principles that underlie the relations between the spheres are that of co-operative government and intergovernmental relations. In terms of section 41(i) of the Constitution, each sphere must, amongst other things:

a) respect the constitutional status, institutions and powers and functions of government in the other spheres;

b) exercise their powers and perform their functions in a manner that does not encroach on the geographical, functional or institutional integrity of government in another sphere;

c) co-operate with one another in mutual trust and good faith by:
   - assisting and supporting one another;
   - consulting one another on matters of common interest;
   - co-ordinating their actions and legislation with one another;
   - adhering to agreed procedures

This means that all national departments and their provincial counterparts retain their policy making and regulatory functions. However, the importance of co-ordinating such activities, with the objective of creating a common approach to local government, is imperative. Towards achieving this objective, co-ordinating structures such as the Technical Inter-Ministerial Committee (TechIMC) have been established and assigned co-ordinating functions.

In addition, sector departments and provinces retain their constitutional rights to intervene directly in the affairs of municipalities where necessary.

Multi-sectoral institutional arrangements for collaboration

In order to institutionalise a collaborative approach to policy development, co-ordination, monitoring and the overall support of municipal infrastructure delivery, a number of inter-sectoral structures have been established. These are explained below.

Municipal Infrastructure Governance Structures

Inter-Ministerial Committee (IMC) on Project Consolidate and Comprehensive Human Settlements

The Inter-Ministerial Committee, which consists of the Ministers of Provincial and Local Government, Finance, Public Works, Housing, Transport, Water Affairs and Forestry, Environment and Tourism, Sports and Recreation, and Minerals and Energy Affairs, and it makes recommendations to Cabinet on municipal infrastructure policy. Each minister is responsible for proposing policy and regulations within their sector to Cabinet and for implementing Cabinet policy relating to that specific sector. Their national sector departments are responsible to coordinate relevant priorities and policy proposals for their particular sector with those of other sectors.
Technical Inter-Ministerial Committee

The Technical Inter-Ministerial Committee comprises sector departments and SALGA. Its overall purpose is to co-ordinate the activities of the different national departments so that there is a common approach in terms of supporting local government.

In terms of municipal service provision and infrastructure delivery it is responsible for aligning the policies of national departments and may make recommendations in terms of:

- Measurable objectives for service provision and infrastructure delivery;
- Monitoring compliance with conditions, and reporting by municipalities;
- Determining the national budget of government contributions towards service provision and infrastructure delivery;
- The indicators for allocation resources to municipalities;
- Alignment between governmental grants;
- Implementing the division of allocations;
- Support and capacity building initiatives for municipalities.

The Technical IMC may also make recommendations to the IMC as well as Cabinet Committees on any of these issues and is responsible for monitoring progress and unblocking any challenges that may emerge in the delivery of municipal services. It is supported by a multi sectoral technical task team.

Municipal Infrastructure Technical Task Team (MIT3)

The Multi-Sectoral Technical Task Team comprises representatives from the same departments as the Technical IMC. The Technical Task Team reports directly to the Technical IMC. It is has the responsibility to:

- Recommend municipal infrastructure policy changes, draft policy amendments and provide expert advice to the Technical IMC;
- Facilitate and co-ordinate implementation of sectoral policies and programmes (both for municipal infrastructure and service delivery);
- Promote financial, technical, social and environmental sustainability of municipal services through infrastructure programmes;
- Monitor implementation of municipal infrastructure and the progress of achieving sector targets;
- Co-ordinate impact studies on the delivery of municipal infrastructure and review and correct blockages in the process;
- Determine sector priorities and ensure proper co-ordination between sector departments;
- Review reports from municipalities and review sector reports.
**Provincial Coordinating Structures/ Provincial Municipal Infrastructure Task Teams**

Provincial Co-ordinating Structures (PCSs) comprise sector departments and SALGA and they coordinate government support activities in the provinces. The provincial departments of local government in each province chair the PCS. The PCSs further consist of provincial representatives of regional or provincial sector departments. PCSs specific responsibilities include:

- Recommend to the Technical IMC the municipal infrastructure policy issues for review to ensure efficiency, effectiveness and consistency in the delivery of infrastructure by municipalities;
- Monitor progress and unblock any challenges that may emerge in the delivery of infrastructure services in municipalities;
- Report to Technical IMC and Premiers Intergovernmental Forums about progress on the implementation of infrastructure in municipalities;
- Align sector departments’ growth, development and planning strategies in municipal IDPs, resulting in alignment of these sector strategies with infrastructure delivery and service provision;
- Coordinate the support and capacity building of municipalities to ensure that they are able to perform effectively in managing the infrastructure provided.

**Municipal Coordinating Structures**

Premier’s Intergovernmental Forums fulfil a co-ordinating role at the provincial – municipal interface. At municipal level the co-ordinating structure is the IDP Steering Committee and the Infrastructure Committee. These structures are responsible for ensuring that municipal infrastructure delivery is addressed in a holistic manner to achieve integrated development.
Phases in the Life Cycle

In order to understand roles and responsibilities within the planning, implementation and monitoring of municipal infrastructure, it is important to gain an overall picture of the municipal infrastructure life cycle. The life cycle comprises the different phases from policy governing municipal infrastructure, through to planning municipal infrastructure, to implementing infrastructure projects, and finally to the provision of sustainable municipal services.

Within this cycle each sphere of government, national, provincial and local has a role to play. The major phases of the cycle are Policy, Planning, Implementation and Operations. It is important to note that this service delivery life cycle is different from the project life cycle, which is addressed later in this chapter.

Roles and Responsibilities through the Phases

In order to gain a full perspective on roles and responsibilities, municipal infrastructure needs to be viewed within the overall framework of:

a) the sustainable service delivery life cycle, as well as

b) the different spheres of government within which municipal infrastructure must be implemented, including the project level.

National sector departments have a role to fulfil throughout the service delivery cycle from policy, to planning, to implementation, to supporting service provision. Provincial Departments also have a role to play throughout the service delivery cycle. These roles need to be complimentary and not result in duplication of efforts. Municipalities also need to have a clear understanding of the type of support that Sector Departments will provide to local government to ensure the successful implementation of municipal infrastructure.
Municipalities are responsible for ensuring sustainable service delivery. National sector departments need to ensure sustainable service delivery by municipalities through regulation.

Every sector must have policy to guide municipal infrastructure and service provision through the different spheres and sectors of government.

This phase is all the processes and procedures to implement a municipal infrastructure project. National and provincial spheres play a monitoring and supporting role during this phase.

Macro sector planning, IDPs and municipal sector plans such as water services development plans, integrated transport plans, must be in place to guide municipal infrastructure planning. There need to be linkages between these plans through the different spheres and sectors of government.

The Service Delivery Life Cycle

Phase One

Policy

Phases Two and Three

Planning

Phase Four

Implementation

Service Provision

Macro sector planning, IDPs and municipal sector plans such as water services development plans, integrated transport plans, must be in place to guide municipal infrastructure planning. There need to be linkages between these plans through the different spheres and sectors of government.

Every sector must have policy to guide municipal infrastructure and service provision through the different spheres and sectors of government.

Municipalities are responsible for ensuring sustainable service delivery. National sector departments need to ensure sustainable service delivery by municipalities through regulation.

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THE SERVICE DELIVERY LIFE CYCLE

The section below looks at each of the phases of the service delivery life cycle and unpacks the broad roles and responsibilities of each sphere of government within each phase.
The objective of this phase is to ensure that:

- An enabling environment (policy and strategy) is created for the development of municipal infrastructure that results in sustainable municipal services.

This phase is essentially the responsibility of national government departments.
The role of dplg is to ensure that:
- sectoral policies are co-ordinated and aligned through intergovernmental fora
- policy with regard to municipal infrastructure delivery systems are set
- inductions are developed to ensure that municipalities understand policies

The role of national sector departments is to ensure that:
- the necessary sectoral policies for infrastructure development and service provision are put in place
- corresponding strategies to achieve these policies are developed
- standards and norms for sector specific services, that are relevant to municipal infrastructure, are set
- sectoral and/or cross sectoral conditions and criteria (including poverty alleviation and employment generation criteria) for infrastructure projects are determined to ensure that capital projects result in sustainable services
- inductions are developed to ensure that municipalities understand sector policies

It is important to note that if municipalities do not fully understand a sector department’s policy, norms and standards, they will not be able to properly plan, design and implement municipal infrastructure within that sector. For example, municipalities that are responsible for water services infrastructure must fully understand the Department of Water Affairs and Forestry (DWAF) policy, norms and standards, sectoral conditions and so on, in order to plan and implement water services projects. It is DWAF’s responsibility to ensure that municipalities have a thorough understanding of all the water sector policies and principles that relate to municipal infrastructure and water services so that the projects municipalities design result in sustainable water services.

The role of Provincial Departments of Local Government is to ensure that:
- municipalities are familiar with policies
- policy changes are communicated to municipalities
- challenges with policy are communicated to the national sphere through the relevant intergovernmental fora.

The role of Provincial Sector Departments (or Regional Offices in the case of DWAF and DME) is to ensure that:
- municipalities are familiar with sector policies impacting on infrastructure delivery
- sector challenges and lessons learnt with policy are communicated to the national sphere through the relevant intergovernmental fora.

Municipalities must be familiar with any policy impacting on municipal infrastructure and how to access relevant support from national and provinces.
Municipalities must develop their own policy related to service provision that are in line with national municipal infrastructure policy

The role of municipalities is to ensure that:
- they fully understand sector policies and the implementation implications of the policies and give feedback through established institutional structures of challenges and lessons learnt in implementing policies.
- they get the necessary support from sector departments in terms of implementing policy relating to municipal infrastructure development.
There are a number of objectives of the Planning Phase depending upon the sphere of government from which the phase is being addressed. However the overall objectives of this phase are to ensure that:

- local government integrated development planning results in:
  - the identification of prioritised municipal infrastructure projects (particularly MIG projects) that meet the needs of local communities and that are feasible (based on pre-feasibility studies);
  - the development of a 3 year Capital Plan
  - the development of a 3 year Operations Budget

- local government is supported in their IDP processes through access to nationally collated and analysed data and information

- both national and provincial sector departments have developed strategies/plans to support:
  - the implementation of municipal infrastructure projects and sustainable service delivery
  - the institution of local government (in terms of their constitutional obligation to do so)
Planning for municipal infrastructure is part of the overall planning framework from IDPs at the local level to Provincial Growth and Development Plans at the provincial level to the Medium Term Strategic Framework and ultimately the National Spatial Development Perspective at the National Level. Each of these plans has sectoral components for water, housing, transport, electrification, and so on. The diagram below is a very high level overview of the planning framework.
Municipal Infrastructure

Roles and Responsibilities: Planning

The role of **dplg** is to:
- Ensure that sector departments work towards a common macro planning framework for infrastructure delivery
- Put in place infrastructure delivery systems, procedures and processes for planning integrated municipal infrastructure delivery

**Support Integrated Development Planning at municipal level**

**dplg** is responsible for providing support to IDP processes at the municipal level. Support will depend on the needs of different municipalities. The Integrated Development Plan (IDP) serves as a strategic planning tool and is a process to facilitate effective integrated planning. It is also the tool to align and integrate municipal level sector plans and programs into integrated development goals, strategies, actions and projects.

**Macro Sector Planning**

The role of national sector departments is to ensure that the necessary sectoral macro planning for infrastructure development is in place so that the sector department:
- has a national picture of its sector infrastructure status quo and backlogs
- is able to fulfil a macro planning, management, monitoring, oversight, regulatory and reporting role
- has an overall organising and co-ordination role for municipal infrastructure in that sector
- has an overview of its sector programme for municipal infrastructure (to a municipal level)
- is able to support the achievement of sector targets (in particular municipal infrastructure, planning and implementation)

- Macro Plans of each Sector Department need to “talk to each other”, since each municipality has to engage with these plans and how they impact on their municipal area.
- There also needs to be co-ordination between these plans in terms of supporting municipal infrastructure development at a national level.
- Each plan has to link to the National Spatial Development Perspective and information in these plans needs to be consistent with information within Stats SA and information within municipalities.

- In order to achieve planning co-ordination across Sector Departments and in order to inform municipalities about the type of planning and information available within Sector Departments, each National Sector Department should make the following information available to the ‘municipal infrastructure sector’:
  - **Data**: the type of data the Department is collecting to support sector planning at municipal level (for example, verified backlog data measured in households, infrastructure status quo, existing institutional arrangements, units costs, etc.)
  - **Systems**: the type of systems the Department is using to collect and analyse data, for example, M&E systems, GIS, etc and how the analysed information can be made available to municipalities: in what format, for example reports, maps, databases.
  - **Support**: the type of support the Department is providing to municipalities to undertake sector planning so that they are able to effectively identify and prioritise infrastructure projects and plan to meet their targets.
Support to local sector infrastructure planning

- National sector departments must also provide sectoral planning support to municipalities so that they:
  - Are able to prepare their sector plans (for example their Integrated Transport Plan, Water Services Development Plan, Housing Plan, etc.)
  -achieve their sector targets (municipal infrastructure capital projects)
  - build their sectoral planning capacity for sustainable service delivery within that sector
- The type of support to sectoral planning at local level may include hands on technical advice, access to data and information, establishment of planning and information systems and procedures, e.g. GIS, access to consulting support to bring in additional specialised planning capacity as and when required
- Both sector departments and municipalities have a duty to ensure that proper sector planning takes place to ensure that good municipal infrastructure projects are identified that meet the needs of the area and are sustainable.

A sector plan forms part of the IDP. It is a more detailed planning exercise for that particular municipal service.
A key part of a sector plan deals with municipal infrastructure for that sector. Whilst municipal sector plans may differ from sector to sector (for example the Water Services Development Plan may be structured differently to the Integrated Transport Plan, each sector plan need to address the following information for municipal infrastructure:
- status quo, situation needs assessment
- consumer profile
- service levels
- infrastructure and targets
- financial issues
- institutional and management issues
- resource / environmental issues (for example water resource in the case of the WSDP)
- solutions and projects.

There must be integration and co-ordination between the IDP and each sector plan. If the municipalities do not address their sector (water, sanitation, roads, etc.) planning correctly, it is unlikely that their municipal infrastructure projects resulting from that planning will be successful.
Coordination of stakeholders with respect to municipal infrastructure at the provincial level

- The role of Provincial Departments of Local Government (and Housing) is to chair the Provincial Coordinating Structures (PCSs) and ensure that these structures function efficiently and effectively and achieve their objectives particularly in terms of achieving collaboration across the sector departments.

- Ensure that sector departments prepare their sectoral plans at the Provincial / Regional level that feed into the PGDS and that these plans address the following:
  - Sectoral infrastructure as well as planning implications for municipal infrastructure
  - Support to municipalities

Support to integrated development planning with respect to municipal infrastructure

- The primary role of provincial departments of local government is to lead the coordination effort between sector departments at that level in terms of supporting municipalities with the planning of municipal infrastructure (to ensure that support is consolidated and streamlined and results in a holistic approach).

- It also includes supporting municipalities with their IDP planning and Infrastructure Investment Plans (IIPs).

- Provincial Departments of Local Government must also ensure that the Provincial Co-ordinating Structures address integrated planning issues where sector departments provide the necessary provincial / regional level data and information relevant to local level IDP processes.

Support to municipal infrastructure programme systems and procedures

- Provincial Departments of Local Government are responsible for ensuring that municipalities have established project management capacity including the necessary systems, processes and procedures for planning and managing municipal infrastructure programmes and projects.

Support to project planning

- Municipalities should be supported with registering MIG projects and associated processes.
  
  There is a detailed booklet on MIG Management Processes and Procedures. The Provincial Departments of Local Government must ensure that municipalities put these systems in place and operate them efficiently.

- Support should be provided to unblock blockages in terms of project planning which involve cross sectoral issues. (Note: sector departments are responsible for content and sustainability planning of projects.)
Provincial Sector Plans / Regional Sector Plans

- Sector Departments at Provincial Level are responsible for preparing a Provincial or Regional Sector Plan which addresses amongst other issues the following:
  - Provincial/ regional level sectoral infrastructure and implications for the PDGS as well as implications for municipal infrastructure
  - Municipal infrastructure status quo and targets for each municipality and progress against the plans
  - Support to be provided (including timeframes) to each municipality in terms of
    - (a) local sector planning for municipal infrastructure, and
    - (b) project planning and implementation for municipal infrastructure delivery, as well as how the support will be co-ordinated with other sectoral support initiatives

Support to local sector infrastructure planning

- The role of Sector Departments at the Provincial level (or Regional Offices in the case of DWAF and DME) is to
  - Provide hands on support to the preparation of sector plans (such as the Integrated Transport Plan, Water Services Development Plan, Housing Sector Plan, etc.)
  - Work co-operatively with other sector departments at Provincial Level so that municipalities receive co-ordinated sector planning support
  - Provide access to Provincial / Regional Sector Plans and to relevant sector information
  - Prepare a plan for supporting municipalities in terms of municipal infrastructure delivery based on the specific needs of each municipality and to ensure lesson learning and optimisation of experiences and resources within the province
  - Feed back to the national sector department lessons learnt in infrastructure planning within the sector as well as relevant cross sectoral issues.

Support to project planning

- Where necessary, sector departments in the provinces should provide technical support to project planning including the preparation of pre-feasibility studies and feasibility studies as well as project business plans. This support may include access to specialist input or support in terms of procuring technical assistance.
- Sector departments must undertake technical and sustainability assessments of municipal infrastructure project plans and provide support where necessary to ensure that the plans are technically sound and will result in feasible and sustainable services.
- Support to municipal infrastructure project business plans should also include assisting with legal and policy compliance where necessary
- The role of Sector Departments is to verify the following and provide support where necessary:
  - that the project complies with sector norms and standards;
  - that it is technically feasible
  - that it is financially sustainable
  - that the appropriate sources of funding are secure (be it, grant funding, own resources or borrowed funds)
  - that operation and maintenance funds are committed
  - that there is an institution in place to operate and maintain the infrastructure or that
  - there are plans to put in place or contract an appropriate institution
- Sector Departments should ensure that municipalities have easy access to different types of support in terms of municipal infrastructure planning and delivery, for example through a One-Stop-Shop approach where support is properly co-ordinated.
Programmatic Activities

- Municipalities are responsible for the following:
  - Preparing their IDPs and IIPs based on sector planning
  - the development of a 3 year Capital Plan
  - the development of a 3 year Operations and Maintenance Budget
  - project managing municipal infrastructure delivery throughout the project life cycle

The Integrated Development Plan (IDP) is a result of the identification of the needs of communities, assessing the needs in meeting sector priorities as stated in sector plans, and addressing the needs through the conceptualisation of projects through a pre-feasibility process. Projects include both new projects and the upgrading or refurbishment of existing infrastructure informed by internationally accepted Integrated Asset Management (IAM) practices.

The IDP process is managed by the municipality and the inputs to the plan must be owned by the municipality, but often service providers are needed to assist with the gathering of data, modelling of data and the compilation of the IDP document.

The IDP is developed every 5 years and is reviewed on an annual basis just before the finalisation of the municipal budget in January of every year.

Infrastructure investment planning (IIP) involves consolidating all those infrastructure projects that have been identified within the IDP and identifying the resources to construct, operate and maintain the infrastructure. The findings of project feasibility studies and Environmental Impact Assessments (EIAs) feed into the investment planning process.

The IIP process is managed by the municipality but service providers (consultants) may be used for various project based activities associated with infrastructure investment planning.

Infrastructure investment planning is undertaken over a three-year period, however reviews could be done together with the approval and adjustment of the municipal budget.

Although sector departments are not directly involved in the development of the Infrastructure Investment Plan, the success of this plan is dependant on sector involvement throughout the IDP process.

At the local sector level municipalities are responsible for:

- Preparing their municipal sector plans (with reference to the Provincial Sector Plan where appropriate) and submitting these to the relevant sector departments (for regulatory purposes and for consolidation of relevant information into the master sector plan)
- Ensuring an interactive process between sector planning and IDP planning
- Identifying municipal infrastructure projects within their sectoral plans and ultimately within the IDP, which projects are feasible and sustainable and meet the needs of local communities (based on pre-feasibility studies)
- Engaging with sector departments to ensure that their municipal infrastructure status quo and targets as well as support needs are addressed in the Provincial Sector Plan
Project Activities

- At the project level municipalities are responsible for project planning which includes the following:
  - Undertaking pre-feasibility studies where appropriate, and feeding the results back to the sector planning process
  - Undertaking project feasibility studies or in the case of very large projects putting out a tender and commissioning project feasibility studies
  - Preparing project business plans

Pre-feasibility studies should be considered as part of the IDP. This could also be referred to as value engineering and is the preliminary indication of a potential solution. Although municipalities could perform this function themselves, smaller municipalities which may lack the necessary skills and experience to undertake feasibilities would typically contract in expertise to assist with these studies. Sector departments could also be approached to assist municipalities with best practice solutions.

Feasibility studies identify and evaluate potential solutions for a given problem in order to completely define project requirements for practical project implementation and a sustainable solution. A feasibility study also assists the municipality to decide on the most appropriate service provider arrangements to ensure effective service delivery after construction (although this must also be done in terms of the Municipal Systems Act, Chapter 8 requirements).

The completion of feasibility studies should be in conjunction with the completion of technical reports (where required) and EIAs by municipalities. Municipalities must coordinate the involvement of sector departments in the feasibility process as sector departments have to confirm data used and the technical viability of the infrastructure in line with technical norms and standards. For example, in the case of an EPWP project, a municipality must ensure that the project complies with labour-intensive construction methods in terms of the EPWP guidelines.

Feasibility studies, including technical reports and EIAs, are usually outsourced to service providers based on specifications (and terms of reference) prepared by the municipality. When appointing and managing service providers (technical expertise / consultants) municipalities must do so in terms of the Municipal Finance Management Act (MFMA).

Project registration currently only applies to MIG funded or partially funded projects. It is envisaged that registration will in future be applicable to all projects to enable infrastructure maintenance and operations. The purpose of this process is to ensure that projects have complied with the cross-cutting and sector conditions as well as the provision of base line information for the reporting and monitoring of financial and non-financial indicators. Projects must be registered electronically on the MIG Management Information System (MIS) which is managed by dplg. The list of registered projects must be supplied to the Construction Industry Development Board (CIBD).

Municipal managers must ensure that project registration forms are signed-off before they are submitted to dplg. Compliance to conditions should be ensured prior to the signing-off of registration forms. Sector departments and the province are responsible for checking that the project complies with sector and cross-cutting.
Prior to approving a project in a sector plan and in the IDP, a municipality must have some idea as to the feasibility of that project. For example, a water project cannot be constructed if there is no water resource. It is therefore recommended that as part of the sector planning process, pre-feasibility studies are undertaken where appropriate. A pre-feasibility study is a brief but relatively complete, small-scale feasibility study that gives a preliminary indication of potential solutions.

Sector departments should have both the information and the skills to support municipalities with these pre-feasibility studies so that these studies do not delay the process of project prioritisation in the IDP.
The implementation phase is when a municipal infrastructure project has been approved and can proceed to be implemented. This phase includes all the steps to design the project, put out tenders, construction and commissioning.

The main purpose of the Implementation Phase is to translate the project business plan into the municipal infrastructure. This takes place in the ‘project cycle’ which comprises the design, tender and construction phases and culminates in commissioning.
Municipal infrastructure programme management, collaboration and monitoring

The role of dplg is to:
- Ensure infrastructure implementation systems are in place at a municipal level
- Monitoring overall implementation progress to meet sector department targets
- Ensure that MIG funds are properly applied in terms of DoRA requirements
- Coordinate and mobilise programme and project management capacity building of municipalities to ensure that they are able to fulfil their municipal infrastructure management functions
- Ensure that implementation problems or blockages (which have been communicated through intergovernmental for a) are addressed in multi-sectoral forums

Implementation Support and Monitoring

The role of national sector departments is to ensure that implementation of municipal infrastructure:
- complies with sector norms and standards
- addresses sustainability issues

The Department of Public Works is responsible for:
- ensuring compliance with the EPWP guidelines where appropriate
- monitoring employment generation on projects
- ensuring the use of labour based technology and SMME involvement on projects

Monitoring of systems and co-ordination of sector support

The role of Provincial Departments of Local Government is to:
- ensure that implementation progress and challenges are addressed in the Provincial Co-ordinating Structures and reported to dplg, the Technical IMC, relevant sector departments and Premier’s Intergovernmental Forums, Technical MINMEC for MINMEC
- monitor the infrastructure programme and project management capacity within municipalities to ensure that they fulfil their functions and manage the implementation of municipal infrastructure projects
- monitor the overall progress in implementing municipal infrastructure projects and liaise with sector departments where appropriate to address blockages that may emerge
- coordinate and mobilise support to municipalities in terms of programme and project management capacity where required

Sector department support during the actual implementation of projects will depend upon a municipality’s requirement for support. This support may range from advice, technical assistance, monitoring, to assistance with procurement and contractual arrangements with implementing agents, construction companies and other service providers. In general the role of provincial / regional sector departments is to:
support their national counterparts in terms of project visits to ensure that the municipal infrastructure complies with:

- sector norms and standards
- sector specific conditions within the project business plan or registration for in the case of MIG projects

monitor municipal infrastructure delivery of each municipality against sector targets and report thereon to the national sector department (highlighting cases where targets are lagging behind and making recommendations to accelerate delivery)

implement municipal support plans (for infrastructure delivery) that are part of the Provincial Sector Plan and report on progress to the Provincial Co-ordinating Structures

ensure co-ordinated support programmes for the implementation of municipal infrastructure where required

initiate interventions where necessary to ensure that implementation within the sector is according to programme plans

provide support to project level capacity building where required

identify problems that need to be addressed and communicate these to the National Sector Department and to the Provincial Co-ordinating Structures as appropriate

**Design Phase**

The design phase is one of the most important phases where sector department support may be required. It is a critical phase as it provides alternatives regarding the technology to be used, and these alternatives will impact on the operation and maintenance costs and sustainability of the project. In most instances, a Municipality will not have the capacity to undertake the detailed design for a project and a consulting engineer would be appointed to perform this task.

- Sector departments must provide inputs on the designs of the projects and confirm that they are in line with acceptable sector technical norms and standards and advise the municipality on labour-based processes, systems, techniques and approaches.

- Sector Departments also have an important role to monitor the quality of project designs in conformity with the set technical norms and standards.

**Tender Phase**

- Less capacitated municipalities may require support with their tender processes, especially when it comes to large municipal infrastructure projects.

- Sector departments should provide both supporting guidelines and hands on support where required. For example one Sector Department has developed Model Terms of Reference and Contracts for contracting Implementing Agents for different types of infrastructure projects.

**Construction Phase**

- Sector Departments must monitor key performance indicators included in the Project Business Plan or Project Registration Form in the case of MIG projects.

- Sector departments must also do site visits to ensure that implementation of projects are according to the sector’s standards and to assist should the municipality encounter a challenge regarding a sector specific project.

**Post Commissioning**

- Periodic audits to ensure that the services are delivered according to the business plan should be undertaken by sector departments (quality in supply).
Design and Tender Phase

- Take place at project level (see below)

Construction Phase

- Very few municipalities have the capacity to construct infrastructure themselves and thus they rely on contractors to deliver infrastructure within the budget, quality and time. During construction municipalities are responsible for contract managing implementing agents (professionals and contractors). This takes place at the municipal level and is part of project management.

- The following tasks and activities have to be undertaken at the municipal level in relation to the implementation of projects:
  - Complete reports on financial and non-financial information on a monthly and quarterly basis respectively
  - Monitor project progress against project specifications and the MIG registration form in the case of MIG projects (financial and non financial indicators).
  - Report any irregularities to the relevant sector department and the dplg
  - Conduct frequent sites visits to confirm progress
  - Prepare certificates against monthly work completed and claims received
  - Process payments against progress.
  - Check compliance to legislation such as the Occupational Health and Safety Act.

Commissioning

- Once a project has been signed off, the municipality must add the infrastructure to the asset register.

Operations and Maintenance

- Once the project is completed the municipality must ensure that adequate provision is made on the operations and maintenance budget to operate and maintain the infrastructure effectively.

During the design, tender, construction and commissioning phases of the project cycle, the tasks and responsibilities lie at either the municipal or project level.
Design Phase

- Municipalities must either prepare the detailed designs of projects themselves or outsource these to consulting engineers or architects (which is generally the case). The procurement must be done through the Supply Chain Management process and implemented in line with the MFMA. The level of expertise required will depend upon the level of difficulty associated with the project design.
- The responsible department within the municipality should draft adequate specifications for the procurement of a qualified engineer to technically design a project. During the procurement process the municipality must ensure that the proposed consulting engineer complies with all legislative requirements as well as be registered with the Engineering Council of South Africa.

The technical design of infrastructure should fit in with the infrastructure it has to link to (backward linkages) or will be linked to in future (forward linkage). As part of the original specifications to appoint a consulting engineer the design work should include the assessment of the existing infrastructure. The municipality should be advised whether the existing capacity to deliver would be able to meet the existing as well as the new demand requirements. Other considerations include the design life-span, condition and the cost implications to operate and maintain the existing infrastructure. Based on the information, recommendations could include the upgrading, refurbishment of existing infrastructure or a change in the institutional arrangements according to which the infrastructure is managed. The data collected from this exercise should be used to update the asset management register which must be used for future infrastructure investment planning.

- Municipalities must ensure that the project designs are appropriate and that they:
  - deal with the correct demand requirements;
  - comply with the technical norms and standards set by the relevant sector department, and/or provided for in legislation, regulation, or guidelines.
- Municipalities should check with the relevant sector department whether their completed project design complies with technical norms and standards.
- In the case of certain infrastructure it may be necessary to develop various preliminary design alternatives. This will allow the municipality to do a cost comparison as well as allow the community to decide on the most favourable design solution.
- The designs are used as the basis for the development of the tender specifications for the appointment of a contractor. The municipality must register the appointed contractors with the CIDB.

Construction

Contract management and project management during the construction of projects takes place at the municipal level.

Commissioning

- The infrastructure must be tested for defects.
- If the project has been completed in accordance with the project specifications, the municipality signs-off the hand-over report from the professional team. The signing of this report confirms that the project is in accordance with the specifications. The hand-over report should be accompanied with the built-as designs.
- If necessary municipalities should seek assistance from the appropriate sector department to determine whether compliance to the specification has been reached.
The relationship between macro sector planning (turquoise), integrated development planning (pink), local sector planning (blue) and project feasibility studies (white). The diagram also highlights the positioning of the MIG program (brown).
Leadership, Co-ordination, Support and Oversight

INTEGRATED DEVELOPMENT PLANNING

Municipal Infrastructure

Support, Alignment, Control, Regulation and Monitoring

- List of potential projects
- Project implementation planning
- Prioritisation and funding reconciliation
- Product specification

Feasibility Study

Construction & Implementation

National MIG management

MIG administration & co-ordination

PMU management

Municipal Oversight

Service providers

Operation & Maintenance

Tender

Commissioning

Design

Audit & Review
PART FOUR

Monitoring

Who is responsible for monitoring what?

National and Provincial Departments

The responsibility for monitoring municipal infrastructure delivery and specifically the conditions related to the Municipal Infrastructure Grant, are allocated between the national departments as follows:

- The dplg is responsible for monitoring the cross-cutting conditions and overall progress with programme implementation.
- Sector departments (DWAF, DME, DoT and DSRSA) are responsible for monitoring performance of municipalities with regard to sector specific criteria and the overall sustainability of sector infrastructure.
- The Department of Public Works is responsible for monitoring poverty alleviation criteria.
- National Treasury is responsible for monitoring financial reporting and revenue related criteria.

Department of Provincial and Local Government

As the coordinator of the Municipal Infrastructure Programme, dplg is responsible for monitoring the cross-cutting conditions and overall progress with programme implementation. By successfully monitoring and evaluating its KPI’s on projects government would be able to communicate its achievements, challenges and interventions to various stakeholders especially its citizens.

National Municipal Infrastructure (MI) Unit and Provincial PMUs

The National MI Unit based in dplg is responsible for the overall monitoring of the infrastructure development programme activities in municipalities. Other role players such as Provincial Sector Departments as well as Provincial PMUs (PPMUs) each have a monitoring role in the development of infrastructure within municipalities. The delivery of sustainable infrastructure development requires that the Provincial PMUs constantly monitor the involvement of Sector Departments with municipalities’ infrastructure programmes.
Key Performance Indicator Report

The tool utilized by the National MI Unit for monitoring the delivery of infrastructure through the MI Programme is the Key Performance Indicator (KPI) Report which is compiled quarterly. The KPI report provides information on the key achievements of the programme in the delivery of infrastructure to the poor.

The National MI Unit has developed a KPI reporting template which is completed by municipalities, as well as the PPMUs. The KPI Reports are verified by the Sector Departments before submission to the National MI Unit.

Sector Departments

Irrespective of the support that municipalities request, sector departments still have a role in ensuring that municipal infrastructure projects result in the delivery of sustainable services. In this regard sector departments need to play an oversight and monitoring role, and where necessary intervene where projects are not being implemented according to business plans or MIG project registrations.

Sector departments need to verify the information contained in the KPI report and confirm that the set norms and standards have been complied with. Sector Departments such as DWAF, DME, DoT and DSRSA are responsible for monitoring performance of municipalities with regard to sector specific criteria. DPW is responsible for monitoring poverty alleviation criteria.

Municipalities

Municipalities are responsible for the following monitoring activities which will also be monitored by national government departments or their provincial counterparts:

- Compile service delivery key performance indicators in terms of the IDP
- Identify and plan for projects to be implemented over the MTEF
- Adhere to and monitor labour intensive construction methods in terms of EPWP guidelines where appropriate
- Constantly monitor progress on the implementation of projects
- Prepare and submit a Division of Revenue Report every month to indicate expenditure and progress on registered MIG projects
- Monitor key performance indicators contained in the Project Registration Form
- Submit quarterly performance reports to dplg within thirty days after the end of each quarter
- Submit the Annual Performance Assessment as requested in the DoRA
- Ensure that projects comply with all conditions contained in the DoRA framework.
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Updated October 2006