



REVISED IDP FRAMEWORK 2012

FOR MUNICIPALITIES OUTSIDE METROS AND SECONDARY CITIES



cooperative governance

Department:
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Executive Summary

The 2009 State of Local Government report indicated that several municipalities were in distress. These municipalities had difficulties primarily in delivering expected services to communities. In response to this challenge, the Department of Cooperative Governance (DCoG) was mandated, through Outcome 9, to develop and implement a differentiated approach to municipal financing; planning and support.

As part of this strategic intervention, the department is required to design a focused intervention for small and struggling municipalities. One of the critical interventions is to assist municipalities, outside metros and secondary cities, to develop and implement IDPs that focus on a floor of critical services.

This document provides a framework which should be used to guide municipalities, outside metros and secondary cities, to develop IDPs that integrate and coordinate all government efforts towards achieving a floor of critical services in the three spheres of government.

The document consists of seven sections:

Section 1, discusses the legislative framework which informs the development and implementation of IDPs. The section also discusses problems that informed the development of this framework and highlights the objectives.

Section 2, titled “Project Prioritisation”, discusses the significance of prioritising projects, outlines the principles for determining priority projects and explains the suggested methodology for determining priority projects.

Section 3, explains a need for an integration of sector plans in IDPs and suggests an approach to facilitate this integration.

Section 4, titled “Planning, Budgeting, Implementation, Monitoring and Reporting”, discusses proper linkage and alignment of planning; implementation and monitoring; and reporting of projects. The section also provides a template for the alignment of these processes.

Section 5, titled “Public Participation”, discusses the importance of public participation in the development and implementation of IDPs. This section also outlines principles, processes and structures to ensure effective public participation in the planning processes.

Section 6, provides a format which must guide the layout and structure of an IDP developed in terms of the revised framework.

Section 7, discusses the implementation approach to support municipalities as they undertake development planning processes. The section also outlines the structures and processes to ensure that support is provided in an integrated manner.



SECTION 1: Background and context

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SECTION 1: BACKGROUND AND CONTEXT

The purpose of this section is to provide a background which forms the basis for the development of a revised IDP framework for municipalities outside metros and secondary cities. This section discusses the problem statement and outlines the objectives of the revised framework.

1.1. Purpose of the document

The purpose of this document is to provide a framework that will guide the development and implementation of Integrated Development Plans (IDPs) by municipalities outside metros and secondary cities.

1.2. The rationale

The 2009 State of Local Government report noted that a number of municipalities were in distress. These municipalities had difficulties primarily in delivering expected services to communities. The report recommended that urgent and focused interventions should be provided to enable municipalities to deliver services effectively and efficiently. Consequently, Output 1 of the Delivery Agreement mandated the Department of Cooperative Governance to develop and implement a differentiated approach to municipal financing, planning and support. As part of this approach DCoG is required to design a focused intervention for smaller municipalities. This intervention involves helping small municipalities to produce IDPs that focus on planning for the delivery of a floor of services.

In order to ensure that municipalities are empowered to deliver on a floor of priority services, the revised IDP framework must respond to challenges associated with the current framework. These challenges include:

- lack of guidelines for project prioritisation;
- poor integration of various sector plans in the IDPs;
- poor planning, budgeting, implementation, monitoring and reporting processes; and
- IDPs that are not presented in a user-friendly manner.

1.3. Background

‘The State of Local Government in South Africa’ report noted that several

municipalities were in serious distress. These municipalities, it argued, would need assistance to prepare IDPs that focused on an implementable plan to deliver priority services. In responding to this call, the DCoG initiated a process to develop the Revised IDP Framework which would ensure that targeted municipalities produce IDPs that are implementable and assist government to achieve national priorities.

The development of the Revised IDP Framework is premised on various legislative and policy mandates for developmental local government. The various legislative and policy prescripts discussed below provide for systems, processes and structures that support the development and implementation of credible IDPs.

1.3.1 Developmental Local Government

The character of the current system of local government is informed by the 1996 Constitution which defined five objects for local government and made provisions for all municipalities to strive for the realization of these objectives within their financial and administrative capacity.

The objects of local government, as per Sec 152(1), are to:

- provide democratic and accountable government for local communities;
- ensure the provision of services to communities in a sustainable manner;
- promote social and economic development;
- promote a safe and healthy environment; and
- encourage the involvement of communities and community organisations in the matters of local government.

Importantly, the White Paper on Local Government (1998) clarified what the developmental vision for local government should mean in practice. Essentially, the White Paper indicates that developmental local government means two things: a new approach to doing things and a set of new tools which local government can use to build this approach. The White Paper proposes that municipalities must focus their energies on a clear set of developmental outcomes that will meaningfully address the impact of apartheid on human settlements.

These outcomes are:

- provision of household infrastructure and services;
- creation of livable and integrated cities, towns and rural areas;
- local economic development; and
- community empowerment and redistribution.

In order to orientate itself with these developmental outcomes, local government is constitutionally required to structure and manage its administration, planning and budgeting processes differently. The White Paper proposed some of the new administrative systems that municipalities needed to adopt to build a developmental approach. These systems are the pillars which concretely support a developmental orientation and are enshrined in the Municipal Systems Act (MSA, 2000). They include:

- integrated development planning;
- performance measurement and management; and
- structures and systems to enable active involvement of citizens and communities in the affairs of municipalities.

1.3.2. Integrated Development Planning

The Municipal Systems Act obligates all municipalities to undertake a process of preparing and implementing IDPs.

What is Integrated Development Planning? It is an elaborate and collaborative planning process which produces a strategic plan designed to guide municipalities and their entities to systematically eradicate service delivery backlogs; encourage socio-economic development; preserve and conserve the natural environment; address spatial disparities of development and deliver on the agreed priorities which are translated into projects with clearly defined outputs and targets within a five year planning cycle. This plan covers a five year period and is reviewed annually to accommodate new and pressing priorities.

The MSA and the IDP Guide Pack (developed by DCoG) provided a framework for the development of credible IDPs.

Despite the framework; step-by-step guidelines and numerous support initiatives by different sectors, it is clear that even after ten years municipalities are still struggling to develop IDPs that empower them to deliver services. This challenge was noted in 'The State of Local Government in South Africa' report which indicated that several municipalities were in

serious distress. In view of this, the report proposed that municipalities be assisted to prepare IDPs that focused on an implementable plan to deliver priority services.

1.3.3. Performance Management

Chapter 6 of the MSA elaborates the nature and processes of Performance Management System (PMS) in local government. The guidelines on PMS developed by DCoG define PMS as a strategic approach to management. It equips leaders, managers, employees and stakeholders - at various levels- with a set of tools and techniques to plan regularly; monitor continuously; measure periodically and review performance of the municipality in terms of indicators and targets for efficiency; effectiveness and impact.

The PMS framework and guidelines see the development of IDPs and PMS as a seamless process. Essentially a PMS must provide mechanisms and processes for monitoring, reviewing and reporting of IDPs. However, the key challenge observed in the past ten years is a linkage between IDP, Budget and PMS.

It could be argued that poor implementation of IDPs is a consequence of a weak linkage between these processes.

1.3.4 Public Participation

Chapter 4 of the MSA provides mechanisms, processes and procedures for public participation. Consequently, Chapter 5 and 6 of the MSA provide that communities must be involved in the development of IDPs and PMS. It is expected that communities will be consulted during identification of the needs; prioritisation of projects; setting of Key Performance Indicators (KPIs) and targets; and monitoring of projects implementation. The White Paper on Local Government adds that:

“Involving communities in developing some municipal key performance indicators increases the accountability of the municipality.

Some communities may prioritise the amount of time it takes a municipality to answer a query; others will prioritise the cleanliness of an area or the provision of water to a certain number of households. Whatever the priorities, by involving communities in setting key performance indicators and reporting back to communities on performance, accountability is

increased, and public trust in the local government system enhanced”.

1.4 Objectives of the framework

The Revised IDP Framework seeks to provide:

- guidelines for determining priority services and project prioritisation;
- sector plans integration approach and process;
- guidelines, mechanisms and tools to link planning, budgeting, implementation, monitoring and reporting;
- a format to improve the layout, structure and overall packaging of an IDP; and
- an approach to ensure that support to municipalities is provided in an integrated manner.



SECTION 2 PRIORITY SERVICES AND PRIORITISATION APPROACH

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SECTION 2: PRIORITY SERVICES AND PRIORITISATION APPROACH

The purpose of this section is to present prioritisation guidelines aimed at assisting municipalities in determining priorities in the development planning process. This section also presents a set of national priority services identified in terms of the principles discussed in this section. These priority services are just a guide and their applicability will vary from one municipality to the other.

2.1 Priority services and project prioritisation

One of the key challenges faced by municipalities as they prepare to produce credible IDPs is the determination of priority services and prioritisation of projects. The MSA requires an IDP to provide a status quo analysis that reflects overall challenges faced by a municipality and organise them in the following areas:

- service delivery and infrastructure backlogs;
- level of socio-economic development;
- state of the natural environment;
- level of physical development (land development) ; and
- internal organisational arrangements.

Having concluded this analysis, a process of determining priority services and project prioritisation must follow. This process is critical because it allows all the needs identified by communities to be considered against the priorities of a municipality's short, medium and long term period. The community needs are also considered against the provincial and national priorities.

After determining priority services, a municipality will then be able to prioritise services from each area based on affordability and ability to deliver or implement over a short, medium and long term basis.

2.2 Guidelines for determining priority services

Schedules 4 & 5B of the Constitution provides the services that local government should render. Given the resources availability and capacity, it is important for municipalities to prioritise services based on local needs, provincial and national priorities.

Such prioritisation will enable municipalities to develop IDPs that are

implementable and respond to the objects of local government as outlined in section 152 of the Constitution.

In order to determine or identify priority services that municipalities (excluding metros and secondary cities) must plan to achieve, the following principles should serve as guidelines:

- Identify, plan and budget for the delivery of services that address national, provincial and local priorities;
- Identify, plan and budget for services that will intensify local government efforts to achieve Millennium Development Goals (MDGs);
- Identify, plan and budget for services that contribute to achieving the vision described in the SDF;
- Plan and budget for services that address priorities of the Local Government Turn Around Strategy and various government outcomes; and
- Identify, plan and budget for services that would contribute in achieving the following developmental outcomes:
 - social cohesion
 - safe and secured environments
 - economic viability (mobility of people, good and services).

The eight services identified in the table below represent the national priority services that municipalities, excluding metros and secondary cities, must take into consideration when determining their priority services:

Table 1: Suggested National Priority Services

| Function | Definition of function |
|--|--|
| Municipal roads and stormwater | <ul style="list-style-type: none"> • Construction, maintenance and control of a road used by the public, including streets in built-up areas. • Management of systems to deal with storm water in built-up areas |
| Electricity reticulation (including street lighting) | <ul style="list-style-type: none"> • Bulk supply of electricity, which includes the supply, transmission, distribution, and where applicable the generation. • Regulation, control and maintenance of the electricity reticulation network. • Provision and maintenance of public lighting which includes street lights, high mast lights, etc. • Tariff policies and monitoring of facilities operation for adherence to standards. |
| Water (Potable) | <ul style="list-style-type: none"> • Either establishment, procurement, operation, management or regulation of a potable water system, including the services and infrastructure required for the regulation of water conservation, purification, reticulation and distribution. |
| Sanitation | <ul style="list-style-type: none"> • Either establishment, procurement where appropriate, provision, operation, management, maintenance or regulation of a system - including infrastructure for the collection, removal, disposal or purification of human excreta and domestic waste water. |
| Cemeteries and crematoria | <ul style="list-style-type: none"> • The establishment, conduct and control of facilities for the purpose of disposing human and animal remains. |

| | |
|--|---|
| Refuse removal, refuse dumps and solid Waste (including cleansing) | <ul style="list-style-type: none"> • Removal of any household or other waste and their disposal in an area, space or facility established for such a purpose. • The provision, maintenance and control of any infrastructure or facility to ensure a clean and healthy environment. |
| Traffic and parking (optional) | <ul style="list-style-type: none"> • Management and regulation of traffic and parking to control vehicle speeding on municipal roads. |
| Local sports and recreational facilities | <ul style="list-style-type: none"> • Provision and maintenance of sports and recreational facilities. |

2.3 Guidelines for project prioritisation

It is expected that each of the priority services identified above will have programmes and projects associated with them. It is therefore important that municipalities put in place a predetermined process to help them prioritise projects rationally.

The following principles should serve as guidelines in developing an approach to prioritise projects:

- Prioritise projects spatially to ensure access to areas without services at all;
- Project prioritisation balance technical consideration and community priority (e.g. a project may be a high priority technically but a low priority for the community or vice versa); and
- Prioritise high impact projects that will contribute to the local economy while improving access to services.

On the basis of above principles, a municipality can design a system or model that would allow the ranking of projects to ensure buy-in and decision making regarding projects that should be approved for implementation.



SECTION 3
Sector Plans
Integration Process

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SECTION 3: SECTOR PLANS AND INTEGRATION PROCESS

One of the challenges identified during the assessment of IDPs was a lack of integration of various programmes in the IDP. This lack of integration could be attributed to many factors - one of them is an inability to identify and demonstrate relationships among various sector plans. This is because in most instances sector plans are normally developed as standalone plans independent from one another. This results to fragmented programmes and projects that are not aligned or contributing to the vision of a municipality.

This section discusses the significance of integrating sector plans and provides a demonstration of how they relate to one another. The section also outlines a sector plan integration process which will guide municipalities as they integrate various sectors in IDPs to ensure the realisation of integrated development.

3.1 Integrated Development Plan and integration process

The Municipal Systems Act provides that municipalities should undertake an integrated development planning process that integrates all sectors' strategies, programmes and projects to promote integrated development in communities. However, assessments conducted on the plans in the last five to six years revealed that most municipalities were struggling to use the integrated planning process as a mechanism to facilitate integrated and coordinated delivery within their localities. It has emerged that IDPs only mentioned projects that would be implemented by other government spheres without showing a linkage with other programmes. This challenge could be attributed to, among others, lack of guidelines to assist municipalities to integrate various plans and programmes in their IDPs.

Therefore, the purpose of this section is to:

- discuss critical sector plans and their significance;
- demonstrate the sequence and relationship of the sector plans; and
- outline the process to ensure proper integration.

3.2 Sector plans and integrated development

At the core of the new system of local government is the ability of municipalities to coordinate and integrate programmes of other government spheres and sectors implemented in their space. This role is very critical given that all government programmes and services are delivered in municipal spaces. In this regard, the integrated development planning process becomes a vehicle to facilitate integrated development and ensure that local government outcomes contained in the White Paper on Local Government are attained.

The approaches and plans to achieve these outcomes are contained in various national and provincial legislations and policy frameworks.

National departments, through legislation and policies, express government priorities, strategies, plans and programmes. The legislation and policies also require municipalities to develop sector-specific plans to guide the rendering of certain services.

For the purpose of this framework these sector plans are grouped into two main categories, namely sector plans providing overall development vision of the municipality and sector plans that are service oriented.

(a) Sector plans providing for the overall developmental vision of the municipality:

Most of these sector plans provide socio-economic vision and transformation vision of the municipality - they are mandatory as required by the Municipal Systems Act. In terms of the MSA the following sector plans must be part of the IDP:

- Spatial Development Framework (SDF);
- Local Economic Development Plan (LED Plan);
- Disaster Management Plan;
- Institutional Plan; and
- Financial Plan.

Although the MSA mandates the inclusion of these plans in the IDP, one of the challenges is that the relationship among these plans is not clearly defined. This has resulted to some municipalities viewing them as attachments to IDPs as opposed to being an integral component of IDPs.

(b) Sector plans provided for and regulated by sector-specific legislation and policies:

Various national legislations and policies provide for the development of service delivery related sector plans to regulate and guide the delivery of certain services in municipalities. These plans include amongst others:

- Water Services Development Plan (WSDP);
- Integrated Waste Management Plan (IWMP);
- Integrated Transport Plan (ITP);
- Environmental Management Plan (EMP);
- Integrated Human Settlement Plan (IHS) / Housing Sector Plan (HSP);
- Integrated Energy Plan (IEP);
- Sports and Recreation Plan, etc.

The two categories provide strategies, programmes and projects that form the basis for an IDP and budget. The section below outlines the relationship and hierarchy of various plans.

3.2.1 Hierarchy of sector plans

As indicated earlier, observation indicates that the relationship among various plans has not been forged by municipalities. This is evident in the challenge to integrate various initiatives by municipalities and other government spheres.

The first step to integrating sector plans is to understand the role of sector plans and establish how they relate to one another in an integrated development planning process. This relationship demonstrates how an integrated approach can contribute in achieving the outcomes of developmental local government.

What needs to be indicated is that sector plans should not be developed in isolation of one another, but there must be a sequential way of developing them. The development of these plans requires cooperation among various units in the municipality so that linkages are identified to ensure that service-specific plans contribute to the long-term vision of the municipality. In this regard, the sector plans can be arranged into five levels:

Level 1- Spatial Vision, Spatial Development Framework (SDF)

The SDF is a master development plan that provides the overall long-term development vision of a municipality. Given that the SDF is a long-term plan, it should form the basis for developing a five-year IDP. It further provides strategic direction for developing all sector-specific plans that could contribute to the achievement of that vision - particularly with regard to spatial restructuring and integration of settlements to promote social cohesion and economic development. Given its importance, the SDF should, firstly, be directed towards achieving three broad outcomes: the creation of livable and integrated cities, towns and rural areas (social cohesion); economic development and environmental sustainability.

Secondly, on the basis of these outcomes, the long-term vision for socio-economic development and environmental sustainability of a municipality should be expressed in the SDF- in addition to broad guidelines for the land use management system envisaged by Section 26(e) of the MSA.

Unfortunately, over the years, the SDF has in most cases been developed as an “add-on plan” to the IDP as opposed to being the key plan that informs all other plans in a municipality. While an IDP should reflect how a vision of the SDF will be attained, it has been difficult to see such linkage in most instances. This has resulted to fragmented development with little or no impact on the overall development of the municipal area.

This implies that at a municipal level, the development of a SDF should not be taken as a technical process or left mainly to officials and consultants without active participation of a council and community.

A council needs to take ownership and interest in the development of an SDF to ensure that there is sufficient public participation during its development. This requires a significant change to the current set-up where in most instances an SDF is just a technical document developed for compliance and once it has been adopted, it is not used to inform further planning, decision making and resource allocation.

If developed properly, an SDF provides an opportunity for municipal councils to attain various outcomes of a developmental local government

as outlined in the White Paper on Local Government. Significantly, it can assist municipalities to change apartheid spatial patterns and prioritise resources in a way that maximises socio-economic development.

Over the years, the Department of Rural Development and Land Reform has allocated resources to support municipalities to develop SDFs.

The impact of the initiative has not been realised sufficiently. The finalisation of the SDF Guidelines in 2011/12 was another effort to support municipalities to develop SDFs that would assist them to play a developmental role as envisaged in the White Paper on Local Government.

It is therefore important that municipal councils and management pay serious attention and prioritise development of workable SDFs that inform decision making and resource- allocation. This means that other spheres of government and stakeholders should take into account the SDFs of municipalities when developing their programmes and projects. The Consideration of SDFs will ensure that there is integration in terms of resource- allocation and programming of projects for better impact.

Level 2 - Social, Economic and Environmental Vision

The social, economic and environmental vision of a municipality is represented in the Integrated Human Settlement Plan (IHSP), Local Economic Development Plan (LEDP) and Environmental Management Plan (EMP).

The three plans provide a pillar for attaining the objective of a sustainable development in a municipality. Ideally, the development of the three plans should follow the development of an SDF. Basically, they give expression to the social and economic development priorities in a more concrete way. The environmental management plan, on the other hand, indicates key interventions for managing and protecting the physical environment.

In order to achieve the socio-economic vision described in the SDF, these plans must provide clear demonstration of strategies, programmes and strategic or catalytic projects that will contribute towards achieving the vision over a short, medium and long term. For instance, the Integrated Human Settlement Plan should indicate how the vision for housing and

associated services will contribute to spatial restructuring and integration of settlements - thereby achieving the outcome of creating livable and integrated cities, towns and rural areas. This approach would mean a deviation from the current housing sector plan where focus is just on “housing units” rather than human settlements.

The municipal IHSP should indicate the needs for other social services, and thereby informing the needs of other spheres of government that offer certain social services that are not provided by local government such as educational facilities, health facilities and police stations.

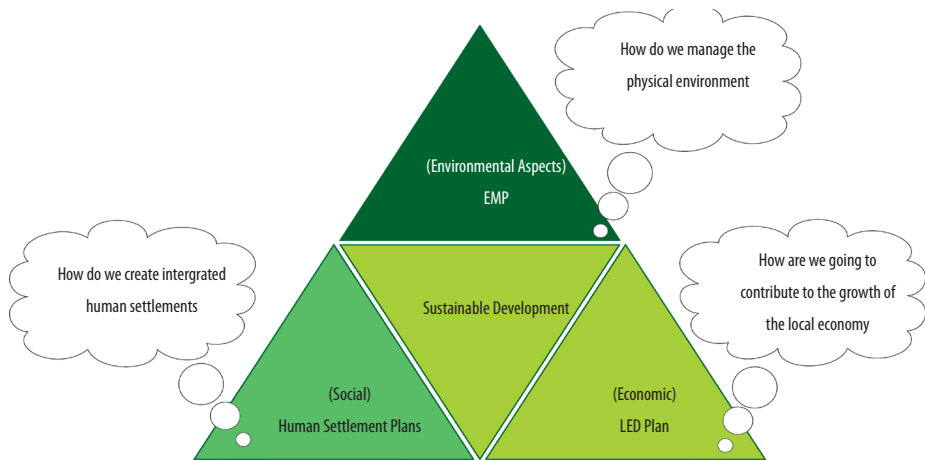
To this end, the Department of Human Settlements has developed a resource book to assist municipalities when developing housing chapters. This resource can assist municipalities to develop housing input for the IHSP. A well-developed IHSP provides a leverage for municipalities to mobilise other role players for resources and interventions in line with the needs identified during the community consultation.

The Local Economic Development Plan should indicate strategies, programmes and catalytic projects that are relevant to the unique environment of a municipality. These should also be aligned to the SDF which contributes to achieving outcomes of the local economic development. For example, if the SDF identifies areas of potential economic growth, the LED plan should indicate programmes that should ensure that the potential of such areas is realised. This indicates that an LED plan should not be a “high level economics” document, but instead, it should indicate how various activities of a municipality will be arranged to support the development of a local economy. This should primarily be based on the responsibilities of municipalities and other areas that it can influence. This, however, does not mean that municipalities cannot focus on higher strategic economic interventions; an LED plan should be relevant to its locality.

The Environmental Management Plan should indicate how the natural environment will be managed and protected in order to attain the vision of a sustainable development. It should indicate strategies and programmes that will be implemented to ensure environmental sustainability. This plan should be aligned with the SDF as it indicates, in concrete terms, how the environmentally sensitive areas identified in the SDF will be managed and protected. It is also important that this plan is aligned to

conditions of a municipality - considering its challenges and opportunities. The departments responsible for environmental affairs - nationally and provincially - should assist municipalities to develop responsive plans in this regards. The three plans, if well developed and implemented, will assist municipalities to attain sustainable development.

Figure 1: Towards a sustainable development approach



Level 3 - Input Sector Plans

The third level of the plans constitutes of input sector plans which are directed at the delivery of specific services. These plans, also referred to as service-oriented plans, are developed to provide specific services such as water; waste management; sports and recreational facilities; and many more. This includes plans such as Water Services Development Plan, Integrated Waste Management Plan, Integrated Transport Plans, Integrated Energy Plans, Sports and Recreations Plan, etc.

This set of plans should be developed to support the vision and strategic intent of level 2 sector plans. For instance, if one of the strategies in the Integrated Human Settlement Plan is to promote densification in the municipality, the WSDP; ITP; IWMP and IEP should provide for strategies, programmes and projects that support densification of certain areas. The same should apply for areas of economic importance, various sectors should be aligned to support the growth of the area through provision of bulk infrastructure and other supporting services.

Various legislations that require development of such plans provide helpful guidelines on the development of such plans.

The following principles should guide the development or review of existing sector plans during an IDP review process:

- the plans should be informed by the IHSP or HSP, LED Plan and EMP which are informed by the SDF;
- the sector plans should not be developed in isolation of one another; they should be integrated;
- the finalisation of programmes and projects should take into account the community needs as identified during the consultation and technical processes;
- the plans should indicate concrete programmes and projects to be implemented to achieve the vision of the SDF, as expressed in the IHSP, LED Plan and EMP;
- different units in a municipality should work together to ensure proper programming, integration and prioritisation;
- the plans should address infrastructure development and institutional issues to ensure that plans are implementable; and
- the plans should not be high-level academic documents, but should indicate concrete interventions that are relevant to a municipality.

Analysis of various plans has indicated that most municipalities were struggling to develop credible plans that responded to their unique environments. It is important that various sector departments - national and provincial - support struggling municipalities to develop such plans. Departments like Water Affairs have, over the years, implemented support programmes for various Water Service Authorities. This has led to improvement in the quality of some WSDPs.

As part of support, other departments have developed guidelines and toolkits in this regards. Although it is a good initiative, it has, however, emerged that the development of toolkits and guidelines without “hands on” support, in some instances, has not produced the desired effects. It is therefore crucial that departments develop sufficient capacity to support municipalities to develop credible and implementable sector plans.

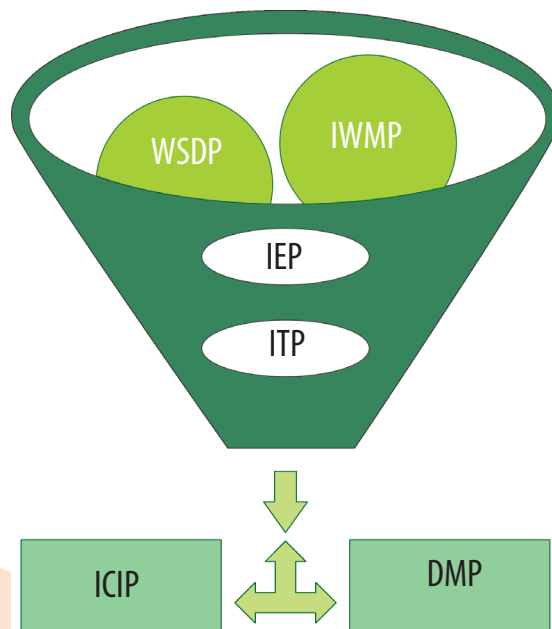
The development of well-developed concrete sector plans will enable municipalities to develop Integrated Comprehensive Infrastructure Plans (ICIP). The ICIP indicates all infrastructure projects that a municipalities will implement and the resources thereof. It also provides a clear picture

of a municipality's infrastructure investment plan.

The availability of such a plan will further enable a municipality to mobilise resources from various stakeholders. The Department of Cooperative Governance should assist municipalities to develop ICIPs.

The figure below indicates the flow and relationship of various plans as discussed in the sections above:

Figure 2: Integrated Comprehensive Infrastructure Plan



Level 4 - Strategy Support Plans

At this level a municipality develops plans that support implementation of level 2 and 3 plans. Some of such plans are the Disaster Management Plan (Risk Reduction Management) and Integrated Comprehensive Infrastructure Plan.

These plans inform and are informed by plans in the previous levels. For instance, when planning to achieve the vision as described in the SDF and other sector plans, a sector risk must be identified and respons-

es to possible disasters must be planned for. Therefore, the Disaster Management Plan would, having considered potential disasters, detail an approach and measures to address them.

The assessment of IDPs has indicated serious shortcomings with regards to the mainstreaming of disaster risk management. It is important that the disaster risk management is not seen as a separate process, but a critical component of municipal planning - especially the taking of climate change effects into account.

The following principles should be considered when developing a disaster management plan:

- The plans should be informed by the strategies, programmes and projects to mitigate risks identified in the input sector plans discussed above;
- The plans should be developed or reviewed after the finalisation of all input sector plans; and
- The development and review of these plans should be done in consultation with communities.

The Integrated Comprehensive Infrastructure Plan will outline the infrastructure requirements of all input sector plans and their possible cost implication.

Level 5 - Implementation Support Plans

In order to ensure that organisational capability and financial resources to fund programmes and strategies exist to support the achievement of the vision, two plans area critical: Institutional Plan and Financial Management Plan.

The Institutional Plan outlines how a municipality will organise; structure itself and establish systems and processes to support the attainment of the municipal vision. This plan is developed after considering the vision, strategies, programmes, projects and operational requirements of a municipality as per the various plans above. When developing the Institutional Plan, a municipality should take into account the following guiding principles:

- the Institutional Plan should consider the capacity requirements to support the implementation of programmes and projects in the IDP.
- the plan must provide for all key systems, processes and structures

to support governance and operational efficiency.

For a municipality to implement various plans as outlined, it requires financial resources. A Financial Plan would, after considering the financial implications, outline strategies that would assist a municipality to raise and manage financial resources to support the realisation of its vision.

The table below provides a summary of various plans and how they are linked to each other.

Table 2: Sector Integration Process

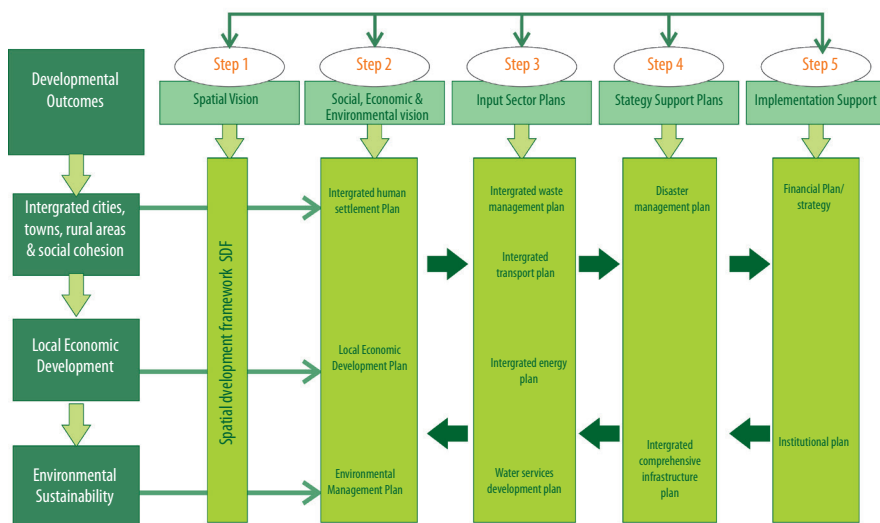
| Development Outcomes | Step 1 | Step2 | Step 3 | Step 4 | Step 5 |
|--|--|---|---|---|---|
| | Spatial Vision | Social, Economic and Environmental Vision | Input Sector Plans | Strategy Support Plans | Implementation Support Plans |
| Creation of livable and integrated cities, towns and rural areas | Spatial Development Framework (SDF) | Integrated Human Settlement Plan | Integrated Transport Plan | Disaster Management Plan | Institutional Plan |
| Social Cohesion | Determines a long vision of a municipality (socio-economic and environmental) | Determines a vision for human settlement development in support of the SDF | Supports the integrated settlements vision in the SDF and plans strategies and programmes in the five-year IDP | Provides a planning and management framework for: - Disaster Risk Reduction (planning to reduce the risk of disasters). - Disaster Response (institutional arrangement and processes for effective response to disasters) . - Disaster Rehabilitation (mechanisms and processes for post disaster recovery). | Provides for organisational structures, systems, processes and tools to support the implementation of strategies, programmes and projects |
| | Provides a framework for infrastructure investment, human settlements, economic development opportunities and environmental sustainability It is an overall anchor for all other plans An IDP will contain five-year strategies and programmes supporting the realisation of a vision articulated in the SDF | Outlines strategies and programmes to promote integrated human settlements Strategies and programmes reflected in the five-year IDP to support the attainment of a long-term vision contained in the SDF | Water Services Development Plan Supports the integrated settlements vision in the SDF and plans strategies and programmes in the five-year IDP Integrated Energy Plan Supports the integrated settlements vision in the SDF. Integrated Waste Management Plan Supports sports & recreation; Integrated Human Settlement Plan strategies and programmes in a five-year IDP. Sports and Recreation Plan Supports the Integrated Human Settlement Plan strategies and programmes in the five-year IDP | Infrastructure Investment Plan Capital Investment Plan to support : - Economic infrastructure. | Financial Plan / Strategy Provides for strategies to generate funding to support the implementation of strategies and programs |
| | Spatial Vision | | | | |

| | | | | | |
|-----------------------------------|---|--|---|--|--|
| <p>Local Economic Development</p> | <p>Local Economic Development Plan</p> <p>Determines the vision for economic development in support of the SDF</p> <p>Outline strategies and programmes to promote economic development in the municipality</p> <p>Strategies and programmes reflected in the five-year IDP to support economic vision contained in the SDF</p> | <p>Integrated Transport Plan</p> <p>Supports the economic development vision in the SDF and plans strategies and programmes in the five-year IDP</p> <p>Water Services Development Plan</p> <p>Supports the economic development vision in the SDF and plans strategies and programmes in the five- year IDP</p> <p>Integrated Energy Plan</p> <p>Supports the economic development vision in the SDF and plans strategies and programmes in the five- year IDP</p> <p>Integrated Waste Management Plan</p> <p>Supports the Local Economic Development plan, strategies and programmes in a five-year IDP.</p> | <p>- Household infrastructure.</p> <p>- Social infrastructure.</p> <p>Financial Plan / Strategy</p> <p>Provides for strategies to generate funding to support the implementation of strategies and programmes .</p> | | |
|-----------------------------------|---|--|---|--|--|


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|-------------------------------------|--|--|--|--|--|
| <p>Environmental Sustainability</p> | | <p>Environmental Management Plan</p> <p>Determines the vision for environmental sustainability in support of the SDF.</p> <p>Outline strategies and programmes to promote environmental sustainability in municipalities.</p> <p>Strategies and programmes reflected in a five-year IDP to support environmental sustainability vision in the SDF.</p> | <p>Integrated Transport Plan</p> <p>Supports the environmental sustainability vision in the SDF, plans, strategies and programmes in a five-year IDP.</p> <p>Water Services Development Plan</p> <p>Supports the environmental sustainability vision in the SDF, plans, strategies and programmes in a five-year IDP</p> <p>Integrated Energy Plan</p> <p>Supports the environmental sustainability vision in the SDF, plans, strategies and programmes in a five-year IDP</p> <p>Integrated Waste Management Plan</p> <p>Supports the Integrated Environmental Management Plan strategies and programmes in a five-year IDP</p> | | |
|-------------------------------------|--|--|--|--|--|

The figure below provides a summary of various plans and how they are linked to each other:

Figure 3: Sector Integration process



It is acknowledged that most municipalities have already developed and adopted SDFs and all other plans discussed above. In order to ensure that integrated development is realised, municipalities are advised that - as part of the annual review process – municipal councils and management should revisit these plans and follow a logical approach described in this section to prepare for an annual IDP review process. The approach will ensure that reviewed IDPs are integrated; vision and outcomes are expressed in the SDFs and other plans are also realised.



SECTION 4
Planning budgeting
implementation
monitoring
and reporting

REVISED
FRAMEWORK

SECTION 4: PLANNING, BUDGETING, IMPLEMENTATION, MONITORING AND REPORTING

This section presents a discussion about the importance of linking planning, budgeting, implementation, monitoring and reporting. The section also outlines a process to be followed to ensure proper linkage of these processes to ensure effective implementation.

4.1. Why a need to link planning, budgeting, implementation, monitoring and reporting?

It is widely acknowledged that effective implementation of strategies, programmes and projects is a function of clear linkages among planning, budgeting, monitoring and reporting processes. It could be argued further that poor implementation of IDPs, as noted in the State of Local Government Report, is also a result of poor linkages among the processes in the IDPs. In order to assess the credibility of IDPs, which include establishing whether these processes have been linked, emphasis should be placed on the following:

- Whether a municipality is conscious of its constitutional and policy mandate for developmental local government?
- Whether a municipality is aware of its role and place in the regional, provincial and national context and economy?
- Whether an IDP provides a comprehensive description of the area, in terms of its environmental and spatial characteristics?
- Whether an IDP has a clear strategy which is based on local developmental needs?
- Whether an IDP contains key deliverables for the next five years?
- Whether an IDP contains clear and measurable budgets with implementation plans aligned to the SDBIP?
- Whether there is a monitoring system (Organisational PMS)?
- Whether there has been a determination of the municipality?

An IDP that reflects all elements in the questions above would provide a greater possibility for an effective implementation of strategies, programmes and projects.

4.2. IDP, Budget, the SDBIP and Reporting

4.2.1 Section 25 of the MSA- Integrated development planning

The IDP is a plan that contains strategies, programmes, projects and activities that a municipality intends to implement and undertake within a five-year period. A five-year IDP is reviewed every year for improvement and adjustment.

The projects and activities whose objectives and priorities a municipality plans to implement must be funded by a municipal budget.

It is therefore critical that strategies, objectives, programmes, projects, activities and performance indicators in the IDP inform the development of a Service Delivery and Budget Implementation Plan.\

4.2.2 MFMA Circular No. 13 Service delivery and Budget Implementation Plan

Municipal Finance Management Act (56 of 2003) obligates all municipalities to formulate Service Delivery and Budget Implementation Plan (SDBIP) annually. The SDBIP should be viewed as a performance contract between municipal council and the community, as well as municipal council and the administration. The SDBIP provides a summary of all activities and targets that a municipality commits to deliver in the coming year. It therefore lays a basis for tracking performance against annual targets in service delivery and budget implementation. It also lays a basis for the formulation of performance contracts of municipal managers and their direct subordinates – this provides a linkage between organisational performance and individual performance.

The SDBIP, over and above being an annual implementation plan or performance plan of a municipality, lays a basis for effective monitoring, reviewing and reporting of performance by a municipality. It is therefore important that indicators in the SDBIP are the same as those in the in-year and annual reporting formats of the municipality.

4.2.3 Section 72 MFMA (in-year monitoring and reporting), Section 46 MSA and MFMA 121 b (annual reporting)

The MFMA requires an accounting officer of a municipality to, by 25 January of each year, assess the performance of the municipality and prepare a report covering the first half of the financial year taking into account amongst others:

- the municipality's service delivery performance during the first half of the financial year, and the service delivery targets and performance indicators set in the service delivery and budget implementation plan; and
- the past year's annual report, and progress on resolving problems identified in the annual report.

Such a report must be submitted to the mayor of the municipality, national treasury and relevant provincial treasury.

Section 46 of the MSA requires a municipality to prepare, for each financial year, a performance report reflecting the performance of the municipality and each external service provider during that financial year. The municipalities, according to this Act, must submit this report to the MEC responsible for local government.

Section 121(b) of the MFMA requires all municipal entities to, for each financial year, prepare annual reports and submit them within nine months after the end of a financial year.

In order to ensure that implementation of all strategies, programmes and projects is accounted for monthly; quarterly; bi-annually and annually, reporting templates must contain the same indicators that are in the IDP and the SDBIP.

Table on page 36 below shows the alignment of IDP and budget development and the adoption processes.

Table 3: Guideline and timeframes of the IDP adoption

| Adoption of the Budget IDP Process Plan July and August | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr to June | July to June Year 2 |
|---|--|---|---|-----------------------------|---|-----|-----|---|---|
| Final draft IDP process completed six months (end January) prior to the start of a financial year to inform the budget. | | | | | Table budget aligned to IDP 90 days (March) before the start of a municipal financial year. | | | Adopt IDP and PMS prior to the start of a financial year. | Monitor and review performance targets in the SDBIP and Performance Contracts. |
| Internal alignment of service delivery/development and budget targets, community consultation on service delivery/development and budget targets. | | | | | | | | | Community consultation on amending service delivery/development and budget targets. |
| Review IDP objectives and strategies. | Consider national, provincial and district priorities. | Finalise the development of objectives. | Finalise projects for each objective and programme. | Budget process as per MFMA. | | | | Set measures/ KPIs and set targets. | Reporting, monitoring, audit and review. |
| Budget preparation progress is informed by IDP drafting process | | | | | | | | | |
| Adopt and monitor SDBIP as per MFMA requirements. | | | | | | | | | |

Table 4: Quarterly Reporting Format

The table below shows an example of a quarterly reporting template that municipalities can use to track progress against annual targets:

| REPORTING PERIOD e.g. Quarter Report (to be linked with the SDBIP Format) | | | | | | | | | | |
|--|---|--|----------|---------------|----------------------|-----------------------|----------------------|-----------------------|----------------------|-----------------------|
| e.g. KEY PERFORMANCE AREA 2: SERVICE DELIVERY AND INFRASTRUCTURE DEVELOPMENT | | | | | | | | | | |
| Functional Area or Development Priorities | Strategic Objectives | Key Performance Indicators | Baseline | Annual Target | Target for Quarter 1 | Actual for the Period | Target for Quarter 2 | Actual for the Period | Target for Quarter 3 | Actual for the Period |
| Water Services | To ensure the provision of adequate basic water services according to acceptable (RDP) standards. | Budget provision for water infrastructure Percentage increase of households provided with basic water services. Number of households provided with free basic water. | | | | | | | | |
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SECTION 5 **Public Participation**

**REVISED IDP
FRAMEWORK**

SECTION 5: PUBLIC PARTICIPATION

Section 152(1) (a) mandates local government to provide democratic and accountable government for local communities. This mandate means that activities at local government should be underpinned by the principles of democratic governance and accountability. In terms of a planning process, it means that one of the critical principles for the development of an IDP is that the entire process needs to be consultative.

The purpose of this section is to discuss public participation as an integral part of the IDP development and implementation process. The section also outlines principles, processes and structures to ensure effective public participation in the development and implementation of an IDP.

5.1 Why Public Participation?

Developmental local government as defined in the White Paper on Local Government refers to municipalities working together with local communities to find sustainable ways to meet their needs and improve the quality of their lives. Emphasis in this regard is the notion of partnership between a municipality and its communities – this must be in a way that local communities participate meaningfully in the activities of local government. This implies a shift in the relationship between municipalities and communities, which was based on a provider and recipients, to one in which both groups see themselves as co-producers of development. The relationship shift has also changed communities from being users and choosers to makers and shapers.

In a local government sphere, the IDP represents what a municipality will be doing over a five-year period. It further reflects how resources will be marshaled to attain certain objectives.

It is therefore critical for the entire process of developing and implementing an IDP to embrace the principle of public participation.

Chapter 4 of the MSA provides mechanisms, processes and procedures for public participation. In order to ensure that there is community ownership of an IDP (given that the IDP is about providing services that address challenges faced by communities in a systematic manner), it is important to strengthen the role of communities in the entire process of developing and implementing an IDP. Importantly, experience would suggest that improving public participation in municipal administration

can enhance good governance in the following areas:

- increased level of information in communities;
- better needs identification for communities;
- improved service delivery;
- community empowerment;
- greater accountability;
- better resource distribution;
- greater community solidarity; and
- greater tolerance of diversity.

5.2. Principles of Community Participation

The following broad principles for public participation should be taken into consideration in the IDP development and implementation process:

- Inclusivity – this principle maintains that a municipality should embrace all views and opinions in the process;
- Diversity – differences associated with race, gender, religion, ethnicity, language, age, economic status and sexual orientation must be embraced;
- Transparency – openness, sincerity and honesty should be promoted by all role players in the public participation process;
- Accountability – all participants in a participatory process should take full responsibility for their individual actions and conduct as well as a willingness and commitment to implement, abide and communicate as necessary all measures and decisions in the course of the process.

5.3. Public Participation Process and the IDP process

Section 195 of the Constitution provides the democratic values and principles that must govern public administration in all spheres of government. One of the key activities towards the attainment of the values is the engagement of public in matters of government to ensure relevance and sustainability of development interventions. This means that public participation is not a once-off process, but rather a continuous process.

5.4. Community-Based Planning

One of the ways of promoting effective community participation is to en-

courage and embark on a ward-based planning and budgeting approach in development planning processes. This process would culminate in the development of community-based ward plans. This approach has been piloted in some municipalities in South Africa though its effectiveness is still to be tested. The following are principles of community-based planning:

| Principles of Community-Based Planning | |
|--|---|
| 1 | Poor people are included |
| 2 | Plans and the planning process must be realistic and practical |
| 3 | Planning must be linked to legitimate structures like <i>ward committees</i> |
| 4 | Planning should include implementation, monitoring, evaluation and annual reviews |
| 5 | The plan must be people-focused and empowering |
| 6 | Planning must build on strengths and opportunities rather than focus on problems |
| 7 | Plans must be holistic and cover all sectors |
| 8 | Planning must promote mutual accountability between community and officials |
| 9 | There must be commitment by councillors and officials to the whole process |

As indicated, some municipalities have piloted a system of community-based planning (CBP) at ward level. Ward committees are central to this process and can facilitate the development of ward plans which will cover the following:

- an understanding of social diversity in the community, the assets, vulnerabilities and preferred outcome of different social groups;
- an analysis of services available to these groups, the spatial aspects of development and the strengths, weaknesses, opportunities and threats facing the community;
- a consensus on priority outcomes for the ward;
- collective development of plans to address the outcomes based on what the ward will do and the support needed from the municipality and other agencies;
- a community budget for discretionary funds from the municipality to assist the community to take forward their ward plans; and

- an action plan for the ward committee to take forward its plan and help communities to reach consensus and to have a direction.

Ward plans are critical because they ensure that IDPs are more targeted and relevant to address priorities of all groups, including the most vulnerable. CBP provides ward committees with a systematic planning and implementation process to perform their roles and responsibilities. In other words, ward plans provide an overall development direction of the area. They also provide an annual operational plan with its implementation, monitoring and evaluation – this gives ward committees an ongoing role throughout the year.

5.5. Public Participation Structures

Public participation is one of the tools of local government which ensures that there is democratic governance and accountability. It is therefore important for municipalities to have a structured way of engaging their communities.

To this effect, it is critical for a municipality to have a stakeholder engagement strategy or public participation strategy. Such a strategy should, among others, dissect various stakeholders in the municipality according to areas of interest and indicate how they will be engaged.

For example a municipality with traditional leaders should indicate how the institution of traditional leadership will be engaged during the IDP and other municipal processes. In a municipality with economic activities, it would be critical for a municipality to indicate how it would engage its business sector. Generally, the strategy differs from one municipality to the other depending on the stakeholder profile of the municipality. To provide further direction in the enhancement of public participation, Part 4 (Sections 72, 73 and 74) of the Municipal Structures Act calls for the establishment of ward committees. Section 72(3) of the act maintains that the object of a ward committee is to enhance participatory democracy in local government. The structure provides a good platform for meaningful participation and promotion of ward-based planning.

The preceding section provided suggestions on the process, approach and structures for effective community participation in the development and implementation of IDPs. The process, approach and structures discussed above will ensure that all community interests are taken into account and that effective monitoring of decisions occurs.



SECTION 6

IDP Format Guide

REVISED IDP
FRAMEWORK

SECTION 6: IDP FORMAT GUIDE

The purpose of this section is to provide a guide to municipalities on how to structure and package IDPs. This section also provides indicators, under each focus area, that an IDP must respond to. Importantly, this section provides pointers on how to follow through from the status quo analysis to strategy, programmes and project development.

A revised IDP will be structured as follows:

EXECUTIVE SUMMARY

A: VISION

B: DEMOGRAPHIC PROFILE OF THE MUNICIPALITY

This section should contain information such as population statistics and their implication on planning (Dept of Social Development has developed guidelines on integrating population information into the planning process); socio-economic information, etc.

C: POWERS AND FUNCTIONS OF THE MUNICIPALITY

This section should indicate the powers and functions to the municipality.

D: PROCESS FOLLOWED TO DEVELOP THE IDP

This section should cover legislative requirements informing the development of the IDP and detail the process which was taken to produce the IDP.

E. SPATIAL ECONOMY AND DEVELOPMENT RATIONALE

F. STATUS QUO ASSESSMENT

(Who are we? Where are we with regards to the provision of services that relates to identified critical services?). The status quo assessment should indicate the state of affairs in the municipality in relation to the following Key Performance Areas:

Service Delivery and Infrastructure Development

Strategic Objectives: Eradicate backlogs in order to improve access to

services and ensure proper operations and maintenance

Intended outcome: Sustainable delivery of improved services to all households

Provide an assessment of all critical services identified for the municipality. The information should indicate the existing level of development in the community. It should, also, clearly indicate the names of settlements and their level of service in respect of water; roads; electricity and energy; roads and storm-water; sanitation; etc.

The section below provides the minimum information required as part of the status quo assessment:

Water:

- indicate the status of the Water Services Development Plan;
- indicate the national target for this service;
- number / percentage of households without access at all, with below standard access and with access;
- indicate all areas or settlements without access in terms of the basic service standards and provide reasons for lack of service (e.g. no reticulation infrastructure, no bulk infrastructure, etc);
- indicate all areas or settlements with an unreliable service and provide reasons for this (e.g. aging infrastructure, capacity to operate and maintain the service, etc);
- indicate the approved service level for the municipality as informed by the Spatial Development Framework (SDF);
- indicate whether the municipality is a service authority or not (and if not indicate the arrangements for the delivery of water);
- status of the provision of basic services (availability of policy, number of households benefiting from the policy, etc);
- indicate other challenges that are not highlighted above;
- availability and status of an operations and maintenance plan;
- status of bulk supply and storage; and
- availability of water to other associated facilities such school, clinics, police stations, etc.

A lot of information can be provided in a tabular format (per ward) to avoid meaningless details as in the example below.

Approved Service levels:

- yard connections in areas with density; and
- RDP connection in areas with density.

WARD 1:

| Name of settlement | Number of households | Service Level | | | Intervention required |
|--------------------|----------------------|---------------|-----------|-------------------|--|
| | | Above RDP | Below RDP | No service at all | |
| Marothlong | 8 000 | 5000 | 2 000 | 1 000 | Provide new infrastructure to the 1000 households |
| Lethlareng | 300 | 0 | | 300 | Provide new infrastructure to the 1000 households. |
| Maruleng | 7532 | 7532 | | | Maintenance. |

Sanitation:

- Indicate the status of the Water Services Development Plan;
- Indicate the national target for this service;
- Number or percentage of households without access at all, with below standard access and with full access;
- Indicate the type of sanitation systems that are available in the municipality and areas where they are;
- Indicate all areas or settlements without access in terms of the basic service standards and provide reasons for lack of service (e.g. no reticulation infrastructure, no bulk infrastructure, etc);
- Indicate areas or settlements with an unreliable service and provide reasons for this (e.g. aging infrastructure, capacity to operate and maintain the service, etc);
- Indicate areas or settlements with good levels of service;
- Indicate areas with intermediate levels of service;
- Indicate the approved service level for the municipality as informed by the Spatial Development Framework;
- Resources available for rendering the service;
- Status of sewer treatment plants and related bulk infrastructure;
- Status of the operations and maintenance;
- Indicate the general challenges that are not highlighted above; and
- Where possible, information should be captured in a tabular format for better clarity as in the example below.

Approved Service Levels:

- water-borne sewerage in areas where the density is more than...; and
- VIP toilets in areas of density.

WARD 1:

| Name of settlement | Number of households | Service Level | | | Intervention required |
|--------------------|----------------------|---------------|-----------|-------------------|------------------------------|
| | | Above RDP | Below RDP | No service at all | |
| Marotholong | 8 000 | 5000 | 2 000 | 1 000 | Sewerage system required. |
| Lethlareng | 300 | 0 | | 300 | Construction of VIP toilets. |
| Maruleng | 7532 | 7532 | | | None. |

Waste Management:

- indicate the status of the Integrated Waste Management Plan;
- provide the percentage of people accessing the service;
- indicate strategies employed to reduce, re-use and recycle; and
- indicate whether the service is rendered internally or externally.

Waste removal:

- indicate the national target for this service;
- indicate the service levels adopted in relation to the SDF;
- indicate areas without solid waste removal at all and reasons for lack of access;
- indicate areas with solid waste removal and the frequency of removal and the reliability of the service; and
- indicate any general challenges that are not highlighted above.

Waste disposal:

- indicate the status of waste disposal in terms of: transfer stations; landfill sites (status with regard to licensing, compliance with license conditions, etc) and transportation mechanisms;
- indicate the resources available to support the delivery of the service in terms of: personnel, skills and other related requirements; and
- indicate general challenges that are not highlighted above.

Electricity & Energy:

- indicate the status of the Energy Plan;
- indicate the national target for the service;
- indicate areas without access to electricity or other forms of energy;
- indicate areas with access to electricity and the reliability thereof; and
- indicate areas with access to public lighting and reliability thereof

- and areas without access and reasons for this; and
- indicate general challenges that are not highlighted above.

Roads:

- indicate the status of the Integrated Transport Plan;
- indicate council approved service levels in relation to the SDF;
- indicate status with regard to road classification;
- status of roads with regard to public transport, major economic roads and roads leading to social facilities such as clinics, schools, etc;
- status of arterial roads or internal roads;
- indicate areas with access to the service in relation to the SDF;
- indicate areas without access (backlog) to the service and the reasons for this;
- indicate the resources available to support the delivery of the service;
- status of the operations and maintenance; and
- indicate other challenges that are not highlighted above.

Storm Water:

- indicate the approved service level;
- indicate areas without the service;
- indicate areas with access to the service;
- provide status with regard to maintenance;
- availability of a storm water management plan or system; and
- indicate general challenges that are not highlighted above.

Social Services:

- housing:
 - status of the Housing Sector Plan;
 - backlog information and identified housing needs; and
 - any other housing related challenges.
- health Services (Clinics and Hospitals):
 - backlogs or needs in relation to national norms and standards;
 - status of other support services such as water, electricity and roads;
 - any challenges related to the sector; and
 - backlogs or needs in relation to national norms and standards.
- education
 - backlogs or needs in relation to national norms and standards.

- Status of other support services such as water, electricity and roads.
- Any challenges related to the sector.
- Safety and security:
 - backlogs or needs in relation to national norms and standards;
 - status of other support services such as water, electricity and roads; and
 - any challenges to the sector.

Public Participation and Good Governance

Strategic Objective: Promote a culture of participatory and good governance.

Intended outcome: Entrenched culture of accountability and clean governance

Governance structures:

Indicate the availability and status of the following structures:

- internal audit function;
- audit committee;
- oversight committee;
- ward committees;
- council committees; and
- supply chain committees (SCM).

Management and operational systems:

Indicate the availability and status of the following management and operational systems:

- complaints management system;
- fraud prevention plan;
- communication strategy; and
- stakeholder mobilisation strategy or public participation strategy.

Institutional Development and Transformation

Strategic Objectives: Improve organisational cohesion and effectiveness

Intended Outcome: Improved organisational stability and sustainability

Indicate availability and status with regard to the following:

- information technology (IT);
- availability of skilled staff;
- organisational structure;
- vacancy rate;
- skills development plan;
- human resource management strategy or plan;
- individual performance and organisational management systems; and
- monitoring, evaluation and reporting processes and systems.

Financial Viability

Strategic Objective: To improve overall financial management in municipalities by developing and implementing appropriate financial management policies, procedures and systems.

Intended Outcome: Improved financial management and accountability.

Indicate availability and status with regard to the following:

- tariff policies;
- rates policies;
- SCM policy - staffing;
- staffing of the finance and SCM units;
- payment of creditors;
- Auditor- General findings (issues raised in the report if any); and
- financial management systems.

Local Economic Development

Strategic Objective: Create an environment that promotes development of the local economy and facilitate job creation.

Intended Outcome: Improved municipality economic viability.

Indicate the availability and status with regard to the following:

- local Economic Development strategy;
- unemployment rate (disaggregate in terms of gender, age, etc);
- level of current economic activity – dominant sectors and potential sectors; and
- job creation initiatives by the municipality (e.g. local procurement,

EPWP implementation, CWP, etc).

G: OBJECTIVES

The objectives should clearly indicate what a municipality can reasonably achieve in a five-year period (or less) and with the available resources. The development of objectives should take into account various national and provincial targets. The objectives should therefore follow the SMART principle (Specific, measurable, achievable, realistic and time-bound)

This implies that there should be a clear linkage between challenges identified in the status quo report and the objectives (The assessment of an IDP will take this into account).

H: SECTOR PLANS

In this section, a revised IDP should demonstrate how sector plans relate to one another as outlined in section 3 of this document.

For example, the water sector plan should indicate at least the strategic interventions that will be undertaken to make sure that all households are at RDP level by or beyond 2014.

I: DEVELOPMENT STRATEGIES, PROGRAMMES AND PROJECTS

This section provides concrete interventions that a municipality will implement to attain the objectives highlighted in 2 above. The “relevance” of the programmes and projects will be assessed against the Status Quo assessment to identify linkages.

Service Delivery and Infrastructure Development

- strategies that will address the provision and maintenance of municipal services such as water, electricity, solid waste, roads and sanitation; and
- programmes and projects that will support the delivery of services.

Local Economic Development

- strategies that promote development of the local economy;
- Programmes and projects that will contribute to economic growth and employment creation.

Municipal Financial Viability and Management

- strategies that promote financial viability and management; and
- programmes and projects to be implemented to achieve financial viability and effective financial management.

Institutional Development and Transformation

- strategies that will promote organisational cohesion; effective human resource management and development; and performance management; and
- programmes and projects that will be implemented to support the achievement of organisational cohesion, employment equity and effective performance management.

Public Participation and Good Governance

- strategies that will promote effective governance and accountability; and
- programmes and projects to be implemented to ensure there is effective public participation, accountability and transparency.

IDP Project Templates Format

This section provides a template that seeks to assist municipalities in linking challenges identified in the status quo analysis with strategic objectives, indicators, implementation process, monitoring and reporting. This would form the basis for the development of a performance agreement of an Accounting Officer and Section 57 managers.

For example:

Table 6: Service Delivery and Infrastructure Development

| SERVICE DELIVERY AND INFRASTRUCTURE DEVELOPMENT | | | | | | | | |
|--|---------------------------------------|-------------------------------|---|-----------------|-----------------|-----------------|-----------------|-----------------|
| Status Quo (Challenges arising from Status quo analysis) | Objective | Performance Indicator | Baseline | 5 Yr Targets | | | | |
| | | | | Yr 1 2012/13 | Yr 2 2013/14 | Yr 3 2014/15 | Yr 4 2015/16 | Yr 5 2016/17 |
| Some households are still using the bucket system | To eradicate bucket system by 2013/14 | 90% decrease in bucket system | 250 households using the bucket systems | 45% | 55% | | | |

J. ALIGNMENT WITH NATIONAL AND PROVINCIAL OBJECTIVES AND PROGRAMMES

This section of the IDP should indicate and demonstrate how strategies and programmes in the IDP are aligned to national and provincial development objectives and programmes.

K: PROGRAMMES AND PROJECTS OF OTHER SPHERES

This section of the IDP should indicate the programmes and projects of other stakeholders. It should focus on the implications that such projects will have for the municipality.

Table 7: Projects list and implications for the municipality

| Projects | Implications to the municipality |
|-----------|----------------------------------|
| Clinic | Bulk and reticulation |
| School | Bulk and reticulation |
| Hospitals | Bulk and reticulation |

PACKAGING OF A SIMPLIFIED IDP

COMPONENTS OF A SIMPLIFIED IDP “A Government in a Municipal Space”

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|---|--|
| A | <p>Executive Summary: A concise overview of the municipality, its current situation, key challenges, opportunities and priority strategies to improve its situation over a five-year term of the IDP. It must indicate the most critical targets to be achieved. This summary should answer the following questions:</p> <ol style="list-style-type: none"> 1. Who are we? 2. What are the issues we face? 3. What opportunities do we offer? 4. What are we doing to improve ourselves? 5. What could you expect from us over the next five years? 6. How will our progress be measured? 7. How was this plan (IDP) developed? <p>Vision Demographic Profile Spatial Development Rationale</p> |
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| B | <p>Status Quo Analysis:</p> <p>A detailed (deep and rigorous) status quo analysis of the municipal area according to five key performance areas. This section must clearly highlight the challenges that confront the municipality. The use of the latest and acceptable information and data should inform the analysis.</p> |
| C | <p>Development Strategies , Programmes and Projects:</p> <p>Strategic Objectives and strategies structured into five KPAs. Identified programmes and projects must clearly link with the priority issues identified in the situational analysis.</p> |
| D | <p>High Level Sector Plans (SDF):</p> <p>Overview of the sector plans.</p> <p>In this section the high level sector plans should demonstrate the following:</p> <ul style="list-style-type: none"> • How they relate to the status quo analysis? • How they contribute to the achievement of strategic objectives? • Demonstrate a relationship among sector plan, programmes and projects of a municipality. |
| E | <p>Annual Operational Plan (Draft Service Delivery and Budget Implementation Plan)</p> <p>A one-year detailed Operational Plan that speaks to SDF.</p> |
| F | <p>Financial Strategy (Financial Plan)</p> <p>A multi-year budget with a three-year commitment and strategy for municipal revenue generation, excluding grants, over a medium to long term.</p> |
| G | <p>Organisational and Individual Performance Management System:</p> <p>Key Performance Indicators linked to each objective and Annual Performance Report of previous year.</p> <p>Organisational Key Performance Indicators linked to departmental indicators.</p> <p>Departmental indicators linked to outputs in the Performance Agreement.</p> <p>Outputs in the Performance Agreements linked to activities in the operational plans and indicators.</p> |



SECTION 7 **Implementation** **Support Approach**

REVISED ID
FRAMEWORK



SECTION 7: IMPLEMENTATION SUPPORT APPROACH

The purpose of this section is to outline the approach that will be employed to support municipalities to develop credible and implementable IDPs. The section will also define the nature of support in the context of development planning.

7.1. Lack of an Integrated Approach – The challenge

Despite the fact that municipalities are expected to develop and implement credible IDPs that bring about integrated development, there is no adequate; coherent and integrated approach to support the development planning processes in municipalities. It could be argued that poor implementation is attributed to lack of national and provincial IDP support initiatives that can bring together all critical sectors to engage, agree and integrate support measures to ensure maximum impact.

7.2. What does Integrated Support mean?

It is widely accepted that IDP is an organising framework meant to coordinate, integrate and facilitate implementation efforts by all three spheres of government. It is also acknowledged that effective integration of these efforts depends on how support is provided to municipalities. In order for municipalities to systematically move towards achieving the outcomes as contained in the White Paper on local government; which depend on services delivered in an integrated manner, an approach that integrates efforts by different stakeholders is required. The development of IDPs requires a multiplicity of skills and inputs. These must be provided to a municipality in a coherent, systematic and integrated manner aligned to the municipal planning and delivery processes.

The services that municipalities provide are organised according to the following focus areas:

- service Delivery and Infrastructure Development;
- local Economic Development;
- municipal Financial Management and Viability;
- institutional Transformation and Development; and
- good Governance and Public Participation.

Many municipalities do not have skills to plan and resources to deliver services under these focus areas. For municipalities to plan better and

improve implementation, national and provincial departments responsible for services under these areas must provide support in an integrated manner. This is because provision of certain services depends on the availability of other services. For instance, the efforts of the Department of Human Settlement may not bear the desired effect if the Departments of Transport and Water Affairs do not provide the necessary support - the objective of creating integrated human settlements may then not be realised.

7.3. What do we need to ensure Integrated Support?

The provision of integrated support requires establishment of structures and processes to ensure that support is provided in a systematic and coherent manner. To effectuate this, national and provincial IDP support teams have been established. These teams will bring together all critical sectors to engage, agree and integrate their support measures to ensure maximum impact.

The support to municipalities will be aligned to municipal planning process. It is envisaged that when support initiatives are synchronised with municipal planning cycle, other spheres of government will be aware of local needs and priorities. This will, therefore, allow the alignment of local priorities with provincial and national priorities.

7.3.1 Role of the National and Provincial Support Team

The IDP national support team consists of all national sector departments, that have a role to play in supporting development planning processes in municipalities, and SALGA. The national support team is convened by DCoG and is responsible for the following:

- development of a national IDP support programme informed by provincial needs;
- mobilise technical expertise to support provincial IDP support teams in supporting municipalities;
- engage with provincial support teams regularly to ensure that support interventions are consistent across the country;
- engage and forge relations with key partners to improve planning capacity in municipalities;
- develop quarterly and annual reports highlighting support initiatives that were initiated and coordinated; and

- assess the impact of support initiatives to ensure continuous improvement.

The provincial IDP support teams consist of all provincial sector departments that have a role to play in supporting development planning processes in municipalities and provincial SALGAs. The provincial support teams are convened by the departments responsible for local government and are responsible for:

- assessing the support needs of individual municipalities;
- development of a provincial IDP support programme;
- mobilise technical support to assist municipalities to develop and implement credible IDPs;
- develop quarterly reports reflecting progress on the implementation of a provincial support programme; and
- engage the national support team on a quarterly basis to review the implementation of the national support programme.

Over and above this, the support teams will give technical support in the following areas :

- conducting and presenting the status quo of all the performance areas;
- developing objectives that follow the SMART principle (specific, measurable, achievable, realistic and time-bound);
- developing credible sector plans;
- developing strategies, programmes and projects that respond to identified challenges in the status quo; and
- packaging of IDPs.

7.4 How will support needs be determined?

One of the key roles of the provincial support teams is to assess the capacity needs of municipalities from a development planning process point of view and generate capacity needs profiles. On the basis of these profiles a provincial support plan will be developed, detailing support interventions in terms of individual municipal needs. During the previous IDP assessments the following generic areas of support were identified:

Table 8: IDP Support Focus Areas

| FOCUS AREAS | CHALLENGE | INTERVENTION | ACTIVITIES | RESPONSIBILITY |
|---|---|---|---|--|
| Strategic Planning | Poorly- defined development objectives and performance indicators. | Assist municipalities with the development of measurable objectives and indicators. | ConducOt provincial workshops on how to develop measurable objectives and indicators. | Provincial support teams & National support team |
| Compilation and Alignment of Sector Plans | Poorly-developed sector plan. | Technical Assistance | Conduct working sessions with affected municipalities | |
| Baseline information | Strengthen information management systems in municipalities | Assist municipalities to develop dependable information management and monitoring systems | Conduct working sessions with affected municipalities | |
| Population statistics and dynamics Populations profile | Poor analysis and presentation of information. | Improve the ability of IDP managers to analyse, and present using. current tools and techniques | Conduct provincial session with IDP managers. | |
| Human Resource Management and Development | Absence of adequate Human Resource Management policies, systems and procedures. | Assist municipalities with the development of these policies | Conduct working sessions with affected municipalities. | |
| Organisational and Individual Performance Management Systems. | Inadequate organisational and individual performance management systems. | Assist municipalities to develop and implement dependable performance management systems. | Conduct working sessions with affected municipalities. | |

ACRONYMS

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| CWP | Community Works Programme |
| DCoG | Department of Cooperative Governance |
| EMP | Environmental Management Plan |
| EPWP | Expanded Public Works Programme |
| HSP | Housing Sector Plan |
| ICIP | Integrated Comprehensive Infrastructure Plan |
| IDP | Integrated Development Planning |
| IEP | Integrated Energy Plan |
| IHSP | Integrated Human Settlement Plan |
| ITP | Integrated Transport Plan |
| IWMP | Integrated Waste Management Plan |
| KPI | Key Performance Indicators |
| LEDP | Local Economic Development Plan |
| LED | Local Economic Development |
| MSA | Municipal System Act |
| MFMA | Municipal Finance Management Act |
| MDGs | Millennium Development Goals |
| PMS | Performance Management System |

SDF Spatial Development Framework
SCM Supply Chain Management
SDBIP Service Delivery and Budget Implementation Plan
WSDP Water Services Development

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