

13rd May 2011



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INTRODUCTION TO UKULUNGISA'S PROJECT PREPARATION TOOLKITS

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1. Overview:

UPPF has developed the following Project Preparation Toolkits:

1. Bulk Water Treatment (*Water Treatment Works Upgrade*)
2. Bulk Waste Water and Sewerage Treatment (*Sewer Treatment Works Upgrade*)
3. Bulk Water supply (*Regional Water Supply Scheme*)
4. Water Reticulation (*Rural Water Supply Scheme*)
5. Sanitation (*Rural VIP Sanitation*)
6. Landfill Sites (*Municipal Waste Management Facility*)
7. Roads and Bridges (*Rural access road*)
8. Low Income Housing (*Rural*)
9. Low Income Housing (*Informal Settlement Upgrading*)

The Toolkits provide a framework to enable more effective and systematic preparation of a range of infrastructure project typologies. They have been developed in order to achieve the following main objectives:

- to provide guidance in respect of the required scope of work, costs, professional skills and timeframes for the preparation of each project type;
- to ensure that the main risks associated with different project types are identified and mitigated as early in the project cycle as possible;
- to ensure that funder and other compliance requirements (e.g. legislative and legal) are well understood and adequately addressed;
- to improve the standard of professional work undertaken during the preparation projects;
- to consolidate, refine and disseminate knowledge resources in respect of infrastructure preparation.

Whilst the Toolkits have been developed principally to assist PPF in briefing and managing professional project teams involved in the preparation of infrastructure



projects, it is recognized that they will also be valuable to Municipal personnel and those from various Government Departments in better understanding project preparation and in ensuring that it is more effectively undertaken.

It is emphasized that these Toolkits are a work-in-progress and, due to the inevitable differences between projects, should not be regarded as rigid proformas. It is also recognized that it is important to achieve an appropriate balance between the need for adequate rigour and risk management on the one hand and need for enabling streamlined processes and rapid delivery on the other.

2. Information sources

The Toolkits are heavily informed by PPT's project-level experience as well as its existing standard procedures, systems and previous toolkits. In addition PPT has utilized toolkits and standard documentation from other programmes such as DWAF and MIG and has also obtained input and commentary from relevant personnel in government departments as well as from various specialist professional service providers.

The development of these toolkits should be seen as dynamic and ongoing process, where toolkits will be updated on an ongoing basis as feedback from external stakeholders is obtained or as experience on UPPF projects is assimilated.

In maintaining and updating these toolkits, UPPF will focus on such elements as: a) lessons from the past and typical project risk factors (*i.e. typical factors historically causing project failure or blockage*); b) risk mitigation measures; c) preparation scopes of work; d) cost norms.

3. Toolkit Components

Each detailed toolkit will consist of the following main components

Section A: General information: This includes, amongst other things: a) a risk profile for each project type to ensure that stakeholders are aware of the critical studies that must be undertaken to resolve or mitigate the main risks usually encountered in project of this typology; b) information on targeted funders and their specific requirements for the project type identified (including project flowcharts, format and documentation requirements and requirements for capital approval and how project preparation is currently funded by them).

Section B: Summary Scope of Work and Cost Norm: This excel-format document specifies the required phases for preparing the project type as well as the constituent work packages (tasks) and indicative costs. The document takes the form of a detailed budget which indicates the expected (indicative) cost range (minimum and maximum).

Section C: Detailed Scope of Work: This includes a description of each of the identified work packages required for the specific project typology for each phase of preparation. Information on each of the work packages is divided into the following main sections.

- Inputs- which details all of the required inputs (*e.g. meetings, site visits, technical assessments etc.*) required for the professional service provider to complete the work package identified.
- Outputs- which details all of the required outputs (*e.g. technical reports, minutes of meetings, approvals etc.*)
- Professional Skill and knowledge required - which specifies the specific professional knowledge and skills required to implement the identified work package.
- Indicative level of effort and duration – which indicates the estimated professional time requirements for the work package.

Section D: Specimen Gantt Chart – this indicates the interdependencies between various work packages (tasks) as well as the indicative time-frames (duration) for each task as well as for the overall completion of the preparation of the project.

Annexures: A full set of Annexures has been compiled for each of the project typologies which include relevant forms and formats requirements for each of the targeted funders, specific technical specifications and guidelines relating to the project typology, legal and legislative compliance requirements etc..

4. Glossary and Abbreviations

AASHTO	:	Atterburg Limits Moisture-Density
AQS	:	Air Quality Specialist
ASP	:	Activated Sludge Pasteurization
B.Tech	:	Bachelor of Technology
BAR	:	Basic Assessment Report
BNG	:	Breaking New Grounds “Comprehensive Plan for the Development of Sustainable Human Settlements of 2004”
BOD	:	Biological Oxygen Demand
BSC	:	Bachelor of Science
BT	:	Business Trust
CBP	:	Community Based Partner
CBR	:	California Bearing Ratio
CE	:	Civil Engineer
CIDB	:	Construction Industry Development Board
COD	:	Chemical Oxygen Demand
CTO	:	Certificate to Occupy
DAEA	:	Department of Agriculture and Environmental Affairs
DCP	:	Dynamic Cone Penetrometer Test
DEA	:	Department of Environmental Affairs
DEAT	:	Department of Environmental Affairs and Tourism
DFA	:	Development Facilitation Act 67 of 95
DLA	:	Department of Land Affairs
DLGTA	:	Department of Local Government and Traditional Affairs
DM	:	District Municipality
DoG	:	Deed of Grant
DoHS	:	Department of Human Settlements
DoT	:	Department of Transport
DWAF	:	Department of Water Affairs and Forestry
EAP	:	Environmental Assessment Practitioner
EIA	:	Environmental Impact Assessment
EMP	:	Environmental Management Plan
EPHP	:	Expanded People’s Housing Process
EPWP	:	Expanded Public Work Programme
GA	:	General Authorization
Geotech	:	Geotechnical
GFSH	:	Department of Human Settlement Generic Specification
GH	:	Geo-hydrologist
GIS	:	Geographic Information System
GP	:	General Plan
GPS	:	Global Positioning System
Ha	:	Hectares
HSP	:	Housing Sector Plan
I&AP	:	Interested and Affected Party
IA	:	Implementing Agent
IDP	:	Integrated Development Plan
IDT	:	Independent Development Trust
INCA	:	Infrastructure Finance Company Ltd
ISLGS	:	Increasing Sustainable Local Government Services

ITB	:	Ingonyama Trust Board
ITP	:	Integrated Transport Plan
IWMP	:	Integrated Waste Management Plan
kl/d	:	Kilolitres per day
KZN	:	KwaZuluNatal
LDO	:	Land Development Objective
LED	:	Local Economic Development
LUMS	:	Land Use Management System
MIG	:	Municipal Infrastructure Grant
MIS	:	Management Information System (for Municipal Infrastructure Grant)
RFP	:	Request For Proposal
MLE	:	Modified Ludzak Ettinger
MOA	:	Memorandum of Agreement
MTEF	:	Medium Term Expenditure Framework
NC	:	National Coordinator
NEMA	:	National Environmental Management Act No 62 of 2008
NEMWA	:	National Environmental Management: Waste Act No. 59 of 2008
NGO	:	Non Governmental Organisation
NHBRC	:	National Home Builders Regulation Council
NIMBY	:	Not In My Back Yard
NMMU	:	National MIG Management Unit
NPO	:	Non Profit Organisation
O&M	:	Operation and Management
P1	:	Phase 1
PDA	:	Provincial Development Act No 6 of 2008
PGDS	:	Provincial Growth and Development Strategy
PHP	:	People's Housing Process
PLC	:	Programmable logic controllers
PMMU	:	Provincial MIG Management Unit
PMU	:	Project Management Unit
PPM	:	Project Preparation Manager
PPT	:	Project Preparation Trust of KwaZulu Natal
Pr. Eng	:	Professional Engineer
PSC	:	Project Steering Committee
PSEDS	:	Provincial Spatial Economic Development Strategy
PTO	:	Permission to Occupy
QS	:	Quantity Surveyor
RDP	:	Reconstruction and Development Programme
RLCC	:	Regional Land Claims Commission
RoD	:	Record of Decision
SA	:	South Africa
SDF	:	Spatial Development Framework
SDP	:	Spatial Development Plan
SG	:	Surveyor General
SOW	:	Scopes of Work
SPAID	:	Support Programme for Accelerated Infrastructure Delivery
TAC	:	Technical Approval Committee
TC	:	Technical Committee
TLB	:	Tractor-Loader-Backhoe

TRH 14	:	Technical Recommendations for Highways
UCT	:	University of Cape Town
UISP	:	Upgrading Informal Settlements Programme
UPPF	:	Ukulungisa Project Preparation Fund
USDG	:	Urban Settlements Development Grant
VAT	:	Value Added Tax
VIP	:	Ventilated Improved Pit Latrine
WP	:	Work Package
WSA	:	Water Services Authority
WSDP	:	Water Services Development Plan
WWTW	:	Waste Water Treatment Works