

APPENDIX B: Programme Documents

APPENDIX B1 DWAF Programme Forms

- B1.1 DWAF Call for Expression of Interest: Advertisement
- B1.2 Application for approval as Registered Implementing Agent (RIA)
- B1.3 Application for DWAF financial assistance for a RWH Feasibility Study
- B1.4 Application for DWAF financial assistance for a RWH Project

APPENDIX B2 Project Implementation Plan format

APPENDIX B3 Physical Planning Aspects

APPENDIX B4 RIA Budget and Cash Flow formats

- B4.1 Project Budget Summary format
- B4.2 Invoicing Schedule format

APPENDIX B5 RIA Invoicing formats

- B5.1 Bi-Monthly Progress Report format
- B5.2 Invoicing format

APPENDIX B1. DWAF Programme Forms

B1.1 DWAF Call for Expression of Interest: Advertisement

- EXPRESSION OF INTEREST -

HOMESTEAD RAINWATER HARVESTING PROGRAMME

The Department of Water Affairs and Forestry is implementing a homestead Rainwater Harvesting programme for food production and other home-based productive water uses by poor rural families, towards achievement of the Millennium Development Goal 1a: To reduce by half the number of people living with hunger by 2015.

CALL FOR EXPRESSION OF INTEREST BY PROSPECTIVE IMPLEMENTING AGENCIES TO BECOME APPROVED LEGAL ENTITIES FOR THE IMPLEMENTATION OF THE HOMESTEAD RAINWATER HARVESTING PROGRAMME

A prospective implementing agent will need to prove its experience and success in counselling and facilitation of individual poor households, its understanding and successful transfer of the range of water harvesting and production techniques appropriate to low-cost homestead food production and other home-based productive water uses by poor families, and its proven skills in the construction management of large numbers of small infrastructure.

Detailed documentation is available from the Department of Water Affairs and Forestry, Sedibeng Building, Schoeman Street, Pretoria, Room S8XX, Tel 012-336 XXXX, as from Monday X September 200X.

The documents will be issued on receipt of a non-refundable document deposit of RXXX (xxx hundred) in the form of a bank guaranteed cheque made out to the Department of Water Affairs and Forestry.

Only Expressions of Interest complying with the following requirements will be considered:

- i) Expressions of Interest submitted in the standard format supplied.
- ii) Expressions of Interest accompanied by a valid Tax Clearance Certificate for the submitting organisation, and for each organisation participating in a proposed Consortium.
- iii) Expressions of Interest sealed in envelopes conspicuously marked as follows: Expression of Interest RWH01/200X. Department of Water Affairs and Forestry, Sedibeng Building, Schoeman Street, Pretoria.

All Expressions of Interest and supporting documents must be sealed and be placed in the tender box on the ground floor of Department of Water Affairs and Forestry's Sedibeng Building, Schoeman Street, Pretoria before 11h00 on Wednesday XX September 200X. Electronic submissions will be accepted only in non-editable PDF-version.

Expressions of Interest will immediately thereafter be opened in public and no late submissions will be accepted.

The Department of Water Affairs and Forestry is not obliged to accept any Expression of Interest and reserves the right to accept any Expression of Interest in whole or in part.

The Department of Water Affairs and Forestry reserves the right to obtain further Expressions of Interest by prospective implementing agencies to become Approved Legal Entities for the implementation of the Homestead Rainwater Harvesting Programme in future.

DWAF

Logo

B1.2 Application for approval as Registered Implementing Agent (RIA)



water & forestry

Department:
Water Affairs and Forestry
REPUBLIC OF SOUTH AFRICA

DWAF FINANCIAL ASSISTANCE

**APPLICATION FORM FOR APPROVAL AS DWAF APPROVED LEGAL ENTITY (ALE)
FOR THE PURPOSE OF SUBMISSION OF PROPOSALS FOR ASSISTANCE
FOR RAIN-WATER TANKS FOR HOUSEHOLD PRODUCTIVE USES BY THE POOR**

APPLICATION REFERENCE NUMBER

ALE/

Completed forms must be submitted to:	Manager: Agricultural Water Use Development Support Department of Water Affairs and Forestry Private Bag X313, Pretoria, 0001 Fax: 012 323 5041
Enquiries may be addressed to:	Mr Tshilidzi Mathobo Tel: 082 807 6160 Email: MathoboT@dwaf.gov.za

1. PARTICULARS OF THE PROPOSED APPROVED LEGAL ENTITY (ALE)

Full Name of the Proposed ALE			
Location where ALE intends to apply for financial assistance for Rainwater Tanks for Household Productive Uses by the Poor:			
Province(s)		District Municipality(s)	
Postal address		Office Fax no	
		Cellphone no.	
		Contact Person	
		Postal Code	

2. PREVIOUS APPLICATION

Have this Proposed ALE previously applied to be approved as an ALE for Rainwater Tanks for Household Productive Uses by the Poor?	<i>If yes, specify and give date of the last case:</i>
--	--

The following documents should be attached to this application. Please mark with a cross (X)			
<input type="checkbox"/>	Cover letter	<input type="checkbox"/>	Other: <i>Specify:</i>
<input type="checkbox"/>	Copy of ID Document AND/OR Company registration	<input type="checkbox"/>	Company profile

3. INFORMATION SOURCE

Where did you hear of the DWAF financial assistance?
 (Mark with an 'X'. Please mark ALL the applicable source of information)

Land Bank		Television	
National Department of Agriculture		Newspaper	
Provincial Department of Agriculture		Farmer's weekly or other magazines	
Radio		DWAF	
Nu Farmer		Other	

4. DECLARATION

I /We declare that all the information provided in this application is complete and correct to the best my/our knowledge

I/We understand that any false/misleading information supplied could lead to my/ our application being disqualified.

On behalf of the Proposed ALE (ALE name in full) _____

I (Full name and position in block capital letters) _____

do hereby apply to be approved as an Approved Legal Entity (ALE) for implementation of financial assistance for Rainwater Tanks for Household Productive Uses by the Poor, as more fully described in the policy of the Department of Water Affairs and Forestry

Signature:	Place :	Date:
-------------------	----------------	--------------

If more than one signatory: (Full name in block capital letters) _____

Signature:	Place :	Date:
-------------------	----------------	--------------

Witness no. 1: _____ Initials and Surname: _____

Witness no. 2: _____ initials and Surname: _____

5. RECOMMENDATIONS BY ALE MANAGEMENT

Recommendations by the ALE Authorised Representative is required:
 The information has been verified. The application is hereby recommended/ not recommended.

.....

.....

Signature: _____ Date: _____

Authorised Representative: (Name of ALE in full) _____

FOR OFFICE USE ONLY

DWAF Manager: Agricultural Water Use Development Support

The application is approved/not approved for the following reasons:

Signature: _____ Date: _____

FOR OFFICE USE: DWAF OFFICIALS ONLY

Complete the checklist before submitting the application form for approval

I, _____ certify that
this application has been signed in my presence on (date)
20____/____/____ at _____

ITEMS	
<i>Application is fully completed with the following information completed</i>	
Cover letter	<input type="checkbox"/>
Copy of ID Document (if individual) AND/OR Company registration (if organisation)	<input type="checkbox"/>
Company profile	<input type="checkbox"/>

Documents received and certified complete

_____	_____	_____
-------	-------	-------

Name

Signature

Date

B1.3 Application for DWAF financial assistance for a RWH Feasibility Study



water & forestry

Department:
Water Affairs and Forestry
REPUBLIC OF SOUTH AFRICA

APPLICATION FOR DWAF FINANCIAL ASSISTANCE

**APPLICATION FORM FOR DWAF APPROVED LEGAL ENTITY (ALE) FOR FINANCIAL ASSISTANCE
TO DO A FEASIBILITY STUDY AND DEVELOP A PROJECT IMPLEMENTATION PLAN
FOR RAIN-WATER TANKS FOR HOUSEHOLD PRODUCTIVE USES BY THE POOR**

APPLICATION REFERENCE NUMBER

Completed forms must be submitted to the nearest DWAF Offices, addressed to:	Manager: Agricultural Water Use Development Support Department of Water Affairs and Forestry Private Bag X313, Pretoria, 0001 Fax: 012 323 5041
Enquiries may be addressed to:	Tel: 012 336 8066 Email: qfi@dwaf.gov.za

1. PROPOSAL DETAILS

DWAF Programme	DWAF Pro-Poor Homestead Rainwater Harvesting Pilot Programme		
ALE ^{1.1}			
Project Name			
Duration	Start date (dd/mm/yyyy)		End date (dd/mm/yyyy)

1.1 Approved Legal Entity (ALE) Status

(Choose one option)

- 1.1.1 We have already been approved as a DWAF Approved Legal Entity (ALEe) for the Purpose of Submission of Proposals for Assistance for Rain-Water Tanks for Household Productive Uses by the Poor
- OR**
- 1.1.2 We have applied to be approved as a DWAF Approved Legal Entity (ALEe) for the Purpose of Submission of Proposals for Assistance for Rain-Water Tanks for Household Productive Uses by the Poor
- OR**
- 1.1.3 Our application to be approved as a DWAF Approved Legal Entity (ALEe) for the Purpose of Submission of Proposals for Assistance for Rain-Water Tanks for Household Productive Uses by the Poor has been refused.

2. ORGANISATION DETAILS

2.1 Lead Organisation (ALE)

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Street address	
City/Town	
Street code	
Contribution details	

2.2 Collaborating Organisations

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Contribution details	

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Contribution details	

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Contribution details	

3. PROJECT LEADER DETAILS
(responsible for planning, management, financial accountability, project admin, etc.)

<i>Proposer</i>	Title		Initials		Surname	
	First name					
Telephone	Code				Number	
Fax	Code				Number	
Cellphone						
E-mail						
Years experience						
Qualifications						

4. TEAM DETAILS

PERSON ENSURING ADEQUATE STAKEHOLDER LINKAGES
(ensuring support and participation of relevant government and civil society organisations)

Title	Initials	First name	Surname	Years experience	Qualifications

PERSON ENSURING ADEQUATE VILLAGE AND HOUSEHOLD FACILITATION
(village understanding and support, poverty focus, household ownership and participation, sustainability issues)

Title	Initials	First name	Surname	Years experience	Qualifications

PERSON RESPONSIBLE FOR SUPPORT FOR GARDENING (OR OTHER PRODUCTIVE USE)
(household support for cropping or other productive use planning, record-keeping, etc)

Title	Initials	First name	Surname	Years experience	Qualifications

PERSON ENSURING ADEQUATE TECHNICAL QUALITY
(RWH system layout, tank design, construction, etc.)

Title	Initials	First name	Surname	Years experience	Qualifications

OTHER TEAM MEMBERS

Title	Initials	First name	Surname	Years experience	Qualifications

COMMUNITY-BASED PROJECT CONTACT*(contact person based in village, involved in implementation, who will help ensure continuity and sustainability)*

Village Name	Contact's relationship to village	Title	Initials	First name	Surname	Telephone

5. BUDGET DETAILS**5.1 Feasibility Study Costs**

Item	Amount (R)
Professional fees	
Direct expenses	
Total for current financial year : 20../20.. (i.e. 1 December 2005 – 31 March 2006)	
Professional fees	
Direct expenses	
Total for next financial year : 20../20.. (i.e. 1 April 2006– 31 March 2007)	

5.2 Implementation Plan Development Costs

Item	Amount (R)
Professional fees	
Direct expenses	
Total for current financial year : 20../20.. (i.e. 1 December 2005 – 31 March 2006)	
Professional fees	
Direct expenses	
Total for next financial year : 20../20.. (i.e. 1 April 2006 – 31 March 2007)	

5.3 Budget Details (Summary of Totals)

Financial Year	20../20..	20../20..	Project Total
	Total cost (excl VAT) (R)	Total cost (excl VAT) (R)	Total cost (excl VAT) (R)
Professional fees			
Direct expenses			
Total (excl VAT)			
VAT @14%			
Grand Total (incl VAT)			

5.4 Additional Funds

(Describe additional funds that are available in support of this project or related activities)

6. FURTHER INFORMATION REQUIRED WITH THIS PROPOSAL (Compulsory)

- 6.1 Attach Tax Clearance Certificate
- 6.2 Attach Credit Order Form

7. DECLARATION

I/We declare that all the information provided in this application and attached proposal is complete and correct to the best my/our knowledge

I/We understand that any false/misleading information supplied could lead to my/ our application being disqualified.

I/We agree that conditions as stipulated by DWAF will apply to this application for financial assistance:

On behalf of the ALE (ALE name in full)		
I (Full name and position in block capital letters)		
do hereby apply for financial assistance to do a Feasibility Study and develop an Implementation Plan for implementation of Rainwater Tanks for Household Productive Uses by the Poor, as more fully described in the policy of the Department of Water Affairs and Forestry		
Signature:	Place :	Date:
If more than one signatory: (Full name in block capital letters)		
Signature:	Place :	Date:
If more than one signatory: (Full name in block capital letters)		
Signature:	Place :	Date:
If more than one signatory: (Full name in block capital letters)		
Signature:	Place :	Date:

Witness no. 1: _____ Initials and Surname: _____

Witness no. 2: _____ initials and Surname: _____

8. RECOMMENDATION BY ALE MANAGEMENT

Recommendations by the ALE Authorised Representative is required:
The information has been verified. The application is hereby recommended/ not recommended.

.....

Signature: _____ Date: _____

Authorised Representative: (Name of ALE in full) _____

FOR OFFICE USE ONLY

DWAF Manager: Agricultural Water Use Development Support

The application is recommended/not recommended for the following reasons:

Signature: _____ Date: _____

B1.4 Application for DWAF financial assistance for a RWH Project



water & forestry

Department:
Water Affairs and Forestry
REPUBLIC OF SOUTH AFRICA

APPLICATION FOR DWAF FINANCIAL ASSISTANCE

**APPLICATION FORM FOR DWAF APPROVED LEGAL ENTITY (ALE) FOR FINANCIAL ASSISTANCE
FOR RAIN-WATER TANKS FOR HOUSEHOLD PRODUCTIVE USES BY THE POOR**

APPLICATION REFERENCE NUMBER

Completed forms must be submitted to the nearest DWAF Offices, addressed to:	Manager: Agricultural Water Use Development Support Department of Water Affairs and Forestry Private Bag X313, Pretoria, 0001 Fax: 012 323 5041
Enquiries may be addressed to:	Tel: 012 336 8066 Email: qfi@dwaf.gov.za

1. PROPOSAL DETAILS

DWAF Programme	DWAF Pro-Poor Homestead Rainwater Harvesting Pilot Programme		
ALE ^{1.1}			
Project Name			
Duration	Start date (dd/mm/yyyy)	01 December 2005	End date (dd/mm/yyyy)

1.1 Approved Legal Entity (ALE) Status

(Choose one option)

- 1.1.1 We have already been approved as a DWAF Approved Legal Entity (ALEe) for the Purpose of Submission of Proposals for Assistance for Rain-Water Tanks for Household Productive Uses by the Poor
- OR**
- 1.1.2 We have applied to be approved as a DWAF Approved Legal Entity (ALEe) for the Purpose of Submission of Proposals for Assistance for Rain-Water Tanks for Household Productive Uses by the Poor
- OR**
- 1.1.3 Our application to be approved as a DWAF Approved Legal Entity (ALEe) for the Purpose of Submission of Proposals for Assistance for Rain-Water Tanks for Household Productive Uses by the Poor has been refused.

2. ORGANISATION DETAILS

2.1 Lead Organisation (ALE)

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Street address	
City/Town	
Street code	
Contribution details	

2.2 Collaborating Organisations

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Contribution details	

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Contribution details	

<i>Name</i>	
Department/Division	
Postal address	
City/Town	
Postal code	
Contribution details	

3. PROJECT LEADER DETAILS
(responsible for planning, management, financial accountability, project admin, etc.)

<i>Proposer</i>	Title		Initials		Surname	
	First name					
Telephone	Code				Number	
Fax	Code				Number	
Cellphone						
E-mail						
Years experience						
Qualifications						

4. TEAM DETAILS

PERSON ENSURING ADEQUATE STAKEHOLDER LINKAGES
(ensuring support and participation of relevant government and civil society organisations)

Title	Initials	First name	Surname	Years experience	Qualifications

PERSON ENSURING ADEQUATE VILLAGE AND HOUSEHOLD FACILITATION
(village understanding and support, poverty focus, household ownership and participation, sustainability issues)

Title	Initials	First name	Surname	Years experience	Qualifications

PERSON RESPONSIBLE FOR SUPPORT FOR GARDENING (OR OTHER PRODUCTIVE USE)
(household support for cropping or other productive use planning, record-keeping, etc)

Title	Initials	First name	Surname	Years experience	Qualifications

PERSON ENSURING ADEQUATE TECHNICAL QUALITY
(RWH system layout, tank design, construction, etc.)

Title	Initials	First name	Surname	Years experience	Qualifications

OTHER TEAM MEMBERS

Title	Initials	First name	Surname	Years experience	Qualifications

COMMUNITY-BASED PROJECT CONTACT*(contact person based in village, involved in implementation, who will help ensure continuity and sustainability)*

Village Name	Contact's relationship to village	Title	Initials	First name	Surname	Telephone

5. BUDGET DETAILS**5.1 Facilitation Costs**

Item	Amount (R)
Facilitation costs (facilitation, training, construction supervision)	
Direct expenses for facilitation (for Demonstration Phase, community buy-in, HH training, etc)	
Total for financial year : 2005/2006 <i>(i.e. 1 December 2005 – 31 March 2006)</i>	
Facilitation costs	
Direct expenses	
Total for financial year : 2006/2007 <i>(i.e. 1 April 2006– 31 March 2007)</i>	

5.2 Construction Costs: Rainwater Facilities

Item	Amount (R)
Material	
Labour	
Total for financial year : 2005/2006 <i>(i.e. 1 December 2005 – 31 March 2006)</i>	
Material	
Labour	
Total for financial year : 2006/2007 <i>(i.e. 1 April 2006 – 31 March 2007)</i>	

5.3 Budget Details (Summary of Totals)

Financial Year	2005/2006	2006/2007	Project Total
	Total cost <i>(excl VAT)</i> (R)	Total cost <i>(excl VAT)</i> (R)	Total cost <i>(excl VAT)</i> (R)
Facilitation Costs			
Construction Costs: Rainwater Facilities			
Grand Total			

5.4 Additional Funds

(Describe additional funds that are available in support of this project or related activities)

6. FURTHER INFORMATION REQUIRED WITH THIS PROPOSAL (Compulsory)

- 6.1 Attach Tax Clearance Certificate
 6.2 Attach Credit Order Form

7. DECLARATION

I/We declare that all the information provided in this application and attached proposal is complete and correct to the best my/our knowledge

I/We understand that any false/misleading information supplied could lead to my/ our application being disqualified.

I/We agree that the following conditions will apply to this application for financial assistance:

- The subsidy/grant will be payable to the ALE as follows:
-an advance payment for material and labour, and
-payment of ALE fees in accordance with a fee payment schedule agreed in the ALE contract.
-Final payment will be made on completion of the service on receipt of valid invoices and completed Household Approval of Completed Rainwater Tanks forms i.r.o. each beneficiary household.*
- The individual beneficiaries have accepted that they will be responsible for the safe operation and maintenance of their rainwater tank and will not hold DWAF responsible for future maintenance or replacement of the rainwater tanks or any ancillary infrastructure or equipment, or for any injury, loss or death resulting from the construction, use or otherwise of the rainwater tank and ancillary infrastructure or equipment.*

I/We undertake to supply the following further information to DWAF:

- ❖ A full 'post factum' cost breakdown i.r.o. all cost items (time, expenses, capital, etc.) related to this project, to facilitate realistic analysis for future roll-out planning, on completion of the Demonstration Phase, and again on completion of the Expansion Phase.*
- ❖ 'Lessons learnt' reports on facilitation and technical issues, according to detailed requirements by DWAF.*
- ❖ Household Approval of Completed Tanks, i.r.o. each beneficiary household.*
- ❖ Household Application Form i.r.o. all prospective beneficiary households prior to approval of the Expansion Phase.*

On behalf of the ALE (ALE name in full)

I (Full name and position in block capital letters)

do hereby apply for financial assistance for implementation of Rainwater Tanks for Household Productive Uses by the Poor, as more fully described in the policy of the Department of Water Affairs and Forestry

Signature:

Place :

Date:

If more than one signatory: (Full name in block capital letters)

Signature:

Place :

Date:

If more than one signatory: (Full name in block capital letters)

Signature:

Place :

Date:

Signature:	Place :	Date:
-------------------	----------------	--------------

Witness no. 1: _____ Initials and Surname: _____

Witness no. 2: _____ initials and Surname: _____

8. RECOMMENDATION BY ALE MANAGEMENT

Recommendations by the ALE Authorised Representative is required:
 The information has been verified. The application is hereby recommended/ not recommended.

.....

Signature: _____ Date: _____

Authorised Representative: (Name of ALE in full) _____

FOR OFFICE USE ONLY

DWAF Manager: Agricultural Water Use Development Support

The application is recommended/not recommended for the following reasons:

Signature: _____ Date: _____

APPENDIX B2. Project Implementation Plan format

Department of Water Affairs and Forestry
Rainwater Harvesting Pilot Programme

Project Implementation Plan – Table of Contents

0.	EXECUTIVE SUMMARY	2
1.	INTRODUCTION	2
1.1	Background	2
1.2	Project Objectives	2
2.	PROJECT DESCRIPTION MAP	2
3.	PLANNED SCOPE OF WORK	2
3.1	Number and type(s) of tanks to be built.....	2
4.	METHODOLOGY	2
4.1	Registration of Beneficiary Households	2
4.2	Establishment of intensive gardening /trench beds/ other	3
4.3	Construction of tanks	3
4.4	Safety precautions.....	3
4.4.1	Safety during excavation and construction	3
4.4.2	Safety of tanks after construction	3
4.5	Handover	3
4.5.1	Stage 1	3
4.5.2	Stage 2.....	3
4.6	Festivals and confirmation processes	4
5.	ROLES AND RESPONSIBILITIES OF TEAM MEMBERS	4
5.1	Institutional and Social Development (i.e. village & higher level facilitation)	4
5.2	Family Food Production (i.e. household facilitation & mentoring)	4
5.3	Technical and construction.....	4
6.	ORGANOGRAM	4
7.	PARTNERSHIPS/ RELATIONSHIPS WITH OTHER STAKEHOLDERS	4
8.	CONFORMITY TO POLICY GUIDELINES	4
8.1	Labour-based Construction (this has to be maximised).....	4
8.2	Employment Policy (criteria for employing unskilled labour)	4
8.3	Wages and Labour standards.....	4
8.4	Financial Procedures.....	4
8.5	Design Standards	4
9.	PROJECT COST	5
9.1	Budget and Cash Flow	5
9.2	Cash Flow Forecast.....	5
10.	TIME SCHEDULE (programme)	5
10.1	Milestone Schedule for the Project.....	5
11.	MONITORING AND EVALUATION	5
12.	REPORTING	5
12.1	Key Performance Areas and Indicators	5
12.2	Monthly Reports	5
12.3	Project Closure Report.....	5

Notes on the required content of Project Implementation Plans

[Important note: Your Project Implementation Plan shall be accompanied by a “DWAF RWH Project Application Form”, where you shall indicate collaborating organisations on your project team and shall provide a summary of your proposed project budget]

0. EXECUTIVE SUMMARY

[½-1 page]

[Give a brief overview of the proposed project purpose, size, location and cost. This should enable a decision-maker at DWAF to know at a glance what you are proposing to implement]

1. INTRODUCTION

1.1 *Background*

1.2 *Project Objectives*

• PROJECT DESCRIPTION MAP

[Attach a 1:50 000 Project Description Map, with informative text boxes (see *example text boxes at the end of these Notes*) to cover the information listed below:]

- location of village (GPS co-ordinates)
- demographics and income profile
- community organisations/structures
- village water systems
- general slope and topographical aspects
- geotechnical aspects affecting tank choice
- status quo general gardening practices
- appropriate garden intensification options (trenching, raised beds, etc.)
- available rainfall & required runoff collection area for 30m³ tank

3. PLANNED SCOPE OF WORK

3.1 *Number and type(s) of tanks to be built*

4. METHODOLOGY

[Describe how you would approach the project, covering at least the aspects below]

4.1 *Registration of Beneficiary Households*

- awareness [how will awareness be created]
- use of existing or establishment of new organizational structures? How?
- criteria setting [describe how you plan to participatively develop agreed project criteria with local stakeholders, in addition to DWAF's criteria below]

DWAF's Criteria:

The Household must be willing to:

- establish or have already established intensified gardening;
- receive, safely store and issue the building material to the builder;
- dig a portion of the excavation for the RWH Dam (e.g. a trial pit of 1.5m diameter, 1.5m deep); and
- provide water if there is a yard tap available

4.2 Establishment of intensive gardening /trench beds/ other

[Describe how you plan to encourage and mentor households to adopt intensified gardening/production practices]

- exposure / cross visits [where, how, objectives, how you will ensure these objectives are achieved]
- training / workshops / garden establishment
- supply of seedlings, and how you plan to prevent continued dependence on seedlings (and other inputs/services) from outside
- etc

4.3 Construction of tanks

[Describe how you plan to construct tanks in a way that ensures that the household feels in control of the process and outcome throughout]

- training [who, what, when?]
- siting
- digging
- material procurement and distribution (bulk buying, storage, etc.)
- record keeping of material - HH to builder
- building of tanks

- **Safety precautions**

4.4.1 Safety during excavation and construction

4.4.2 Safety of tanks after construction

4.5 Handover

4.5.1 Stage 1

- practical completion of tank by builder
- snag list by ALE and HH
- remedial work by builder
- ALE hands over to HH and HH signs
- payment of builder

4.5.2 Stage 2

- practical completion of a batch by ALE
- snag list by ALE and client (inspection of tanks on sample basis)
- remedial work by ALE
- payment of fees to RIA less retention (retention will be released based on (a) expiry of normal maintenance period for such structures, (b) the tank has been tested for leakage).

4.6 Festivals and confirmation processes

[Describe how you will facilitate household and community acceptance and celebration of improved production practices. Describe how you will encourage local leadership's moral support to participating households]

5. ROLES AND RESPONSIBILITIES OF TEAM MEMBERS

5.1 Institutional and Social Development (i.e. village & higher level facilitation)

5.2 Family Food Production (i.e. household facilitation & mentoring)

5.3 Technical and construction

6. ORGANOGRAM

[Also explain qualifications/expertise of individuals shown in the organogram, and attach CVs]

7. PARTNERSHIPS/ RELATIONSHIPS WITH OTHER STAKEHOLDERS

[Describe which processes you plan to follow to ensure support from and (where relevant) collaboration with local stakeholders, such as those listed below]

7.1 DWAF Regional Office

7.2 Department of Agriculture [Local Extension for future agricultural support? Training in organic production for local agric staff as part of your implementation?]

7.3 District Municipality [IDP, LED?]

7.4 Local Municipality [IDP, LED?]

7.5 Community organisations, Home Based Carers, etc

7.6 NGOs

7.7 Other, e.g. Consultants working on related matters in the community

8. CONFORMITY TO POLICY GUIDELINES

[This may be important with regard to government regulations such as basic employment regulations, Extended Public Works Programs etc, not necessarily just RWH policy. At the minimum, make a statement that you will comply]

8.1 Labour-based Construction (this has to be maximised)

8.2 Employment Policy (criteria for employing unskilled labour)

8.3 Wages and Labour standards

8.4 Financial Procedures

8.5 Design Standards

9. PROJECT COST

9.1 Budget and Cash Flow

9.2 Cash Flow Forecast

10. TIME SCHEDULE (programme)

10.1 Milestone Schedule for the Project

[Please show milestones and timing for milestones per batch of tanks – effectively, #4.1-4.5 above are milestones.]

Particularly, please show monthly targets for tank construction. This will form the basis for monthly grant advances and fees payments, less retention on current batches.]

11. MONITORING AND EVALUATION

[Describe your own internal monitoring procedures to ensure quality of facilitation and construction, and to prevent any fraudulent practices.]

12. REPORTING

12.1 Key Performance Areas and Indicators

12.2 Monthly Reports

- ***Project Closure Report***

Example Text boxes for ‘Section 2: Project Description Map’

[These text boxes should be inserted onto your area map as required in Section #2 above. The text boxes shown below are examples, and you may come up with your own. The intention is to minimise the requirement for text in the proposal, and to enable the DWAF decision-maker to see at a glance your proposals & recommendations and the reasoning behind these]

Province: Eastern Cape
 DM: Chris Hani
 LM: Emalaheni
 Ward: 3

Ward HH income profile	
Income level	No of HHs
Interpretation of these data with reference to the MDGs: [i.e. your recommendation]	

Project Area Name: Ndonga						
Villages and current gardening activity						
	Village	GPS	Number of HHs in village	Demo tanks completed	Active gardens	Proposed tanks
NEW	Hala 2		200	0	40	10

Intensified gardening/ production options:

Soil types:
 Current gardening practices:
 Recommended intensification options: [i.e. your interpretation of soils and local conditions and your recommendation, e.g. trenching or other]
 Motivation for recommendation:

RWH planning			
Rainfall		Required run-off collection area for a 30m ³ tank	Garden area from a 30m ³ tank
Summer	Winter		
350mm	190mm	200m ² at 10% run-off 60m ² at 100% run-off [These are arbitrary figures, just as examples. Calculate for your proposed project area]	110m ²

Recommended Tank type

Tank type:

APPENDIX B3. Physical Planning Aspects

1.0 Introduction

2.0 Setting the scene

2.3 *NATURAL RESOURCES*

2.2 *WARDS, POPULATION, INCOMES, ECONOMIC ACTIVITIES, INFRASTRUCTURE ETC*

2.1 *LOCATION AND MAPS*

2.4 *CONSTRUCTION RESOURCES*

3.0 On-site planning

3.1 *FIRST PRINCIPLES*

3.2 *SKETCH PLAN OF THE IMMEDIATE VICINITY OF THE PLOT.*

3.2 *SKETCH PLAN OF THE PLOT ITSELF*

3.3 *GARDEN LAYOUT*

3.4 *SELECTING RWH CATCHMENTS*

3.5 *ESTIMATING WATER REQUIREMENTS*

4.0 Implementation

4.1 *SKETCH PLAN OF PLOT*

4.2 *IRRIGATION*

1.0 Introduction

Project submissions to the Department will be channeled through approved RIAs. In order to ensure that the scale of the operation will be such that the provision of organisational structures for the implementation of the processes can be economically justified, applications will have to be submitted on behalf of villages or communities and activities may extend over more than one financial year.

The emphasis on all facets of the process will be centered on mobilising local organisations and people and submissions to the Department will need to include a clear outline as to how and by whom this is to be achieved. In common with other similar projects, community members will have to be trained to fill supervisory, administrative and technical roles. These will be over and above the important role that will have to be played by community facilitators.

The initial submission to the Department should include a "scene set" and suggestions follow as to how this can be approached as well as notes on the content and nature of training that may be required.

2.0 Setting the scene

2.1 LOCATION AND MAPS

The locality can be shown on a scan or photostat of a road atlas map. The next level of detail is a 1:50,000 topographic map (now available on CD) that provides an indication of the layout of the village or villages, land slopes, roads and land use as well as streams and dams. Orthophotos, large scale aerial photographs with contour lines, can be used for identifying individual residences and plots, while the "Google Earth" satellite images have even further extended possibilities. What has become evident is that GPS is an essential management tool when working in the deep rural areas. The importance of good mapping cannot be overestimated; it forms the basis of virtually all the overall planning actions that follow. There is no better way of presenting what is happening in the villagers than by annotating the photographs or maps with short texts.

2.2 WARDS, POPULATION, INCOMES, ECONOMIC ACTIVITIES, INFRASTRUCTURE ETC

Information is available on CD at electoral ward level from the compilations developed by the Municipal Demarcation Board (SA Explorer) that are now in their third edition. The data is derived from the latest population census and provide the information required for decision-making concerning the selection of applicants for grants. Apart from income estimation statistics are provided on the availability of electricity, potable water, and sanitation.

2.3 NATURAL RESOURCES

Climatic conditions, particularly rainfall, have a significant impact on the likely role to be played by the programme in promoting food security and income augmentation. There are two valuable sources of information. The ARC Atlas that is in the process of being released in electronic format in AGIS, the DOA website, is a condensation of the maps and databases comprising the Land Type Survey of South Africa compiled over the past 25 years. The Atlas is a valuable resource in that once the coordinates of the sites have been established the planner is well informed about the circumstances of the natural resources available to the villagers. The second edition agro hydrology Atlas developed with WRC funding by the KZN University, also in the process of release, and is comprehensive and includes detailed information on climate and water resources.

2.4 CONSTRUCTION RESOURCES

It is important that the building methods and materials being used in the area be established and recorded. Allied to this every effort should be made to establish the prices of local materials, or locally available materials, and the transport facilities currently utilised. Obviously this can have a major impact on the construction materials and methods recommended for the tanks. The need to establish the position of the soils in respect of both the establishment of gardens as well as the excavation of the tanks by digging test pits has been stressed. Normally this would not be necessary on each site but sufficient test pits would be required to ensure that the overall properties of the soil in the village was established.

3.0 On-site planning

3.1 *FIRST PRINCIPLES*

People want to grow vegetables, fruit and maize next to the house where they know they will be safe. What do they need to do this successfully?

For high production and good-quality it may be necessary to “create” deep fertile soils for the vegetable beds best achieved by trenching and back filling with organic materials. Then for this effort to be rewarded an adequate supply of water is essential. This is where rainfall harvesting comes in because it does not require complex infrastructure to transport it over long distances. But people must know how to capture this water and how to use it. It is very often possible to get by in the rain season even when there are dry spells but in the typical long South African dry season production of vegetables is only a proposition if water can be stored. And this of course is the objective of the present scheme, tanks to store water for the dry season.

The combination of trenching for good soils, finding sources of rainwater that can be led on to vegetable beds or into storage tanks without running the risk of flooding and damage and the siting of storage that will not be a danger to children or to health means that very careful attention must be paid to planning how the plot should be planned so that the it is utilised effectively in the long-term. It is most important that the storage tank be sited so that filling it with available rainwater and delivering the stored water to the garden beds requires a minimum of attention.

3.2 *SKETCH PLAN OF THE IMMEDIATE VICINITY OF THE PLOT.*

It is important that the position of the house and plot relative to roads, other gardens and fields and of course neighbouring houses be established. This does not have to be a survey with accurate dimensions. All that is required is a simple diagram with paced distances. Levels are, however, very important because it is levels that determine where water flows. Approximate but adequate levels can be established using simple apparatus such as a builders line level. Remember that water will be received from adjoining plots and roads and passed on to other plots.

3.2 *SKETCH PLAN OF THE PLOT ITSELF*

Ultimately it will be desirable that each plot has a helicopter plan, a detailed sketch showing the position of each vegetable bed and fruit tree and the planting pattern for the seasons and the paths and channels that supply them with water. This is not required at the initial planning stage, what is required is a sketch that enables various ideas to be penciled in and evaluated with attention being given to the origin of the water and the position of the tank relative to the beds. Should it be decided that a file be maintained for each site then this should include the final sketch plan showing the position of the buildings, proposed garden and infrastructure.

3.3 *GARDEN LAYOUT*

This is probably where planning should begin, and seldom does. The harvesting of water during the rain season and the way in which this is distributed to the beds is important. The process is entirely dependent on the gravity flow of water in paths that double up as earth channels so is dependent on the micro topography of the garden as well as the infiltration characteristics of the soil. For all practical purposes the beds can be considered as small level basins. Planning and setting out these beds is as much an art as a science but there are principles that should be followed that can be demonstrated and learned. It is absolutely essential that these basin beds be set out in

accordance with contour lines scratched out on the soil surface but initial planning can be done on a sketch plan provided these include at least approximate contour lines.

During the dry season plants will largely be dependent on irrigation. Because in the dry season water is a scarce commodity the transport of the water from storage to the beds will normally be by pipe, hose, bucket or watering can. Irrigation water supply is consequently flexible and can be applied to beds originally set out to facilitate the distribution of run on water during the rain season.

3.4 *SELECTING RWH CATCHMENTS*

In the case of water to be stored and used for irrigation or household applications priority should be given to clean water from roofs and paved areas. If the roof area is large enough to provide all the water that can be stored this may obviate the need for underground storage. Water can be run direct from gutters and down pipes into the storage tank. Gutters are frequently a problem but there is merit in catching the water in shallow screeded channels around the bottom of the walls and channeling it into underground tanks. The areas of impervious surfaces should always be noted and the yield during the summer months estimated. The expected rainfall for the area should be established at the outset, this information is readily available. The computer program Planwat includes default values for the percentage yield from a variety of catchment surfaces ranging from corrugated iron roofs to grazing areas.

Once the catchment area and the position and area of the vegetable beds have been established the potential locations for the storage tank become fairly obvious.

Run on water for summer production is usually gathered from higher lying areas of the plot or adjacent lands and veld while roads are an obvious source. There is a tendency to overestimate the area required and this may result in unnecessary flooding of the garden. The furrows dug to gather and distribute the water can be sized and arranged to limit damage in heavy storms and while there are some elementary rules that can be followed experience in a specific area is important. Depending on topography and soil characteristics it may be possible to dig interceptor ditches deep enough to catch the base flow and prolong the delivery period after a storm.

3.5 *ESTIMATING WATER REQUIREMENTS*

It is quite possible to make fairly accurate estimates of crop water use and consequently of irrigation requirements anywhere in the country and to relate these estimates to water harvesting. The Sapwat / Planwat computer programs make this feasible. These processes will be facilitated when Sapwat3, an interactive merging of the two programs, is released early in 2007. For reasons, that will now be explained, it is preferable to utilise the programs at the feasibility studies stage to develop tables and graphs for specific areas for use by field personnel.

Irrigation quantities during the dry season are a function of the reference evapotranspiration (short grass) calculated by means of the Penman-Monteith equation. During the winter in the summer rainfall region where most of the villages are located the temperature and humidity do not vary widely and consequently crop water requirements reflect this trend in uniformity. However, crop water and irrigation requirements can vary considerably and are influenced by the following factors:

- ❖ Crop growth characteristics, particularly length of growing season,
- ❖ Crop selection and planting dates,
- ❖ Intensity of occupancy of the beds throughout the season,

- ❖ Crop management including weed control and planting density,
- ❖ Irrigation method and management and
- ❖ Methods of augmenting and monitoring soil profile water content.

The objective is intensive production on a limited area with a restricted water supply. Some householders aim to plant more than one crop in the winter season on each bed while others prefer one crop per season. They may not be able to afford the additional cost of seed. Some crops such as spinach is picked for six months or longer, and requires watering throughout the full period. Facilitators must understand the principles of vegetable and fruit production, and must obviously receive adequate training. They should be consulted on the conditions and practices that influence planning.

Irrigation deserves greater attention than it normally receives. There is a perception that vegetables have very shallow rooting systems and require daily irrigation. Seedlings do require particular attention initially but when grown in the deep beds created by trenching most crop varieties develop deep roots and research has shown that irrigating once a week or even once every two weeks can be a satisfactory practice during the winter months in an intensive system.

Similarly there is a perception that innovative new methods of irrigation can achieve miracles in respect of water saving and production. Flood has come to be regarded as an undesirable method that wastes water while drip is believed to be the modern approach that saves water. Nothing could be further from the truth. Both methods, and a number of other approaches, can produce excellent results and many factors including personal preferences and circumstances can influence the decision. Opting for any particular approach will in any event not guarantee success.

To illustrate this point there is no more effective way of providing plants with the water they require than by planting them along a shallow level furrow the two meter length of the vegetable bed and filling the furrow with a watering can or bucket. Similarly a small level basin can surround a tree. This procedure ensures that one knows exactly where the water is being placed and how much has been applied. If a hose, fed from a manual pump or even a tap, is affordable this can cut the drudgery. Normally in a small household garden watering is not a major chore especially if it can be spread over several days. When water is in extremely short supply this is the approach that can help it go much further than one would have thought possible.

4.0 IMPLEMENTATION

4.1 SKETCH PLAN OF PLOT

The general dimensions, buildings, existing gardens or other facilities can be sketched in and distances can be measured by tape measure or by pacing. What is important, however, is that the contour lines be sketched in as well. This is not a difficult procedure but facilitators will require some training. Probably the simplest procedure is to scratch out the contour lines on the ground and then to sketch them in using other features to position them on the drawing. These contour lines can then be used to plan the position and orientation of the garden beds and water channels and pipelines.

It is not necessary to use survey instruments to establish levels. This can be done using a simple builders line level suspended on fishing line or alternatively by constructing an A-frame with a plumb bob providing the vertical reference line. Conventional boning rods can then be used to project levels from reference pegs across the plot.

4.2 IRRIGATION

Facilitators will need to understand the basic principles of irrigation. These are not complex and are largely concerned with the availability of water in the soil profile within reach of plant roots. Only too often people believe that it is essential to keep the water content of the soil at the magic "field capacity" level, now referred to as "upper limit" in order to eliminate plant stress. Unfortunately this only too often leads to over irrigation that is not only a waste of water but as often as not leads to the roots being starved of oxygen resulting in plant wilting. The golden rule of irrigation is to know what the water content of the profile is and at what depths the roots are extracting water.

The difficulty is that the ebb and flow of soil water is hidden below the soil surface and it is not easy to establish the position. Successful irrigation scheduling is based on the dipstick principle rather like measuring the level of the oil in the sump of a motor engine at regular intervals. This can be done by means of sophisticated equipment or very simply by digging a hole with a spade and looking and feeling! Practical alternatives include homemade probes and gouge augurs. Generally once irrigators have followed one of these methods for a period and have got to know their conditions they develop a feeling for when irrigation is necessary.

APPENDIX B4. RIA Budget and Cash Flow formats

B4.1 Project Budget Summary format

DWAF RAINWATER HARVESTING PROGRAMME Project Budget Summary

Date: _____

Name of RIA _____

Project Name _____

Project number _____

Number of RWH tanks _____

Item	Activity	Cost	Cost/Tank	% of Total
1	Grant (construction)			
2	Professional fees			
3	Reimbursement of direct expenses			
	Sub Total			
	VAT			
	TOTAL			

APPENDIX B5. RIA Reporting & Invoicing formats

B5.1 Bi-Monthly Progress Report format

RAINWATER HARVESTING PROGRAMME BI-MONTHLY PROGRESS REPORT

Date of this report [months & year]: Sept-Oct 2009

Name of Registered Implementing Agent: _____

1. Name of Project:

1.1 PROJECT STATISTICS

	This period	Cumulative (actual to date)	Cumulative (target to date)
Project No			[no]
District Council			[name]
Local Municipality			[name]
Estimated Number of Target Households			[no]
Start Date			[date]
End Date			[date]

1.2 PROGRESS

1.2.1 Intensified Gardening

Households Registered			[no]
Households doing intensified gardening			[no]

1.2.2 Construction

Job Cards opened			[no]
Tanks excavated			[no]
Tanks under construction			[no]
Tanks completed & INITIAL ACCEPTANCE signed			[no]
Number of tanks grant payment justified			[no]
Tanks tested and FINAL ACCEPTANCE signed			[no]
Number of tanks retention payment justified			[no]
Number of tanks inspected by client			[no]
Rate of construction			[no]
Number of BUILDERS/ building teams			[no]
% completion			[%]

1.2.3 Financials (subsidies)

Subsidies requested			[no]
			[value]
Subsidies paid			[no]
			[value]
Retention requested			[value]
Balance (Budget <u>less</u> Subsidies Paid)			[value]

1.2.4 User Education

Households that have received user education			[no]
Workshop 1-2			[no]
Workshop 3-6			[no]
Workshop 7			[no]

1.2.5 Comments/ Recommendations/ Suggestions:

B5.2 Invoicing format

DWAF RAINWATER HARVESTING PROGRAMME Invoice

Date of Invoice _____
 Invoicing period for Grant Advance: _____ for Fees: _____

Name of RIA _____
 Project Name _____
 Project Number _____
 Number of RWH tanks for Total Project: _____

Summary Report on Previous Grant Advance:		Previous Advance claimed: R - (incl VAT)			
Number of RWH tanks:		claimed for in Previous Grant Advance period:	actually constructed (i.e. INITIAL TANK ACCEPTANCE signed) in Previous Grant Advance period:		
PAYMENTS MADE FOR CONSTRUCTION AND SITE STAFF					
DATE	SUPPLIER / SERVICE PROVIDER	Is this supplier VAT registered? Y / N	SUPPLIER INVOICE No.	AMOUNT (Excl VAT)	RIA Reference No
00/00/2009				R -	
00/00/2009				R -	
00/00/2009				R -	
00/00/2009				R -	
TOTAL (Excl VAT)				R -	
VAT @14% (on all supplier invoices, including non-VAT registered suppliers)				R -	
TOTAL PAYMENTS MADE				R - (incl VAT)	
Actual cost of tanks (Incl VAT)				R -	

Grant Advance now claimed:	Grant Advance now claimable (see invoicing schedule): R - (incl VAT)
Number of RWH tanks claimed for in this Grant Advance period:	
Grant Advance now claimed: R - (incl VAT)	

Retention now claimed:	Retention now claimable (see invoicing schedule): R - (incl VAT)
Number of RWH tanks for which FINAL TANK ACCEPTANCE has been signed since the Previous Retention claim:	
Retention now claimed: R - (incl VAT)	

Professional Fees now claimed:	Professional Fees now claimable (see invoicing schedule): R - (incl VAT)				
FEES - PROFESSIONAL STAFF					
PERIOD	STAFF MEMBER	HOURS WORKED	RATE (R/h)	AMOUNT (Excl VAT)	RIA Reference No
00/00/2009				R -	
00/00/2009				R -	
00/00/2009				R -	
00/00/2009				R -	
TOTAL (Excl VAT)				R -	
VAT @14%				R -	
Professional Fees now claimed:				R - (incl VAT)	

Expenses now claimed:	Expenses now claimable R - (incl VAT)				
REIMBURSABLE EXPENSES - PROFESSIONAL STAFF					
PERIOD	STAFF MEMBER	HOURS WORKED	RATE (R/h)	AMOUNT (Excl VAT)	RIA Reference No
00/00/2009				R -	
00/00/2009				R -	
00/00/2009				R -	
00/00/2009				R -	
TOTAL (Excl VAT)				R -	
VAT @14%				R -	
Expenses now claimed:				R - (incl VAT)	

TOTAL now claimed:	Number of RWH tanks for which FINAL TANK ACCEPTANCE has been signed since the Previous Grant Advance & Retention now claimed		R - (incl VAT)
	Professional Fees & Reimbursables now claimed		R - (incl VAT)
	TOTAL now claimed:		R - (incl VAT)