

Preparing for integrated development planning

How to compile a process plan and district framework

This article is an abbreviated version of a comprehensive guide called, *Preparing for Integrated Development Planning*. This guide is freely available from our website (www.sn.apc.org/users/clc), or will be emailed to you on request. The guide is primarily based on the *IDP Guide Pack – Guide 2*, issued by the Department of Provincial and Local Government.

INTRODUCTION

The drafting of an integrated development plan (IDP) must be properly organised and prepared. This preparation is the duty of the municipal manager and senior management. The preparation process should contribute to the institutional preparedness of the municipality for the IDP process.

PROCESS PLAN

The Local Government: Municipal Systems Act 32 of 2000 ('the Act') requires the adoption of a 'process set out in writing' by each municipality (*LGL Bulletin 2001(1)* p. 6). This written document is referred to as the process plan. It must include a programme with time frames for the different planning phases. It should also provide appropriate mechanisms, processes and procedures for consultation with and participation of local communities, organs of state, traditional authorities, and other stakeholders. Finally, the process plan must identify all plans and planning requirements binding on the municipality in terms of provincial and national legislation.

The process plan should fulfil the function of a business plan and should stipulate in simple terms what has to happen, when, by whom, with whom, and where. The municipality must notify the local community of the particulars of the process it intends to

follow. The process plan must be adopted by the municipality on or before 16 July 2001. It must then be submitted to the provincial MEC responsible for local government ('the MEC').

Process plan content

It is proposed that the process plan contains the following:

- introduction;
- institutional arrangements;
- establishment process;
- roles and responsibilities;
- public participation;
- process programme;

- process time frame;
- IDP table of contents;
- list of binding national and provincial plans, planning requirements and legislation; and
- activity and resource plan.

Introduction

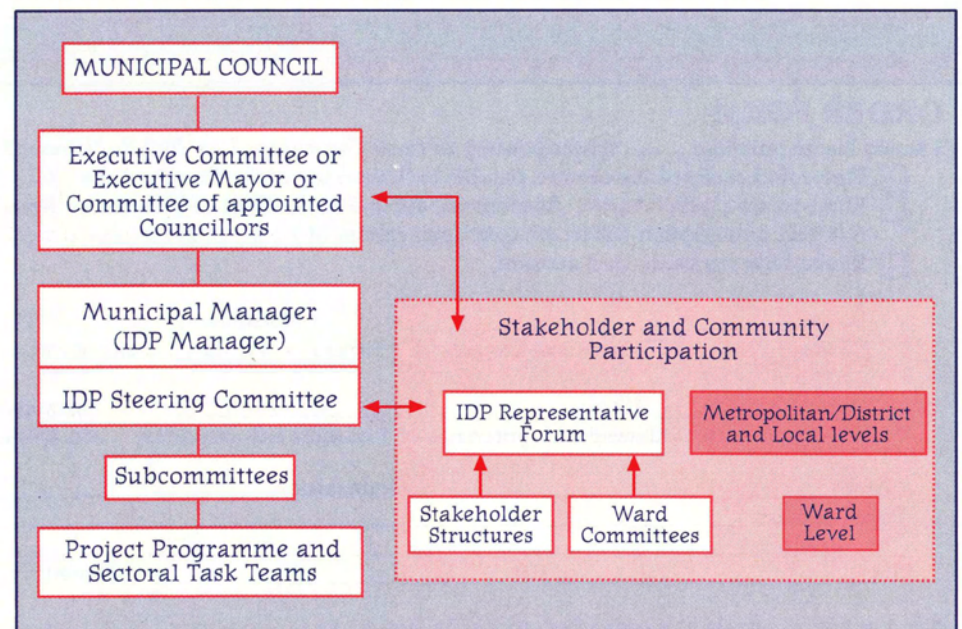
The introduction must include a brief background and other relevant details relating to the municipality.

Institutional arrangements

The elected council is the ultimate decision-making forum on IDPs. The role of participatory democracy is to enable stakeholders to inform, negotiate and comment on decisions in the course of the planning process. To ensure participatory democracy in the IDP process, the following positions and structures are recommended:

- IDP representative forum;
- municipal manager or IDP manager;
- IDP steering committee; and

Proposed Integrated Development Planning Structure



- project, programme and sectoral task teams.

The IDP manager, IDP steering committee and IDP representative forum are positions and structures that will be required throughout the IDP process. The project, programme and sectoral task teams will be small operational teams composed of a number of relevant municipal sector departments and technical officials involved in the management of the implementation process. Where appropriate, community stakeholders directly affected by the implementation process, will participate in the appropriate task teams

Establishment process

The executive committee (Exco), or executive mayor, or committee of appointed councillors should define the terms of reference for the IDP manager and steering committee. It should identify an appropriate IDP manager and assign responsibilities to him or her (see below). Further, it should identify and nominate suitable candidates for the steering committee. The committee should include senior officials who should be allocated responsibility for the various issues, e.g. local economic development (LED), spatial planning, housing, finance, etc.

The newly established IDP steering committee should be responsible for the establishment of the IDP representative forum. It should define terms of reference and criteria for members of the forum, inform the public about its establishment and request submission of applications from stakeholders and community groups. The IDP steering committee must establish subcommittees (if necessary), decide on the relationship/reporting mechanisms, and appoint the secretariat.

If the municipal manager is not the IDP manager, the municipal manager must decide which of his or her powers and functions should be delegated (see p. 3).

Roles and responsibilities

The **Exco/executive mayor/committee of appointed councillors**

must manage the drafting of the IDP, assign responsibilities to the municipal manager and submit the plan to the council for adoption.

The **municipality** must prepare, decide on and adopt a process plan. It must undertake the overall management and co-ordination of the planning process. This includes ensuring that all stakeholders are involved, appropriate mechanisms for public participation are applied and time frames are adhered to. It must ensure that the planning process is related to the key development priorities in the municipality and that national and provincial sector planning requirements are satisfied.

The municipality must adopt and approve the IDP. The municipality must amend the IDP in accordance with the requirements of the MEC (see *LGL Bulletin* 2001 (1) p. 7) and ensure that the budget and annual operational business plans are linked to and based on the IDP.

The **municipal manager** (or IDP manager on his or her behalf) will be responsible for designing and championing the IDP process. The selection of an appropriate person is crucial for its success. The IDP manager should have the required experience and authority to

involve all role-players. He or she will have the following responsibilities:

- preparation of the process plan;
- day-to-day management of the planning process in terms of time, resources and people, and ensuring:
 - the involvement of all role-players, especially officials
 - that the time frames are adhered to
 - that the planning process is horizontally and vertically aligned and complies with national and provincial requirements
 - that conditions for participation are provided
 - that outcomes are being documented;
- chairing the steering committee; and
- management of consultants.

The **steering committee** should be a

technical working team of dedicated heads of departments (HODs) and senior officials who support the IDP manager. The IDP manager is responsible for the process but will often delegate functions to members of the steering committee. In municipalities where relevant portfolio councillors want to be part of the IDP steering committee, they should be included. The committee could be composed of the following:

- chairperson: municipal manager (or IDP manager);
- secretariat: official; and
- members: HODs/sectors and/or senior officials of municipality and/or provincial departments.

The steering committee will be responsible for the following:

- provide terms of reference for subcommittees and the various planning activities;
- commission research studies;
- consider and comment on inputs from subcommittee(s), study teams and consultants, provincial sector departments and support providers (PIMSS-Centres, etc.);
- process, summarise and draft outputs;
- make recommendations;
- prepare, facilitate and minute meetings; and
- prepare and submit reports to the IDP representative forum.

The **IDP representative forum** is the structure that institutionalises participation in the IDP process. Members must be selected on criteria that ensure geographical and social representation. It should be composed of the following:

- chairperson: a member of the Exco or the executive mayor or a member of the committee of appointed councillors;
- secretariat: IDP steering committee; and
- members:
 - members of the Exco/mayoral committee
 - councillors (including district councillors, relevant portfolio councillors)
 - traditional leaders
 - ward committee chairpersons
 - HODs/senior officials
 - stakeholder representatives of organised and unorganised groups

The municipal manager for IDP manager on his or her behalf will be responsible for designing and championing the IDP process.

- resource persons
- community representatives (e.g. RDP Forum).

The forum's responsibility is to represent the interests of constituents in the IDP process, and to provide a mechanism for discussion, negotiation and decision making between the stake-holders and the municipality. It must ensure communication between all the stakeholder representatives and monitor the planning and implementation process.

The **stakeholder and community representatives** have the following roles and responsibilities:

- participating in the IDP representative forum to:
 - inform interest groups, communities and organisations about relevant planning activities and their outcomes
 - analyse issues, determine priorities, negotiate and reach consensus
 - participate in the designing of project proposals and/or the evaluation thereof
 - discuss and comment on the draft IDP
 - ensure that annual business plans and budgets are based on and linked to the IDP
 - monitor implementation performance of the IDP; and
- conducting meetings or workshops with groups, communities or organisations to prepare and follow up on relevant planning activities.

The **local government departments and provincial sector departments** are responsible for:

- ensuring horizontal alignment of the metropolitan and district municipalities within the province;
- ensuring vertical/sector alignment between provincial sector departments, provincial strategic plans and the IDP at municipal level;
- overseeing the financial management of provincial IDP grants;
- monitoring the progress of the IDP processes;
- facilitating dispute resolution related to the IDP;
- assisting municipalities in the IDP drafting process, when required;
- facilitating IDP-related training where required;
- co-ordinating and managing the MEC's assessment of IDPs;

- providing relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects in a concise and accessible manner; and
- providing sector expertise and technical knowledge for the formulation of municipal strategies and projects.

Support providers and professionals such as consultants, non-governmental organisations (NGOs), PIMSS-Centres and municipal planning officials have the following roles and responsibilities:

- providing methodological/technical guidance to the IDP process;
- facilitation of planning workshops;
- documentation of outcomes of planning activities;
- special studies or other product-related contributions;
- supporting organised and unorganised groups and communities to contribute more effectively to the planning process; and
- ensuring that the IDP is aligned with the budget and planning requirements of provincial and national departments.

The **district municipality** has the same roles and responsibilities as local and metropolitan municipalities in relation to the preparation of a district IDP. It further has a co-ordination role regarding local municipalities, which entails:

- ensuring horizontal alignment of the IDPs of the local municipalities in the district;
- ensuring vertical alignment between district and local planning;
- facilitation of vertical alignment of IDPs with other spheres of government; and
- preparing joint strategy workshops with local municipalities and provincial and national role-players.

Public participation

The structures, composition and positions may vary between different categories and types of municipalities but some generic arrangements are recommended as a minimum requirement. First, public participation has to be institutionalised to ensure that all residents have an equal right to participate. Second, structured participation

must specify who is to participate, on behalf of whom, on which issues, through which organisational mechanisms, and to what effect.

Public participation is not equally relevant and appropriate in each stage of planning, and not all participation procedures are equally suitable for each planning step. The following participation activities are proposed for each phase in the IDP process:

Phase 1: Analysis

- Community and ward committee meetings organised by councillors
- Stakeholder meetings
- Sample surveys (if necessary)
- Opinion polls (on certain issues if necessary)
- IDP representative forum

Phase 2: Strategies

- Strategy workshops with IDP representative forums of all municipalities, provincial sector departments, national departments and selected representatives of stakeholder organisations and resource people
- Stimulation of public debate through public events like public meetings, press conferences, etc.

Phase 3: Projects

- Municipality-wide projects/programmes
 - Technical subcommittees with selected representatives of stakeholder organisations/civil society
 - IDP representative forum
- Localised community-level projects/programmes
 - Intensive dialogue between technical subcommittees and affected communities/stakeholders
 - IDP representative forum

Phase 4: Integration

- IDP representative forum

Phase 5: Approval

- Broad public discussion/consultation process within community/stakeholder organisations
- Opportunity for comments from community and stakeholder organisations
- IDP representative forum

Annual implementation

- Operational business plans
- Municipal budget
- IDP representative forum
- Monitoring and evaluation
- Reporting

Process programme

The following is a proposed IDP process that a municipality can follow:

IDP planning process

Phase 1: Analysis

- Legal framework analysis
- Leadership guidelines
- Municipality technical development analysis
- Community and stakeholder development analysis
- Institutional analysis
- Economic analysis
- Socio-economic analysis
- Spatial analysis
- Environmental analysis
- In-depth analysis and identification of key development priorities (KDPs)

Phase 2: Strategies

- Identify a vision, mission and value system
- Perform a gap analysis
- Identify key performance areas (KPAs)
- Determine strategies and development objectives

Phase 3: Projects

- Evaluation and prioritisation of projects and programmes
- Formulate project and programme proposals in terms of:
 - KPAs
 - Objectives and key performance indicators (KPIs)
 - Measures
 - Targets
 - Initiatives
 - Locations
 - Target dates
 - Responsibility
 - Cost/budget implications
 - Source of finance
- Compile five-year operational business plans which will include the identified projects and programmes.

Phase 4: Integration

- Screening, revision and integration of projects, programmes and sectoral operational business plans
- Institutional restructuring and alignment
- Performance management system (see p. 6–8)
- Compile an integrated communication plan

Phase 5: Approval

- District alignment
- Public comments
- Provincial/national alignment
- Final approval by the council

Annual implementation

- Compiling operational business plans
- Compiling municipal budget
- Monitoring and evaluation
- Reporting (see p. 8)

Time frame

The full version of the IDP guide contains a proposed time frame (see www.sn.apc.org/users/clc).

IDP table of contents

The form and content of the IDP are largely subject to the discretion of the municipality. The IDP guide contains an example of an IDP table of contents (see www.sn.apc.org/users/clc).

National and provincial requirements and legislation

To ensure that all relevant binding national and provincial legislation as well as other policies, programmes, strategies and available funds are considered in the IDP process, municipalities should be aware of all the relevant information.

In order to use synergies and minimise costs, districts should provide local municipalities with the required information. This opportunity should be used to engage with national and provincial sector departments to establish contacts for alignment and to outline

the need for information on policies, programmes and funds. This will ensure that the IDP is in line with sector requirements and can attract sector budgets.

It is proposed that district municipalities, with the support of the provincial IDP co-ordinator, prepare a list of provincial legislation, plans, programmes and other important national information for the district framework workshop.

The IDP guide contains a list of national legislation applicable to local government and a list of relevant provincial and national sectoral plans, programmes and policies (see the full version of the guide at www.sn.apc.org/users/clc).

Activity and resource plan

In view of the development of a process programme and the fact that the Municipal Finance Management Bill of 2000 prescribes that municipalities must have draft budgets ready for discussion at the end of February 2002 (s 15), the IDP guide proposes an activity and resource plan that stretches over 32 weeks (see full document at www.sn.apc.org/users/clc).

The costs for the IDP process have to be budgeted for by the municipality. This budget serves as a basis for applying to provincial and national government for financial contributions and can also help to monitor whether the planning costs are reasonable in relation to other budget items. Crucial items to be distinguished are consultants' fees, facilitators' fees, costs for disseminating information, costs for workshops and meetings, and printing costs.

DISTRICT FRAMEWORK

The district framework binds both the district and the local municipalities in the district area. It must ensure proper consultation, co-ordination and alignment of the planning process of the district municipality and the various local municipalities (see *LGL Bulletin 2001(1)* at p. 5). The district framework must be developed during a joint workshop

Proposed district framework process

A district briefing session of IDP managers should deal with the IDP planning process and approach, applicable legislation and the available support systems (PIMSS-Centres, etc.).

Subsequently, all municipalities should draft tentative programmes

Municipalities must have draft budgets ready for discussion at the end of February 2002

with alignment needs. The district can then arrange the district framework workshop and list the relevant national and provincial legislation and planning requirements.

At the workshop, the individual programmes must be co-ordinated and the framework programme agreed to. The alignment needs and mechanisms should be discussed at the workshop. Further, the workshop should develop and agree on legally binding legislation and relevant planning requirements.

The district council should then adopt the framework. All local municipalities must consider and endorse the framework.

District framework content

It is proposed that the district framework contains an introduction, consultation procedures, matters requiring alignment, binding national and provincial requirements and legislation and amendment procedures.

Introduction

The introduction should at least address the purpose of the framework and the role-players, namely the district municipality, local municipalities in the area, provincial government and national government.

Consultation procedures

Role-players

The following role-players should be involved in the alignment process between local and district municipalities: the district IDP manager and chairperson of the IDP representative forum, the local IDP manager and chairperson of the IDP representative forum, PIMSS-Centres and the provincial IDP co-ordinator. Between district/local municipalities and provincial/national government the role-players are the district IDP manager, the local IDP manager, the provincial IDP co-ordinator, the provincial/national senior sector department officials and senior officials of relevant service providers (Eskom, Water Board, Telkom, etc.).

Proposed alignment process

The district IDP steering committee should present the alignment needs at the district framework workshop.

At the workshop, a joint list of

alignment needs should be compiled and mechanisms to ensure alignment should be discussed. The workshop should agree on the alignment mechanism, time frames and role-players.

A mechanism for dispute resolution between local municipalities and between local and district municipalities should be agreed to.

District municipalities should engage the provincial and national departments and other stakeholders to outline district alignment needs and expectations and agree on mechanisms.

Local and district municipalities should consider alignment when devising their process plans (process programme with time frame).

Proposed alignment structure

The district IDP representative forum is proposed as an alignment structure. Its members should be the local IDP representative forum chairpersons, the local IDP managers, the district IDP manager, PIMSS-Centres and the provincial IDP co-ordinator. It is suggested to keep the number of alignment workshops and meetings to a minimum, due to the financial and time resources required.

Consultation during planning process

The IDP Guide proposes a process for consultation between the district municipality and the local municipalities throughout the five-year planning process. For details of that proposed process see the full document at www.sn.apc.org/users/clc.

Matters requiring alignment

Matters that require alignment may include:

- IDP process programmes;
- IDP process time frames;
- IDP table of contents;
- five-year planning process
 - phase 1: analysis (co-ordinate key development priorities)
 - phase 2: strategies
 - phase 3: projects
 - phase 4: integration
 - phase 5: approval (requires horizontal/vertical alignment);
- annual implementation
 - municipal budgets
 - monitoring and evaluation
 - reporting; and

- Section 84 (1) and (2) of the Municipal Structures Act: the division of powers and functions.

Binding national and provincial requirements and legislation

Provincial legislation will differ from one province to the other. It is important that provincial plans and legislative guidelines are assessed and listed as part of the district framework.

District municipalities, with the support of the provincial IDP co-ordinator, must prepare a list of provincial legislation and other important national and provincial information for the framework workshop.

At the workshop the district municipalities must provide the above-mentioned list and familiarise the local municipalities with its content. Examples of provincial and national sectoral plans, programmes and policies as well as national legislation applicable to local government appear in the full IDP guide (www.sn.apc.org/users/clc).

Amendment procedures

Each municipality will be responsible for monitoring its own process plan and ensuring that the district framework is being followed as agreed. The following principles and procedures for monitoring the process plan and, where necessary, amending the district framework are proposed:

- A committee of IDP managers is established. It meets after each phase jointly to assess progress and decide on amendments.
- Each local municipality must inform the district municipality of deviations from the action programme that affect district-wide activities (e.g. the identification of municipal priority issues is delayed and the district-wide strategy workshop has to be postponed).
- The district municipality has the mandate to decide when and how an amendment takes place, and therefore postpones an activity or continues with the programme. Alternatively, all the relevant municipalities have to agree before the framework is amended.

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