

# Inception Report for the Building Resilience in the Greater uMngeni Catchment Project



**Grant provided by the Adaptation Fund via the South African National Implementing Entity**

**Report prepared by: uMgungundlovu District Municipality**  
**Executing Entity**  
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## Table of Abbreviations

AF	Adaptation Fund
AWS	Agrometeorological Weather Station
CoGTA	Department of Corporative Governance and Traditional Affairs
DARD	Department of Agriculture and Rural Development
DUCT	Duzi uMngeni Conservation Trust
DEA	Department of Environmental Affairs
EDTEA	Department of Economic Development, Tourism and Environmental Affairs
EE	Executing Entity
INR	Institute of Natural Resources
MFMA	Municipal Finance Management Act, 56 of 2003
MM	Municipal Manager
NIE	National Implementing Entity
NGO	Non-Government Organisation
NRM	Natural Resources Management Division
PCC	Project Coordinating Committee
PFMA	Public Finance Management Act, 1 of 1999 as amended
PIP	Project Implementation Plan
PMU	Project Management Unit
PPR	Project Progress Report
SANBI	South African National Biodiversity Institute
SAWS	South African Weather Service
SUDS	Sustainable Urban Drainage Systems
Sub-EEs	Sub-Executing Entities
TTT	Technical Task Team
UKZN	University of KwaZulu-Natal
UEIP	uMngeni Ecological Infrastructure Partnership
uMDM	uMgungundlovu District Municipality
URP	uMngeni Resilience Project
WESSA	Wildlife and Environment Society of South Africa

## Background

The project entitled 'Building Resilience in the Greater uMngeni Catchment' was approved by the Adaptation Fund Board in October 2014. The objective of the project, locally referred to as the 'uMngeni Resilience Project' (URP), is to reduce the vulnerability of communities and small scale farmers in the uMgungundlovu District Municipality (uMDM) to the impacts of climate change. These impacts include an increase in the frequency and intensity of droughts, flash floods, severe storms and wildland fires. Communities are already vulnerable to these hazards due to various non-climate related reasons, including: i) low-cost and informal housing located close to river watercourses or on flood plains within catchments; ii) housing of poor standard located on steep hillsides; iii) under-resourced fire stations; iv) high-density informal and formal settlements; v) poor land use management and over-exploitation of natural resources, including grasslands; and vi) small scale farmers using crops and methods that are not resilient to the impacts of climate change

Vulnerability will be reduced by increasing climate resilience and adaptive capacity using a combination of traditional and scientific knowledge in an integrated approach to adaptation. This will be enabled through implementing a suite of complementary gender-sensitive project interventions, focussing on: i) early warning and ward-based disaster response systems; ii) ecological and engineering infrastructure solutions specifically focused on vulnerable communities, including women; iii) integrating the use of climate-resilient crops and climate-smart techniques into new and existing farming systems; and iv) disseminating adaptation lessons learned and policy recommendations, to facilitate scaling up and replication. A number of sites were identified by the uMDM as demonstration sites for the project. Three sites were selected, based on the results of a vulnerability assessment, stakeholder consultations, and subsequent short-listing and ground-truthing through site visits. The sites are: i) the rural area of Ward 8 of Vulindlela, Msunduzi Local Municipality; ii) the rural farming area of Ward 8 of Swayimane, uMshwathi Local Municipality; and iii) the rural area of Ward 5 of Nhlabazuka, Richmond Local Municipality. A fourth site, a low-lying high-density settlement, will be selected for piloting the early warning system. See Figure 1 for the location of the selected project sites in Kwazulu-Natal, South Africa.

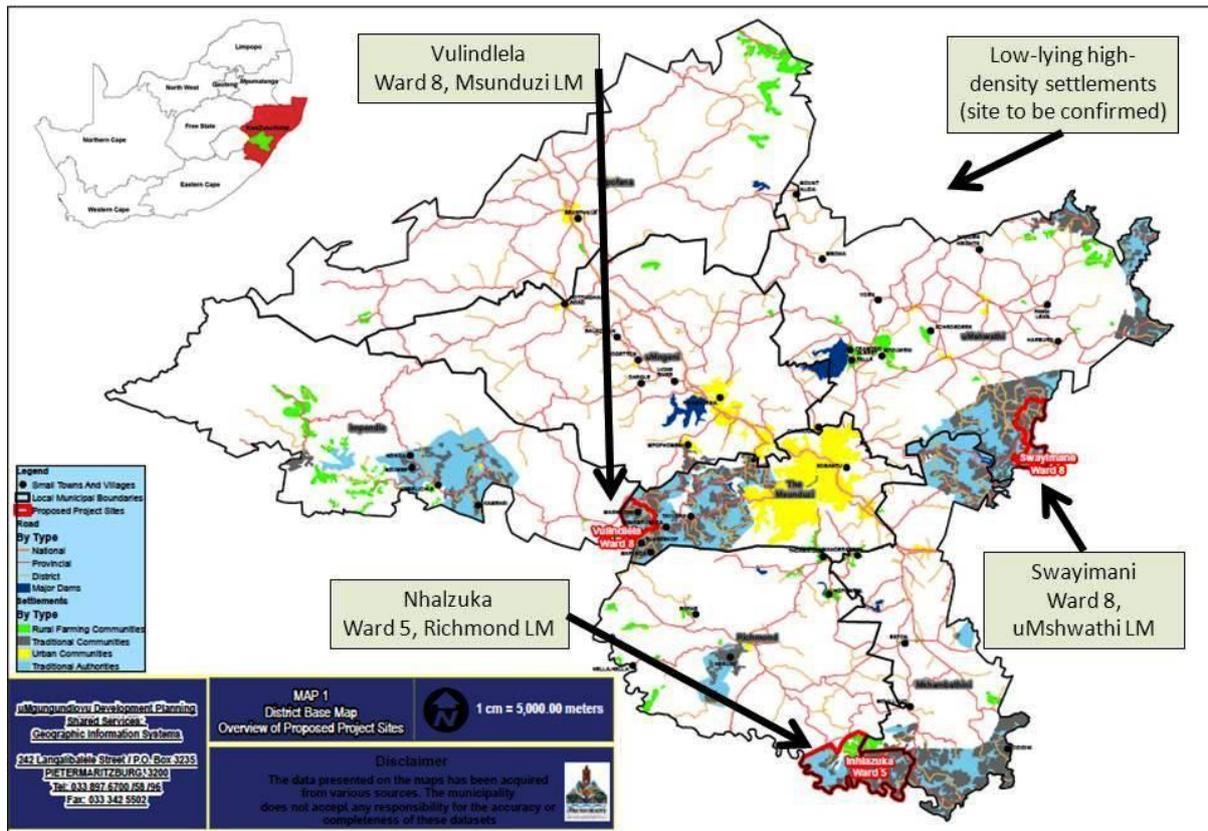


Figure 1: Project sites within the uMgungundlovu District Municipality, KwaZulu-Natal, South Africa.

## Pre-inception Work

Since the project approval in October 2014 and the Inception Workshop, which was held on 12 November 2015, SANBI (the NIE) and uMgungundlovu District Municipality (the Executing Entity, EE) have been involved in pre-inception activities. These have centred on setting up systems and processes with the sub-Executing Entities (sub-EEs) in preparation for the implementation of the project. Time has been taken to ensure that we take the right approach in developing these systems and getting the buy-in of those who will be using them as well as support for these processes. These activities are highlighted below.

- A lot of engagements and various area visits have been conducted to the project areas with project partners and sub-Executing Entities during the pre-inception period of the project. These activities have been used to create mechanisms and set up the institutional structures for managing the URP as well as developing the detailed project implementation plans for the different components of the project. The table below focuses on the key pre-inception meetings and engagements.

Table 1: Key URP Pre-inception meetings and engagements

Date	Place	Meeting purpose
8-12 December 2014	Cape Town	Riaz Jogiati of uMDM met with the NIE to plan the Pre-Inception Phase of the URP
19-23 December 2014	Pietermaritzburg	Riaz Jogiati of uMDM met with the sub-EEs to discuss the Pre-Inception Phase activities
22-23 January 2015	Pietermaritzburg	NIE met with uMDM Disaster Management division; MM meeting to finalise plan for Pre-Inception Phase
27 January 2015	Pretoria	MM attended NIE Steering Committee meeting; MM and NIE met with WESSA to discuss pre-Inception Phase
16-17 February 2015	Pietermaritzburg	NIE workshop with UKZN to develop Project Implementation Plans; SANBI Financial Manager met with uMDM Chief Financial Officer to discuss financial arrangements
20 February 2015	Pretoria	MM attended the NIE project launch with the Minister of Environmental Affairs
3-5 March 2015	Pietermaritzburg	NIE and uMDM had meetings with sub-EEs to discuss Pre-Inception Phase progress
30 March – 2 April 2015	Site visits: Vulindlela and Nhlazuka	NIE, uMDM and Built Environment Support Group visited the project target sites to plan Component 2.1 of the URP
26-28 May 2015	Pietermaritzburg	NIE presented the URP at the UMDM Disaster Management Advisory Forum meeting
7-9 July 2015	Cape Town	Newly appointed Project Manager of the URP met with the NIE for an induction to the project
14-17 July 2015	Pietermaritzburg	NIE and EE held meetings with sub-EEs to prepare for pre-inception workshop.  MM chaired a meeting of all project partners and the NIE, to discuss Pre-Inception Phase progress and plans for the Implementation Phase
27-31 July 2015	Site visits: Vulindlela and Nhlazuka	NIE, uMDM and DEA: Natural Resource Management visited the project target sites to plan Component 2.2 of the URP
11 August 2015	Site Visit: Swayimane	The Project Manager and UKZN coordinator visited the target area view the sites where work on components 1.3 and 3 has started.
2-3 September 2015	Cape Town	Project Manager of the URP met with the NIE to discuss contracting arrangements and hold project planning

		meetings.
15 September 2015	Pretoria	MM attended NIE Steering Committee meeting
22 – 23 September	Pietermaritzburg	Project Manager met with sub-EEs to discuss and prepare budgets and project implementation plans
16-18 October 2015	Pietermaritzburg and project sites	PM and NIE facilitated interviews and site visits for AF filming of project sites
28-29 October 2015	Cape Town	Project Manager of the URP met with the NIE and WESSA to discuss contracting arrangements
2-3 November 2015	Pietermaritzburg	PM and NIE met with WESSA to plan Component 4 of the URP
11-13 November 2015	Pietermaritzburg	Inception Workshop and pre- and post-workshop meetings

In addition to these, the progress reports on implementation readiness have been provided at the different governance structures within uMDM. These include the Mayors' Forum, Municipal Managers' Forum, Management Committee, District Disaster Management Forum and Community Services Committee. Updates have also been provided at the uMngeni Ecological Infrastructure Partnership (UEIP) meetings. The UEIP has been identified as an important stakeholder group as it brings together organisations and government departments that are involved in ecological restoration activities in the greater uMngeni catchment.

- The Project Management Unit (PMU) was established at the uMDM with the Project Manager being appointed in July 2015. An open procurement process was undertaken, starting with an advert that was placed in local newspapers for the position on 25 March 2015. Interviews were held in May 2015 with three shortlisted candidates. The three candidates also wrote a skills test on the day of the interviews. The successful candidate assumed duties as Project Manager on 1 July 2015. Recruitment is underway for the position of the Procurement and Financial Manager. There have been challenges finding a suitable candidate for this position. More information on these is provided under the section "Lessons Learnt".
- A pre-inception workshop was held in July 2015 with project stakeholders. The intention of the workshop was to bring together, for the first time, the main project partners and the uMDM team, led by the Project Manager. The different components of the project were presented and discussed, as was progress towards the start of the project, marked by the Inception Workshop. The workshop was chaired by the uMDM Municipal Manager.
- A due diligence exercise was conducted by specialists appointed by the NIE for the EE and sub-EEs. The NIE had an open tender process that was advertised on their website to find a suitable organisation to conduct this work. The due diligence was a focussed and strategic assessment to understand the financial management systems; procurement and recruitment systems and procedures; technical reporting

and monitoring and evaluation systems; and capacity of the EE and sub-EEs to determine whether the entities comply with the Adaptation Fund (AF) requirements and the principles of the relevant South African legislation governing public finance. These being the Public Finance Management Act, 1 of 1999 as amended (PFMA) and the Municipal Finance Management Act, 56 of 2003 (MFMA). The consultants, whose team included a governance specialist and project finance specialist, met with the EE and the three sub-EEs at their respective offices in Pietermaritzburg during the week of 3 – 7 August 2015 to conduct the due diligence exercise. They met with the project manager, component coordinators, finance personnel, administrative staff and management at the different entities. The results of the review were submitted to the NIE Secretariat by the end of the following week.

- A Technical Task Team (TTT) has been established. This team comprises of the Project Manager and the component leaders of the project. The TTT meets once a month to ensure coordination of activities between the different components of the project; report on progress and share learnings; raise challenges encounters and identify solutions; identify stakeholders who needs to be engaged with; and identify project risks and propose ways to avoid or mitigate risks.
- During this period a number of tools and processes were developed for managing the project and funds. These included templates for five year project implementation plans and annual project implementation plans; and templates for procurement plans to plan for and record all procurement above R20 000 which will ensure smoother reporting process for the annual Project Progress Report (PPR). Templates for recording recruitment and high value procurement events have also been developed, as well as a job description templates.
- The NIE has developed a Disbursement and Expenditure Guideline. This document details the process for forecasting and reporting of received disbursements and defines eligible expenditure that may be claimed and paid for using project funding. Guidelines are provided for determining disallowable and allowable expense, as well documentation that must accompany claims and disbursement reports.
- Significant progress was made regarding contracting. The funding agreement between the NIE and EE was concluded with both parties signing the contract. This followed months of reviewing contract clauses by the project and legal teams of the two organisations. Although the process was lengthy, it was important for ensuring that both parties understand their roles and responsibilities clearly. The contract has now been signed by both the uMDM MM and SANBI CEO. The tripartite agreement with one of the sub-EEs (UKZN) has also been concluded and signed.
- The URP has featured in several media articles, including newspaper, web and radio. Project beneficiaries were also interviewed in the filming that was commissioned by the Adaptation Fund. A logo has been designed for the project which will assist in communication regarding the project as it gives the project a unique identity. The logo captures the four components of the URP.

## Lessons Learnt

A number of challenges have been encountered during the pre-inception phase. Through these challenges important lessons have been learnt that will assist in the project implementation.

- Communication and consultation with stakeholders is paramount. This project has been characterised by lengthy in-depth engagement with stakeholders. While these types of processes do take time, they are critical. It is because this investment was made during the project development phases of the project that project partners and other stakeholders have continued to support the project. It is very important to build and nurture these relationships with stakeholders through regular communication. The use of existing structures and forums for has ensured that stakeholders receive regular updates on the project. However, it must be noted that there are many forums both within and outside the uMDM and that the Project Manager is not always able to get to them all. There are also stakeholders that don't participate in any forums that need to be engaged with separately. It is anticipated that the establishment of the Project Coordinating Committee (PCC) will address these challenges as all the critical stakeholders will be represented in the PCC.
- Measures that ensure continuity within the project team are important. In some of the organisations involved in the project, the team that developed the project is different to that which is responsible for implementation. At the EE, the official who submitted the project proposal to the NIE and led the development of the detailed proposal that was approved by the AF Board is no longer involved in the project as a dedicated Project Manager has been appointed. Where there are no plans or processes for continuity these situations can cause problems for a project of this nature where a lot of historic information and interactions have bearing on the development of implementation plans. Fortunately, the team from the NIE has remained the same and a lot of information relating to key decisions and the rationale for them has been recorded including all calculations that were done in developing the project budget. This highlights the importance of recording decisions and conducting a detailed handover from one team to another.
- The process of contracting is detailed and lengthy. It has taken a substantial amount of time to finalise the key project contracts. This process has involved several drafts, with legal teams from all sides providing comments and suggesting changes in wording before all parties were satisfied and the final documents were approved. The actual signing part by the authorised officials was quick. These contracts will now form the basis of others as there are just a few clauses that will need to be amended to reflect the specific details of that particular agreement and the use of annexures for further specifics can be used.
- The due diligence review is a valuable tool and it should be conducted with all key partners and sub-EEs. Through the due diligence we were able to identify that there

were concerns with the financial management structures at one of the organisations that had been involved in the development of the project and were potential project partners. The practices at the organisation may be adequate for other purposes as the Board of this entity expressed their satisfaction with their systems, but they didn't meet the standards that are required by SANBI in terms of the PFMA and MFMA. As a result of the due diligence review, a decision was taken by the NIE steering committee that this entity may not be contracted with to participate in the URP. The EE will strategize on a new approach for implementing the component of work that this particular sub-EE would have been responsible for. In future this exercise should be conducted early in the pre-inception phase. It must also be made very clear to all entities that decide to participate in the development of a project that their participation is not a guarantee that they will be contracted to implement any part of the project.

- The recruitment of the Project Procurement and Finance Manager, who is a key member of the PMU, has been challenging. Finding a candidate with adequate experience and skills was difficult. The post was first advertised in the local newspapers in March 2015. None of the shortlisted candidates passed the skills test during that first round of the recruitment process. The NIE then re-advertised the post in local and nation newspapers in the middle of August 2015. Only one candidate was shortlisted and wrote the skills test successfully. To make the recruitment a competitive process, the post was advertised a third time in September on the NIE website. Two candidates were shortlisted from that round and wrote the skills test. One failed the test while the other passed. The two candidates who performed satisfactorily in the skills test were interviewed by a panel consisting of Human Resources, the Finance Director from the NIE, the Chief Finance Officer from the EE and the project manager from the EE. Also present was the employment equity representative from the NIE to observe that the interview process is fair. Considering the important role of the Finance Manager, it is worth undertaking a longer recruitment process in order to ensure that only a competent candidate is appointed.

## **Governance Structures**

The governance structure for the URP was presented by the uMDM Municipal Manager to the NIE Steering Committee in January 2015. The NIE Steering Committee approved the framework at this meeting (see Figure 2 for framework).

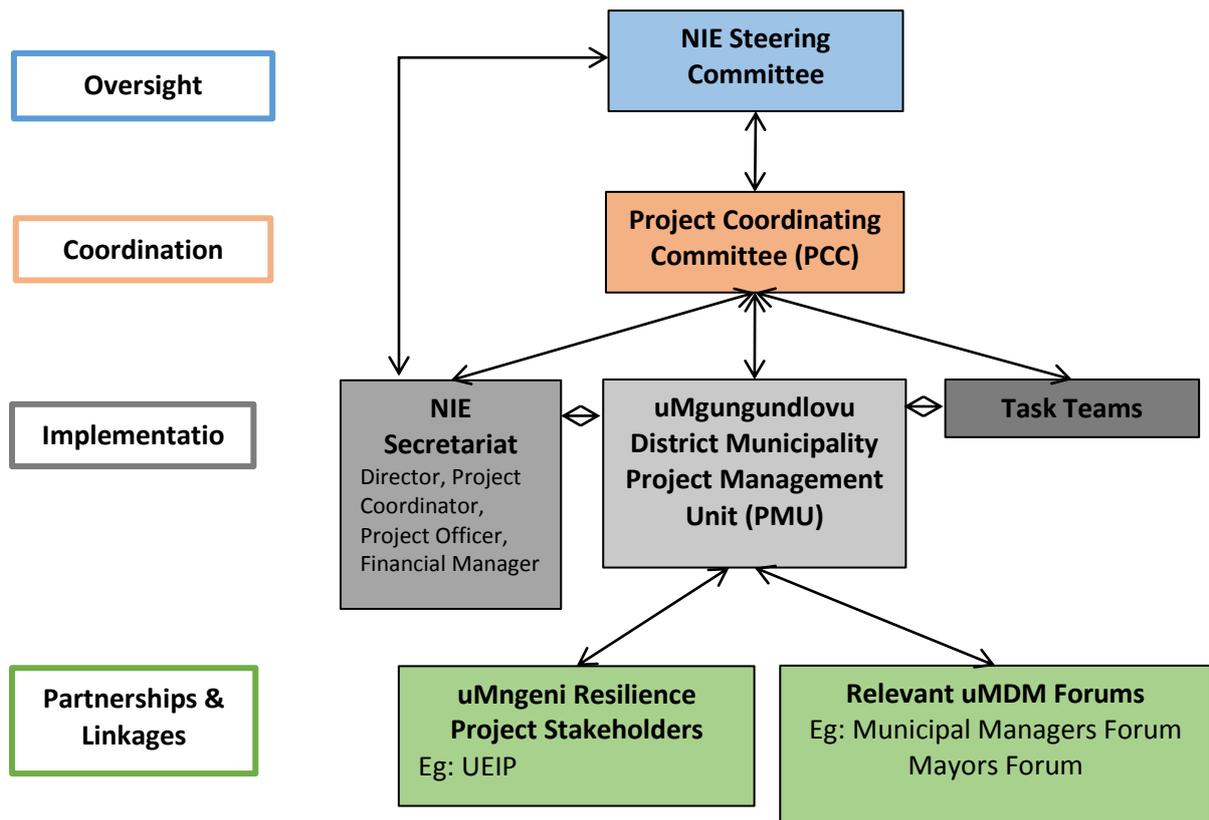


Figure 2: URP Governance Framework.

Oversight of the URP is provided by the NIE. The NIE comprises of the Department of Environmental Affairs, Treasury, the Presidency, Adaptation Network (a network of Non-Government Organisations (NGOs) working in the field of climate change adaptation), SANBI. Steering Committee meetings are attended by the NIE Secretariat and the EEs of the two South African projects funded by the Adaptation Fund.

The Project Coordinating Committee (PCC) has a coordination role. It is responsible for providing guidance on project implementation; ensuring that there is alignment between the URP and other projects in the province, uMDM area and project areas; and sustaining the outcomes beyond the project and that there is replication into other areas. The PCC will be made of representatives from provincial and national government departments as well as local and traditional authorities and NGOs. The following entities will be invited to be members of the PCC which will have its first meeting in February 2016:

- uMDM Municipal Manager (Chairperson)
- uMDM Project Management Unit
- uMDM Disaster Management, Environment and Planning Units
- Department of Environmental Affairs (Designated National Authority)
- SANBI (NIE Secretariat)
- Sub-Executing Entities
- Local Municipalities

- Ingonyama Trust Board (responsible for management of land belonging to traditional authority)
- South African Weather Service (SAWS)
- Provincial Department of Corporative Governance and Traditional Affairs (COGTA)
- Provincial Department of Economic Development, Tourism and Environmental Affairs (EDTEA)
- Provincial Department of Agriculture and Rural Development (DARD)
- Ezemvelo KwaZulu-Natal Wildlife
- Provincial Department of Human Settlements
- NGO representation

The project implementation is led and managed by the Executing Entity (EE), uMgungundlovu District Municipality. Within the uMDM there is a Project Management Unit which is responsible for overall project execution, management and coordination. At the level of implementation there is a very close relationship between the PMU and the NIE Secretariat. Task teams will be created for each component of the project. The task teams will comprise of the project partners that are involved in the implementation of each component. These task teams can be seen as sub-units of the main Project Technical Task Team which is led by the project manager and attended by the leaders of the 4 components. This task team had its first meeting in October 2015. Please see table 1 below outlining this structure.

Table 2: Structure of Technical Task Teams.

<p><b>Project Technical Task Team</b>  <b>PMU and Component leaders</b></p> <p><b>Roles and responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Ensure coordination of activities within each component of the project</li> <li>• Report on progress with implementation of the project and share learnings</li> <li>• Raise challenges encountered and identify solutions</li> <li>• Identify stakeholders who need to be engaged with</li> <li>• Identify project risks and propose ways to avoid or mitigate risks</li> <li>• Meet once a month</li> <li>• To be chaired by URP project manager</li> </ul>			
<p><b>Component 1:</b>  <b>Early Warning &amp; Response</b>  uMDM partners:  Umgeni Water, Fire Protection Associations, Working on Fire, Fire Wise, University of KwaZulu-Natal (UKZN) and SAWS</p>	<p><b>Component 2:</b>  <b>Human Settlements &amp; Ecological Infrastructure</b>  uMDM partners : Infrastructure component leader, Capacity building partner, DEA NRM, WESSA</p>	<p><b>Component 3:</b>  <b>Climate-Smart Agriculture</b>  uMDM partners : UKZN School of Agriculture, Earth &amp; Environment Science, WESSA   Technical input : Project Leader,</p>	<p><b>Component 4:</b>  <b>Capacity Building &amp; Learning</b>  UMDM partners : Wildlife and Environment Society of South Africa (WESSA)   Technical input : Learning Network Officer</p>

WESSA including low-lying high density settlement components	Technical input : Technical Advisor Gender and Social Expert, Community Liaison Officers x2	Component Coordinator, Field Assistants, Extension Officers x2, Learning Network Office	
Technical input: EWS Programme Manager, Learning Network Officer			

There are a number of partnerships and forums that are relevant to the URP. One of the key stakeholder groups is the uMngeni Ecological Infrastructure Partnership (UEIP) which is a partnership made of organisations and different government entities working in the uMngeni catchment area to restore ecological infrastructure. There are existing structures within the uMDM that the URP Project Manager provides progress reports to through the Municipal Manager. These are part of the local government governance framework where progress is interrogated and strategic advice provided. They include the Municipal Managers Forum (MM Forum) that include municipal managers from all the municipalities within the uMDM area, the Mayors Forum which is similar to the MM Forum but for Mayors; as well as committees within the uMDM that include senior management and political leaders.

## Inception Workshop

The Inception Workshop of the uMngeni Resilience Project was held on 12 November 2015 at the KwaZulu-Natal National Botanical Gardens in Pietermaritzburg, South Africa.

The purpose of the workshop was to bring together all identified stakeholders and project partners to discuss the plan for implementing the project, obtain inputs on the implementation plan and discuss how different partners can continue to participate and contribute to the project. The invitation and agenda are included in Appendix 1. Representatives from the Department of Environmental Affairs, SANBI, uMDM, one of the local municipalities, sub-EEs, provincial government departments, South African Weather Services as well as current and potential implementing partners attended. The register of participants can be found in Appendix 2 and a group picture can be found below (Figure 3).

There were a lot useful suggestions and input from workshop participants when the implementation plans for each of the components were presented. The focus was on the first two quarters of project implementation. Below are some of the highlights from the discussion, but the full minutes are in Appendix 3 and the presentations from the workshop are in Appendix 4.

### **Component 1**

Many of the participants that are involvement in elements relating to disaster management and early warning systems expressed that they have ideas, plans or tools that they have already developed that can be of assistance for the ward based early warning systems. There was a suggestion that a round table discussion be held with all the role players so that the ideas can be formulated into a plan.

Next steps: The idea of a round table discussion was welcomed and it is in line with what was already planned to start off component 1; hence a round table will be held early in 2016. It was suggested that insurance companies should be included in these discussions. The subcomponent to be led by Umgeni Water to do a detailed configuration of the rivers in the uMDM in order to improve predictions of floods is ready to be implemented. Contract arrangements will be made so that the work can start in quarter 2 of the project. For Component 1.3 the procurement process to purchase the agrometeorological weather station (AWS) and software is underway. This will be set up at Swayimane High School. A workshop to discuss data management and sharing with stakeholders will be held during quarter 2. Engagements with farmers and learners at Swayimane High School on AWS and how the data can be used to plan agricultural activities will start to take place thereafter.

### **Component 2**

There was an appeal from the stakeholders that a business unusual approach should be taken when considering the strengthening of human settlements. There was a suggestion that Sustainable Urban Drainage Systems (SUDS) and its principles of sustainable systems be brought into this component of work. It was suggested that a round table discussion would also be useful to investigate options and ensure integration.

Next steps: The sub-EE that was going to implement component 2.1 is no longer involved in the URP as a result of the findings of the due diligence exercise that was conducted by SANBI. A planning meeting will be held in January 2016 with staff from the Planning and Environmental units of uMDM to strategize on component 2.1, get new ideas on how to achieve the outputs and identify new partners for implementation. Component 2.2 will be ready to start as soon as contracts are concluded. Studies will commence where hard infrastructure will be put in riparian zones, while the rehabilitation of grasslands will start immediately following signing of contracts.

### **Component 3**

There were queries as to whether the productivity of existing crops could be increased, or if the only option was to introduce new crops. It was stressed that there were many examples of improved farming techniques that could be introduced to improve the management of existing crops, but that diversity is important in building climate resilience in farming systems. A discussion was held on livestock, and it was noted that fodder crops would be grown. It was highlighted that this is a pilot project, and that the lessons learned in the project target areas could be shared and replicated elsewhere.

Next steps: Activities in this component began a few months ago in preparation for the 2015 planting season that started in October 2015. Seeds that are in line with the climate smart agriculture that is being introduced were purchased. The Sub-EE has been working with the farmers to sow the seeds and monitor the field trials.

#### **Component 4**

There was a suggestion that the top-up bursaries that will be included in the learning component of the project should look at the possibility of including internships for students at Honours and Masters levels.

Next steps: A high level implementation plan has been developed for component 4. This has a focus on understanding the needs of partners and communities for knowledge management and capacity building, during the first two quarters of the project. Contract and budget discussions have been challenging due to the fact that a detailed implementation plan with the correct levels of effort for the different activities can only be developed once the needs of stakeholders have been identified, as the plan needs to respond and address them. A cautious approach will be taken to ensure that project funds are allocated efficiently. The Sub-EE will initially be appointed on a short contract during which time they will work with the Project Manager and Learning Network Officer to understand the needs of the different groups and develop a concrete PIP. Thereafter the Sub-EE will be able to enter into a full contract to implement component 4.

#### **General**

There were queries regarding the financial management of the project and whether the project funding would be treated outside of the normal financial processes. It was stressed that the finances for this project will be managed in accordance with the MFPA and PFMA as these are the legislation that govern all public money.

Another stakeholder enquired about whether there was a plan to replicate the project into other areas. Participants were made to understand that this project is intended to be a catalyst for other climate change adaptation actions to be initiated throughout the municipal area. There is a strong learning component to the project which will help facilitate the sharing of new information and learnings from the project as well as development of tools that can be shared with relevant government departments and other entities.

It was highlighted that it will be important that communities that we work with understand that this project is about capacitating communities to deal with and adapt to climate change and that it is not focused on job creation. This is an important consideration in the South African context where many projects that are led by government entities focus on poverty alleviation though job creation initiatives.



Figure 3: Participants at the URP Inception Workshop.

## Five Year Project Implementation Plan

A high level five year project implementation plan (PIP) has been developed for the different components of the project. It is acknowledged that a lot of processes relating to the project implementation require stakeholder input throughout the project life cycle. This, and changing circumstances, will necessitate that the EE and sub-EEs respond accordingly by making changes to the plan where required without compromising on the delivery of project outputs and achieving the outcomes. The high level plan is included as Appendix 5. Detailed plans for Year 1 were presented at the inception workshop with a focus on Quarter 1 and Quarter 2 activities.

## Safeguards

The URP has been designed to be compliant with the AF's Environmental and Social Policy. The URP is rated as a Category B project i.e. a project with possible but limited anticipated adverse environmental or social impacts. At the start of each quarter, the activities for the forthcoming two quarters will be screened against an Environmental and Social Risk Management Dashboard (which includes the 15 AF Principles) designed for the URP. Any project activities that pose severe environmental and/or social risks would not be approved by the PMU for implementation. See the Environmental and Social Risk Management Plan for more details.

At the Inception Workshop an overview of the AF's Environmental and Social Policy was presented, highlighting the background to the policy, its applicability, the 15 Principles and opportunities for further training. Each of the 15 Principles was briefly discussed, focussing on how each should be interpreted in the context of the project. It was stressed that whilst some principles may not be relevant to certain project activities, the "core" principles (1: Compliance with the law; 4: Human rights; and 6: Core labour rights) are always relevant. It was noted that an application has been submitted by the NIE to the AF for a technical assistance grant for an environmental and social risk management expert to provide detailed training to the project partners on the 15 Principles and their relevance to the project activities.

## **Concluding Remarks**

A substantial amount of work has gone into developing processes and tools in preparation for the implementation of the uMngeni Resilience Project. There is a lot of support for the project within the NIE, EE and from the project partners and stakeholders. This was evident at the project Inception Workshop where positive inputs were received from participants that will assist the project.

It will be important to use the next six months to finalise the recruitment of key project personnel and for further engagements with project stakeholders including the communities in the areas the project will be implemented.

**SUBMITTED BY:**

**TLS KHUZWAYO  
MUNICIPAL MANAGER  
UMGUNGUNDLOVU DISTRICT MUNICIPALITY**

## **Appendix 1:** Inception Workshop invitation and agenda

**Appendix 2:** Register of participants at the Inception Workshop.

## **Appendix 3: Inception Workshop Minutes**

## Appendix 4: Presentations

## **Appendix 5: Five Year Project Implementation Plan**