



South Africa - Denmark



Urban Environmental Management Programme

2006 - 2010

Inception Report

Component Three

MUNICIPAL SUPPORT

June 2006

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Executive Summary

This document is the second report of the Inception Process of the Danida-supported Urban Environmental Programme in South Africa. This inception report concerns component three of the programme concerned with support to municipalities. The first report approved by the Programme Steering Committee on 26th April 2006 concerned support to national and provincial government, and described:

- the first annual work plan of partners in component one;
- the procedures and people responsible for the proper management of all programme activities concerned with government;
- details regarding the programme and component monitoring system for both components one and three;
- the agreed financial management procedures for both components one and three.

This second report summarises the plans and budgets of the municipal programme partners (component three) who are due to begin implementation in July 2006 in line with the beginning of the municipal financial year.

This report is the product of a process involving the responsible managers in the five municipalities of: Cape Town, Ekurhuleni, eThekweni, Johannesburg and Sedibeng. **The procedures and details described in the first inception report also apply to municipal partners covered by component three.** Programme partners in municipalities should refer to the first inception report in conjunction with this report.

Annexed to this report are:

- The component work plans and budgets of each of the aforementioned municipalities (the full set of plans and budgets submitted are available from the PSC Secretariat – summaries are included in this report);
- Amended Terms of Reference for the Programme Steering Committee;
- Applied Research Questions identified so far by municipal partners

This Inception Report also includes slightly amended Terms of Reference (ToR) of the **Programme Steering Committee**, following the PSC request for a paragraph outlining the roles and responsibilities of PSC members. These amendments provide further detail with respect to the roles and responsibilities of PSC members.

Purpose

The purpose of this note is to summarise and report to the Programme Steering Committee upon the budgets and work-plans submitted by the five chosen municipal partners. The Programme Steering Committee is mandated to consider the submitted plans, promote coordination and cooperation in the achievement of programme objectives and, if the submitted plans and budgets meet their approval, endorse them and request the Royal Danish Embassy to deposit the approved funds in the RDP Fund Account.

The summary plans and budgets presented are found to be in alignment with the objectives, thematic focus and indicative budgets of the agreed programme documentation. Managers responsible have been identified in each of the municipalities and for each of the thematic areas supported in those municipalities. Steps are being taken to legally formalise the submitted plans as officially being reported and monitored in conjunction with official budgets. A monitoring system is in place.

Component Structure and Managers Responsible

The Programme Steering Committee (PSC) is the oversight and coordination structure responsible for promoting achievement of the agreed objectives of the programme. One senior manager (and one alternate) from each of the partner municipalities is represented on the PSC.

The PSC members are responsible for promoting coordination and coherence across the different participating departments within their own municipalities. The PSC representatives from each municipality is responsible for ensuring that one consolidated report upon activities and expenditure (See Inception Note One for agreed format) is submitted to the PSC Secretariat every six months.

The PSC Secretariat (International Advisor, Director in the DEAT DDG's Office, and the DEAT DDG) will review these reports and present a synthesis to the next PSC for their consideration. The PSC will receive reports and give direction to overall programme progress, and also consider and decide upon the recommendations of the Joint Annual Programme Review (JAPR).

DEAT is the lead agency responsible for the UEM programme implementation and for coordinating with other national, provincial and local government agencies, including other donor-supported national environmental management interventions.

Decision-making with respect to component implementation in each municipality will be taken within normal line functions and committees that exist to manage the associated functions in the municipality. Component three will be managed using existing intra- and inter-departmental structures of local government. Where these do not exist, the PSC member for the municipality shall propose a coordination arrangement acceptable to all partners. For purposes of component-

specific integration and coordination, some cities will establish dedicated inter-departmental coordinating committees. Combined component reporting will be collated with support from the national component advisors.

It is a goal of this programme to promote inter-municipal cooperation and learning from mutual experiences. The South African Cities Network is recognised as playing a central role in promoting the achievement of this goal. The first PSC meeting proposed that a cooperation framework for municipalities within this programme be developed. Following further discussion it has been agreed that this framework will be further developed at the Programme Induction Workshop scheduled for 1st to 3rd August 2006.

Changes to approved plans and outputs

It is possible for programme partners to propose changes to the outputs and activities approved by the Programme Steering Committee. In the event that a department wishes to change the overall manager responsible should:

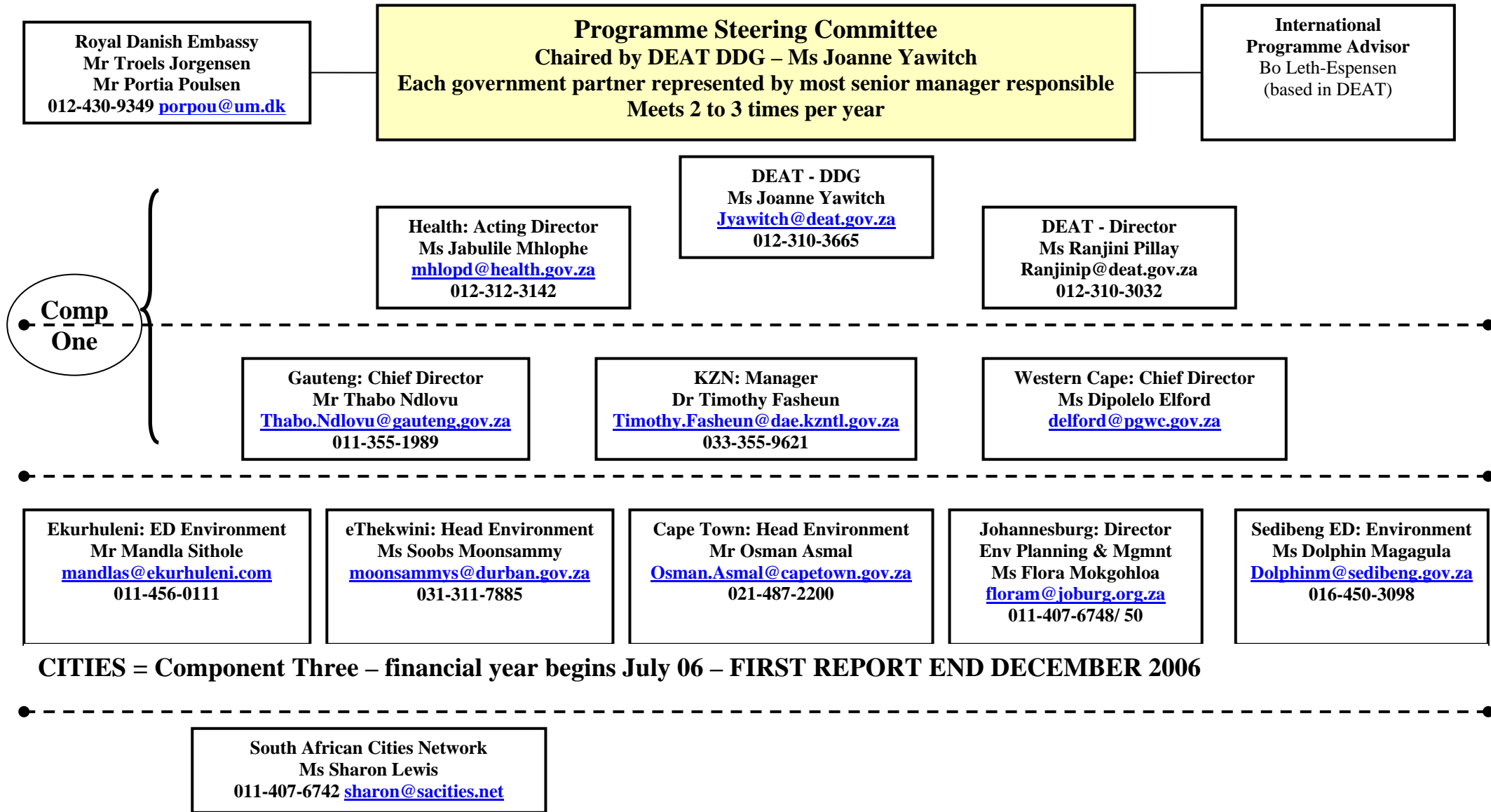
- 1) Write to the PSC Secretariat with a request to make the changes;
- 2) Upon approval from the PSC follow normal departmental procedures for changing officially approved plans and budgets;

It is not possible to divert Programme funds to activities that do not fall within the themes and objectives as described in the programme documentation. Any programme funds used for new activities before they are approved in writing by the PSC Secretariat will be classified as unauthorised expenditure. Programme objectives may not be changed.

Municipal PSC Representatives and Alternates' Contact Details

Ekurhuleni: Executive Director Environment and Tourism		
Mr Mandla Sithole	011-456-0019	MandlaS@ekurhuleni.com
Ekurhuleni: Director Environment and Tourism		
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Ethekwini: Deputy City Manager Sustainable Development & City Enterprises		
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Ethekwini: Deputy Head: Environmental Management		
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Cape Town: Director Information and Knowledge Management		
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Diagram: Programme structures and managers responsible



Cities Network, Research, and Civil Society Support = Component Two

Summary of submitted work plans and budgets

All Component Three partners have submitted business plans and budgets according to the agreed guidelines. All of the plans and budgets submitted are in alignment with the objectives and thematic focus of the agreed programme documentation.

The legal status of plans submitted by the municipalities remains unclear. Being the first year of the programme they were not designed and processed within the time cycles of the annual official planning cycle. While the recent local government elections have had the effect of compressing the opportunities for enabling formal political approval, the submitted plans do respond to locally agreed priorities.

It remains necessary for all municipal partners to follow required procedures for officially incorporating the Danida support into their recognised municipal budgets during the Annual Adjustment Estimates.

Following a request from National Treasury, it is not possible for the funds to be transferred from the RDP Fund to a municipality until a letter of concurrence from the respective provincial treasury has been received.

Thematic focus of submitted plans

	Cape Town	Ekurhuleni	Ethekwini	Johburg	Sedibeng
Energy Strategies and solutions	☺	☺	☺	☺	
Integrating env into spatial and development plans	☺	☺	☺	☺	☺
Environmental Health training & materials develop	☺	☺	☺	☺	☺
Air quality management	☺	☺	☺		☺
Waste management		☺	☺		
Health Risk Assessment Informal Settlements	☺		☺		

Procedural Status of municipal submissions

	Cape Town	Ekurhuleni	Ethekwini	Johburg	Sedibeng
UEM officially recognised in budget process	☺	☒	☺	☒	☒
Letter to provincial treasury requesting concurrence	☺	☒	☺	☒	☺
Letter from provincial treasury approving	☺	☒	☒	☒	☒
Municipal business plans and/or IDPs submitted	☒	☒	☺	☺	☒

Table One: Summary of Component Three funds request for 2006/07

Municipality		UEM funds requested for 2006/07	UEM budget for 2006/07	Aligned with UEM objectives
Via DEAT	Short Term TA input for municipalities	R2,000,000	R2,000,000	YES
	Sedibeng EMF assisted by Gauteng ,DEAT	R500,000	Sedibeng	YES
Cape Town	UEM Internships	R300,000		YES
	Integrating UEM in City Planning	R735,000		YES
	Sustainable Energy Solutions	R150,000		YES
	Urban Growth Monitoring and Modelling	R150,000		YES
	Env Health Information System	R140,000		YES
	Informal settle Env Health Assess	R120,000		YES
	Integrated Pollution Control Policy	R150,000		YES
	Implementation of Air Quality MP	R390,000		YES
	Long-Term Advisor	R600,000		YES
	TOTAL	R2,735,000	R2,600,000	
Ekurhuleni	Develop integrated waste management plan	R500,000		YES
	Train EHPs in Env Mgmt tools	R350,000		YES
	Air quality emission inventory	R500,000		YES
	Traffic management plans - energy	R450,000		YES
	Training and awareness raising for counsellors and communities	R300,000		YES
	Long-Term Advisor (share with JHBG)	R600,000		YES
	TOTAL	R2,700,000	R2,700,000	
Ethekwini	Integrated spatial planning system	500,000		YES
	Health risk assess informal settlemts	100,000		YES
	Food safety of informal traders	200,000		YES
	Env Health Practitioner training	250,000		YES
	Vector control training – env health	250,000		YES
	Air Quality Management Plan	500,000		YES
	Sustainable Energy Strategy	315,000		YES
	Health Care Risk waste management	110,000		YES
TOTAL	R2,225,000	R2,100,000		
Johburg	Develop sustainability indicators for JHBG	R250,000		YES
	Strategic Env Assessment for priority zones	R500,000		YES
	Develop City Energy Strategy	R250,000		YES
	Env Health Education material developed	R150,000		YES
	Training of Environmental Health Officers	R250,000		YES
	TOTAL	R1,400,000	R1,500,000	
Sedibeng	Env Man Framework for Sedibeng	See DEAT above		YES
	Air quality management	R535,000		YES
	Training Env Health Practitioners	R315,000		YES
	Org Development Env Health Services	R350,000		YES
	Develop by-laws and info on Env Health	R315,000		YES
	Long-term Advisor	R600,000		YES
	TOTAL	R2,150,000	R3,000,000	
TOTALS		R13,710,000	R13,900,000	

UEM Component Three: Summary of requests for funding to Second PSC meeting – 28th June 2006

Department	Theme	Focus	Poverty links	Institutional links	Legal status of UEM plan	Own budget	Danida budget	Danida sub-totals
DEAT	Environmental Management Framework for Sedibeng – Sedibeng ceding R500,000 of its allocated funds to be managed via DEAT							R500,000
	Pool of Short-Term Technical Assistance (municipalities) – accessed by DEAT CFO and managed by International Advisor							R2,000,000
Cape Town	Long-term National Component Advisor for Cape Town						R600,000	
	Capacity Development	Environmental Education, training and communication via employed interns	Indirect through institutional capacity development	Across all city departments	Approved by Mayoral Committee + Executive Management Team (Ikwezi) and also indicated in City IDP. Given change of political leadership, a further report is being tabled at Ikwezi in August 2006, and also at the Planning and Environment Portfolio	R50,000	R300,000	
	Integrating UEM in City Planning	Prepare City Development Strategy + revise Metro Environmental Policy + establish integrated environmental management strategy	Improved and sustainable human settlement planning	City-wide		R1,320,000	R735,000	
	Sustainable Energy Solutions	Finalise and implement city energy and climate change strategy	Reducing pollution-related burden of disease	City-wide		R590,000	R150,000	
	Urban growth monitoring and modelling	Data generation for planning, trend monitoring + focus on informal settlements	Planning for sustainable settlement	With all provinces and municipalities		R300,000	R150,000	
	Environmental Health	Establish EH indicator system for city	Relieve health burden on poor	National Health		R60,000	R140,000	
		Environmental health assessment of informal settlements	Relieve health burden on poor	National Health		R532,000	R120,000	
	Pollution Control	Situation analysis and development of integrated pollution control policy	Relieve health burden on poor	All spheres		0	R150,000	
	Air Quality	Emissions inventory, implement plan, purchase VOC monitor	Relieve health burden on poor	Province and DEAT		R200,000	R390,000	
								R2,735,000

Ekurhuleni	Long-term national component advisor – to be shared with Johannesburg						R600,000	
	Waste	Develop Integrated Waste Management Plan	Improved servicing of poor communities	All three spheres	No official approval reported – plans recently developed and need to be officially recognised and endorsed	From R1,000,000 consult budget	R500,000	R2,700,000
	Environmental Health	Training of EHPs in EIA, air pollution ‘modelling’; noise assessments	Enhanced enforcement capacity	City-wide		“Dept skills development budget”	350,000	
	Air Quality	Develop an emissions inventory	Monitoring essential to identify problem sources	City-wide		R2,180,000	R500,000	
	Energy	Develop traffic management plans for five priority areas	Energy and time saving	City-wide		0 Staff time	R450,000	
	Capacity	Training and awareness raising for councillors and communities	Improved environment	City-wide		R250,000	R300,000	
Ethekwini	Planning	Public engagement in developing two regional spatial development plans for city	Improved planning	City-wide		Tabled and approved at the Mayoral Executive Committee on 19 August 2005 and 12 June 2006	R900,000	
	Environmental Health	Health risk assessments of three informal settlements	Improved health of poor	City-wide	R200,000		R100,000	
		Food hygiene training of informal caterers	Improved health of poor	City-wide	R300,000		R200,000	
		Develop and implement training course for EHPs	Improved health of poor	City-wide	R100,000		R300,000	
		Vector control training system developed for community cooperatives	Improved health of poor	City-wide	R850,000		R250,000	
	Air Quality	Develop and document air quality management plan	Reduce health burden on poor communities	DEAT, Province and local govt	R1,500,000		R500,000	

	Sustainable Energy	Develop draft energy strategy for the city	Indirect reduction of pollution	City-wide		0	R315,000	
Johannesburg	Planning	Revise and further develop sustainability indicators for city	Pro-poor planning including sustainability	City-wide	Approved at a council meeting (chaired by Councillor Nkele Ntingane on 24 th and 25 th May 2006	R100,000	R250,000	R1,400,000
		Develop Strategic Environmental Assessment for three priority areas		City-wide		R100,000	R500,000	
	Energy	Develop City Energy Strategy	City-wide	R250,000		R250,000		
	Environmental Health	Training of EH Practitioners in Environmental Law Enforcement	Educed burden of disease on the poor	City-wide		?	R250,000	
		Development of environmental health education and promotion material		City-wide		?	R150,000	
Sedibeng	Long-term national component advisor					R600,000		R2,120,000
	Planning	National Pilot for development of Env Management Framework	Pro-poor planning	DM, province, DEAT	Plans will be tabled before the Section 80 Committee for Health and Welfare, chaired by Councillor M Tsokolibane at the earliest possibility	Funds to go to DEAT		
	Environmental Health	Training and capacitation of EHPs	Improved EH service to poor	District Municipality		R315,000		
		Organisation Development and restructuring of District EHS				R350,000		
		Development of Environmental Health By-laws				R250,000		
		Enabling community participation in change processes				R50,000		
	Air Quality Management	Develop Emissions Inventory	Reduce health burden on poor	DM, Province and DEAT		Total EH budget = R8,9 million	R300,000	
		Training and Capacitation - including civil society				R165,000		
		Address fossil fuel burning at household level – prepare for 07		District wide		R50,000		
		Study tours to Cape Town and Durban		Other cities		R40,000		
COMPONENT THREE: Total Requested for 2006/07								R13,710,000

Monitoring System

The Programme Steering Committee assumes responsibility for monitoring of the programme's results, and of its overall management.

The monitoring of the UEM Programme will use existing national, provincial and local government monitoring and evaluation systems or procedures. The monitoring of the UEM Programme will focus on outcomes of urban environmental management and its links to poverty reduction.

The UEM Programme and Component indicators will reflect existing government indicators, e.g. DEAT published "Development of a Core Set of Environmental Performance Indicators" (2004) aimed at local level reporting for air quality, waste management and the planning process. The UEM Programme can assist DEAT in reporting on those indicators of relevance to UEM.

Partner Reporting on Programme Progress

Reporting on the UEM Programme by partner agencies at municipal level will be embedded in the required reporting as required by government procedures, including South African requirements for reporting on ODA.

Reporting within the UEM Programme has a dual purpose. The *first* purpose of the reporting is on programme implementation. Normal departmental reporting procedures will be used for this. The only additional reporting required is a six-monthly excerpt from standard progress reports which are transcribed onto the Programme Reporting and Monitoring guideline form. A summary financial report shall also be submitted on a six-monthly basis, listing opening balance of the vote, total draw-downs from the RDP fund, total expenditure in the reporting period, interest earned on unspent funds, closing balance for the reporting period. These reports shall be submitted on a six-monthly basis to the International Programme Advisor based in DEAT.

Component level: Each Manager with overall responsibility in their municipality will be responsible for issuing, (assisted by national advisors where available) six-monthly progress and financial reports and annual work plans to be compiled in the programme reporting. The six-monthly report is based on existing reporting in the government system. The first report due to the PSC Secretariat is at the end of December 2006.

APPENDIX ONE: PROGRAMME STEERING COMMITTEE TERMS OF REFERENCE

Denmark – South Africa Urban Environmental Management Programme 2006 - 2010 Terms of Reference for the Programme Steering Committee

a) Background

The Steering Committee is the formal mechanism for joint decision-making and oversight concerning the Urban Environmental Management (UEM) Programme formally agreed between the South African Government and the Royal Danish Embassy (RDE) in South Africa. While the Department of Environmental Affairs and Tourism (DEAT) is the lead and coordinating partner, this programme is structured to follow and promote partnerships and inter-governmental cooperation across all spheres of government.

b) Mandate and scope

The Programme Steering Committee (PSC) exercises oversight with respect to ensuring that the programme is implemented, outputs achieved and funds managed efficiently and effectively, in accordance with the programme document, the Government-to-Government Agreement, and other legal documents produced in the course of programme implementation. Where deviations from the programme document are considered necessary, the PSC takes the decisions. Programme objectives cannot be altered by the PSC.

The mandate of the PSC includes:

- delegation of specific management tasks to the PSC Secretariat that may otherwise cause implementation bottlenecks between PSC meetings.
- overall responsibility for monitoring of programme outputs,
- monitoring of the provision and utilisation of technical assistance available,
- monitoring of auditing procedures and results

c) Composition

The most senior member responsible for component coordination in each partner government department shall be a member of the PSC. This includes: DEAT, DoH, one representative from each of the provincial government department partners, and one representative from each partner city. The South African Cities Network will be invited as a member.

Past members of the Programme Development Advisory Committee (PDAC) are invited to continue their involvement in the programme. In addition to those already mentioned, these include:

- Department of Minerals and Energy
- Department of Housing
- National Treasury
- SALGA
- Royal Danish Embassy

Resource persons, who may be invited to attend to the PSC meetings, include:

- Representatives from Norad (Norwegian Embassy) and other donors
- The international programme advisor and Component advisors

d) Roles and responsibilities of PSC members:

While PSC members will report on and hold responsibility for the progress of their particular municipality or provincial/national department, they will also take collective responsibility for promoting the overall vision and success of the programme as agreed. This includes:

- Promoting the achievement of national priorities as defined by the Government of South Africa, and seeking to align programme activities with the achievement of these.
- Promoting coordination between the Components, and among partners within components.
- Monitoring of overall progress of the programme with the obligation to take action on delays, problems and bottlenecks.
- Monitoring the continued coherence between the programme and urban environment sector development.
- Ensuring that the proposed annual programme is aligned to existing South African Government UEM priorities and that the business plans and budgets submitted are officially recognised and processed within the formal procedures used by the South African Government for its own plans and budgets.
- Receiving annual work plans and budgets as submitted through the PSC Secretariat (Component 1 and Component 3). Considering alignment and coherence of submitted plans and budgets with respect to programme and component documentation. Where alignment and coherence is satisfactory, to endorse submitted plans and budgets, and request RDE to effect transfer of funds.
- Approval of progress and financial reports and decisions on follow-up activities.
- Monitoring of audit results, ensuring follow-up on unsatisfactory reports.
- Decisions concerning deviations from the programme outputs, and consideration of new outputs.
- The PSC will receive an annual report-back of the Joint Annual Programme Appraisal and shall consider and accept the technical report submitted, and take decisions for follow-up on the recommendations made.
- Informed by the Annual Programme Appraisal, and by progress reports submitted, the PSC shall consider recommendations on the re-allocation of programme funds, and also for the inclusion of new partner municipalities and provinces in the programme framework.

e) Working procedures

- The PSC meetings will be chaired by the Deputy Director General: Environment Quality and Protection in DEAT.
- Decisions will be made by consensus.
- The PSC will meet at least twice annually (February and June) but extraordinary meetings may be requested by a PSC member in writing to the PSC Chairperson.

- The agenda, proposals and discussion documents for the PSC meeting will be circulated at least one week before the meeting. Partners are required to submit their reports and proposals to the PSC Secretariat at least two weeks before the meeting.
- DEAT is responsible for drafting the minutes of the PSC meetings and distributing these to all participants within a week after the meeting. The PSC approves the minutes at the subsequent meeting.

f) PSC Secretariat

Given the staggered nature of component implementation cycles in the programme, it is not possible to align all reporting and planning to be submitted to the PSC for approval at the same time. The PSC Secretariat may be delegated by the PSC to perform specific tasks that become necessary between PSC meetings. In addition to compiling and collating reports submitted by each programme partner, the PSC Secretariat will report to the PSC on general progress in overall programme management and coordination, and any other matter deemed necessary by the PSC.

The PSC Secretariat will be composed of:

- Chairperson of the PSC
- A senior DEAT manager
- International Programme Advisor.
- Other representatives nominated by PSC (can be *ad hoc* representations for specific tasks)
- DEAT will host the secretariat for the PSC.

APPENDIX TWO: RESEARCH QUESTIONS SUBMITTED

Partners are further encouraged to submit questions for which they would like to see some applied research being undertaken. The UEM Programme has a budget of approximately R11 million to commission research “aimed at developing locally relevant policy and management responses to UEM challenges as identified by city environmental managers and other stakeholders”.

The strategy is to generate applied research in response to UEM challenges faced by cities. Such research needs to enjoy wide legitimacy and be relevant, applicable and provide UEM managers with an improved understanding and with ideas for effectively implementing integrated pro-poor UEM. There are important links between this strategy of developing applied research and building UEM knowledge with the goal of supporting a network of stakeholders in UEM.

The following questions have so far been submitted by municipal partners in the process of submitting their UEM Business Plans.

Programme Partner	Questions
Cape Town	A legislative review of all national and provincial legislation that affects municipalities in terms of environmental management. There have been significant changes in the last seven years and cities would benefit from a joint national review to look at the implications for local government
Ekurhuleni	
Ethekwini	What are the linkages between basic service provision and sustainable operations via improved management interventions?
	Environmental health and food safety practises in informal business enterprises
	National inquiry into the health effects of refinery flaring emissions
	Managing non-priority air pollutants in complex industrial conurbations such as Jacobs, Prospecton and Hammarsdale
	The impact of climate change on vector-borne disease spatial and seasonal propagation. Documenting linkages between poverty and environmental status impact on human health in terms of diseases
Johannesburg	How much do the poor spend on treating lung-related diseases?
	How many people from households using open coal device visit clinics and how many times?
Sedibeng	District municipalities and local municipalities have different opinions, understanding and interpretation of powers and functions as per section 84 of the municipal structures act. This affects service delivery in that the grey areas are not attended to and this results in many services delivery matters not being attended to – RESEARCH IS NEEDED in clarifying and defining this issue with particular reference to Environmental Management, Environmental Health, and Air Pollution Management.