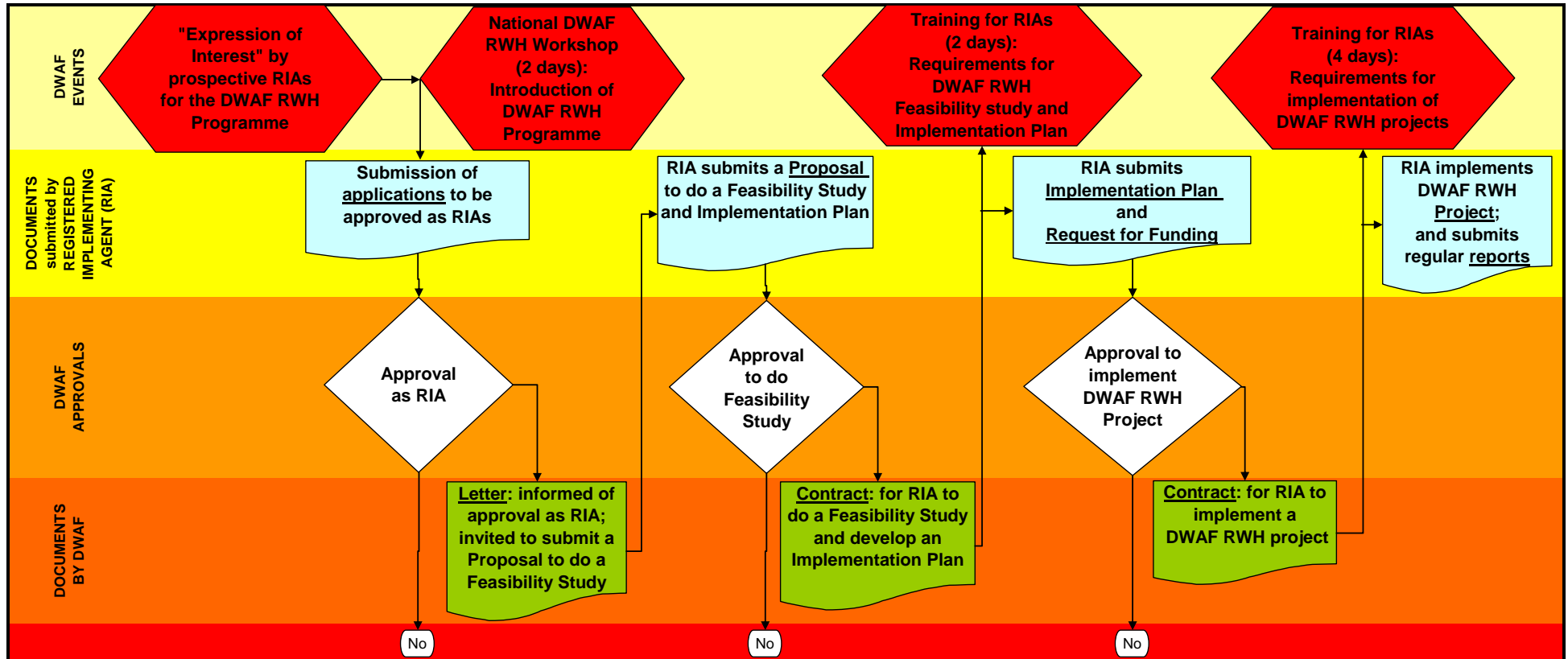


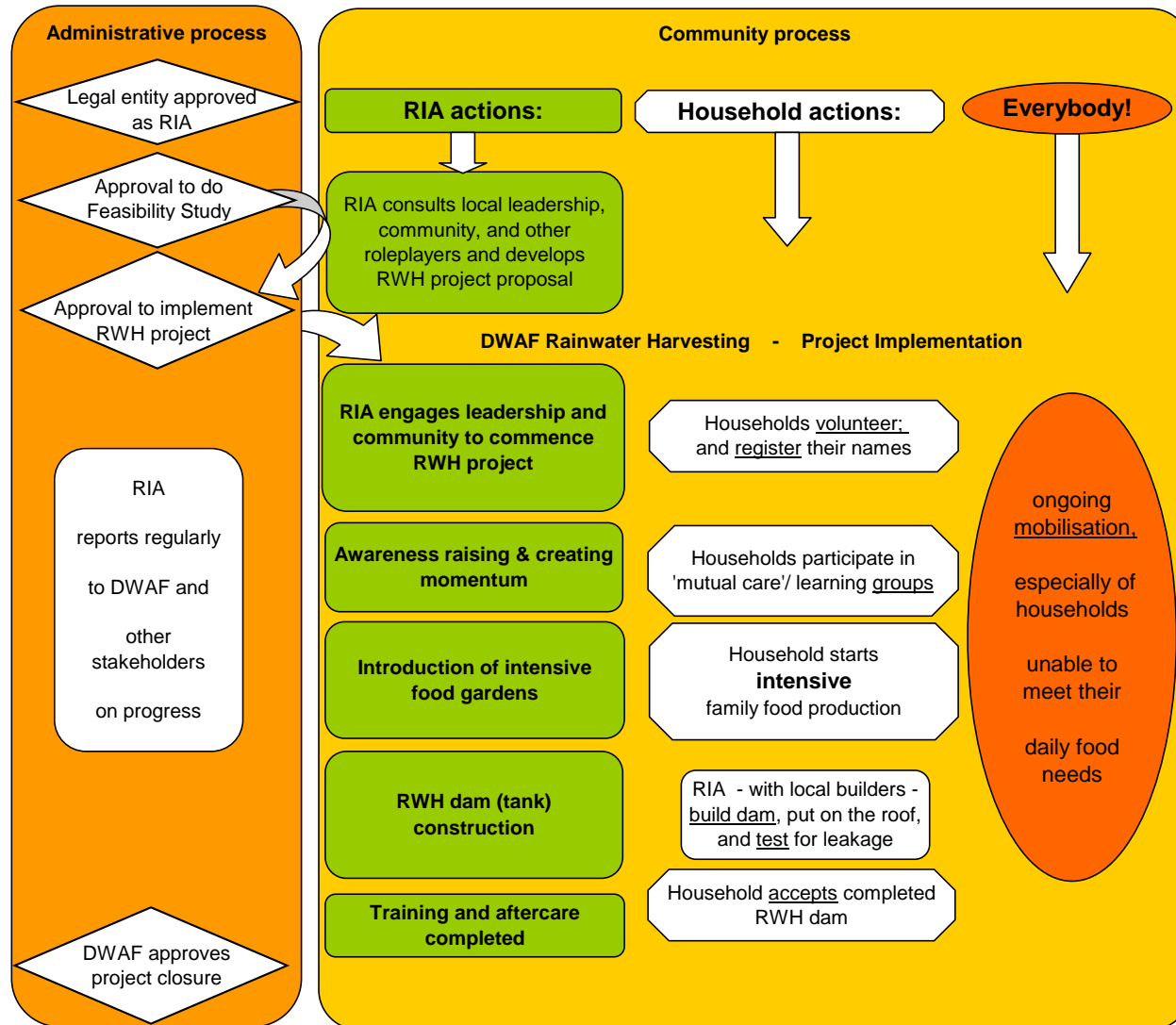
Chapter 2 -

How does the DWAF RWH Program work?

Diagram 2.1: DWAF RWH Programme:- Appointment processes for RIAs



**Diagram 2.2: RIA RWH Projects:- Planning and implementation processes**



# Rules of the game

## ***Working directly with food insecure households***

The DWAF RWH Programme involves working directly with food insecure households at grassroots level to first establish their intensive family food gardens and then, to build the household RWH Dams. The Department cannot do this itself on a significant scale, and therefore makes use of implementing agents.

From time to time, DWAF will invite implementing agents to express interest in becoming a Registered Implementing Agent (RIA) for the DWAF RWH Programme.



Please see above, the schematics in **Diagram 2.1**: DWAF RWH Programme:- Appointment processes for RIAs and **Diagram 2.2**: RIA RWH Projects:- Planning and implementation processes. Detail descriptions follow in the sections below.

## ***Working through Registered Implementing Agents (RIAs)***

To be approved as a RIA, implementing agents must convince DWAF that they:

- ❖ understand poverty at household level and its effects on the poor person's outlook on life;
- ❖ are committed and skilled to find, and work with food insecure households towards food security through intensive family food production and rainwater harvesting; and
- ❖ have the capacity to successfully implement a complex infrastructure programme, namely a large number of relatively small structures over dispersed and often difficult terrain.



## ***Feasibility Study and Project Implementation Plan***

Once DWAF approves an implementing agent as a RIA, the RIA may apply to conduct a feasibility study for a RWH Project in a specific village or project area.

In the RIA's application, they must set out the detail and costs to do the following:

- ❖ to perform the **feasibility study** (see **Appendix B3**: Physical Planning Aspects) [This would include aspects such as demographics and income profile, geo-technical aspects affecting RWH Dam choice, etc.]; and
- ❖ to develop the **Project Implementation Plan** (refer to **Appendix B2**: Project Implementation Plan format).



The Project Implementation Plan must be developed 'bottom-up' through close interaction with the target village/area, municipal and Department of Agriculture and DWAF officials locally, and must be based on the findings of a thorough feasibility study.

## **DWAF/RIA Standard Contract**

If the RIA's Project Implementation Plan is approved, DWAF can now enter into contract with the RIA to implement their Plan.

### Important Note:

RIAs must understand clearly that this is not a programme of 'rolling out tanks', i.e. simply building (or 'dumping') large numbers of RWH Dams in people's backyards. While it is also important to achieve the numbers, implementation will not be viewed as successful unless the household has been able to establish and successfully maintain an intensive water-based production activity at home.

Indeed, the household's production must be successful for them to qualify for a RWH Dam. This avoids a great rush of demand for RWH Dams by households who may not use them afterwards. Large numbers of unutilised dams would almost certainly eventually result in cancellation of the whole DWAF RWH programme, to the detriment of those households who really need – and would have used – a RWH Dam in their backyard.

## **Project Implementation**

In implementing the project, the RIA continues with the close 'bottom-up' collaboration established with the target village/area during the feasibility and planning phase. Project implementation covers the following elements (each of these are described in more detail in [Chapter 3](#)):

- ❖ Establishment of the Project Team and Project Steering Committee (**PSC**) in the Project Village/Area
- ❖ **ISD**: Village level facilitation: to find the poor and facilitate local support for their efforts
- ❖ **FFP**: Household level facilitation: Mind Mobilisation and intensive Family Food Production
- ❖ **TECH**: RWH Dam Construction in participating households' yards
- ❖ Measuring and Reporting Progress
- ❖ Project Closure



Training for RIAs  
(4 days):  
Requirements for  
implementation of  
DWAF RWH projects

## **Invoicing and Payment Processes**

The formats for RIAs' budgeting and cash flow planning, and for invoicing and payment procedures, are contained in [Appendix B4](#): RIA Budget and Cash Flow formats, and [Appendix B5](#): RIA Reporting and Invoicing formats.

**Note:** DWAF shall release project funds in accordance with the RIA's monthly project cash flow plan (invoicing schedule), as long as the RIA is able to report progress in step with their Project Implementation Plan.

The RIA's implementation budget consists of two components, namely:

- ❖ Grant funds for RWH tank construction costs, which includes site staff costs; and
- ❖ Professional fees and expenses of RIA staff.

The RIA shall submit bi-monthly invoices consisting of the following:

- ❖ Grant funds: advance claims and relevant retention amounts; and
- ❖ Professional fees and expenses in respect of completed work.

The diagram below illustrates the schedule of invoices for a typical 18-month project period:

		Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12	Month 13	Month 14	Month 15	Month 16	Month 17	Month 18	Month 24
Construction costs	Grant advance	Invoice 1		Invoice 2		Invoice 3		Invoice 4		Invoice 5		Invoice 6		Invoice 7		Invoice 8		Invoice 9		
	Retention												Invoice 7	Invoice 8	Invoice 9	Invoice 10	Final invoice			
Professional fees	Fees	Invoice 2		Invoice 3		Invoice 4		Invoice 5		Invoice 6		Invoice 7		Invoice 8		Invoice 9		Invoice 10		
	Expenses	Invoice 2		Invoice 3		Invoice 4		Invoice 5		Invoice 6		Invoice 7		Invoice 8		Invoice 9		Invoice 10		

**Example:**

In the example above, **Invoice 8** is submitted at the end of Month 14, and consists of the following:

- i. Grant advance i.r.o. Month 16 and 17
- ii. Retention monies claimable up to the invoicing date (i.e. end of Month 14)
- iii. Fees and expenses i.r.o. the preceding two months (i.e. Month 13 and 14)

**i.) Grant advance:**

This invoicing schedule provides the RIA with upfront grant funds for construction, to help bridge the costs for construction material, labour and site staff. Note that **Invoice 1** consists of a grant advance for three months, while subsequent grant advances are for two-month periods each, but are claimed 30 days before they are needed. This provision has been made to help avoid construction delays due to unavailability of funds.

**Important Note:** If the payment of grant advances is delayed by more than 60 days after receipt of a correct and complete invoice, and the RIA experiences serious construction delays as a direct result of unavailability of grant funds, the RIA must notify DWAF, and may then suspend their construction activities, and may then claim site costs on a month-by-month basis for every month thereafter, until the grant advance is paid. The RIA may then also request an extension of their contract period equal to the number of months of suspended construction.

**ii.) Retention:**

An amount of 5% retention shall be held by DWAF in respect of each completed RWH tank for which an **Initial Tank Acceptance form (Form QA05)** had been signed by the **household** representative, the **Quality Assessor** and the **Technical Officer**. The retention amount is payable once the tank had been successfully tested for waterproofness and the **Final Tank Acceptance form (Form QA06)** had been signed by the **household** representative, and a minimum period of six months from the date of completion of construction has expired.

*Note:* In the example diagram above, the first retention amount is claimed in **Invoice 7**, which is submitted in Month 12.

**iii.) Professional fees and expenses:**

Professional fees are paid in retrospect, for completed work, for the two months preceding the invoicing date.

***DWAF Monitoring and Evaluation***

**RIA Progress reports:**

The standard format for RIAs' bi-monthly reporting to DWAF is provided in **Appendix B5**.

RIAs are accountable to DWAF for project implementation. Payment of invoices is authorised on account of the RIA's proven adherence to their project implementation milestones. RIAs shall therefore submit progress reports bi-monthly with their invoices for grants and professional fees as set out above.

The RIA shall submit a Project Closure report in accordance with the required format.

**DWAF evaluation of RIA project outputs:**

DWAF may from time to time carry out any evaluation and monitoring actions it deems suitable. This may include evaluation of the number and quality of food gardens established and maintained by households, the number and quality of RWH tanks built, the completeness and acceptability of ancillary works, the quality and impact of **FFP** workshops and other training, the quality and completeness of project record-keeping, the adherence of RIA activities to relevant government policies, etc.

**RIA Record-keeping:**

The RIA shall keep complete and accurate records of all project expenses, including staff time and expenses, and all construction related purchases and expenses, including all receipts and orders in respect of the project. These records shall be kept in a neat and orderly fashion to enable evaluation and auditing by a DWAF representative at any time.

**DWAF auditing of RIA financial records:**

DWAF may from time to time visit the offices of the RIA to inspect and/or audit the RIA's project records.