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Province of the
EASTERN CAPE
COOPERATIVE GOVERNANCE
& TRADITIONAL AFFAIRS

Booklet On
NON – NEGOTIABLES
STANDARD GUIDELINES ON OPERATING PROCEDURES

PREPARED BY
EASTERN CAPE COGTA:
MEC – ZA WILLIAMS

PREPARED FOR
EASTERN CAPE MUNICIPALITIES:

BOOKLET ON MUNICIPAL NON – NEGOTIABLES

STANDARD GUIDELINES ON   OPERATING PROCEDURES FOR EASTERN CAPE MUNICIPALITIES:

SHORT VERSION

PREPARED BY EASTERN CAPE COGTA: MEC – ZA WILLIAMS

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A   EXECUTIVE SUMMARY

The *Municipal Non-Negotiables* for municipalities in the Eastern Cape are a set of fundamental regulations and policies designed to enhance the delivery of essential services, promote sustainable development, and ensure good governance. These policies focus on creating a streamlined, efficient, and transparent system for providing services such as water, electricity, infrastructure, healthcare, and waste management to all communities, both urban and rural. With an emphasis on compliance, accountability, and responsiveness, these non-negotiable regulations are vital for overcoming service delivery challenges and accelerating progress within the region.

The goal of these non-negotiables is to fast-track service delivery by eliminating inefficiencies in municipal operations, ensuring that key public services are provided without unnecessary delays. This includes simplifying the processes for permits and approvals in development projects, enforcing strict yet clear building codes and zoning regulations, and implementing sustainable environmental practices that ensure the long-term availability of resources. The Eastern Cape municipalities are committed to creating a safe and equitable environment where infrastructure projects, including roads, housing, and public facilities, are completed quickly, and essential services reach every corner of the community in a timely manner.

Additionally, these non-negotiables promote strong public engagement, transparent decision-making, and adherence to health and safety standards that protect both citizens and businesses. Municipalities are required to ensure financial integrity, preventing delays caused by budgetary mismanagement and ensuring that funds are effectively allocated to priority areas. By enforcing these policies, municipalities in the Eastern Cape aim to establish a resilient and thriving community, where residents and businesses alike can benefit from efficient, high-quality services, while also fostering sustainable growth and development.

In conclusion, the *Municipal Non-Negotiables* are essential for ensuring that municipalities in the Eastern Cape can meet the increasing demands of service delivery while upholding high standards of governance and public welfare. By adhering to these non-negotiable regulations, municipalities will be empowered to provide better, faster, and more reliable services, ultimately improving the quality of life for all residents.

MR. Z. A WILLIAMS
MEMBER OF THE EXECUTIVE COUNCIL
DEPARTMENT OF CO-OPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS
DATE: 03 APRIL 2025

B   OVERVIEW OF THE NON-NEGOTIALBES

In the Eastern Cape, the *Municipal Non-Negotiables* are a set of essential policies and regulations designed to ensure the efficient and consistent delivery of services to residents and businesses. These regulations are critical for municipalities to maintain the standards of governance, safety, and sustainability, while also playing a pivotal role in fast-tracking service delivery across urban and rural areas. The focus is on eliminating inefficiencies, ensuring transparency, and fostering an environment where essential services—such as water, electricity, healthcare, and infrastructure—are provided promptly and effectively to all communities, regardless of their location or size.

The *Municipal Non-Negotiables* are structured to address key service areas that directly impact the speed and quality of service delivery. **Building and zoning regulations**, for instance, streamline development approvals and ensure that infrastructure projects comply with safety and environmental standards without unnecessary delays. By enforcing strict yet clear zoning laws and building codes, municipalities can fast-track development and construction projects that are crucial for expanding services to underserved areas. Additionally, **health and safety standards** are essential not only to safeguard the public but to ensure that municipal facilities, businesses, and public spaces meet the required standards for immediate operation, avoiding unnecessary shutdowns or delays.

Environmental regulations play a similarly critical role in enabling municipalities to deliver services effectively. By establishing clear non-negotiable policies on waste management, pollution control, and resource conservation, municipalities can minimize delays caused by environmental factors and ensure that service delivery is not hindered by avoidable waste or pollution-related issues. Fast-tracking waste collection, water distribution, and energy management systems is essential for the efficient functioning of communities, and the adherence to these non-negotiable policies makes it possible to implement these systems without bureaucratic setbacks.

In the context of **public infrastructure**, these non-negotiables ensure that infrastructure projects—whether related to roads, electricity, or public transport—are executed quickly, following pre-established guidelines that prioritize both speed and safety. Fast-tracking infrastructure projects is key to improving connectivity between communities and ensuring access to basic services like clean water, reliable electricity, and accessible roads. By adhering to streamlined regulations and operational procedures, municipalities can avoid bottlenecks that often slow down development, ultimately getting critical services to communities faster.

Public engagement and **governance procedures** are also non-negotiable, as they provide clear communication channels between the municipality and the public. Fast-tracking service delivery requires efficient and transparent decision-making, where residents are informed about ongoing projects, timelines, and channels for feedback. By ensuring that all governance actions follow transparent, accountable, and structured procedures, municipalities can minimize public dissatisfaction and avoid delays caused by misunderstandings or lack of information. Additionally, effective financial management and compliance with local tax policies ensure that funds are allocated quickly and appropriately to essential service delivery projects, without unnecessary delays caused by administrative inefficiency.

Ultimately, the *Municipal Non-Negotiables* in the Eastern Cape aim to create a framework where service delivery is accelerated while maintaining the integrity of municipal services. These regulations ensure that municipalities can respond quickly to the needs of the community, address service delivery backlogs, and provide a stable foundation for future development. By following these clear and enforceable guidelines, municipalities can improve the quality of life for residents, create a more efficient governance structure, and establish an environment where sustainable growth and prosperity are possible for all communities in the Eastern Cape.

MR. V. MLOKOTHI
ACTING HEAD OF DEPARTMENT
DATE: 03 APRIL 2025

1. CHAPTER 1: PUTTING PEOPLE FIRST

Overarching purpose of the Chapter:
- The Municipalities are expected to put people and their concerns first and ensure constant contact with communities through effective public participation platforms.
- The Municipalities are expected to coordinate their efforts with other sectors of the society and other spheres of government horizontally and vertically.

1.1. Municipal Public Participation

The municipal public participation focus area is premised on the following objectives:
- To guide municipalities on community participation, transparency, and responsiveness to community needs, ward committees, public meetings, complaint resolution mechanisms, and participatory planning.
- To guide a process of strengthening relationships with communities, municipalities and build trust and deliver services that truly reflect the needs of the people.

1.1.1. Reference To the Policies, Legislations and Other Source Documents

The Local Government: Municipal Structures Act, 1998 (as amended) provides for:-
- The enhancement of participatory democracy through the establishment of ward committees in Category A municipalities with **sub-councils or ward participatory system**, or a Category B municipality with a ward participatory system.
- Municipalities to develop a culture of municipal governance that complements formal representative government with a system of participatory governance and must:
  - o Encourage and create conditions for the community to participate in the affairs of the municipality, including the Integrated Development Planning (IDP), performance management system, monitoring and review of performance, preparation of the budget and strategic decisions regarding municipal service;
  - o Contribute to building capacity of the local community to participate in the affairs of the municipality and councillors and staff to foster community participation; and
  - o Through appropriate mechanisms, processes and procedures, involve the local community in the development, implementation and review of the municipality's performance management system, and in particular, allow the community to participate in the setting of appropriate key performance indicators and targets of the municipality.
- The Act further allows members of the community the rights to:
  - o Contribute to the decision-making processes of the municipality and submit written or oral recommendations, representations and complaints to the municipal council;
  - o Be informed of decisions of the municipal council; and
  - o Regular disclosure of the affairs of the municipality, including its finances.
- Schedule 5 provides for quarterly report back meetings by councillors to the public, and that indicators have to be developed to inform such reports.

Promotion of Access to Information, Act 2000 provides that:
- communities are to be given access to state and other information required for the protection of rights.
- The Act encourages public participation in municipal governance processes such as budgeting, IDP, performance management, and annual reporting.
- The Act also identifies key governance levers responsible for public participation initiatives, i.e. Ward Councillors, Ward Committees, Speakers, Mayors and Municipal Managers.
- The Act further outlines the roles and responsibilities of Community Development Workers and Traditional Authorities within public participation processes.
- Lastly, the Act provides for public requests for information and how these should be responded to by information officers.

The Promotion of Administrative Justice, Act 3 of 2000 as amended:
- Give effect to the right to administrative action that is lawful, reasonable and procedurally fair and to the right to written reasons for administrative action as contemplated in section 33 of the Constitution of the Republic of South Africa, 1996

KEY POLICIES

The **White Paper on Local Government, 1998** describes participation by citizens in four levels:
- As voters: to ensure maximum democratic accountability of the elected political leadership for the policies they are empowered to promote;
- As citizens: who express, via different stakeholder associations, their views before, during and after the policy development process in order to ensure that policies reflect community preferences as far as possible;
- As consumers and end-users: who expect value-for-money, affordable services and courteous and responsive service; and
- As organised partners involved in the mobilisation of resources for development via for profit businesses, non-governmental organisations and community-based institutions.
- The White Paper also provides for development of mechanisms to ensure citizen participation in policy initiation and formulation, and monitoring and evaluation of decision-making and implementation.

The **Batho Pele Principles, 1998** were developed as an initiative to ensure that public office bearers become service orientated, strive for excellence in service delivery and commit to continuous service delivery improvement.
- It is a simple and transparent mechanism which allows citizens to hold public office bearers accountable for the level of services they deliver.
- Batho Pele is not an 'add-on' activity but rather, a philosophy of service delivery in which citizens are placed at the centre of public service planning and operations.
- Eight principles were developed to enhance the policy and legislative framework on service delivery within the public service.
- These principles are aligned with the constitutional ideals of promoting and maintaining high standards of professional ethics; providing service impartially, fairly, equitably and without bias; utilising resources efficiently and effectively; responding to people's needs; encouraging citizens to participate in policymaking; and rendering an accountable, transparent, and development-oriented public administration.

The **Draft National Policy Framework on Public Participation, 2005** published by the Department of Provincial and Local Government *(now Cooperative Governance and Traditional Affairs),*
- Defines participation as an open, accountable process through which individuals and groups within communities can exchange views and influence decision-making.
- Public participation is further defined as a democratic process of engaging people, deciding, planning, and playing an active part in the development and operation of services that affect their lives.
- The framework focusses on public participation at local government level and emphasizes the roles and responsibilities of Ward Committees and Community Development Workers in the enhancement of local participatory governance.
- It further identifies some of the theoretical assumptions that inform public participation initiatives, different types, and levels of public participation, and lists key principles for public participation.

The **National Development Plan, 2011** validates the importance of public participation in fostering development and good governance.
- The plan envisions that by 2030, South Africa will have a state that is capable of playing a developmental and transformative role.
- In broad terms, such a state intervenes to support and guide development in such a way that benefits accrues across society (especially the poor).

- The National Development Plan further envisages a state that is developmental, accountable, focused on citizen's priorities and capable of delivering high-quality services consistently and sustainably through cooperative governance

1.1.2. Guidelines And Expectations
- Ward Committee Establishment
- Ward Committee Functionality
- Effective Petitions Management

Table 1.1: Standard Operating Procedure (SOP)

Task Procedure	Step numbers	Responsibility	Timeframe
Ward Committee Establishment	• Refer to the Provincial Guidelines on the establishment of Ward Committees. Non negotiables – inclusion of all stakeholders and interest groups. 100% compliance to guidelines.	Speaker	As per the guideline such as 120 days after the establishment of ward committee.
Ward Committee Functionality	• Refer to the Provincial Guidelines on the functionality of Ward Committees. • Non negotiables are the assessment of the Ward Committee reports by the Speaker.	Speaker	Monthly
Effective Petitions Management	• Refer to petitions management framework. • Non-negotiable is to attend and resolve the petition within 90 days as stipulated in the Provincial Petition Management Framework. • There should be a policy guided by the Municipal Systems Act (MSA) and applicable legislations. • Establishment of Petitions Committee. • Maintain up-to-date petitions register. • To close the petition outcomes must be communicated to the affected parties/petitioners and there must be a proof.	Speaker/Public Participation Official/Petitions Committee	Ongoing

1.2. INTEGRATED DEVELOPMENT PLANNING

Objectives: To guide municipalities with development of Integrated Development Planning (IDP) which is a five-year strategic planning document that is developed by municipalities.

1.2.1. Reference to The Policies, Legislations and Other Source Documents
- Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000)
- Republic of South Africa Constitution, 1996
- Municipal Finance Management Act, 20023 (Act Non 56 of 2003)
- Intergovernmental Relations Framework Act (IGRFA), 2005 (Act No?, 2005)

1.2.2. Guidelines and expectations
- Functional IDP Steering Committee
- Functional IDP Representative Forum

Table 1.2: Standard Operating Procedure (SOP)

Task Procedure	Step numbers	Responsibility	Timeframe
PREPARATION AND ANALYSIS	• Preparation and adoption of District Municipalities framework in the area as a whole to guide District and LMs during the drafting, stakeholder consultations, alignment and the adoption of IDPs • Preparation and adoption of IDP Process Plans	District Municipality	July - August
	• Preliminary assessment of IDPs/DDM in preparation for the main assessment	Both District and Local Municipalities	July
	• Participate in the Annual assessment of Final IDPs in accordance with Section 31 of the Municipal Systems Act (MSA), No. 32 of 2000		July **-** August
	• IDP Review process commence		July - September
IDP ANALYSIS PHASE	• Collect, compile and analyze the existing levels of service delivery; needs; priorities and their causal factors and within the DDM Context • Weigh the data collected and analyse according to urgency and /or importance to realistically identify priority issues to be addressed • Ward Based Planning (at community level) • Assessing the existing level of development with specific reference to service gaps • Analysing the context of Priority Issues • Agreeing on Priority Issues		October - December
STRATEGIES	• Agreeing on Vision and Objectives • Alignment with the DDM vision and objectives • Considering the Relevance of policy guidelines in the IDP Process • Debate and decision-making on appropriate strategies		January - February
PROJECTS	• Ensure that the project proposals are in line with the objectives, agreed strategies, financial and institutional resource availability • Identification of DDM projects • Negotiate with sector departments & State Owned Enterprise (SOEs) for		February

Task Procedure	Step numbers	Responsibility	Timeframe
	scarce funds for funding of the priority project proposals • Ensure a planning and budgeting link • Formulation of project proposals • Budget allocation for projects		
INTEGRATION	• Screening, adjusting, consolidating and agreeing on project proposals and the District Development Plan (DDM) • Compilation of integrated programmes (Financial Plan, Disaster Management Plan, etc.) • District and locals projects to be synchronise (district consolidation)		March

1.3. INTER- GOVERNMENTAL RELATIONS (IGR)

Objectives
- To guide municipalities on community participation, transparency, and responsiveness to community needs, ward committees, public meetings, complaint resolution mechanisms, and participatory planning.
- To guide a process of strengthening relationships with communities, municipalities and build trust and deliver services that truly reflect the needs of the people.
- To provide guidance and procedures for strengthening local IGR System and District Development Model.

1.3.1. Reference to the Policies, legislations, and other Source Documents
- **Constitution of the Republic of South Africa, 1996**
  - o Chapter 3 on Cooperative Governance
  - o Section 152 on the objectives of local government- which seeks to encourage the involvement of communities and community organisations in the matters of local government.
  - o Section 153 on developmental duties of municipalities which are to structure and manage administration, budgeting & planning to give priority to the basic needs of the community and promote the social & economic development of the community. Participate in national and provincial development programmes
  - o Section 154: The national government and provincial governments, by legislative and other measures, must support and strengthen the capacity of municipalities to perform their functions.
- **Inter-governmental Relations Framework Act, 2005 (Act No 13 of 2005)**
  - o **Objects of the Act**: Coherent government
  - o Section 47 Framing DDM Regulations- A framework for co-ordinating and aligning development priorities and objectives between the three-spheres of government.

1.3.2. Guidelines and Expectations
- Establishment and Functional IGR Forums (Council approved Five (5) Year IGR Strategy, Standard Draft Rules/ToRs, Annual Schedule approved by the Council, Signing Implementation Protocol Agreement and Implementation of IGR Resolutions) aligned to Provincial IGR Strategy and must be approved by the Council.
- Align IGR Forums to DDM
- Align DDM with IDP

Table 1.3: Standard Operating Procedure (SOP)

Task Procedure	Step numbers	Responsibility	Timeframe
Council approved Five (5) Year IGR Strategy & Standard Draft Rules	• Align local IGR Strategy with the Provincial IGR Strategy. Municipal Manager and Managers of the Municipality consultation sessions with the District Stakeholder and Sector Department to develop the IGR Strategy. Develop Standard Draft Rules/ TORs and approved by the Council. • MM submit the strategy for tabling in the Council.	Council Municipal Manager Municipal Manager	Every 5 Years (within election cycle of local government).
Establishment and Functional IGR Forums	• Sitting of IGR Forums Agenda Items to come from the MMCs & Matters arising from the Provincial and National PIF and PIC respectively. Monitoring of the implementation of the resolutions. Signing of the IP agreement. • Implementation of the IGR Monitoring Tool (Tool is available)	Mayor/ Executive Mayor MMCs All Mayors, Municipal Managers and Sector Departments	Quarterly in the first 6 weeks of each quarter. Once every 5 Years
Development, Review and Implementation of District/Metro One Plans	• As per the DDM Regulations Guidelines (as per chapter 4 on processes of preparation, approval, adoption, implementation and monitoring of One Plans) • As per the DDM Implementation Framework. • One Plans must serve as a **long-term strategic framework.**	Municipal Manager	Annually
DDM Institutionalisation	• Joint DDM Political Committees must be established to Support and Oversight DDM. One Plan and IDPs alignment. Minimum Programme of Action for Political Champions to support DDM and Catalytic projects. • Participation of Traditional Leaders in DDM implementation. • Adhere to reporting guidelines (as per DDM Implementation Guidelines).	Political Champions	Ongoing

2. CHAPTER 2: IMPROVED SERVICE DELIVERY

2.1. Objectives of The Chapter

- To guide municipalities on the development and implementation of infrastructure maintenance programmes.
- To extend the useful life of socio-economic infrastructure for enhanced return – on – investment.
- To guide municipalities on the provision of an efficient services safety net for broad inclusion of indigent households

2.1.1. Reference to The Policies, Legislations and Other Source Documents

- RSA Constitution, 1996
- Municipal Systems Act, 2000 (Act 32 of 2000)
- Division of Revenue Act, Year? (Act No of)
- National Development Plan ,2030
- Integrated Development Plan

2.1.2. Guidelines and expectations

- Effective maintenance of roads, stormwater, water and electricity infrastructure by municipalities
- Optimal provision of services safety net through effective Free Basic Services implementation.

Table 2.1: Standard Operating Procedure (SOP)

SOP NAME	PLANNED ROADS AND STORMWATER CONSTRUCTION AND MAINTENANCE		
Task	**Procedure**	**Responsibility**	**Timeframe**
Conduct assessment of the infrastructure	Conduct visual assessment of the infrastructure needs construction and maintenance and collect data	Municipal Technician	One day
Compile report	Compile the report of what needed to be maintained as per the collected data of the status of infrastructure	Municipal Technician	Two days
Submit report	Compiler of the report must submit the report to be analysis and reviewed by the Works Manager	Municipal Technician	One day
Costing of the project	Costing of the project must be done by developing Bill of Quantities of all items that needs maintenance	Works Manager	Two days
Request for fund	Technical Services Section must request funds of roads maintenance from the Municipal Finance Section	Technical Director	Five days
Funding approved	Finance Section approved the funds for maintenance of the infrastructure	Chief Financial Officer	One day
Source material	Buy material that will be used for the maintenance of the infrastructure	Works Manager	Two weeks
Prepare the Plant and Tools	Service plant and prepare or buy tolls that will be used for infrastructure maintenance.	Works Manager	Two days
Prepare site	Site establishment by erecting prefabs or use existing permanent structure in the area	Municipal Technician / Foreman	One week
Traffic Control	Prepare the diversion of traffic by constructing bypass road or using cones to control traffic that will be using the road whilst is still on construction	Municipal Technician / Foreman	Two days
Develop Material Specification	• Draw Design • Draw Specification • Identify type of material to be used.	Technical Service Team	One day
Develop project plan	• Draft a Project Plan • Identify Needs Requirement • Assign project Team with responsibilities. • Provide Time frames	Municipal Technician / Foreman	Two days
Receive a project plan from the Technician	• Conduct Quality Control • Send the quality control report to Professionals	Project Team	One day
Receive the material from the supplier.	• Receive material from the Supplier. • Verify the material as per the order • Sign the delivery note • Dispatch the material to the site.	Municipal Technician / Foreman	One week
Implement the project.	• Execute the project • Sign the completion Certificate • Compile project report	Project team	Will depend on duration of contract
Receive the report from the project Team	• Develop the close out report. • Submit the report to Works Manager	Project Team Professionals	Monthly

SOP NAME	PLANNED ROADS AND STORMWATER CONSTRUCTION AND MAINTENANCE		
Receive the report from the project Team	• Develop the close out report. • Submit the report to Works Manager	Project Team Professionals	Monthly
Compile Close Out Report	• Attach supporting documentation and Lessons Learnt Report • Sign and send the Close out Report to municipal archives	Municipal Technician / Foreman	Three days
Receive Close Out Report	• Send signed copy of Close Out Report to municipal archives	Technical Director	One day

Table 2.2: Process of Pothole Patching

SOP NAME	ROUTINE ROAD MAINTENANCE		
Task	**Procedure**	**Responsibility**	**Timeframe**
Identify roads for construction or maintenance	Identify roads for construction or maintenance through IDP roadshows	Municipal Leadership, Management and community	Annually
Inclusion of identified roads in the IDP	Include all identified roads to the IDP for adoption on end May	Municipal Management	5 years before implementation and review yearly
Inclusion of prioritised roads in the 3YCP	Include the prioritised projects in the 3YCP so that they can be with in the MTEF	Municipal Management	Yearly planning for 3 years
Inclusion of prioritised roads in PIP	Include the prioritised projects in the PIP so that they can be implemented in the following financial year.	Municipal Management	Annually
Bid Specification	Submit specification to SCM office	Technical Services	End October
Appointment of PSP	Advertise on the local newspaper for PSP proposals.	SCM	Early November
Evaluation of Tenders	Sitting of tender Bid Evaluation Committee to evaluate tenders submitted by PSP and do recommendation	Evaluation Bid Committee	Mid November
Adjudication of Tenders	Sitting of tender Bid Adjudication Committee to adjudicate tenders submitted and appoint suitable PSP for the job.	Bid Adjudication Committee	Mid-November
Prepare appointment letter	Write appointment letter and send to the suitable appointed PSP.	SCM	Mid-November
Receive acceptance letter	PSP submit letter of acceptance to the municipality	PSP	Mid-November
Develop ToR	Developing of Terms of Reference for the PSP	Municipal Technical Section and SCM	End November
Project Plan and Program.	PSP to submit project plan and program for the implementation of project	PSP	Beginning December
Design Report	Submission of design report by PSP to the municipality	PSP	Beginning February
Approve Design Report	Approval of design report submitted by the PSP to the municipality	PMU Manager	Mid-February
Tender Document.	Submission of developed tender document by PSP to the municipality	PSP	End February
Advertise Tender	Advert for contractors on the local newspaper.	Municipality SCM	Beginning March
Site inspection	Municipality organize site inspection for interested contractors on the project site.	Technical Section	End March
Tender close	On the date of closing of tender, tender box will be open whilst contractors still in the municipal offices.	Municipal SCM	Beginning April

SOP NAME	ROUTINE ROAD MAINTENANCE		
Tender evaluation	Bid Evaluation Committee sit for the evaluation tenders submitted by the contractors and do recommendations	Bid Evaluation Committee	End May
Tender Adjudication	Bid Adjudication Committee sit for the evaluation tenders submitted by the contractors and do appoint suitable contractor	Bid Adjudication Committee	Mid-June
Appointment of contractor	Municipality issue letter of appointment to the appointed contractor	Municipal SCM	First week of July
Receive acceptance letter	Municipality receive letter of acceptance from the contractor	Contractor	First week of July
Guarantees	Contractor submit Insurances, sureties & retention money guarantees to the municipalities	Contractor	Second week of July
Contract for appointed contractor	Contractor signs the contract for the job	Contractor	Second week of July
Site handover	Municipality handover site to the appointed contractor	Technical Section	Towards end July
Implementation	Contractor starts implementation of the project	Contractor	End July
Completion	Contractor completes the project at the end of the contract and handover to the community	Contractor	By end of June following year if project is not a multi-year

Table 2.3: Interlocking Paved Road

SOP NAME	INTERLOCKING PAVED ROAD		
Task Procedure	Step numbers	Responsibility	Timeframe
Identify area that needs interlocking paved road maintenance	Identify stormwater that need maintenance in the IDP for planning annual prioritization of operation.	Technical Director and Works Manager	Annually
List of interlocking paved road maintenance	Produce list of interlocking paved road maintenance according priority areas	Technical Director and Works Manager	One week
Assess type of maintenance needed per area	• Depressed surface caused sag surface. • Weeds grow on the joints of interlocking bricks Broken interlocking bricks	Foreman and the maintenance team	One week
Allocate resources per area needs	• Deliver gravel and sand material for repairing of sag surface • Deliver chemical that will remove weeds grown on the joints interlock bricks Deliver new interlock pave bricks that will replace broken ones.	Foreman and the maintenance team	One week
Traffic Control	Position traffic control signs to guide the traffic flow whilst doing maintenance work.	Foreman and the maintenance team	One day
Prepare the area to be maintained	Remove interlocking bricks for the preparation of maintenance	Maintenance team	
Start the maintenance of road pavement layers	Remove base layer that have a sag area caused by traffic load.	Maintenance team	On going
Compaction of the pavement layers	Bring back the removed material in layers of 150mm and compact to the certified density	Maintenance team	On going

SOP NAME	INTERLOCKING PAVED ROAD		
Prepare bedding	Lay sand as bedding for the interlocking bricks	Maintenance team	One day
Replacing interlocked bricks	• Lay back the interlocked bricks that that are not damage and replace the damaged ones straighten with rubber hammer	Maintenance team	One day
Fill the joints between the bricks	Put the sans on top of the bricks and push by broom to seal the joints	Maintenance team	One day
Control of weeds	Use the chemical that kill the weeds by spraying the areas where weeds is grown.	Maintenance team	One day

Table 2.4: Stormwater Maintenance (SOP)

SOP NAME	STORMWATER MAINTENANCE		
Task Procedure	**Step numbers**	**Responsibility**	**Timeframe**
Identify area that needs stormwater maintenance	Identify stormwater that need maintenance in the IDP for planning annual prioritization of operation.	Technical Director and Works Manager	Annually
List of stormwater maintenance	Produce list of stormwater maintenance according priority areas	Technical Director and Works Manager	One week
Traffic Control	Position traffic control signs to guide the traffic flow whilst doing maintenance work.	Foreman and the maintenance team	One day
Clean out the drainage channels	• Load silt/debris into wheelbarrows and remove to an area where it will not wash back into the drain, or to a convenient site for removal by truck. The silt must not be thrown up onto the banks or the top of cuttings. • Slash up any other debris that may cause blocking of drains. • Clean out drop inlets to culverts. • Place large quantities of debris etc., in heaps for removal by truck. • Check side drain profile with drain template, and outlet drain profile with trench template, and trim to shape if necessary.	Foreman and the maintenance team	On going
Bush clearing and grass cutting	Remove shrubs, grass and weeds that are growing in channels	Maintenance team	On going
Cleaning the area	Tidy up the work area	Maintenance team	On going

Table 2.5: Side and Meters of Drain Cleaning (SOP)

SOP NAME	SIDE AND METERS OF DRAIN CLEANING		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Identify area that needs culverts cleaned maintenance.	Identify stormwater that need maintenance in the IDP for planning annual prioritization of operation.	Technical Director and Works Manager	Annually
List of culverts cleaned maintenance	Produce list of culverts cleaned maintenance according priority areas	Technical Director and Works Manager	One week
Traffic Control	Position traffic control signs to guide the traffic flow whilst doing maintenance work.	Supervisor and the maintenance team	One day
The Supervisor to station 2 General Assistants at each culvert	• The Supervisor must ensure that the equipment is rotated between each culvert team while the work is in progress.	Supervisor	On going
Remove overgrown plants, grass and silt from inlet and outlet trenches	• Remove all debris from trenches. Slash all overgrown plants and grass vegetation.	Maintenance team	On going
Remove silt from culvert	• Begin removing silt using the extendable spades, until it is possible to use the extendable hoes. • Start at one side, clean half of the culvert, move to the other side of the road and clean the remaining side. Remove all material to a suitable tip site	Maintenance team	On going
Cleaning the area	Tidy up the work area	Maintenance team	Ongoing

Table 2.6: Storm Water Management in Build-Up Areas (SOP)

SOP NAME	STORM WATER MANAGEMENT IN BUILD-UP AREAS		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Identify area that stormwater maintenance cleaned maintenance	Identify stormwater that need maintenance in the IDP for planning annual prioritization of operation.	Technical Director and Works Manager	Annually
List of area needs stormwater maintenance	Produce list of area needs stormwater maintenance according priority areas	Technical Director and Works Manager	One week
Traffic Control	Position traffic control signs to guide the traffic flow whilst doing maintenance work.	Supervisor and the maintenance team	One day
The Supervisor station teams to the areas where maintenance will occur	• The Supervisor must ensure that the equipment is rotated between each team while the work is in progress	Supervisor	On going
Remove debris and silt	• Remove all debris and silt on the side drain channel Remove all silt, overgrown plants and grass vegetation at the catchpit of stormwater inlet	Maintenance team	0n going
Disposal of the material	• Load all the removed material on the truck for disposal Dispose all the removed material loaded on the truck to the landfill site.	Supervisor and the maintenance team	On going
Cleaning underground pipes	Pressure Cleaning of clogged underground storm pipes in towns and townships.	Maintenance team	On going

STORM WATER MANAGEMENT IN BUILD-UP AREAS

SOP NAME

Remove silt and debris at outlet	• Remove silt and debris at the outlet of stormwater to avoid blocking water to go out.	Maintenance team	On going
Cleaning the area	Tidy up the work area	Maintenance team	Ongoing

Properly cleaned catchpit of stormwater system

Table 2.7: Electricity Maintenance (SOP)

ELECTRICITY MAINTENANCE

SOP NAME

Task Procedure	Procedure	Responsibility	Timeframe
Operations & Maintenance of Electrical Infrastructure Standard Operating Procedure	**Description of Operations:** Operations means the daily management of fault repairs and planned maintenance to the electrical infrastructure within a Municipal Electrical Network. <u>Maintenance Management:</u> Maintenance Management should be a separate administrative process designed and implemented for the Municipal Electrical department. This department should maintain the records for the following activities for the electrical maintenance section: - **Daily:** All works order documents must be returned, for the cost of the document, and for the filing of all the documentation. **Daily:** All call center fault reports should be supplied to the maintenance department for auditing and for follow-up reports concerning work that are not complete. **Daily:** All High Voltage switching documentation, as well as all Permits to Carry out work on the Municipal Electrical Network. **Daily:** All materials ordered and delivered for the electrical consumable store. **Daily:** All records of material costing will have to be updated when the material is delivered to the electrical stores. **Daily:** All original copies for the consumers electrical installation Certificate of Compliance. **Daily:** All equipment maintenance report documentation must be submitted for recording of any maintenance carried out and any problems encountered. **Daily:** All transport-related documentation, which must be checked against the information recorded on the works order card. **Daily / Weekly / Monthly:** All tools and equipment issued and returned to the equipment stores must be checked and filed. **Daily / Weekly / Monthly:** All Occupational Health and Safety documentation, that must be a monthly equipment condition audit. **Daily:** All Asset Movement Forms must be submitted; the asset register must be changed to record any changes concerning electrical assets and all the documentation must be filed.	Electrical Infrastructure Manager, Electrical Engineer, Technician, Artisan of a Municipality	

SOP NAME	ELECTRICITY MAINTENANCE
	Daily: All maintenance condition reports must be submitted, and the maintenance inspection reports, for the checking and maintenance carried out recording on the system.
	Daily: A daily record must be maintained concerning all faults identified, and a weekly report must be submitted to the electrical engineering department.
	Daily: All new electrical connections documentation must be submitted to the maintenance planning department, as well as the documentation submitted to Municipal Finance, and the electrical metering section.
	Description of Maintenance:
	Maintenance means any work that is carried out on the Municipal electrical equipment such as:-
	Call out Fault repair maintenance.
	Emergency Fault Repairs.
	Planned Scheduled Maintenance.
	Planned Equipment Replacement.
	Assets Management:
	Description of Assets Management:
	Asset Management is the processes in place to control the condition of all the electrical equipment installed in the Municipality electrical infrastructure.
	That means the asset control from purchase to the replacement of that equipment at the end of the equipment's useful life or when the equipment must be replaced due to failure.
	Assets:
	Description of the meaning of Assets:
	Assets means all the electrical equipment required in the Municipal electrical network.
	Point to Remember:
	Assets cost the Municipality money, and depending on the type of equipment the costs per asset will determine the Asset Value.
	Registration:
	All electrical assets must be recorded and registered in the Asset Register once the Asset has been delivered to the Municipality.
	When an asset must be moved an asset movement form must be completed, and when an asset is replaced with another asset, separate asset documentation must be generated.
	Classification:
	The Asset must be classified in the Asset Register.
	Classification is the recording in the Asset Register of the type of equipment and must have the following equipment details recorded: -
	2) The Type of equipment such as transformer; mini substation; 11,000-volt vacuum breaker; 66,000-volt SF 6 breaker; 66,000-volt Line Isolator and platform; etc.

SOP NAME	

ELECTRICITY MAINTENANCE

2) The manufactures identification such as the type of number; serial number; operating range; etc.

Technical information including serial numbers and equipment unit numbers

Functional Location

The Asset Register must show the address where the equipment is installed in the Municipal electrical system.

The asset register should have G.P.S co-ordinates recorded.

Transfer of Assets:

The Asset must be transferred from the original receipted section of the Asset Register to the final installation section of the asset register.

When the Asset is moved from its original address, the Asset must be transferred from the installation address to the new address, for example: The Asset is removed, and is taken to the electrical workshop for repair, documentation must be in place which supports and records the Asset movement to the electrical stores or workshop.

Asset Disposal:

When an Asset has been found to be faulty its movement should be controlled with the Transfer of Asset Documentation.

When the Asset has been assessed to be beyond repair, the Asset must be transferred to the Asset Disposal Section of the Asset Register and all the transfer, and the condition report must be available.

Insurance of Assets

All assets installed within the Municipal Electrical Network must have some form of insurance, to cover the equipment against failure, damage due to environmental or unplanned damage.

It is recommended that as a separate exercise that the insurance for all electrical equipment be investigated and that new equipment repair and replacement insurance should be considered.

- Maintenance insurance should be considered as part of the electrical department's operational maintenance funding.
- Environmental insurance should be considered coupled to equipment replacement insurance or equipment repair.

This insurance should be set up as two straight line insurance calculations, with the installation value used as the insurance value of the equipment, and the insurance payment will depreciate as the equipment's value depreciates.

The second calculation should start with a low value and increase over the expected life span of the equipment, with the insurance payment increasing over the planned asset life span, this will ensure that replacement finance is available when the equipment needs to be replaced.

Transfer of Ownership

The Planning department and Asset departments should maintain records concerning the movement of all equipment.

SOP NAME	ELECTRICITY MAINTENANCE
	Starting with a Transfer of Ownership the moment that equipment has been installed in the Municipal Electrical Network.

ELECTRICITY MAINTENANCE

Starting with a Transfer of Ownership the moment that equipment has been installed in the Municipal Electrical Network.

What is meant by ownership is that once that equipment or asset is installed and switched onto the electrical network, the equipment becomes the property of the Electrical Department, and it is managed by the Operations and Maintenance Department.

The Assets and the information required to be recorded on the Operations and Maintenance System:

Electrical Equipment or Electrical Assets are required to be maintained and there must be a system where the Municipality can be supplied with maintenance information concerning the electrical equipment or assets.

Until a computer-based maintenance program has been installed the hard copy and the database copy must reflect the following information: -

i) Identification Asset number.
i) The address of the equipment or asset.
i) The type of equipment.
i) The Date the equipment or asset has been taken over into the system.
i) The maintenance records must show the technical details of the equipment or assets.
i) The value of the equipment as well as the costs incurred to install and commission the equipment.
i) This information is stored on the equipment or asset maintenance data sheet.
i) There is specific information which is taken from the asset maintenance data sheet and is recorded on the separate maintenance history data sheet.
i) The equipment identification information is also taken across to the maintenance scheduling data sheet.

Planning:

Systems should be put in place and managed where the electrical equipment is monitored, and any deviations recorded, and the information should be used to plan for the upgrading of the electrical networks.

Towns and the demand for the electrical network are constantly changing and processes should be put in place to plan for these changes.

Maintenance Scheduling:

The scheduling process is determined by the type of equipment as certain equipment requires more maintenance than other equipment.

- Bulk Infrastructure Substations are fitted with transformers which have Automatic transformer tap position equipment, and since this equipment is mainly a mechanical type installation and they have many moving parts, the scheduling can only be planned according to the

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recommended number of operations maintenances recommended by the equipment manufacturer.

- Maintenance scheduling can also be determined according to the condition of the equipment.

There are specific conditions which will change proposed maintenance scheduling, such as vandalism, and unsafe equipment, this means that the maintenance department should carry out overhead inspections on all the electrical equipment installed in the electrical network.

- Scheduled maintenance is a process of cleaning, repairing, and condition evaluation of all electrical equipment installed within the municipal electrical network.
- Fault repair maintenance is normally planned and carried out after a fault or system deviation repair has been carried out.

This will require monitoring of all standby and daily maintenance repairs carried out on the electrical network.

Planned Tasks Observations:

Planned tasks observations are investigations carried out on each type of repair and maintenance, and a record of the investigation is maintained on the operations and maintenance system.

These reports can be used when maintenance evaluations are carried out and specific job enquiries are required.

Labor Resource Skills Requirements:

Due to the different types of equipment installed in the Municipality electrical network, it is not possible for all the staff to be able to carry out repairs on the different equipment.

This will require that training is supplied to all the electrical staff, to improve their skills.

There is equipment installed in the electrical network which will require specialized maintenance personnel, and this will require that the equipment manufacture is requested to carry out this type of maintenance.

Scheduling:

Scheduling is set up according to the type of equipment, the changes within the environment and the changes within the electrical system.

The different types of scheduling is mentioned below: -

- Fault repair maintenance.
- 3 Monthly maintenance.
- 6 Monthly maintenance.
- 12 Monthly Maintenance.
- 24 monthly Maintenance.
- Equipment operations Maintenance as specified by the equipment manufacture.
- Condition Maintenance due to vandalism, safety considerations, and end of operational life replacement.

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	Scheduling Calendar: The maintenance scheduling is determined by the equipment condition and normally set out and planned over a three-year period. But the actual equipment maintenance or though scheduled can be changed as the equipment's condition undergoes changes. The Maintenance scheduling however supplies a clear plan for the expected maintenance requirements for the next three years, and thus supplies the information required for maintenance budgeting. **Replacement Scheduling:** Replacement Scheduling is planned for the equipment's condition and the asset's age. This is why it is important for the maintenance department to record and maintain equipment condition and maintenance history report. Regular equipment condition audits should be carried out and reports generated according to the assets condition. **Task Scheduling:** Not all the electrical officials have the same skills, thus according to the type of maintenance required specific skilled maintenance personnel will be scheduled to carry out specific maintenance tasks. **Breakdown Scheduling:** Equipment is unpredictable and may fail at any point in time, especially when normal maintenance is not being carried out. So, breakdown maintenance is when electrical equipment fails and the standby electrical official is forced to carry out emergency repairs, in order to establish the electrical power back onto that system until breakdown repair maintenance can be carried out. **Work Execution:** It is critical for the Municipality maintenance department to control; record; and generate a maintenance repair history with the maintenance team's information recorded. These records will ensure that the correct quality of maintenance is carried out, and that poor workmanship is controlled. **Component Management:** The Asset Register should contain as much information about the installed equipment and the maintenance required. So that when maintenance is scheduled, the correct components are available. This also means that the equipment available in the stores is recorded and is used during the maintenance planning process. **History Recording:** The maintenance process is only as good as the information which is available. All maintenance must be recorded as history, in such a manner that it is readily available when required for maintenance scheduling and planning. **Analysis Reporting:**

SOP NAME	
	ELECTRICITY MAINTENANCE

Analysis reporting becomes a critical tool which can be used by the electrical engineer and the planning department for all future planning network and maintenance planning.
Fault and maintenance analysis is a very important tool and should be carried out as part of any equipment failure or repair.
Control Room:
The Electrical Control Room is a specific building or room that contains the High Voltage; Medium Voltage; Low Voltage system diagrams.
A modern Electrical control room must be fitted with large computer screens where the Electrical Officials are able to see the condition of the electrical infrastructure via a Scada radio or fiber-optic communications network installed on the electrical equipment to show if the equipment is switched on or switched off and it should be able to show if the equipment had tripped due a fault condition on that section of the electrical network.

Call Centre:
The Call Centre is the first means of communication between the consumers reporting the faulty condition on the Municipal electrical infrastructure.
With the technology available and the importance of responding to the consumers electrical fault report.
The call Centre should be a fully computerized recording and monitoring system, that means that the system must be set up to record the following times:

- The time that the consumers is phoning the call Centre.
- The time was taken to respond to the consumers' call.
- The time the call is accepted by the call Centre operator and which operator responded to the call.
- The full conversation must be recorded between the call Centre operator and the consumer.
- The time when a call Centre operator is missing from the call desk.
- And all dropped calls must be recorded with the consumers' waiting time.

A comprehensive addendum to the operations and maintenance manual is the business plan for the type of equipment required and the process of operation is supplied.
The call Centre will be required to submit all documentation to the electrical planning department and the electrical supervisors and metering supervisors.
The call Centre shall submit a weekly report to the Electrical Engineering department, and the Director of Technical Services of the Municipality.
Workshop Management:
Due to the lack of supervision skills available in some Municipality's Electrical departments, the electrical personnel operate as individual entities, and without the proper reporting structures the staff are free to come and go with no response from the supervisors. |

SOP NAME	

	ELECTRICITY MAINTENANCE
	The following management processes would have to be implemented within the Municipality Electrical Department: -
	
	• A works order process would have to be implemented, this process can only start working when the process is implemented by the electrical personnel and is managed by the supervisors.
	• A computerized electrical stock control system is installed, and the material purchases as well as the materials issued are recorded and the costing is applied to all material used on a specific work order issued.
	• To obtain a level of sustainability for the Municipality Electrical Department, a billing process will have to be implemented, the billing process will have to be implemented on all works orders, only specific consumer call outs will be required to be charged to the consumer: -
	    2) A reconnection fee should be charged when any electrical supply to a consumer has been disconnected due to non-payment.
	    2) When a consumer has been identified as a bypassed electrical meter in order to not pay for electrical supply, the following charges should be instituted: -
	
	2.1) A new meter installation charge.
	2.2) A reconnection fee.
	2.3) A bypassed meter penalty charge.
	2.4) A new installation electrical deposit.

Table 2.8: Building Construction and Planned Maintenance (SOP)

SOP NAME			
BUILDING CONSTRUCTION AND PLANNED MAINTENANCE			
Task Procedure	**Step numbers**	**Responsibility**	**Timeframe**
1. Geotechnical Investigation	• Conduct soil sampling and testing to determine soil type, bearing capacity, and subsurface conditions. Assess potential for erosion, flooding, or subsidence.	Geotechnical Engineer	1-2 months
1.1 Soil Bearing Capacity Test	Perform Standard Penetration Test (SPT) to evaluate bearing capacity. Use a pocket penetrometer to assess soil strength.	Geotechnical Engineer	During geotechnical investigation
1.2 Soil Moisture Content Test	Determine moisture content in the soil samples to evaluate drainage characteristics.	Geotechnical Engineer	During geotechnical investigation
1.3 Compaction Test	Conduct Proctor compaction test to establish the optimum moisture content and maximum dry density for soil.	Geotechnical Engineer	During geotechnical investigation
2. Foundation Strength Assessment	Analyze geotechnical findings to determine foundation design requirements. Ensure foundation is designed to manage loads effectively based on soil conditions.	Structural Engineer	Concurrent with design phase
3. Wall Strength Analysis	• Evaluate material specifications (bricks, blocks, or concrete) against design loads. • Calculate load-bearing walls' thickness and reinforcement requirements.	Structural Engineer	Concurrent with design phase

BUILDING CONSTRUCTION AND PLANNED MAINTENANCE

SOP NAME			
4. Roof Stability Evaluation	• Analyze design loads (dead loads, live loads, wind loads) to ensure roof can withstand environmental factors. • Assess roof support structures (trusses, beams) for stability.	Structural Engineer	Concurrent with design phase
5. Paving Quality Test	• Assess base course preparation, ensuring proper compaction. • Conduct tests (e.g., CBR • California Bearing Ratio) to ensure adequate load-bearing capacity for paving.	Structural Engineer	Before paving installation
Structural Engineering Checks			
6. Water Permeability Assessment	• Conduct permeability tests on soil and materials used in foundations. Ensure drainage systems are adequate to manage stormwater and prevent flooding.	Structural Engineer	Before construction
7. Compliance Checks	• Ensure all tests and specifications comply with the South African National Building Regulations and local municipal standards. • Prepare documentation for approvals.	Architect / Project Manager	Continuous throughout the process
8. Reinforcement Specifications	Determine requirements for wall and foundation reinforcement based on design codes (SANS 10100).	Structural Engineer	2-3 weeks
9. Brick & Block Strength Tests	Perform tests on brick/block samples (compressive strength tests) to ensure they meet SANS 227 standards.	Structural Engineer	2-3 weeks
Architectural Checks			
10. Wall Stability Assessment	Review wall construction designs to ensure lateral load resistance and connection details.	Architect	1-2 weeks
11. Roof Load Requirements	Check roof design against SANS standards for expected loads (live load, dead load, wind).	Architect	1-2 weeks
12. Paving Quality Assessment	Evaluate pavement design and materials to ensure they've been tested for load and drainage capacity.	Structural Engineer / Architect	1-2 weeks
13. Water Permeability Testing	Conduct tests on paving and surrounding soil to determine water permeability and drainage effectiveness.	Geotechnical Engineer	2 weeks

Table 2.9:

Task Procedure	Step numbers	Responsibility	Timeframe
1. NHBRC Registration	Register the project with the NHBRC to ensure compliance with national standards.	Project Manager	Before project initiation
2. Feasibility Study	Conduct a feasibility study that includes an assessment of potential risks, site analysis, and community needs.	Municipal Development Officer	1-2 months
3. Design in Compliance with NHBRC	Ensure architectural designs comply with NHBRC regulations, focusing on safety, durability, and functionality.	Project Architect	2-3 months
4. Quality Control Plan	Develop a comprehensive quality control plan outlining construction standard, inspection schedules, and testing methods.	Site Manager / Construction Supervisor	1 month
5. Appoint Registered Builders	Ensure that the construction team consists of builders registered with the NHBRC to guarantee quality workmanship.	Project Manager	1 month
6. Site Preparation and Compliance	Conduct site preparation, including compliance with zoning and environmental regulations; ensure safety measures are in place.	Site Manager	1 month
7. Regular Quality Inspections	Implement a schedule of regular inspections to monitor construction quality, materials used, and adherence to approved plans.	Quality Control Officer	Ongoing during construction
8. Material Verification	Ensure that all materials used meet NHBRC and relevant SANS (South African National Standards) requirements.	Quality Control Officer	Ongoing during construction
9. Final Inspection and Handover	Conduct final inspections and obtain a compliance certificate from the NHBRC before occupancy.	NHBRC Inspector / Project Manager	1-month post-construction
10. Post-Construction Quality Monitoring	Implement a post-construction quality monitoring program to address any defects or issues that may arise.	Municipal Development Officer	6 months post-construction

Table 2.10: Landfil Management Standard Operation Procedure (SOP)

SOP NAME			
Task Procedure	LANDFIL MANAGEMENT STANDARD OPERATION PROCEDURE		
	Procedure	Responsibility	Timeframe
Airspace	• Determine the annual consumption of airspace and the rate at which the landfill is filled by doing annual survey on the same date annually and compare them to the survey done in the previous year • Formular to get the remaining site of the site in years: Remaining airspace volume on site/annual consumption volume =Estimated remaining life of the site in years	Landfill Manager	annually
Maintenance of the outside and inside Access Road	The landfill access road should be assessed every quarter period and immediately assessment if there was a flood • The damage should be recoded with the date of the assessment • the expected date of the repairing of the access road should be recorded in the management plan of the landfill site. Routes and their maintenance must receive constant maintenance to ensure that waste can easily reach its correct tipping point.	Civil engineering Permanent officials of the municipality Waste management supervisor	1 day

LANDFIL MANAGEMENT STANDARD OPERATION PROCEDURE

SOP NAME			
Access control and Signage	1. The access control sign board should be erected displaying clearly as required by the license. e.g., • Name of the site and classification • Name of the Owner/Authority • Name of the Operator/ Authority • Operating hours • Contact number and Emergency contact number 2. The signage must clearly differentiate between the various destinations such as waste deposition area, recycling, reception, stores, workshop etc. 3. Signposting: Routes on site must be clearly signposted to ensure that the waste is delivered to the correct ultimate point be it treatment, re-cycling, or disposal:	Landfill Contractor	During construction of the landfill
Acceptance of the waste	• The operator of the site should always ensure that the waste to be deposited falling within the classification and any other restricted stipulated by the Regulatory Agent. Failure to comply can lead to prosecution and loss of license to operate with major financial implication for the operator and owner.	Landfill Operators	On going
Weighbridge:	• All the larger existing landfills should be equipped with weighbridges. • A weighbridge is important to record the incoming waste prior to deposition in the landfill. • There are several types of weighbridges, however platform weighbridges are recommended than others. • The weighbridge should be installed with at all sites with annual inputs of greater than 10,000 tonnes per year. All weighbridges should be subject to regular calibration in accordance with the manufacturer/installer instruction	Landfill Operators	ongoing
Tipping point Management	Tipping of waste must consider two techniques such as face Tipping and onion skin method. • The municipality should consider the hybrid of the two methods to compact the waste in the landfill site. • On the hybrid method, the waste is deposited on the lower surface and compacted upward direction. • The hybrid method is proven to provide high densities but can lead to higher fuel consumption. • On the hybrid method, the waste is deposited on the lower surface and compacted upward direction. • The deposited waste should be compacted in a layer of not more than 0,5m thick. • At the end of the day, the remaining waste must be completely covered by subsoil or other excavation waste because the waste is not allowed to remain in loose piles on the landfill.		

SOP NAME			
LANDFIL MANAGEMENT STANDARD OPERATION PROCEDURE			
	Daily cover improves the appearance of working areas and decreases the possibility of nuisances e.g. windblown debris and significantly reduce the access to the waste by birds, insect, vermin, as well as diminishing odors and fire risk.		
Billing and payment	• All transporter of the waste to the landfill sites should be registered at the local municipality and open an account before being allowed to bring the waste to the landfill sites. • Payment may have to be paid before the proceeding to the disposal point by having made a deposit and sent an invoice and statement for settlement. • It is not recommended to collect cash at the weighbridge due to risk of robbers and endangering staff. Information generated at the weighbridge should be utilized to invoice the generator or the transporter of the waste.	Chief Financial Officer	Ongoing
Leachate management plan:	• The leachate is a potential threat to both surface water and groundwater. • The leachate collection system needs a highly maintenance to identify weak points and failures and attend to them promptly. Leachate requires to be treated either by recirculating back to the landfill or at an on-site treatment plant or it can be disposed of at the local wastewater treatment works and it is expensive because of its high concentration	Landfill Operators	Ongoing
Staff selection or recruitment:	• Staff employed on the site should be selected based on previous experience, if available, basic skills, ability to be trained, conscientiousness, commitment, sound value and sustainability for the working conditions on a landfill. • Landfills require a variety of skills from those supervisors, weighbridge operators, security personnel, operators, maintenance, semi, and unskilled persons. • **Professional staff:** It is essential that the local authority employs or has access to a range of professional such as geotechnical engineers, geo-hydrologists, civil and chemical engineers, leachate specialist amongst a host of other specialist disciplines to monitor and decide on whatever interventions may be necessary in terms of non-compliance or when or where will other technical challenges occur. • **Staff on the site:** According to the landfill Operation Manual (Environmental Protection Act of 1997) the supervisor who is responsible for checking materials being deposited is not allowed to delegate a temporary operator. • The operator can define the parameter under which the site will operate, staff training, equipment selection and access control measures. • The Operator can check the waste only at the time for deposit. • Plants operator should be aware of the relevant procedures and should be able to effectively implement them. • It is vital that all sites should have personnel that can undertake key tasks and acting responsibly on behalf of the operator.	Landfill Supervisor Disposal, Landfill Supervisor Environment. Professionals, Municipal Human Resources Department	Ongoing

SOP NAME	LANDFIL MANAGEMENT STANDARD OPERATION PROCEDURE		
	There should be more than one person on duty on the landfill which is open for the acceptance of the waste as it is not possible to adequately check the loads and deal with other issues.		regularly
Emergency Response management plan	The key point to respond to emergency in the landfill sites e.g. If there has been an explosion on site during lunch and you have not been made aware of it. A news reports and TV Crew in the area heard about it and has arrived on site. • Establish the background to the situation. • Pre-prepare the statements. • Give generic information before you go there by yourself. • Nobody must not say anything to the news reporter. • Establishment of the backup of the outside stakeholder • Contact the municipality to warn the communication. • Call the ambulance. • You do not have authority to talk to anyone. • Draft the action plan to inform the owner or authority.	Supervisor Environment Controller and Spotter Bulldozer driver	
Safety and Precautions:	• The security provided should be based on an assessment of potentials risk. • Adequate security to patrol the perimeter. • All gates must be always in place to ensure that the site does not become a home of the vagrants and a source of for scavenging transport routes into the neighbourhoods. • The fence should be inspected daily, and the repairs must be carried out immediately. • The exit to the site must also be monitored consistently. • The security person must always be available in the security guardhouse.	General staff and Contractor	On-going
Stormwater management	• Stormwater should be managed and controlled as required by the National Water Act number 36 of 1998. • **Separation of dirty and clean water**: Any dirty or even potential dirty water should eventually repot to either temporary of final holding dams for evaporation or treatment prior to release to the environment. • **Maintenance of all stormwaters**: The regular inspection and maintenance of the stormwater system is important to ensure control and compliance.	General staff	On-going works
Decommissioning of the landfill.	• Once the landfill has reached its permitted waste capacity, a procedure must be followed to close the landfill. The DEDEAT should issue the municipality the license of closure if the airspace of the landfill is complete	Client	Annually
Warning:	• Waste and leachate may be toxic or infectious.		

SOP NAME	LANDFIL MANAGEMENT STANDARD OPERATION PROCEDURE
	• It should be handled by the employees who are adequately trained and aware of the dangers, equipped with adequate protective clothing. • Bacterial or fungal infections from contact or even the proximity of waste or leachate are difficult to treat and care without extensive medical test and medication. • Poor handling of waste and leachate may cause serious and permanent damage to health and even result in permanent disability.

Table 2.11: Refuse Collection and Environmental (SOP)

SOP NAME	REFUSE COLLECTION AND ENVIRONMENTAL SOP		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Refuse Collection			
Waste Segregation	Separate waste into categories such as recyclables, and general waste. Use color-coded bins for easy identification.	Environmental Officer/Director	Weekly
Collection Schedule	• Establish a regular collection schedule based on the volume and type of waste generated. Ensure timely collection to prevent overflow and reduce health hazards.	Environmental Officer	Weekly
Transportation	• Use appropriate vehicles for refuse collection Ensure vehicles are well-maintained to prevent leaks and spills.	Administrator /Environmental Officer	On – going
Disposal:	Dispose of waste at designated facilities such as recycling centres, composting sites, and landfills.	Administrator /Environmental Officer	5days
Environmental Management			
Waste Evaluation	• Assess the types and quantities of waste generated. • Identify opportunities for waste reduction and recycling.	Environmental Officer	Weekly
Storage	• Store waste in suitable containers to prevent contamination and pests. Label hazardous waste containers clearly and store them in secure areas.	Environmental Officer	Weekly
Training and Awareness	• Train staff on proper waste handling and disposal procedures. Promote awareness about the importance of waste segregation and recycling.	Administrator /Environmental Officer	Annually
Compliance and Monitoring	• Ensure compliance with local, national, and international waste management regulations. Regularly monitor waste management practices and update procedures as needed.	Administrator /Environmental Officer	Daily
Emergency Plans	• Develop and implement emergency plans for handling waste-related incidents. • Conduct regular drills to ensure preparedness	Environmental Manager	6 Months

Table 2.12: Wastewater Quality Management (SOP)

SOP NAME	WASTE WATER QUALITY MANAGEMENT		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Waste Water Treatment Works Pump Stations Sewerage System	Potential negative impacts: • poor effluent quality produced due to improper operation, • unauthorised entry, and theft • leaking or burst pipes resulting in sewage run-off causing damage to environment, destruction of property leading to disruption of service, • introduction of toxins into raw sewage, etc • maintenance not carried out, • deteriorating assets leading to disruption of service, unable to meet service delivery targets	Engineer/ Manager: • Provide technical solution/approach, support and monitoring. Director: • appoint SP. Provide technical solution, support & monitoring. Media Liaison/ Call Centre: • To notify the public. CFO: • recommend budget. MM: • Approval Portfolio Cllr: provide political direction & liaison services	Water-carting: immediately Honey-sucker: immediately Repairs: less than 48 hrs from reported time

Table 2.13: Municipal Water Quality Management (SOP)

SOP NAME	MUNICIPAL WATER QUALITY MANAGEMENT		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Water Treatment Works Pump Stations Storage Reservoirs Water Distribution System Water Source	Potential negative impacts: • Poor water quality produced due to lack of staff knowledge or skills, chemical overdose. unauthorised entry, and theft maintenance not carried out, deteriorating assets leading to disruption of service, unable to meet service delivery targets Damage to structure and equipment (leading to disruption of service), toxins • introduced into source or contamination of source water, drought, floods, vandalism of the dam wall, A shortfall of drinking water	Engineer/ Manager: • Provide technical solution/approach, support and monitoring. Director: • appoint SP. Provide technical solution, support & monitoring. Media Liaison/ Call Centre: • To notify the public. CFO: • recommend budget. MM: • Approval Portfolio Cllr: provide political direction & liaison services with community	Water-carting: immediately Repairs: less than 48 hrs from reported time 4 hrs - to provide water using water tanker. 1 hr-standby generator

SOP NAME	MUNICIPAL WATER QUALITY MANAGEMENT
	Water-carting: immediately Repairs: less than 48 hrs from reported time
Water hammer and/or vacuums in/on pipes leading to pipe breakages and disruption of service, contamination due to illegal connections, cross-connection	Water-carting: immediately Water rationing, Water restrictions, Throttling of distribution valves

Table 2.14: Disaster Management (SOP)

SOP NAME	DISASTER MANAGEMENT SOP		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Disaster Response Phase	Inform Ward Committee	Community Member(s)	Within 30 Minutes of occurrence of incident
	Inform Councillor	Ward Committee	Within 2 hours of occurrence of incident
	Inform Local Municipality	Councillor	Within 2 hours of occurrence of incident
	Inform district disaster management centre	Local municipality	Within 2 hours of occurrence of incident
	Coordinate and activate affected sectors	Local/District Disaster management centre	Within 2 hours of occurrence of incident
	Conduct (integrated) rapid assessment	District Disaster management centre	Within 12 hours of disaster occurrence
	Inform inter-departmental committee, inter-municipal committee and members of advisory forum	District Disaster management centre	Within 12 hours of disaster occurrence
	Develop incident report	District Disaster management centre	Within 12 hours
	Submit the incident report to Inter-departmental committee and PDMC	District Disaster management centre	Within 12 hours
	Coordinate relief	District Disaster management centre	Within 12 hours
	Establish municipal/provincial DOC	District Municipality/Local Municipality/PDMC	Within 24 hours of occurrence
	Identify immediate needs	DOC	Within the 24 hours
	Commitments are made	DOC	During the meeting
	Establish integrated assessment teams	DOC	During the meeting
	Detail damage assessment is initiated	District Municipality/PDMC	Within 48 hours

SOP NAME			
DISASTER MANAGEMENT SOP			
	Present JOC report to Inter-departmental committee/Sector departments	Head of Disaster Management Centre	Immediately after the meeting
	Consider financial support	Inter-departmental committee/Sector Departments	Within 24 hours
	Present financial considerations to Inter-municipal committee/inter-departmental committee	Inter-departmental committee	Within 48 hours
	Preliminary detail damage assessment report presented to the inter-departmental committee	Head of Centre	Within 72 hours
	Determine coping capacity	Inter-departmental committee/Sector Departments	Within 72 hours
	Refer assessment report to affected Sector departments	Head of Centre	Within 72 hours
	Identification of emergency projects	Affected sector	Within 72 hours
	Call special council meeting	Speaker of Municipality/Speaker of Provincial Legislature	Within 4 days
	Resolve on request for classification of the local state of disaster	District council/Provincial Executive Council	Within 7 days (if council cannot sit, it must delegate powers to the Mayor or a delegate/Premier or delegate)
	Council recommendations to declare a local state sent to the PDMC/NDMC	HOC	Within 8 days
	Classification assessment conducted	NDMC	On the 9th day
	State of disaster gazetted	MDMC/ PDMC	Within 11 days
	Together with the required supporting documentation, submit disaster assessment reports and funding requests signed-off by the Accounting Officer to the PDMC following the classification of a disaster	Sector accounting officers	Day 12
	Call special council meeting	Speaker of Municipality/Speaker of Provincial Legislature	Within 4 days
DISASTER **RESPONSE AND IMPLEMENTATION AND RECOVERY PHASE**	Facilitate receipt of project funding approval letters by the NDMC	PDMC	Depend on project approval process by the NDMC
	Once projects have been approved, establish a Provincial Project Steering Committee.	PDMC / MDMCs	7 days after the confirmation of funded projects
	Facilitate signing of funding acceptance letters by funded municipalities and sector departments	PDMC / MDMCs / Sector Departments	With 48 after confirmation of project funding
	Evaluate project designs and related project plans by municipalities and sector departments.	PDMC, MISA, MIS, DPWI, PT, DEDEAT All recipients of the disaster grant.	With 7 days after acceptance letters for funding
	Monitor projects to ensure that the funds are used for intended purposes and provide reports to the NDMC and relevant provincial treasury	PDMC supported by MDMC, PT, MISA, MIS, OTP	Ongoing

SOP NAME	DISASTER MANAGEMENT SOP		
	Submit expenditure reports signed-off by the Accounting Officer which include evidence (such as certificate of payment, pictures, invoices) of implementation progress on the projects to the relevant PDMC	Municipality	Within 10 days after the end of each month in which funds are spent
	Once projects have been approved, establish a Provincial Project Steering Committee.	PDMC / MDMCs	7 days after the confirmation of funded projects
	Facilitate signing of funding acceptance letters by funded municipalities and sector departments	PDMC / MDMCs / Sector Departments	With 48 after confirmation of project funding
	Evaluate project designs and related project plans by municipalities and sector departments.	PDMC, MISA, MIS, DPWI, PT, DEDEAT All recipients of the disaster grant.	With 7 days after acceptance letters for funding
	Monitor projects to ensure that the funds are used for intended purposes and provide reports to the NDMC and relevant provincial treasury	PDMC supported by MDMC, PT, MISA, MIS, OTP	Ongoing

Table 2.15: Emergency Procurement During Major Incidents and Disasters (SOP)

SOP NAME	EMERGENCY PROCUREMENT DURING MAJOR INCIDENTS AND DISASTERS SOP		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
If a state of disaster has not been declared, invoke existing legislation and contingency arrangements	- Procurement and delivery of disaster relief through the panel of service providers within 24hrs of the occurrence of a disaster event. Coordinated support with Non-Governmental Organisations.	DSD, Municipalities, PDMC, Provincial and Municipal organs of state	
	Procurement of disaster relief within 24hrs of the occurrence of a disaster event.	- Head of department - Municipal Manager - Provincial Treasury - Provincial organ of state or Municipality Chief Finance Officer. Head of the Centre	
	Organise and arrange alternative arrangements for persons left affected, with special focus on those who are left homeless, people living with disability, the elderly, people with chronic illnesses, children and child headed households.	- Head of a Disaster Management Centre Manager responsible for sector department DM unit.	
	Delivery and distribution of disaster relief to persons, households or communities affected.	- Head of a Disaster Management Centre Manager responsible for sector department DM unit.	

If a state of disaster has been declared, invoke existing legislation and contingency arrangements augmented by regulations or directives.	- Use the 2% minimum of own budget for disaster recovery by provincial sector departments.
	- Use of the legislated threshold of the municipality budget to fund disaster response and recovery.
	  - Metropolitan municipalities: 0.5% of own revenue
	  - Municipality with own revenue of over R150 million (excluding metros), 0.6% of own revenue
		- Head of department
		- Municipal Manager
		- Provincial Treasury
		- Provincial organ of state or Municipality Chief Finance Officer.
		- Head of a Disaster Management Centre	

EMERGENCY PROCUREMENT DURING MAJOR INCIDENTS AND DISASTERS SOP

SOP NAME		
	- Municipality with own revenue of R50 million – R150 million, 0.8% of own revenue. Municipality with own revenue of R1 million – R50 million, 1.0% of own revenue.	Manager responsible for sector department DM unit.
When a disaster has been classified, organs of state and municipalities must prepare budget reprioritization proposals and submit for approval.	- Budget reprioritization prepared. Budget reprioritization approved by National Treasury.	- Municipality - PDMC MDMC
Municipalities must invoke emergency procurement processes provided for within the Treasury Regulations when spending the funds allocated.	Panels for consultants and contractors have been established.	Municipality
	Contractors are appointed within 14 days after the signing of the acceptance of the MDRG allocation by the Accounting Officer.	Municipality
	Approved projects are implemented in accordance with the directions issued by National Treasury.	Municipality; PT; PDMC

Table 2.16: Land Invasions (SOP)

SOP NAME	LAND INVASIONS		
Task Procedure	Procedure	Responsibility	Timeframe
LAND INVASIONS	When invasions cases are reported by the community members, officials and affected property owners; the law enforcement officer and delegated municipal official (s) should be sent to assess the reported land invasion.	Law enforcement officer and delegated municipal official (s)	1-2 days
	Conduct thorough land investigation.	Law enforcement officers, appointed or delegated municipal officials	1-2 days
	Confirm ownership of land.	Spatial Planning, Land Administration or Human Settlements Unit	1-2 days
	Alert and submit a detailed report to relevant parties including the offices of the Executive Mayor, Municipal Manager, Disaster Management Services, Chief of Traffic & Law Enforcement Services, Spatial Planning or Human Settlement Unit to institute proper corrective measures to resolve the land invasion case.	Law enforcement officer and delegated municipal official(s)	Quarterly
	Create a database of informal settlements which need to be monitored and timeously updated to prevent further invasions.	Spatial Planning, Land Administration or Human Settlements Unit	Once a year
	Monitor the invaded areas and report the matter to SAPS to lay a charge of trespassing.	The appointed security or the law enforcement officer	1 week
	Serve written notice to occupiers that are on land without permission from the municipality.	Building inspector (s) with the help of the law enforcement officer(s)	1 month
	Instruct the invaders to vacate the property voluntarily.	Law enforcement officer (s)	1 month
	Refer the matter to the attorney/Legal Service Unit to apply for the court order.	The offices of the Municipal Manager	1 week

SOP NAME	LAND INVASIONS		
	State all the facts in the affidavits that will be placed before the court.	Nominated officials who were addressing the land invasion	week

Table 2.17: Facilitation, strengthen and monitoring the implementation of Free Basic Services in Municipalities (SOP)

SOP NAME	Facilitation, strengthen and monitoring the implementation of Free Basic Services in Municipalities		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Application	Facilitate improvement in access to Free Basic Services by Indigent Households through the *implementation of Indigent Policies and update of Indigent Registers* by all Municipalities	Municipal Accounting Officer	Annually
Administration	Development, approval and implementation of credible Indigent Policies and update of Indigent Registers	Municipal Accounting Officer	Annually
Annual review of compliant Indigent Policy	• Review the Indigent policy based on the new policy shifts and community needs. • Develop Free Basic Services programme of action & aligned with the municipal IDP and other relevant finance policies. • Set aside adequate budget for rolling out Free Basic Services • Facilitate FBS capacity sessions for FBS awareness, e.g. Indigent Policy Workshops to: *municipal officials, CDWs, Ward Committees and Traditional Leaders* **Development of the verification systems / mechanisms for the update municipal indigent registers e.g. data management system**	Municipal Accounting Officer (CFO) Manager: Revenue & FBS unit	Annually

Indigent Verification Process	• Municipalities to conduct indigent registration and verification processes annually (12) and the following aspects should be considered:
	  - *Clear registration plan in terms of dates and venues for indigent registration.*
	  - *Capacitation of data collectors on the methodology for indigent data collection*
	  - *Clear and user-friendly indigent data collection form*
	
	• After submission of the application form , it must go through a verification process.
	• A suggested three-stepped verification process of the proposed verification framework for municipalities includes the following:
	
	1. The use of Councillors to play a role in the verification of the poor which aligns to the "*community based" targeting approach.*
	
	2. *Direct verification by the municipal administration and Indigent Steering Committee (ISC)*as an additional mechanism to ensure accuracy in verifying indigent households. It also suggested that the municipalities should not rely
		Indigent Steering Committee – Councilors, Ward Committees and CDWs
		
		FBS Coordinator
			Annual

Facilitation, strengthen and monitoring the implementation of Free Basic Services in Municipalities

SOP NAME			
	solely on municipal site verifications but use other verification methods to complement municipal site verifications. 3. The use of ***third-party datasets*** and verification processes that track key aspects of households that indicate their levels of affordability and related information. Such third-party verification takes the form of collection of data from other state enterprises and government departments, as part of their procedures and processes		
Indigent verification process	Municipality acknowledges the receipt of the application form, within *10 days* • Verification of the application form *30 days* • Final assessment of the application form, with comments by the AO.	Manager: Revenue	40 days
Development of the Indigent Register	• The collected information will be captured on the system to inform decision making process (granting indigent status) and the final product will be the development of ***an accurate Indigent Register.*** • Manager: Revenue updates Indigent Register and submits the final version of Indigent Register with budget to the Municipal Manager for Council approval.	Manger Revenue and Municipal Manager	90 days/ quarterly

3. CHAPTER 3: INSTITUTIONAL CAPACITY BUILDING

3.1. Objectives of the Chapter

The objective of these SOPs is to provide a detailed explanation on the processes to be followed when developing the staff establishment, on the recruitment process, selection and appointment of staff, when developing the Human Resource Plans, on the establishment of Local Labour Forums and dispute resolutions in municipalities, as well as processes of skills development in municipalities.

3.2. Legislative Framework
- The Constitution of the RSA, 1996
- Regulations of 2014 (Gov. Gazette No. 37245
- Basic Conditions of Employment Act; 1997 (Act 75 of 1997)
- The Local Government: Municipal Systems Act, 2000 (Act 32 of 2000) as amended
- The Local Government: Municipal Structures Act; Act 117 of 1998
- The Local Government: Municipal Finance Management Act; Act 56 of 2003
- National Treasury Government Regulations of 2007
- Labour Relations Act, 1995 (Act 66 of 1995)
- Applicable collective agreements for municipalities
- Skills Development Levies Act 9 of 1999
- Municipal Staff Regulations 2021
- Basic Conditions of Employment Act; Act 75 of 1997
- National Treasury Government Regulations of 2007.

3.3. Guidelines and expectations

Expect municipalities to ensure that they comply with the regulations when developing their organisational structures, when recruiting, selecting, and appointing members of staff, when developing their Human Resources Plans (HRP), with the regulations and promote stability by establishing Local Labour Forums (LLF), with the regulations and promote stability by following the following processes in their dispute resolution processes.

Chapter 5 of the Municipal Staff Regulations of 2021 provide for guidelines towards skills development of municipal employees. The aim of this chapter on skills development in municipalities is to provide legal obligation of municipalities in skills development and related aspects. The core objectives of skills development in municipalities are to:
- Create a career local public administration that is fair, efficient, effective and transparent;
- Create a development oriented local public administration governed by good human resource management and career development practices.
- Ensure an accountable local public administration that is responsive to the needs of local communities.
- Ensure that high standards of professional ethics are fostered within local government;
- Strengthen the capacity of municipal support, perform their functions through recruitment and appointment of suitably qualified and competent persons.

Skills Development policy and programmes in municipalities should be centred on principles of:
- supporting the achievement of the municipality's goals set out in the Integrated Development Plan by providing critical skills that ensure the delivery of quality services.
- promoting the development and retention of competent municipal staff, including the development of technical, professional and specialist staff who have the required qualifications and skills.
- supporting the employment equity objectives of a municipality.

- being based on high quality provision and effective workplace learning and development practices, including coaching, mentoring, on-the-job learning and opportunities for the practical application of skills in the workplace;

It is the individual employee's responsibility to ensure personal skills development, but the municipality has a responsibility to:
- clarifying the skills required for jobs, identifying relevant skills needs and developing opportunities to satisfy the skills needs;
- identifying new skills and knowledge required by staff to support their career growth and progression;
- creating learning opportunities which will allow their staff to develop the skills and expertise to enable them to compete effectively for placement in new or vacant posts; and
- ensuring that skills development is a KPA in senior managers and supervisors performance agreements.

The municipality should ensure that skills acquired are aligned to the municipal planning cycle. The determination of municipal skills needs, priorities and budgets must be—
- developed once every five years at the commencement of the Integrated Development Planning process and may be reviewed annually thereafter; and
- aligned to the strategic planning cycles associated with the—
  - **(i)** Integrated development plan;
  - (ii) municipal budget;
  - (iii) human resource planning; and
  - (iv) performance management cycle.

Table 3.1 : Development of the Staff Establishment / Organisational Structure: SOP

Task Name	Task Procedure	Responsibility	Timeframe
Development of organisational structure	A municipality may, within its administrative and financial capacity develop a staff establishment in line with the organization design metrics.	Municipal Manager	
	A municipal manager must review the staff establishment of a municipality having regard to — (a) the regulations (b) the matters listed in Part B of Schedule 4 of the Constitution and Part B of Schedule 5 of the Constitution. (c) Chapter 5 of the Municipal Structures Act, and (d) the municipality's strategic objectives, including its core and support functions, within 12 months of one of the following. (i) the promulgation of regulations (ii) the election of a new municipal council, or (iii) The adoption of a new Integrated Development Plan (IDP) of the municipality as contemplated in section 25 of the Municipal Systems Act. (iv) changes to the powers and functions of a municipality, and (v) the determination of new municipal boundaries		
	Every job on the staff establishment of a municipality must have a written job description.		
	All jobs in a municipality must be graded through a job evaluation process.		

Table 3.2 : Standard Operation Procedures on the Recruitment, Selection, and appointment of Staff

Task Name	Task Procedure	Responsibility	Timeframe
Process on the recruitment process	The Mayor / Municipal Manager upon official notification that the post will become vacant must obtain approval from the council for the filling of such post. The municipality must within 14 days of receipt of the approval referred to above ensure that the vacant post is advertised. An application for vacant post must be submitted or made on the prescribed form (an official application form), accompanied by a detailed curriculum vitae.	Mayor / Municipal Manager	14 days
Appointment of selection panel.	A municipal council must appoint a selection panel for each of the advertised post to recommend the appointment of a suitable person to the vacant post.	Municipal Council	
Master list and short list.	The mayor in the case of a municipal manager, or the municipal manager in a case of a manager directly accountable to the municipal manager in consultation with the selection panel, must compile (a) a list of all applications received for the post evaluated against the relevant competency requirements for the post.	Mayor / Municipal Manager	

Task Name	Task Procedure	Responsibility	Timeframe
	(b) the selection panel must compile a shortlist based on the inherent requirements of the position as advertised and with due regard to section 20 of the Employment Equity Act.		
Screening of candidates	Screening of the shortlisted candidates must take place within 21 days of the finalization of the shortlisting.		21 days
Interviews	The selection panel must conduct interviews within 21 days of screening the candidates.	Selection Panel	21 days
Competency assessment of candidates	The candidates recommended for appointment to the post of a senior manager must undergo a competency assessment.		
Making of an appointment	Before making a decision on an appointment, a municipal council must satisfy itself that — (a) the candidate meets the relevant competency requirements for the post as set out in Annexure A and B of the regulations. (b) screening of the candidates has been conducted in terms of regulations, and (c) the candidate does not appear on the record of staff members dismissed for misconduct as set out in schedule 2 of the regulations.	Municipal Council	
Report the recruitment process and appointment to the MEC.	Within 14 days of the decision, submit a written report to the to appoint a recommended candidate the Municipal Council must submit a written report to the MEC for Local Government regarding the appointment process and outcome.	Mayor	14 days
Reference checks	Reference checks and personal credential verification for shortlisted candidates must be conducted	Selection Panel	
Appointments to the office of the public barer.	A person appointed to a post on the approved staff establishment in order to support the office of the public office bearer must either be — (a) seconded from a post on that municipality's approved staff establishment or another municipality's approved staff establishment, or (b) appointed on a fixed term contract of employment linked to the term of office of the public office bearer.	Municipal Council	
Candidates who were dismissed in their previous employment.	A person who was dismissed from a municipality for any reason stated in column B of the table in Annexure E of the regulations may not be employed in any municipality before the period set out in column C of the table has expired. If no suitable candidate has been identified, the municipal council must— (a) inform all shortlisted candidates that their applications were unsuccessful, and (b) may re-advertise the post	Municipal Council	
Probationary period	The appointment of a person as contemplated in these standard operating procedures must be effected on a minimum probationary period of three (3) months and a maximum probationary period of twelve (12) months.		12 Months

Table 3.3: Standard Operation Procedures on the Development of the Human Resources Plans

Task Name	Task Procedure	Responsibility	Timeframe
Areas to consider on the development of the Human Resource Plan	• Executive Summary of the Human Resource Plan • List all pieces of legislation applicable • Purpose of the Human Resource Plan • Human Resources definition • Vision and mission • Purpose of the human resources plan • Situational analysis • Gap analysis: Qualitative and Quantitative data analysis • Status quo of positions according to Departments • Forecasting of the future recruitment process according to departments and the financial years. • Define GAP Action Steps to be taken in respect to scarce and critical skills • Academic profiling of all staff members • Age profiling of all staff members	Municipal Manager	

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Table 3.4: Standard Operation Procedures on Local Labour Forums

Task Name	Task Procedure	Responsibility	Timeframe
Establishment of Local Labour Forums.	At every employer a Local Labour Forum shall be established with equal representation from the trade unions and the employer.	Municipal Manager	
Powers of Local Labour Forums	The Local Labour Forum shall have the powers and functions of negotiating and/or consulting on: (a) matters of mutual concern pertaining to the employer and which do not form the subject matter of negotiations at the Council or its Divisions; (b) on such matters as may from time to time be referred to such forum by the Council or its Divisions; (c) provided that it may not negotiate on matter, which has been reserved for exclusive bargaining in the Council or the Divisions; (d) concluding of Minimum Service Agreements.		
Charing of the Local Labour Forum	The position of chairperson and vice-chairperson of the meeting shall rotate annually between the Parties. The chairperson and vice-chairperson shall be elected at the first meeting of the year. Local Labour Forum shall meet at least once a month unless by mutual agreement of the Parties it is agreed not to meet.	Both parties in the LLF	
Meetings of the LLF	The agenda for any ordinary meeting shall be jointly compiled through consultation with all parties, 7 (seven) days prior to the ordinary meeting date provided that new items may be raised in any meeting under adoption of agenda if they are of an urgent nature.	All parties to the LLF	7 days

Task Name	Task Procedure	Responsibility	Timeframe
	Any Party, for reasons of urgency, may call special meetings of the Local Labour Forum on 48 hours' notice.		

Table 3.5 : Standard Operation Procedures on Dispute Resolution for Municipalities

Task Name	Task Procedure	Responsibility	Timeframe
Reporting of allegations of misconduct	Any allegation of misconduct against a senior manager must be brought to the attention of the municipal council.	Mayor / Municipal Manager	
Presentation of the allegations to the council.	An allegation referred to above must be tabled by the mayor or the municipal manager, as the case may be, before the municipal council not later than seven days after receipt thereof, failing which the mayor may request the Speaker to convene a special council meeting within seven days to consider the report. If the municipal council is satisfied that— (a) there is a reasonable cause to believe that an act of misconduct has been committed by the senior manager, the municipal council must within seven days appoint an independent investigator to investigate the allegation[s] of misconduct; and (b) if there is no evidence to support the allegation[s] of misconduct against the senior manager, the municipal council must within seven days dismiss the allegation[s] of misconduct.	Municipal Council	7 days
Investigation and reporting	The investigator appointed must, within a period of 30 days of his or her appointment, submit a report with recommendations to the mayor or municipal manager, as the case may be. The report referred to above must be tabled before the municipal council.	Investigator	30 days
Decision making by a Municipal Council	After having considered the report, the municipal council must by way of a resolution institute disciplinary proceedings against the senior manager. The municipal council may suspend a senior manager on full pay if it is alleged that the senior manager has committed an act of misconduct, where the municipal council has reason to believe that— (a) the presence of the senior manager at the workplace may— (i) jeopardise any investigation into the alleged misconduct; (ii) endanger the well-being or safety of any person or municipal property; or (iii) be detrimental to stability in the municipality; or (b) the senior manager may— (i) interfere with potential witnesses; or (ii) commit further acts of misconduct.	Municipal Council	
Submission of written representations	Before a senior manager may be suspended, he or she must be given an opportunity to make a written representation to the municipal council, as to why he or she should not be suspended, within seven days of being notified of the council's decision to suspend him or her.	Municipal Council	7 days

Task Name	Task Procedure	Responsibility	Timeframe
	The municipal council must consider any representation submitted to it by the senior manager within seven days. After having considered the report submitted on it , as well as the senior manager's representations, the municipal council may suspend the senior manager concerned.		
Report to the MEC and the Minister for Local Government	The municipal council must inform— (a) the senior manager in writing of the reasons for his or her suspension on or before the date on which the senior manager is suspended; and (b) the Minister and the MEC responsible for local government in the province where such suspension has taken place, must be notified in writing of such suspension and the reasons for such within a period of seven days after such suspension.	Municipal Council	7 days
Commencement of the disciplinary process	If a senior manager is suspended, a disciplinary hearing must commence within three months after the date of suspension, failing which the suspension will automatically lapse. The period of three months referred to above may not be extended by council. If after having considered the response from the senior manager, the mayor, in the case of the municipal manager, or the municipal manager, in the case of the manager directly accountable to the municipal manager, decides that the senior manager is guilty of misconduct, the mayor or the municipal manager, as the case may be, may, only after due processes, impose the sanctions.		3 months

Table 3.6 : Standard Operation Procedures on The Skills Development

TASK AREA	KEY ACTIVITIES	RESPONSIBILITY IN MUNICIPALITIES	TIME FRAME
Alignment to strategic planning cycles	- IDP areas needing further skills development and new competencies - Facilitation of budget and other resource allocation. - Reviewal of HR Plan and Organogram.	Municipal Manager/ Delegated Senior Manager	Every 5 years
Determination of skills needs	- Conduct Skills analysis. - Conduct staff skills audit, which must identify skills needs for each staff member based on specific competency.	Municipal Senior Managers	Skills analysis annually Skills Audit to be conducted 2 years after the new municipal administration.
Recognition of prior learning assessment	- staff member's skills and knowledge acquired through formal or informal training, work experience etc.	Municipal Senior Manager Corporate Service Directorate coordination. RPL must be conducted by service providers that are accredited by the relevant Education and Training Quality Assurance Body	Annually

TASK AREA	KEY ACTIVITIES	RESPONSIBILITY IN MUNICIPALITIES	TIME FRAME
Personal development plans	- The personal development plan must take into account the skills audit and the requirements of the performance management system.	Individual Employee	Varies
Workplace Skills Plan	The workplace skills plan must include— - The priority skills needs for the municipality and each department or function; - the associated interventions that the municipality intends conducting; and - an aggregation of the learning and development initiatives from staff personal development plans.	Corporate Services	A municipality must submit a completed workplace skills plan to the LGSETA on 30 April of each year
Evaluating skills development quality and impact	- conduct regular evaluations of the workplace skills plan and personal development plans as well as their implementation; and - adjust its learning programmes to improve its effectiveness, including the impact on reducing the skills constraint on service delivery. - ensure that every supervisor annually report on progress on implementing staff personal development plans and the other programmes contained in the workplace skills plan.	Senior Managers	Annually

4.   CHAPTER 4: FINANCIAL MANAGEMENT AND VIABILITY

4.1. Purpose and Objectives

Purpose: To secure sound and sustainable management of the financial affairs of municipalities and other institutions in the local sphere of government; to establish treasury norms and standards for the local sphere of government; and to provide for matters connected therewith.

Objectives of the Chapter
- To guide Municipalities on the process and responsibilities for monitoring, tracking, and reporting of Audit Improvement Plans (AIPs).
- To ensure municipalities in the Eastern Cape comply with the provisions of legislation in addressing audit findings, improving governance, and achieving clean audits.
- To guide Municipalities on the procedures for dealing with unauthorised, irregular, fruitless, and wasteful expenditure (UIF&WE).
- To outline the processes for identifying, treating, mitigating, and monitoring UIF&WE.
- Chapter 25 of the Local Government Risk Management Framework stipulates the Risk Management functions of the Department of Cooperative Governance with respect to supporting municipalities on risk management:
- Supporting the risk management policies, strategies and activities that enhance the delivery of municipal services to the right quality and standard.
- Promote good governance, transparency and accountability, ensure sound financial management and accounting.

4.2. Reference to the Policies, Legislations and Other Source Documents
- Constitution of RSA, 1996
- Local Government: Municipal Systems Act, 2000 (Act 32 of 2000)
- Local Government: Municipal Finance Management Act, 2003 (Act 56 of 2003)
- Public Audit, 2004 (Act of 2004
- Section 131 of the MFMA
- MFMA Circular 65
- MFMA Circular 113

4.3. Guidelines and Expectations
- Audit Improvement Plan Development
- Implementation of Audit Improvement Plan
- Audit Improvement Plan Verification
- Audit Improvement Plan Effective Monitoring

4.4. Definitions
- **Audit Improvement Plan (AIP)**: A formal plan developed by a municipality to address audit findings and recommendations issued by the Auditor-General or internal auditors.
- **Audit Findings**: Issues raised by the Auditor-General or internal audit that indicate deficiencies in financial management, governance, or compliance.
- **Municipal Public Accounts Committee (MPAC)**: A committee within the municipality responsible for oversight of the financial performance and management of municipal resources.
- **Key Performance Indicator (KPI)**: Specific, measurable objectives used to assess performance in implementing the AIP.

Table 4.1: Audit Improvement Plan Development & Monitoring Process

STEP	PROCEDURE	ACTIVITY	RESPONSIBILITY	TIMEFRAME
1	**AIP Development**	Upon receipt of the audit report, the municipality's senior management prepares an AIP to address identified audit findings, considering the following: • AIPs of Municipalities must have full coverage of the audit issues, targeting the root causes (not symptoms) and covering the entire population. • To facilitate monitoring during its implementation, the AIP must be broken down into clear milestones, responsibilities, and indicators of progress monthly (AIPs must have effectiveness/SMART indicators). • AIPs must be accompanied by a detailed project plan with clear milestones and deliverables on all areas that received qualified audit opinion as per AGSA report where applicable. • Commitments or measures to address key controls must be realistic. • AIP must be resourced with people with the right level of influence to ensure that commitments are implemented, and that the AIP has prospects of turning around negative audit outcomes. • The AIP must be quality reviewed by the Chief Financial Officer, who is also charged to champion its implementation. **Approval of AIP:** • 2.1. The AIP is submitted to the Municipal Manager for approval and to the Municipal Council for noting and endorsement. **Submission of AIP:** • 3.1. The approved AIP is submitted to the Eastern Cape Provincial Treasury and other oversight bodies as required.	Municipal Manager (MM) Senior Management Chief Financial Officer (CFO)	Immediately Ongoing
2	**Implementation**	1. Responsibility Assignment: 1.1 Action items are assigned to relevant departments and individuals as per the AIP. 2. Regular Monitoring: 2.1. Departmental heads ensure that all action items are implemented as per the deadlines indicated in the AIP. 2.2. Internal audit conducts monthly or quarterly reviews of the AIP implementation and submits reports to the Municipal Manager and MPAC.	Municipal Officials Senior Management Internal Audit (IA)	Immediately upon discovery
3	**Progress Reporting**	1. Monthly/Quarterly Reports: 1.1. The Internal Audit Unit compiles reports on the implementation status of the AIP. 1.2. These reports are submitted to the Municipal Manager, CFO, and MPAC for review.	IA CFO, IA and MPAC	Quarterly

STEP	PROCEDURE	ACTIVITY	RESPONSIBILITY	TIMEFRAME
		2. Reporting to Provincial Treasury: 2.1. The municipality submits quarterly progress reports to the Eastern Cape Provincial Treasury on the status of the AIP implementation. 2.2. Highlight progress, challenges, and any potential delays in implementation.	CFO	
		3. Feedback and Corrective Action: 3.1. Provincial Treasury provides feedback on the progress and may offer support to resolve challenges. 3.2. MPAC and the Municipal Manager ensure corrective actions are taken when progress is insufficient.	Provincial Treasury (PT) MM and MPAC	
4	Annual Review	1. End-of-Year Evaluation: 1.1. At the end of the financial year, a final report on the AIP's implementation is prepared by the Internal Audit Unit and CFO. 1.2. This report includes lessons learned and an evaluation of the effectiveness of the AIP in addressing audit findings.	IA CFO	Annual
		2. Audit Outcome Follow-Up: 2.1. The Auditor-General conducts a follow-up audit to assess the municipality's progress in addressing prior findings. 2.2. Findings from this follow-up are incorporated into future AIPs.	Auditor General MM	Annual
5	Key Responsibilities	5. Municipality Level 5.1. Municipal Manager (MM): 5.1.1. Ensure that the AIP is prepared, approved, and submitted (and uploaded on the Web-Based Municipal AIP) to the appropriate provincial oversight authorities. 5.1.2. Accountable for the implementation and tracking of the AIP.	MM	Ongoing
		5.2. Chief Financial Officer (CFO): 5.2.1. Lead in addressing audit findings related to financial management. 5.2.2. Monitor the progress of financial audit action items in the AIP.	CFO	Quarterly
		5.3. Internal Audit Unit and/or Risk Management: 5.3.1. Conduct regular reviews and evaluations to assess whether the AIP is being effectively implemented. 5.3.2. Provide regular reports on AIP progress and compliance to the Municipal Manager and MPAC. 5.4. Departmental Heads:	IA and Risk Management	Quarterly and Ongoing

STEP	PROCEDURE	ACTIVITY	RESPONSIBILITY	TIMEFRAME
		5.4.1. Implement department-specific actions from the AIP. 5.4.2. Monitor the status of corrective actions within their departments.	Senior Management	Ongoing
		5.5. Provincial Oversight Bodie 5.5.1. Eastern Cape Provincial Treasury and COGTA: 5.5.1(i). Review the AIP submitted by municipalities and provide guidance on financial matters. 5.5.1(ii). Ensure municipalities comply with financial regulations and improve audit outcomes.	PT and COGTA	Quarterly
		5.6. Office of the Auditor-General (AG): 5.6.1. Provide municipalities with audit findings and recommendations. 5.6.2. Assess whether municipalities adequately address issues raised in prior audit reports.	AG	
		5.7. Municipal Public Accounts Committee (MPAC): 5.7.1. Review the AIP and track its progress quarterly. 5.7.2. Hold accountable officials responsible for implementing the AIP.	MPAC	Quarterly
6	Performance Measures	6. Timeliness: Ensure AIP is submitted, implemented, and reviewed within the timelines set by the Auditor-General and other oversight bodies. 6.1.1. Implementation Rate: Target at least 80% of AIP actions completed on time.	MM	Quarterly
		6.1.2. Reduction in Repeat Audit Findings: Aim for a measurable reduction in the number of repeat audit findings in subsequent audits. 6.1.3.Clean Audit Outcomes: Track improvements in audit opinions over time, moving from qualified to unqualified or clean audits.	Senior Management	Ongoing
			CFO	Annual
7	Escalation Procedures	7.1. If significant delays or non-compliance with AIP implementation are identified: 7.2. The Internal Audit Unit escalates the issue to the Municipal Manager, Audit Committee and MPAC. 7.3. The Provincial Treasury may intervene if persistent non-compliance occurs, offering additional support or imposing corrective measures.	IA	Ongoing
8	Documentation	8. Audit Improvement Plan Template: 8.1. Include a clear list of audit findings, corrective actions, responsible parties, due dates, and KPIs.	CFO	Immediately

STEP	PROCEDURE	ACTIVITY	RESPONSIBILITY	TIMEFRAME
		8.2. Monitoring Reports: 8.3. Standardized report format for tracking the status of AIP implementation, highlighting completed and overdue actions.	CFO	Ongoing
		8.2. Feedback Logs: 8.2.1. Maintain records of feedback from oversight bodies, including the Provincial Treasury and Auditor-General, to ensure that corrective actions are taken.	MM	Ongoing

4.5. Review and Update of SOP

- This SOP should be reviewed annually or whenever there are significant changes in legislation, audit processes, or governance requirements.

4.6. Consequences

- This SOP provides a comprehensive framework for municipalities in the Eastern Cape to effectively monitor and report on the implementation of AIPs, improving governance, financial management, and service delivery outcomes.
- Non-adherence to these guidelines will lead to non-realisation of the performance measures contained in the SOP.

4.7. Standard Operating Procedure: Unauthorised, Irregular, Fruitless and Wasteful Expenditure (UIF&WE)

4.7.1. Definitions:

- **Unauthorised Expenditure:** Defined in Section 1 of the MFMA. Includes overspending of budgets, expenditure from unrelated votes, expenditure for a specific purpose used otherwise, and spending of allocations contrary to conditions.
- **Irregular Expenditure:** Defined in Section 1 of the MFMA. Includes expenditure contravening the MFMA, Municipal Systems Act, Public Office-Bearers Act, or SCM policies, which has not been condoned. Excludes expenditure falling under "unauthorised expenditure."
- **Fruitless and Wasteful Expenditure:** Defined in Section 1 of the MFMA. Expenditure made in vain that could have been avoided with reasonable care. Implies no value for money was received and requires both conditions (vain and avoidable) to be met.

Table 4.2: Unauthorised Expenditure:

Step	Procedure	Responsibility	Timeframe
1	Report suspected unauthorised expenditure in writing to the Accounting Officer or delegated Senior Manager.	Municipal Employee	Immediately upon discovery
2	Record details of the expenditure in an unauthorised expenditure register. Leave the expenditure in the relevant account.	Accounting Officer/Senior Manager	Upon reporting
3	Investigate the alleged unauthorised expenditure.	Accounting Officer/Senior Manager	Ongoing
4	If the expenditure is valid, retain details in the register and update it.	Accounting Officer/Senior Manager	Upon conclusion of investigation
5	If the expenditure is unauthorised, report it in writing to the mayor and then to Council.	Accounting Officer	Immediately upon confirmation
6	Council refers the matter to the MPAC for investigation and advice.	Council	Upon receipt of report
7	Council certifies or does not certify the expenditure.	Council	As determined by Council
8	If certified, update the register. If not, the Accounting Officer recovers the amount from the responsible person.	Accounting Officer	Upon Council decision

Authorising Unauthorised Expenditure: Council considers factors like referral to Council, nature, and grounds of expenditure, MPAC investigation, intent of the responsible party, and whether the action was in the best interest of the municipality.

Adjustments Budgets:

Unauthorised expenditure can be authorised in adjustments budgets:
(a) for unforeseen and unavoidable expenditure,
(b) main adjustments budget, or
(c) special adjustments budget.

Recovery: Unauthorised expenditure is recovered from the liable party unless authorised by Council. The Accounting Officer requests payment, and if not received, the matter is handed over to the legal department.

Fruitless And Wasteful Expenditure:

Principles: Fruitless and wasteful expenditure is not explicitly identified by the MFMA. It is expenditure made in vain that could have been avoided with reasonable care. Considerations include whether the spending relates to municipal powers, furthers the municipality's interest, was essential, and if alternative options existed.

Table 4.3: Fruitless and Wasteful Expenditure

Step	Procedure	Responsibility	Timeframe
1	Report suspected fruitless and wasteful expenditure in writing to the Accounting Officer or delegated Senior Manager.	Municipal Employee	Immediately upon discovery
2	Record details of the expenditure in a fruitless and wasteful expenditure register.	Accounting Officer/Senior Manager	Upon reporting
3	Investigate the alleged fruitless and wasteful expenditure.	Accounting Officer/Senior Manager	Ongoing
4	If the expenditure is not fruitless and wasteful, retain details in the register and update it.	Accounting Officer/Senior Manager	Upon conclusion of investigation
5	If the expenditure is fruitless and wasteful, report it in writing to the mayor. Update the register.	Accounting Officer	Immediately upon confirmation
6	Include the expenditure in the monthly revenue and expenditure report to Council.	Accounting Officer	Monthly

Irregular Expenditure:

Follow the same process as for Fruitless and Wasteful Expenditure.

Role of MPAC:
- Provides political guidance over fiscal and financial affairs.
- Oversees the performance of officials in preventing UIF&WE and implementing consequence management.
- Receives support from the administration to investigate UIF&WE.
- May certify UIF&W expenditure as irrecoverable.

Compliance and Enforcement
- All employees must adhere to this SOP to prevent financial misconduct.
- Regular audits will be conducted to ensure compliance with expenditure regulations.
- Non-compliance with this SOP may result in disciplinary action, financial recovery measures, or legal consequences as per applicable laws.

Possible Implications of Non-Compliance:
- Negative audit outcome
- Compromised service delivery.
- Financial loss
- Non-compliance with MFMA regulations
- Prevalence of fraud and corruption
- Community unrest

Review And Amendment
- This SOP shall be reviewed annually or as required to ensure its effectiveness align with legislative and policy changes.

4.8. Risk Management SOP

4.8.1. Objectives

The objectives of these standard operating procedures are amongst other relevant factors:

- To provide guidance to Municipalities on the integration and alignment of Risk Management to the business strategy of the Municipality as outlined on its Integrated Development Plan (hereinafter referred as IDP).
- To provide a guideline on establishment, performance, reporting and monitoring of the functions assigned to the Risk Management Unit in municipalities.

Municipalities must (Chapter 7 of the Constitution: Developmental Duties of municipalities):
(a) structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community, and to promote the social and economic development of the community; and
(b) participate in national and provincial development programmes.

Municipalities are **mandated to perform specific functions**, therefor there will be inherent risks associated with those key objectives. Risk is defined by ISO 31000:2018 as being "**the effect of uncertainty on objectives**".

Risk management involves achieving an appropriate balance between realising opportunities for gains while minimising adverse impacts on the objectives. It is an integral part of good management practice and an essential element of good corporate governance. It is a continuous process consisting of steps that, when undertaken in sequence, enable continuous improvement in decision-making and facilitate continuous improvement in performance.

To be most effective, risk management should become part of the municipality's culture. It should be embedded into its operating philosophy, practices and business processes rather than be viewed or practiced as a separate activity. When this is achieved, everyone in the municipality will become involved in the management of the risks.

These Standard Operating Procedures (SOPs) for risk management include a set of guidelines and processes to identify, assess, mitigate, and monitor risks.

4.8.2. Legislative Framework
- I. Section 154 of The Constitution of Republic of South Africa, 1996
- II. Sections 62(1)(c)(i) and 95(c)(i) of the MFMA
- III. Local Government Risk Management Framework
- IV. National Treasury Guidelines
- V. King IV Report (Principle 11)
- VI. ISO 31000:2018 Risk Management - Guidelines

4.8.2.1. Risk Management Process

Risk Management Architecture (Governance)

- Develop a 5- year Risk Management Strategy that is aligned to the strategy of the Municipality as per the adopted IDP.
- The roles and responsibilities for the implementation of the ERM strategy is contained in the Treasury Regulations published in terms of the PFMA. Section 3.2.1 of the regulations addresses risk management summarised as follows:
- The accounting officer must ensure that **a risk assessment is conducted regularly** to identify emerging risks for the institution.
- The risk management strategy, which **must include a fraud prevention plan**, must be used to direct internal audit effort and priority and to determine the skills required of managers and staff to improve controls and to manage these risks.

- The risk management strategy **must** be clearly communicated to all officials to ensure that it is incorporated into the language and culture of the institution and embedded in the behaviour and mindset of its people.
- The Strategy (expressed through the IDP), from which risks are identified, must be adopted by the Municipal Council in line with the policy directive of each municipality.
- Operational risk identification **should** be performed based on the SDBIP to identify risks concerned with the Institution's operations.
- Develop and Implement Risk Management Policy and/or Framework.
- Develop and Implement Annual Risk Management Implementation Plan (included in the strategy in some instances.
- Formally appoint / designate Risk Management Champions /Coordinators in all Departments (from existing employees in a managerial role).
- Develop and implement Risk Management Appetite and Tolerance Framework.
- Risk Appetite and Tolerance levels should be set for all Strategic Risks.
- Quarterly Reports should indicate the level of adherence to Risk Appetite and   Tolerance levels.
- Develop a Combined Assurance Framework (ensure Internal Audit has developed) and Combined Assurance Plan (driven by Risk Management).
- HODs' reports to the Risk Management Committee **should** include progress on the management of risks as contained in the Combined Assurance Plan.
- Communicate the above Risk Management Governance documents to the internal stakeholders (Officials, Management, Risk Management Committee, Audit Committee, Mayoral Committee and Council).

4.8.2.2. Risk Assessment

- **Risk Identification**: Establish a process of identifying potential risks, linked to the Strategic Objectives that could impact the organisation both positively and negatively.
- **Strategic risk identification** to identify risks ensuing from the strategic choices made in the Integrated Development Plan (IDP), as well as execution risk (SDBIP: Operational Risks) associated therewith.
- The Institution's strategic risks should be identified and documented as part of the Institution's strategy setting process (IDP review process), which is assumed to include the consideration of threats and opportunities, and uses the Institutional risk register as one source of information.
- **Risk Analysis**: Evaluate the **likelihood** of the risk occurrence and **impact** the risk would have on the organisation's operations, the product of the two is the **risk exposure**.
- **Root cause analysis**: Identify the real root cause, by asking the five (5) W's approach: **who, what, when, where, and why?**
- **Risk Consequence/Impact**: Identify the consequences that may occur should a risk materialise. These will also **assist in setting the Risk Appetite and Tolerance levels** (that will be the parameter or threshold of the level of acceptability and what is regarded extreme and not acceptable).

4.8.2.3. Risk Mitigation Strategies

The institution will need to respond to the risks by selecting, the **most appropriate treatmen**t strategies and methods. Importantly on this stage, is ensuring that the choice of mitigation strategies considers available resources (both human and financial), the capacity of the municipality and available alternatives. This involves selecting the options such as:

- Treating a risk
- Tolerating the risk
- Terminating the source of the risk
- Transferring the risk

Risk Termination or avoidance as an option is not always feasible, due to legislated functions to be performed, it is seldom an option at the disposal of local government officials, as this option entails not participating in the activity that gives rise to the risk.

4.8.2.4. Internal Controls

Risk treatment involves designing and implementing internal controls, the organisation will need to design internal controls and implement the controls to improve the control environment of the municipality.

Consider all the internal control types; in ensuring the adequacy of design and effectiveness of the controls and the following are the selection criteria:
- Directive controls – Legislation, Policies, etc.
- Preventive controls – Verifications, etc.
- Detective controls – Exception reports, etc.
- Corrective controls – Recovery, Capacity building, Consequence Management, etc.

4.8.2.5. 4.8.2.5   Resource Allocation
- Ensure that there is adequate human resources capacity, represented by the requisite staff complement and bearing the appropriate skills and experience is fundamental to implement and maintain the system of risk management.
- The Chief Risk Officer and staff reporting to him/her should possess the necessary skills, competencies and attitudes to execute the functions of Risk Management.
- Risk Management Key Performance Indicator (KPI) **must** be included in the performance.
- Contracts of all Section 56 Managers accounting directly to the Accounting Officer.
- The job profiles and performance management criteria of **all management** and staff must incorporate their responsibilities for risk management.
- The institution must **prioritise risks** to be monitored based on the level of **risk exposure.**
- **Remaining** after controls have been effected (residual risk).
- **Risk Mitigation**: Develop and implement strategies to mitigate or reduce risks to be within Risk Appetite and Tolerance levels.
- **Risk Mitigation Strategies**: Must find expression in the IDP and SDBIP to ensure that they are funded where they have financial implications or resource requirements.

4.8.2.6. Risk Monitoring
- The municipality must continuously monitor at prescribed intervals (**at least quarterly**) the implementation of the risk management strategies, by distributing risk monitoring tools to be completed by management.
- Risk Champions or Coordinators play an integral part in the coordination of risk management activities. They serve as a link between the risk management function and the departments.

4.8.2.7. Risk Reporting
- The municipality must establish a process for reporting risks to stakeholders, through the establishment of an **oversight structure** in the form of a Risk Management Committee with the following:
- Terms of Reference approved by the Accounting Officer.
- An **Independent Chairperson** with the requisite skills and expertise.
- The Executive Management Team **must** be members of the Committee.
- All heads of departments (HOD's) **must** provide quarterly reports to the Committee using a prescribed (by the Risk Management Committee) risk reporting template.
- The Risk Management Committee Chairperson **must** have a standing invitation to the Audit Committee, for presentation of the Risk Management Committee quarterly report.

4.8.2.8. Risk Review and Evaluation

- Evaluation of risk management effectiveness is vital to maximise the value proposition of risk management.
- Establish an annual process for evaluating the **effectiveness of the Risk Management Committee.**
- Municipalities should strive to **incrementally and sustainably** achieve a mature risk management regime in order to optimise the benefits of risk management.
- Municipalities should utilise the Financial Management Maturity Capability Model (FMMCM) developed by the National Treasury to evaluate their current and progressive **risk management maturity** at least annually and report results to the Risk Management Committee.
- The municipality must regularly review and update the risk management process.
- Strategic risks should be **formally reviewed** concurrently with changes in strategy, or **at least once a year** to consider new and emerging risks.

4.8.3. Consequences

Risk management is an ongoing process that demands consistent attention. Failing to monitor risks and reassess them regularly can lead to unforeseen issues as the risks can evolve, become more significant, or take on new forms, posing substantial threats to the municipality's stability and success.

- Failure to have and **effectively execute** a Risk Management Strategy may lead to negative audit findings.
- Non-compliance with Sections 62(1)(c)(i) and 95(c)(i) of the MFMA might lead to findings on Compliance with applicable Laws and Regulations by the Auditor General.
- Inability to meet performance targets resulting to possible findings on the Audit of Pre-determined Objectives.

4.9. Value Added Tax: Standard Operating Procedures

4.9.1. Objectives

- To provide guidelines and expectations for municipalities in applying VAT rules and procedures.
- To establish standard operating procedures for VAT-related activities, including registration, accounting, transaction classification, and record-keeping.
- To ensure compliance with VAT legislation and avoid the consequences of non-compliance, such as penalties and legal action.

4.9.2. Legislative Framework

- Value-Added Tax Act 89 of 1991
- Tax Administration Act 28 of 2011
- Income Tax Act 58 of 1962
- SARS VAT 419 Guide for Municipalities
- Municipal Property Rates Act 6 of 2004
- Municipal Finance Management Act 56 of 2003

4.9.3. Guidelines and Expectations

- Municipalities must, as far as possible, apply the general VAT rules as set out in the VAT 404 - Guide for Vendors.
- Municipalities must account for VAT on the payments basis.
- Municipalities must establish the relationship between parties to a transaction to determine if a vendor is acting as an agent on behalf of another person or as principal.
- Agreements, usually referred to as Service Level Agreements (SLAs), must be formalized between municipalities and provincial government where functions are assigned to municipalities, or where a municipality acts as agent of the national or provincial government to execute certain tasks.
- Municipalities must have a system in place to account for VAT in respect of the different types of supplies made.

- Municipalities must properly classify supplies and maintain proper record-keeping, invoicing and documentation.
- Municipalities must understand input tax, direct attribution, apportionment methodology, and the VAT treatment of entertainment and motor vehicles.
- Municipalities must account for adjustments to output or input tax that may result from a change in use, consumption or application of goods or services acquired.
- The Standard Chart of Accounts (mSCOA) must be implemented by all municipalities and municipal entities (effective 1 July 2017).
- Municipalities must use the mSCOA system to record and classify all expenditure (capital and operating), revenue, assets, liabilities, equity, policy outcomes and legislative reporting.

Table 4.4: Value Added Tax Standard Operating Procedures

STEP	PROCEDURE	ACTIVITY	RESPONSIBILITY	TIMEFRAME
1	VAT Registration	Register for VAT under section 23(3)(a) of the VAT Act.	Chief Financial Officer (CFO)	On establishment of the municipality
2	Accounting Basis	Account for VAT on the payments basis.	Finance Department	Ongoing
3	Transaction Classification	Classify all financial transactions using the MSCOA system.	Finance Department	At the time of each transaction
4	Agent vs. Principal Determination	Determine whether the municipality is acting as an agent or principal in each transaction.	Finance Department/Legal Counsel	Before processing the transaction
5	Tax Invoices, Credit Notes, and Debit Notes	Issue and manage tax invoices, credit notes, and debit notes.	Finance Department	At the time of supply
6	Output Tax Calculation	Calculate and record output tax on taxable supplies.	Finance Department	At the time of supply
7	Input Tax Deduction	Identify, calculate, and record input tax deductions, ensuring correct attribution or apportionment.	Finance Department	At the time of payment
8	VAT Adjustments	Make necessary adjustments to output tax or input tax due to changes in the use of goods or services.	Finance Department	When changes occur
9	Record Keeping	Maintain accurate records of all VAT-related transactions, including invoices, statements, and calculations.	Finance Department	Ongoing
10	Reporting and Submission	Prepare and submit VAT 201 returns to SARS.	Finance Department	As per tax period
11	Compliance Monitoring	Monitor and ensure ongoing compliance with VAT legislation and guidelines.	CFO/Internal Audit	Ongoing

5.   CHAPTER 5: GOOD GOVERNANCE

5.1.   Purpose and Objectives of the Chapter

Purpose: The purpose of the Standard Operating Procedure is to simplify and provide step by step administrative actions that municipalities must follow to ensure compliance with the prescription of the Municipal Structures Act and related regulations. It also seeks to ensure that both the department and municipalities agree with non -negotiable performance areas.

Objectives
- To ensure adherence to the legislative prescriptive and regulations to ensure good governance and administration regarding the functioning of councils and council committees as required by the Municipal Structures Act, 1998 as amended.
- To ensure the establishment of municipalities but to also play an oversight role and ensure accountability of municipalities within the province.

5.2.   Reference to the Policies, Legislations and Other Source Documents

The Local government legislative framework that underpins and define the core mandate of municipal administration and the core municipal process and programmes of municipalities is anchored around the following primary legislations.
a)   Chapters 3 and 7 as well as Schedules 4 and 5 of the Constitution of the Republic of South Africa, 1996;
b)   The White Paper on Local Government,1997;
c)   Municipal Demarcation Act, 1998;
d)   Municipal Structures Act, 1998 as amended;
e)   Municipal Systems Act, 2000 as amended;
f)   Municipal Finance Management Act, 2003;
g)   Intergovernmental Relations Act of 2005
h)   MEC Circulars and Provincial Gazettes.
i)   Council Resolutions

5.3.   Guidelines and Expectations

5.3.1. Non-Negotiables and Consequence Management
- To mitigate the deteriorating state of municipalities, the MEC has instructed the department to identify non-negotiable performance areas and develop Standard Operating Procedures to be adopted and implemented by the municipalities. The MEC further, instructed that in the event of non-compliance with the legislation and agreed administrative practices and ethical conduct, consequent management should apply to ensure accountability and to mitigate continuity of unlawful practices and unethical conduct by municipal councils. Councillors or officials will collectively or individually be liable for any transgression.
- Consequent Management and Accountability for municipalities should therefore be systematic and intended to support corrective action in respect of transgressions of the law applicable to municipalities and municipal entities. To provide support and assistance to municipality the department is in the process of developing joint Standard Operating Procedures for municipalities.
- It must also be noted that the responsibility of the directorate is to ensure good governance and administration, and as such its core business is to monitor and enforce compliance with existing legislation and regulations to promote effective and efficient functionality of council structures.
- In a nutshell all function flowing from the regulations should be considered non- negotiable.

5.3.2. Determination of the Number of Councillors that may Be Designated as Full Time Councillors in A Municipality.

In terms of Section 18 of the Local Government: Municipal Structures Act, 1998, A municipality has the power to designate councillors determined by the MEC for Local Government as full time. An MEC's determination must be in accordance with the policy framework as may be determined by the Minister after consulting the MEC for Local Government.

5.3.2.1. Step By Process
- Council Resolution
- Receive applications from municipalities for final designation of fulltime councillors.
- Acknowledge receipt of applications.
- Facilitate the final designation of fulltime councillors i.e. verify compliance to MEC Framework as defined in item 6(2) of Section 12 Notice published per Gazette No. 687 dated 2000 (applying municipality must be able to pay and sustain payment of the additional expenditure signed by the Municipal Manager and the CFO; Functions attached to the fulltime positions and Council resolution attached with attendance register).
- Amend the Section 12 Notices to designate the number of fulltime councillors.
- Publish the Provincial Notices for amendment of Section 12 Notices in the Provincial Gazette. (Final designation)

5.3.3. Enforcement of the Code of Conduct for Councillors

The department has been dealing with several cases that relate to the breach of the Code of Conduct for Councillors. Adherence to the code of conduct is a non-negotiable, that warrants application of consequence management.

5.4. Standard Operating Procedures for Council Resolutions, Court Judgements, Arbitration Awards and Investigations

1. The purpose of these standard operating procedures is to protect the municipality against exposure to illegal council resolutions and failure to implement court judgements and SALGBC arbitration awards, Chapter 9 institutions recommendations and investigations performed against the municipality by other government departments.
2. It must be noted that council resolutions must at all times be legal, rational and be supported by legislations, regulations and or council adopted/ approved policies.
3. It is required that council must take resolutions based on researched items and documentary evidence attached in such items to allow council to take resolutions based on legally sound advice.
4. In case of uncertainty about the legality of the advice by management, legal opinions must be sourced in order to provide council with correct advice.
5. Council is not at liberty to take an illegal decision and ignore advice from the municipal manager or any other Senior official bestowed with the responsibility to advise the council.
6. Council, Executive Mayor/Mayor, Deputy Executive Mayor, Speaker and the municipal manager or any other official cannot ignore court judgments and arbitration awards against the council as such may have both legal and financial implications against the council.
7. Decisions to appeal court or arbitration awards or judgements must be based on independent legal advise and not the whims of individuals who may put council into huge financial losses.
8. The Municipal Manager / Acting Municipal Manager will be held accountable for failure to implement a court judgement, arbitration award, Public Protectors recommendations, Human Rights Commission, Auditor General's recommendations and any other investigation report performed against the municipality through Section 106 of the Municipal Systems Act.
9. All council policies must comply with the law and all other regulations applicable to local government.
10. Council resolutions relating to the following important matters cannot be taken through any type of motion:

- o Employment matters whether temporary, acting or permanent appointments and suspension of any personnel.
- o Labour matters - including judgements for or against the council and or arbitrations.
- o Financial matters
- o Procurement matters
- o Land matters
- o By laws
- o Remuneration of Public Office Bearers

11. Municipal Managers/ Acting Municipal Managers or any other official who is aware of an illegal or irrational decision having been taken by council, which decision may result in negative financial implications against the council such resolution must be reported to both the MEC for COGTA and MEC for Provincial Treasury within 7 days.

12. The report must attach the illegal / irrational council resolution which must have all the officials and councillors who requested to be recorded against the decision, and the attendance register of that council meeting.

13. The proponents of the illegal/irrational decision must also be clearly recorded and attached to the report.

14. Failure to report such illegal/irrational decision will result in all the costs related to such a resolution being levied or charged against the Municipal Manager/ Acting Municipal Manager or any other official who failed to report such a resolution.

15. Any council resolution that fits the category of being illegal/irrational is automatically suspended from implementation until a report giving a green light to such a resolution was received from the Department of Cooperative Governance and Traditional Affairs and or the Provincial Treasury depending on the relevance of the resolution.

16. The proponents of the illegal/irrational decision must also be clearly recorded and attached to the report. Failure to report such illegal/irrational decision will result in all the costs related to such a resolution being levied or charged against the Municipal Manager/ Acting Municipal Manager or any other official who failed to report such a resolution.

17. Council is prevented from suspending or taking disciplinary action against an official who acts in the spirit of implementing this operating standard.

5.4.1.1. Step by Step Process

Table 5.1: Code of Conduct Adherence

STEPS	ACTIVITY	CONSEQUENCES OF NON-ADHERENCE	ACTIONS TO BE TAKEN
Step 1	All Councilors must be sworn-in during the first Council meeting of the term	Non-constitution of Council	MEC to intervene
Step 2	All Councilors must be given a copy of the Code of Conduct and Rules of Order at the first Council meeting	A breach of Item 15(4) of the Code of Conduct for Councilors must be investigated	Workshop or train Councilors on the Code of Conduct for Councilors
Step 3	All Councilors must understand the Code of Conduct and observe the Rules of Order of Council	Sanctions to be imposed on the non-adherence to the Code of Conduct	Workshop Councilors on the contents of the Code of Conduct for Councilors to reduce the cases of breaches of the Code
Step 4	All Councilors must attend the Council and Committee meetings except when leave of absence has been granted	Sanctions or fines to be imposed on non-attendance of Council meetings by Councilors	Workshop or train Councilors on the Code of Conduct for Councilors especially Items 4 and 5 of the Code
Step 5	All Speakers must determine the quorum before the commencement of the Council meetings	Speakers must adjourn the meeting if the quorum requirements are not met in line with the Rules of Order	Workshop or train Councilors on the Rules of Order

STEPS	ACTIVITY	CONSEQUENCES OF NON-ADHERENCE	ACTIONS TO BE TAKEN
Step 6	All Council meetings proceedings must be conducted in line with the Rules of Order of Council	Chaotic situation that may lead to constant adjournment of Council meetings	Workshop or train Councilors on the Rules of Order
Step 7	All Councils must ensure that resolutions taken are legal and not in contrary with the law	A breach of Item 3 of the Code of Conduct for Councilors must be investigated	Workshop or train Councilors on the Code of Conduct for Councilors
Step 8	The salary, allowances & benefits of members of municipal councils are determined by that municipal council by resolution of a supporting vote of a majority of its members in consultation with the MEC responsible for local government.	Any increases implemented without the concurrence of the MEC may be regarded as unauthorised expenditure and may result in an audit query.	Report to the office of the MEC on non-adherence.

Table 5.2: Item 15– Breach of The Code Of Conduct

STEP 1
If the speaker of a municipal council, on reasonable suspicion, is of the opinion that a provision of this Code has been breached, the speaker must: (a)authorize an investigation of the facts and circumstances of the alleged breach.   *(b)* give the councilor a reasonable opportunity to reply in writing regarding the alleged breach; and   *(c)* report the matter to a meeting of the municipal council after paragraphs *(a)* and *(b)* have been complied with.
STEP 2
A report in terms of sub item (1) (c) is open to the public.
STEP 3
The speaker must report the outcome of the investigation to the MEC for local government in the province concerned.
STEP 4
The speaker must ensure that each councilor, when taking office, is given a copy of this Code and that a copy of the Code is available in every room or place where the council meets
STEP 5
If the speaker of council is the alleged perpetrator, or the speaker refuses to authorise an investigation, the council must establish a special committee, as contemplated in Item 16(1)(b), to investigate and make a finding on any alleged breach of this Code.

Table 5.3: Item 16 – Investigation of Breach

Schedule 7 of the Municipal Structures Amendment Act – Code of Conduct for Councillors

STEP 1

(1) A municipal council may—
 (a) investigate and make a finding on any alleged breach of a provision of this Code; or
 (b) establish a special committee -
     (i) to investigate and make a finding on any alleged breach of this Code: and
     (ii) to make appropriate recommendations to the council.

STEP 2

If the council or a special committee finds that a councilor has breached a provision of this Code, the council may -
     (a) issue a formal warning to the councilor:
     (b) reprimand the councilor:
     (c) request the MEC for local government in the province to suspend the councilor for a certain period.
     (d) fine the councilor; and
     (e) request the MEC to remove the councilor from office.

STEP 3
The speaker must inform the MEC for local government in the province concerned within 14 days of the findings and sanctions decided on by the council.
STEP 4
(a) Any councilor who has been warned, reprimanded or fined in terms of paragraph (a), (b) or (d) of subitem (2) may within 14 days of having been notified of the decision of council appeal to the MEC for local government in writing setting out the reasons on which the appeal is based.   *(b)* A copy of the appeal must be provided to the council by the MEC.   *(c)* The council may within 14 days of receipt of the appeal referred to in paragraph (b) make any representation pertaining to the appeal to the MEC for local government in writing.

STEP 1	
(d) The MEC for local government may. after having considered the appeal, confirm, set aside or vary the decision of the council and inform the councilor and the council of the outcome of the appeal.	
STEP 5	
The MEC for local government may appoint a person or a committee to investigate any alleged breach of a provision of this Code and to make a recommendation as to the appropriate sanction in terms of sub-item (2) if the municipal council does not investigate contemplated in sub-item (1) and the MEC for local government considers it necessary.	
STEP 6	
The Commissions Act, 1947 (Act No.8 of 1947), or where appropriate, applicable provincial legislation, may be applied to an investigation in terms of subitem (4)	
STEP 7	
If the MEC is of the opinion that the councilor has breached a provision of this Code, and that such contravention warrants a suspension or removal from office, the MEC may- *(a)* suspend the councilor for a period and on conditions determined by the MEC; or *(b)* remove the councilor from office.	

6.   CHAPTER 6: LOCAL ECONOMIC DEVELOPMENT (LED)

6.1.   Purpose and Objectives

The purpose of Local Economic Development (LED) is to build the economic capacity of a municipality to improve its economic future and the quality of life for all. It is a process by which public, business, and non-governmental sector partners work collectively to create better conditions for economic growth and employment generation. The success of a community today depends on its ability to adapt to local, national, and international economic – political dynamics. In this regard, section 152 *(objects of local government)* and 153 *(developmental duties of municipalities)* of the constitution unequivocally entrusts local government with the promotion of social and economic development. This is reiterated by the White Paper on Local Government as well as the Municipal Systems Act.

The significance placed by literature and the South African legislation on the importance of LED, its traction is yet to be realised. This is apparent through the economy that is growing below 1% with high levels of unemployment at 42% national average and 32% Eastern Cape Provincial average. Despite all these negative economic indicators, LED still presents an opportunity to change the socio – economic dynamics faced by community members. The non – negotiables document shall therefore seek to recalibrate efforts of municipalities to achieve economic growth. The non-negotiables therefore seek to achieve the following economic development objectives: -

- To support the development of coherent economic plans that are collaborately implemented through the efforts of government, business and civil society contributions.
- To create a conducive environment for enterprise development through facilitating the voice of business in economic development matters.
- To support the regulation and operational effectiveness of businesses operating within municipalities.

6.2. Standard Operating Procedure (SOP)

Table 6.1 : Development/Review of LED Strategy and Implementation

SOP NAME	DEVELOPMENT/REVIEW OF LED STRATEGY AND IMPLEMENTATION		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Phase one: introduction to local economic development	• This phase deals with the background, philosophy, contextualisation, conceptualisation of LED and definitions as well as outlining the roles and responsibilities of the different actors in the process of the development of the LED Strategy.	Municipality COGTA DEDEAT stakeholders	
Phase 2 Institutional arrangements and mobilisation	• This phase deals with the background, philosophy, contextualisation, conceptualisation of LED and definitions as well as outlining the roles and responsibilities of the different actors in the process of the development of the LED Strategy.	Municipality COGTA DEDEAT stakeholders	
Phase 3 Situational Analysis	• Solicitation of data, both qualitative and quantitative • Analysis of data • Regional economic indicators may be used to identify key information on the local economy.	municipality	2months
Phase 4 Formulating the led strategy.	▪ **Step 1**: Create a vision: an agreed stakeholders' consensus on the preferred economic future of the community. ▪ **Step 2**: Develop goals: identify key priority areas to meet vision, specify desired outcomes of the LED planning process. ▪ **Step 3** Develop SMART objectives; Set performance standards and targets for development. ▪ **Step 4** Develop programs: Define and group together similar projects that collectively achieve objectives. ▪ **Step 5** Prioritise costed, time bound and measurable projects and programs.	municipality	3-4 months
Phase 5 LED Strategy implementation	• The implementation plan needs to categorise the projects into short-, medium- and long-term plans. • The implementation plan must set out the budgetary and human resource elements. • Municipalities need to have a resource mobilisation plan. • The LED Strategy will be presented to Council for adoption. **Monitoring and Evaluation** • The municipality needs to establish LED Forum which will serve as a vehicle to monitor the implementation of the LED strategy. • Municipality needs to establish a small task team that will monitor the implementation of the strategy as well as focus on attracting investment to the municipality through marketing the LED strategy document. • Mobilise other stakeholders to develop an investment attraction strategy linked to resource mobilisation.	municipality	ongoing

Table 6.2: Establishment and Functionality of the District LED FOR A

SOP NAME	ESTABLISHMENT AND FUNCTIONALITY OF THE DISTRICT LED FORA		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Composition of the LED Fora	The Composition of the LED Fora shall be as follows: • Office of the Premier • Government Sector Departments • South African Local Governance Association (SAGA) • District Municipalities (i.e., Head of Portfolio Committees on LED and Officials) • Local Business Chambers • Parastatals (i.e., SOEs). • Organised labour • Community Based Organisations • Faith Based Organisations • Development Agencies (i.e., National Youth Development Agency, SEDA, NDA etc). • Academia • Traditional Leadership	Municipalities supported by COGTA and other Strategic Partners.	Quarterly
Appointment of the Convenors:	The appointment of the Convenors shall follow the procedure as follows: • The appointment of the convenors shall be done in writing and followed by the confirmation letters by the convenors. • The appointment of the convenors shall be done in writing and followed by the confirmation letters by the convenors. • The Convenor roles shall fall on the designated Officers within the District LED Units • The municipality must appoint an Economic Management Committee chaired by the chairperson of the DED portfolio committee. This is a technical team that reports to the broad Provincial LED Forum. • The Management Committee must be constituted as follows: ✓ Member of the Mayoral Committee responsible for LED (Chairperson). ✓ Chairperson of the DED Forum ✓ Chairpersons of the working groups ✓ Section 57 managers (Infrastructure, Finance and Planning and Economic Development Directorate) ✓ LED Manager ✓ IDP Manager ✓ Member of the Mayoral Committee responsible for Finance	Municipalities supported by COGTA and other Strategic Partners.	Annually
Development of Annual Work Plans	The LED Fora shall be responsible for the Development of Annual Work Plans as follows: • The District Economic Development Forum shall produce an annual Work Plan that details the schedule of meetings and events. • The purpose of the work plan is to map out the collaboration of various public sector institutions represented within the framework of the DEDEF Focal Areas. • The DEDF will agree on the meeting dates that will be convenient for all members, synchronising with other relevant dates of the participating institutions. • The DEDF to consider selecting core of a few members who will closely support the	Municipalities supported by COGTA and other Strategic Partners.	Annually

	District LED units in its coordination and secretariat functions. This small core should be able to meet more frequently between formal DEDF meetings.		
Procedural Aspects	The District Development For a shall perform the following functions: • The Director Local Economic Development shall be responsible for chairing the meeting. • The Deputy chairperson will be nominated by the stakeholders during the first sitting of the LED Forum during his/her absence. • The LED Unit shall champion the functionality of the LED forum and be responsible for secretariat services. • The Chairperson convenes the forum in writing at least 14 days before the date of the meeting. • Under special circumstances and needs, the chairperson or at least four of the permanent stakeholders, may request the convocation of the Committee. • The stakeholders can request in writing, to postpone the meeting or delegate their representation to alternative members appointed by their respective organisation. • Schedule meetings of the fora timeously. • Prepare and circulate the meeting agenda in consultation with the chairpersons. • Record proceedings of the meetings in writing and electronically. • Compile minutes of all meetings and circulate copies already approved by chairpersons to the members of the for a and other relevant bodies. • Circulate and keep attendance registers of the meetings. • Handle any other administration and communication matters to all the committees of the fora. • Manage all the logistics regarding meetings in consultation with the hosting member. • Prepare reports on the functionality of these LED Fora in accordance with the approved template by members.	Municipalities supported by COGTA and other Strategic Partners.	Quarterly
Validity/Quorum	• The meeting is considered valid if it forms a quorum which is consist of 51% members from all stakeholders. • In the absence of the chairperson, the deputy chairperson will serve as a chairperson at any meeting in order to ensure the meeting has a quorum. • The deputy chairperson, in such circumstances will be deemed to have all the powers and function associated with the position.	Municipalities supported by COGTA and other Strategic Partners.	Quarterly

Table 6.3: Business Regulation and Support Guidelines

SOP NAME	BUSINESS REGULATION AND SUPPORT GUIDELINES		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Data base assimilation	• Create a data base collection tool • Data base for both formal and informal businesses (Including Spaza Shops – both in urban and rural areas)	Municipality (LED officials, Ward Councillors, Traditional leaders)	3 months
Categorisation of MSMEs by sector	Categorise per sector Understand regulatory framework of each business sector or acceptable industry standards & norms Zoning of business according to municipal approved business zones (When applying for the business licence the application must be sent to Town planning unit to verify that the site is earmarked for business if not the applicant must be advised to apply for rezoning)	Municipality (LED and Town Planning) and supporting relevant institutions	1 month
Business licensing	• Register businesses in the municipal database. • Business Licensing processes • (Annexure 1 – Business Act) Every business needs to have a valid municipal business license. The business owner needs to apply for the license. Upon application the applicant will fill the application form, LED will receive the application & send it to the following Departments ✓ Municipal health services (to check if the business meets with the health standards ✓ Disaster Management unit (to check if there are fire extinguishers and other hazardous substances that are found in the business and surrounding area ✓ Building inspectorate (to check if the business complies with building standards ✓ Town planning (to verify if the business site is earmarked for business purposes ✓ Law enforcement (to verify if the business complies with the municipal by-laws ✓ Home Affairs – to verify the foreign nationals permits if are still valid and to indicate that their permits allows them to do business ✓ SAPS – to enforce law and order ✓ Consumer protection- to verify that hu rights are not violated and that the businesses are trading legally & fairly	Municipality (LED, Town Planning, Budget and Treasury) Municipalities LED 's Town Planning and building. Home affairs SAPS Municipality Health services Law enforcement offices	On - going
Skills Audit – (Gap analysis)	• Design a tool (questionnaire) to gather skills needs/gaps • Conduct skills Audit	Municipality	1 month & annually
Formulation of training tool	• Training manuals • Design after care programmes • Design Mentoring and Evaluation tools	Municipalities supported by COGTA and other Strategic Partners.	On going
Formulate By- Laws	Formulation of by-laws supporting the operations of businesses within the municipal jurisdiction	Municipalities supported by COGTA and other Strategic Partners.	On going
Conduct Capacity Building/ Awareness Sessions	• Issue out invitations for sessions • Arrange for facilitators • Arrange all relevant stakeholders • Business Empowerment sessions for all sectors • Prepare manuals • Assessment questionnaire (end of each session)	MUNICIPALITY COGTA DEDEAT REGULATORS DSBD	On going

SOP NAME	BUSINESS REGULATION AND SUPPORT GUIDELINES		
Compliance & Enforcement	Joint Enforcement Actions for business compliance and inspections for acceptable norms and standards. • Establishment of Provincial business forum to ensure business compliance and uniformity across province and ensure transparent and fair marketplace. • Municipalities to formulate detailed separate SoP for conducting compliance & enforcement within their jurisdictions.	MUNICIPALITY COGTA DEDEAT REGULATORY BODIES & INDUSTRY BODIES SAPS, Home Affairs immigration, Correctional Services, Municipal Health services, Disaster Management , Town Planning Unit, Municipal law enforcement unit, Municipal Building inspectorate	On going
Policy formulation for Informal and formal business by law.	**The policy is developed to:** • Provide for the right to engage in informal trading; to establish informal trading areas and informal trading sites on municipal property. • Provide for the granting of trading permits to trade on municipal property; to restrict and prohibit informal trading in certain areas. • Regulate the conduct of informal traders. • Regulate informal trading at special events. • Provide for measures to ensure health and safety; Create offences and penalties. Provide for the repeal of laws and savings; andProvide for matters incidental thereto.	MUNICIPALITY LED DEPARTMENT MUNICIPALITY COUNCILS	On going
Records management (Administration & filing)	• File of business license compliance • Records for business that have renewed the business licence. • New applicant for the financial year • Monthly Reports on Revenue generated each month. • Recorded business penalties • Business Inspected as per the Database has not business license compliant. • Disputes and complaints attended for each business.	MUNICIPALITY LED DEPARTMENT MUNICIPAL REVENUES DEPARTMENT	

Table 6.4: Beautification and Greening Of Towns

SOP NAME	BEAUTIFICATION AND GREENING OF TOWNS		
Task Procedure	**Procedure**	**Responsibility**	**Timeframe**
Cleaning and maintenance of side walks	**The municipality must ensure that sidewalks are:** • The grass on the sidewalk must be trimmed to avoid traffic obstruction, and health and safety risks. • Keep sidewalks free of overgrowth and noxious weeds. • Prune and trim hedges, trees and shrubs in the sidewalk to a consistent level. • Ensure that hedges, trees, and shrubs are not intrusive on the road and sidewalks. • Ensure that sight lines to intersections, driveways, walkways, service roads, and visibility to all traffic control devices is not restricted by modifications. • Maintain a one-meter clearance for shrubbery, hedges and trees from any fire hydrant or fire hydrant valve; electrical substation, mini-substation, or electrical meter; streetlight; watermains valves or meters; and sewer manholes. • The municipality must ensure that sidewalks and roadways are cleaned all the time. • Trash bins must be erected at distances of 5m or less between each other.	Municipality Community Services Directorate	Daily cleaning as well as monthly maintenance of grass areas.
Greening and Beatification	• The municipality must decide on the type of tree to be universally planted in the townscape. • The trees must have a root system that is not intrusive to the pavement and road surface. • The trees must be planted for beautification and functionality (*shade and wind breakers*) purposes. • The trees must have a resale value upon maturity. • Plant and maintain any shrubbery, landscaping, and flower beds on the sidewalk below a maximum permitted height of 1.5 metres from the sidewalk level. The municipality must ensure that no person other than a duly authorised official shall • Plant a tree or shrub in a public road, or in any way cut down a tree or a shrub in a public road or remove it therefrom, except with the written permission of the town. • Climb, break or damage a tree growing in a public road; or urinate or defecate in a public space, except in a toilet; or in any way mark or paint any tree growing in a public road or attach any advertisement thereto.	Municipality Community Services Directorate	Monthly maintenance trees and shrubs
Management of municipal parks and open spaces	**Municipal Park maintenance activities:** **Landscaping** Most parks have some landscaping and natural areas that the municipality needs to maintain. The activities will vary by the season but generally include:	Municipality Community Services Directorate	Weekly

SOP NAME	BEAUTIFICATION AND GREENING OF TOWNS		
	• Mowing • Watering • Fertilizing • Planting, trimming, pruning, and weeding • Trail maintenance **Cleaning** • All Municipal parks and public spaces need to be kept clean. • Depending on the type of infrastructure at the municipal park, cleaning activities will range from **removing garbage and litter to regular bathroom cleanings and restocking supplies.** • Removal of graffiti and other signs of vandalism is also a common need in public spaces. Not only does cleaning improve citizens' experience of a park, but it also ensures safety. **Playgrounds:** Playgrounds must be maintained by the municipality because they are constantly exposed to element causing wear and tear. Ensuring playground maintenance helps keep communities safe. Common maintenance tasks include: • Sweeping, trash removal, litter collection • Wiping and disinfection of play equipment Repainting, polishing, and repair of play equipment		
Management and maintenance of cemeteries	• The municipality must prune, cut down, dig up or remove any shrub, plant, flower, foliage, wreath, or adornment if it becomes unsightly, is damaged or wilted. • The municipality must clean walkways and remove any unsightly objects. • Municipalities must have registered cemeteries and all those that are not registered must be registered accordingly. • Cemeteries must be clearly marked accordingly so that families can easily identify the graves of their loved ones. • Municipalities must formalise cemeteries and Environmental Impact Studies be conducted to ensure compliance. **Gardening of graves and other objects on grave;** The Council must ensure that cemeteries are kept clean unless the by-laws provide otherwise. No person may – • plant, cut or remove plants, shrubs or flowers on a grave without the permission of the officer-in-charge. • plant, cut or remove plants, shrubs or flowers on the berm section; or • place a metal cot on any grave.	Municipality Community Services Directorate	Weekly

SOP NAME			
BEAUTIFICATION AND GREENING OF TOWNS			
	• A person may only erect, place or leave, an object or decoration on a grave during the first 30 days following the burial. • Natural or artificial flowers contained in receptacles may be placed on a grave at any time, but in a grave within a berm section or with a headstone, such flowers may only be placed in the socket provided. • The officer-in-Charge may – • remove all withered natural flowers, faded or damaged artificial flowers and any receptacle placed on a grave; or • 30 days after publishing a general notice remove all objects of decoration, for the purpose of beautification of the area. • The Council is not liable for any loss or damage to any object on a grave unless such loss or damage is a result of the negligence of any employee of the Council.		
Advertisement	• The municipality must ensure that no one advertises on the municipal space without authorization. • Advertisement should align with the aesthetics of the townscape and not be an eyesore. • Advertisers should be responsible for unhanging the adverts upon expiry of the advertising period. • A fee for advertisement should be charged as well as penalties to be imposed for all abandoned advertising posters.		
General maintenance infrastructure	• The municipality must identify a combination of paint colour options to be used on buildings locating per each zone within the town. • Building standards as per LUMS *(single, double, triple storey etc.)* to maintain a certain development grain to be agreed. • Minimum building maintenance standards to be identified for each zone of the municipality.	Technical Unit	5 Year

6.3. Objectives: Valuation Services

To provide a guideline for General Valuation (GV) implementation time frames

6.3.1. Reference to The Policies, Legislation, And Other Source Documents
- Local Government: Municipal Property Rates Act, 2004 (Act No. 6 of 2004)
- Local Government: Municipal Property Rates Amended Act, 2014 (Act No. 9 of 2014)
- Municipal Property Rates Regulations of 2006
- Municipal Systems Act (MSA), 2000 (Act No. 32 of 2000)

Rates Policy and Rates Policy By-law**6**

6.4. Guidelines and expectations

Credible valuation roll – (Every 4 years for Metros and 5 years for Local municipalities

Table 6.5: Standard Operating Procedure (SOP)

Task Procedure	Step numbers	Responsibility	Timeframe
1. Determination of next general valuation *(Sec. 31 of MPRA)*	• Obtain municipal council resolution with regards to date of valuation and implementation	**Municipal Valuation Unit & Municipal Council**	12 months prior expiry of the current valuation roll
2. Appoint Municipal Valuer in the absence of internal capacity *(Seec.81 of MPRA)*	• Check availability of budget allocation	**Municipal Manager**	12 months prior expiry of the current valuation roll
2. Supply Chain Management processes *(Sec. 33 & 81of MPRA)*	• Advertisement of a tender (municipal valuer) • Appoint and designate municipal valuer • Development of Project Steering Committee	**Municipal Manager, Chief Financial Officer, COGTA official**	12 months prior expiry of the current valuation roll
3. Public Participation *(Sec. 5 of MPRA)*	• Give notice and invite public into a public publication session on valuation processes and rates policy reviewal	**Municipal Valuer**	10-12 months prior expiry of the current valuation roll
4. Data Collection *(Sec. 45 of MPRA)*	• Deeds downloads, Aerial Photography, Previous GV, Cadastral information, extract billing information, Printing of Diagrams and maps, Market research, etc.	**Municipal Valuer**	8-10 months prior expiry of the current valuation roll
5. Conduct of General Valuation Roll (GVR) *(Sec. 30 of MPRA)*	• Market analysis, • Determination of market values • Compile valuation report	**Municipal Valuer**	8-10 months prior expiry of the current valuation roll
6. Submission of Draft General Valuation Roll *(Sec. 34 of MPRA)*	• Submit draft GVR to Municipal Manager • Quality Assurance • Ensure establishment of the Valuation Appeals Board (VAB)	**Appointed Municipal Valuer & COGTA official**	6 months prior implementation of new general valuation roll
7. Submission of Certified General Valuation Roll *(Sec. 34 of MPRA)*	• Submit certified GVR to Municipal Manager	**Appointed Municipal Valuer**	5 months prior implementation of new general valuation roll
8. Publication notice of General Valuation Roll *(Sec. 49 of MPRA)*	• Gazette Section 49 Notice • Publish local newspapers and municipal website	**Municipal Valuation Unit & Chief Financial Officer**	Within 21 days of receipt of certified GVR
9. Objection Phase (Receipt and processing of objections) *(Sec. 50 of MPRA)*	• Lodging objection within stipulated timeframes • Municipal Valuer must process the objections and produce objections outcomes.	**Appointed Municipal Valuer**	Before implementation of the GVR (i.e. 1 July)
10.Reviewal of Rates Policy and its By-laws	• Makes changes to rates policy and By-law when necessary	**Municipal Valuation Unit**	3-4 months prior implementation of new general valuation roll

Task Procedure	Step numbers	Responsibility	Timeframe
(Sec.3 & 6 of MPRA)			
11. Promulgation of resolution to levy rates *(Sec.14 of MPRA)*	• Resolution to levy rates must be taken • Gazette property rates tariffs with the resolution.	**Municipal Council,** **Municipal Valuation Unit &** **Chief Financial Officer**	60 days from the date of the resolution
12. Appeal Phase *(Sec. 54 of MPRA)*	• Receive appeals from appellants. • Municipal Manager to submit the appeals to the Chairperson of the appeal boards. • VAB to review section 52, confirm, amend or revoke municipal valuer's decision.	**Municipal Valuation Unit,** **Municipal Manager, Valuation** **Appeal Board (VAB) &** **Municipal valuer**	Within 60 days after the implementation date
13. VAB Reporting & Adjustments *(Sec. 55 of MPRA)*	• Receive report from VAB. • Amend the GVR based on the VAB report.	**Municipal Valuation Unit,** **Valuation Appeal Board (VAB)** **&** **Municipal valuer**	After the last VAB sitting.