

IDP

idp guide pack

Publisher

Department of Provincial and Local
Government (DPLG)

Mr E Africa, Ms Esme Magwaza,

Mr Yusuf Patel

Supported by

GTZ (German Agency for Technical
Cooperation)

Coordinator

Mr Yusuf Patel (DPLG)

Team of Authors

The revised IDP Manual was designed by
the Decentralised Development Planning
(DDP) Task Team on basis of the IDP
Assessment process (1998/99), and a
series of IDP-related policy research
papers (1999/2000).

Maria Coetzee (CSIR)

Marc Feldman (Development Work)

Katharina Huebner (GTZ)

Musa Majozi (DPLG/GTZ)

Yusuf Patel (DPLG)

Dr Theo Rauch (GTZ)

Editing and Layout

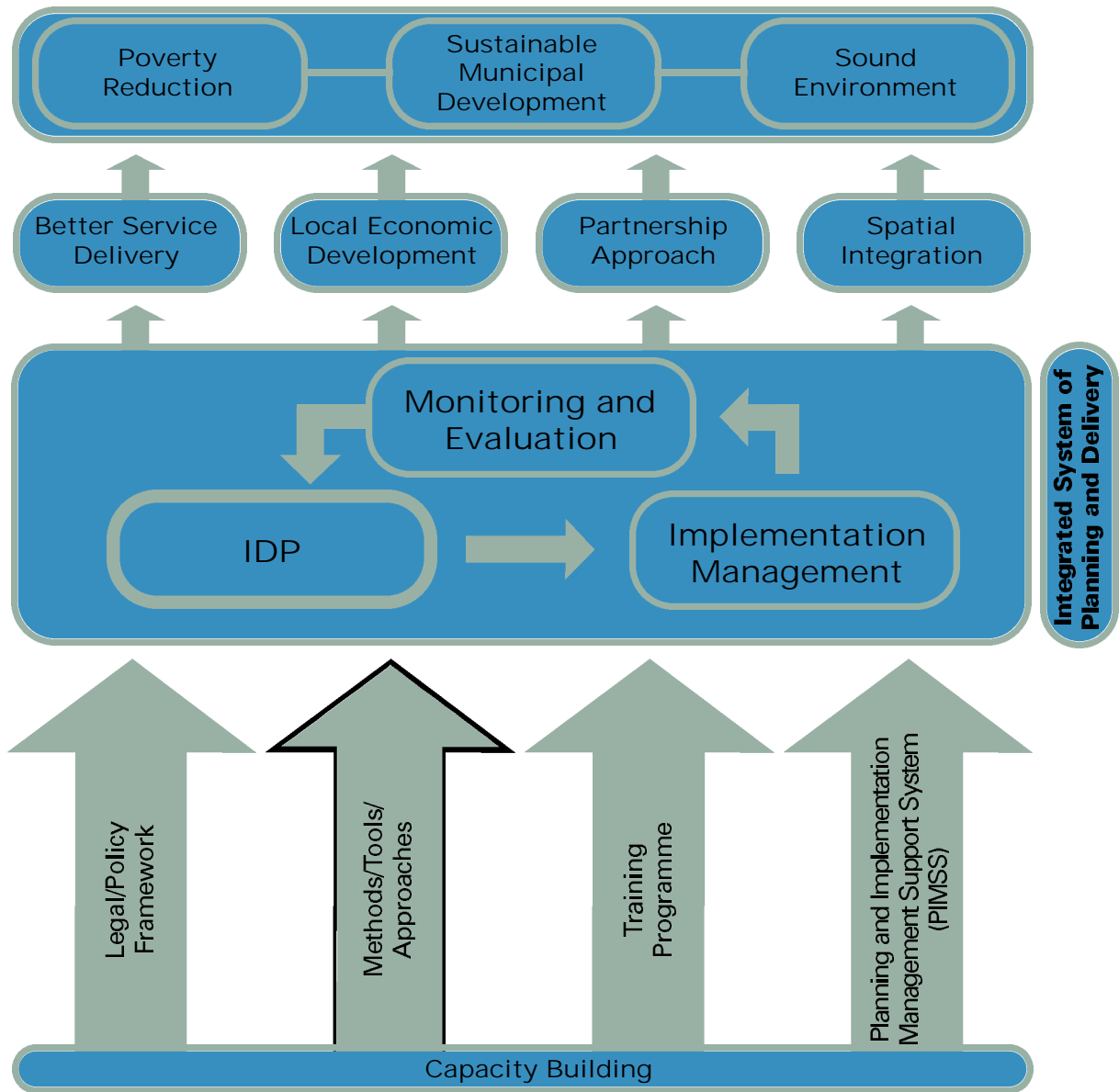
Simeka TWS Creative

Vira Denton

Printing

Government Printers – Brian Brown

INTEGRATED DEVELOPMENT PLANNING SYSTEM



GENERAL OVERVIEW

IDP

Integrated Development Planning

FOREWORD

Local government is a key role-player in the development process of South Africa. The transformation process to establish non-racial and viable municipalities is a crucial strategic move towards enabling local government to fulfil its *developmental role*.

Major steps of this transformation process were:

- providing a clear and motivating policy framework through the White Paper on Local Government;
- the re-demarcation process which resulted in more viable municipalities; and
- providing a new legal framework for local government by launching the Municipal Structures Act and the Municipal Systems Act.

With the local government elections held on 5 December 2000 the transitional phase has come to an end and the local government system can now start operating on a solid basis.

Integrated development planning is one of the key tools for local government to cope with its new developmental role. In contrast to the role planning has played in the past, integrated development planning is now seen as a function of municipal management, as part of an integrated system of planning and delivery. The IDP process is meant to arrive at decisions on issues such as municipal budgets, land management, promotion of local economic development and institutional transformation in a consultative, systematic and strategic manner. Integrated Development Plans, however, will not only inform the municipal management; they are also supposed to guide the activities of any agency from the other spheres of government, corporate service providers, NGOs and the private sector within the municipal area.

During the *past period of office* most of the transitional local authorities were already involved in preparing IDPs (many of them went just as far as preparing LDOs). This was done under difficult circumstances. A conclusive legal framework was not yet in place. Many local authorities (in particular the Transitional Representative Councils) had no capacities to manage such a planning process. There was no tested planning methodology and no comprehensive and systematic training programme. Nevertheless all who have been involved in the previous IDP process have gone through a highly valuable learning process. And quite a few of the local authorities have already made significant progress towards establishing a planning practice which helps to improve implementation of projects and programmes.

Now, just in time for the newly elected councils, a fully fledged *support system* is in place for the forthcoming IDP process:

- This new IDP Guide Pack, which has been developed by a special task team in DPLG with support from GTZ, provides a tested planning and implementation management approach in a user-friendly manner. It includes the lessons learnt from the previous IDP process.
- There is a nation-wide training programme for municipal managers, technical officers, councillors and planning professionals which caters for participants from all municipalities.
- A nation-wide support system for local municipalities (PIMSS) is being established with district-level support centres as a core element.

A large number of municipalities, SALGA, provincial departments of local government and a range of national sector departments have been involved in the process which has resulted in this new IDP Guide Pack. I am therefore confident that, as a result, these publications will be a useful guide and source of inspiration for all of you who are involved in the IDP process in your endeavours to make IDP a tool to address the social and economic needs of our communities more effectively.



FHOLISANI SYDNEY MUFAMADI

Volumes in this series include:

General Overview

Provides an introduction into IDP and a short summary of the IDP Guide Pack.

Guide I: Guidelines

Provides basic guidance on purpose, contents, processes and institutional aspects of Integrated Development Planning. The guidelines, besides providing an interpretation of the Municipal Systems Act 2000, go beyond the minimum requirements as outlined in the Act.

Guide II: Preparation

Provides assistance on how to plan the planning process. It puts strong emphasis on clarification of roles and responsibilities, on organisational arrangements and on alignment of planning processes on various levels.

Guide III: Methodology

Provides a detailed description of the phases of the IDP process and of the planning activities in each phase with information on:

- ☆ the purpose ("Why?");
- ☆ the required outputs ("What?"); and
- ☆ the recommended processes ("How?") and institutional aspects ("Who?").

Guide IV: Tool box

Provides a variety of options for planning tools/techniques for crucial planning activities with hints on the applicability of the tools.

Guide V: Cross-Sectoral Issues

Provides guidance on how to relate other (non-IDP- specific) general policy guidelines or sector policies to the IDP process.

Guide VI: Implementation Management

Provides guidance on:

- ☆ Planning implementation link.
- ☆ Institutional preparedness for implementing IDP.
- ☆ Implementation management tools.
- ☆ Monitoring and performance management tools.
- ☆ Reviewing IDPs.

TABLE OF CONTENTS

1. INTRODUCTION

1.1	The new IDP guide-pack	3
1.2	General overview	3

2. BASICS OF IDPS

2.1	What is Integrated Development Planning?	4
	i. What is Integrated Development Planning?	4
	ii. What is the legal status of IDPs?	4
	iii. What is the life span of an IDP?	4
	iv. How long does it take to complete the process?	4
	v. What are the core components of an IDP?	4
	vi. Who is responsible for managing the process?	5
2.2	Why is it necessary to do IDPs?	5
2.3	Who should participate and why?	7
2.4	What are the roles and responsibilities of different spheres of government?	8

3. AN OVERVIEW OF THE GUIDES

3.1	Introduction	10
3.2	A short description of each guide	10
	i. Guide I: General IDP guidelines	10
	ii. Guide II: Preparing for the IDP	11
	iii. Guide III: IDP methodology	11
	iv. Guide IV: IDP toolbox	12
	v. Guide V: Sectoral and cross-cutting policy guidelines	12
	vi. Guide VI: IDP Implementation and Monitoring	12

4. OVERVIEW OF THE PLANNING PROCESS

4.1	Introduction	14
4.2	Preparation for the process	14
4.3	The methodology	14
	i. Phase 1: Analysis	15
	ii. Phase 2: Strategies	15
	iii. Phase 3: Projects	16
	iv. Phase 4: Integration	16
	v. Phase 5: Approval	17
	vi. Provincial Assessment	17
4.4	What an IDP might look like	19

5. IDP SUPPORT SYSTEM

5.1	Legal framework	21
5.2	IDP guide-pack	21
5.3	IDP training	21
5.4	IDP Planning and Implementation Management Support System (PIMSS)	21

6. USEFUL CONTACTS

A. TABLES

Table 1:	Benefits for different target groups	6
Table 2:	Roles and responsibilities of different spheres of government	9
Table 3:	A typical IDP table of contents	19

B. DIAGRAMS

Diagram 1:	Overview of the Guides	13
Diagram 2:	Overview of the planning process	18
Diagram 3:	IDP support system	20

1. INTRODUCTION

1.1 THE NEW IDP GUIDE-PACK

The Department of Provincial and Local Government (DPLG) supported by German Technical Cooperation (GTZ) has produced an IDP Guide-pack to assist municipalities with the Integrated Development Planning process to produce Integrated Development Plans (IDPs).

Unlike the old version of the IDP manual, the new guide-pack attempts to be a more user-friendly document by:

- (a) Splitting **information** into context- and target group-specific *packages*, i.e. in six guides which can be used independently of each other namely:
 - Guide I – General IDP guidelines
 - Guide II – Preparing for the IDP process
 - Guide III – IDP methodology
 - Guide IV – IDP Toolbox
 - Guide V – Sectoral and cross-cutting policy issues
 - Guide VI – Implementation and Monitoring.
- (b) **Avoiding planning jargon** as far as possible by not suggesting specific planning techniques in Guide III.
- (c) **Highlighting minimum requirements** for each phase of the methodology, thereby differentiating clearly between the “musts” (resulting from legal and policy requirements) and the non-prescriptive recommendations for those who want some hints on how to deal with a certain planning activity.
- (d) Providing **short answers** to the following set of questions for each planning activity:
 - ☆ **Why** do it? (i.e. explaining the purpose of a planning activity)
 - ☆ **What** needs to be the result of the planning activity? (i.e. specifying the output)
 - ☆ **How** should the process or procedure look in order to arrive at the output?
 - ☆ **Who** shall be in charge and be involved?
 - ☆ **How long** should it take?

1.2 GENERAL OVERVIEW

The General overview provides an overview of the IDP Guide-pack. Its purpose is three-fold:

- To provide a summary on the complete picture of the IDP process to those stakeholders who do not need a detailed technical understanding of the IDP.
- To enable different stakeholders to know and understand their roles and hence participate effectively in the process. This includes provincial and national departments.
- To provide a first and quick overview of the IDP process to those responsible for the management of the process.

The executive summary is therefore meant to enable any person to get a broad understanding of the Integrated Development Planning process. For more in-depth information role-players should refer to the specific Guides.

Four main areas are covered in this document namely:

- The basics of IDPs;
- The overview of the Guides;
- The overview of the planning process; and
- The IDP support system.

2. BASICS OF IDPS

2.1 WHAT IS INTEGRATED DEVELOPMENT PLANNING?

i. What is Integrated Development Planning?

Integrated Development Planning is a **process** through which municipalities prepare a strategic development plan, for a five year period. The Integrated Development Plan (IDP) is a **product** of the integrated development planning process. The IDP is a principal strategic planning instrument which guides and informs all planning, budgeting, management and decision-making in a municipality.

ii. What is the legal status of an IDP?

According to the Municipal Systems Act of 2000 all municipalities (i.e. Metros, District Municipalities and Local Municipalities) have to undertake an integrated development planning process to produce integrated development plans (IDPs). As the IDP is a legislative requirement it has a legal status and it supercedes all other plans that guide development at local government level.

iii. What is the lifespan of an IDP?

According to the Municipal Systems Act, every new council that comes into office after the local government elections has to prepare its own IDP which will guide them for the five years that they are in office. The IDP is therefore linked to the term of office of councillors. The new council has the option either to adopt the IDP of its predecessor should it feel appropriate to do so or develop a new IDP taking into consideration already existing planning documents.

iv. How long does it take to complete the process?

Integrated development planning is a very interactive and participatory process which requires involvement of a number of stakeholders. Because of its participatory nature it takes a municipality approximately 6 – 9 months to complete an IDP and this timing is closely related to the municipal budgeting cycle. However, during this period delivery and development is not at a standstill, it continues. The IDP is reviewed annually which results in the amendment of the plan should this be necessary.

v. What are the core components of the IDP?

The IDP is made up of the following core components:

- **The analysis**
 - An *assessment of the existing level of development*, which includes identification of communities with no access to basic services.
- **Development strategies**
 - The municipality's *vision* (including internal transformation needs).
 - The council's development *priorities* and *objectives*.
 - The council's development *strategies*.
- **Projects**
- **Integration**
 - A *spatial development* framework.
 - *Disaster* management plan.
 - Integrated financial plan (both capital and operational budget).
 - Other integrated programmes.
 - *Key Performance Indicators* and performance targets.

• **Approval**

In a nutshell, Integrated Development Planning is about the municipality identifying its priority issues/problems, which determine its vision, objectives and strategies followed by the identification of projects to address the issues. A very critical phase of the IDP is to link planning to the municipal budget (i.e. allocation of internal or external funding to the identified projects) because this will ensure that implementation of projects and hence development is directed by the IDP.

vi. Who is responsible for managing the process?

Integrated Development Planning is not just about spatial planning and therefore its management should not be delegated to the municipal Planning Department or to consultants. It is a mechanism to manage the affairs of the municipality and its municipal area, and hence holds a very high status within a municipality. In terms of the Municipal Systems Act, 2000, the Executive Committee or Executive Mayor has the responsibility to manage the preparation of the IDP or assign this responsibility to the municipal manager. In most municipalities, the IDP coordinator, linked and reporting directly to the office of the municipal manager and the Executive Committee or Mayor, is appointed to manage the process.

2.2 WHY IS IT NECESSARY TO DO IDPs?

Preparing an IDP is a legal requirement in terms of the Municipal Systems Act (MSA), however that it's not the only reason why municipalities must prepare the plans. Under the new constitution, municipalities have been awarded major developmental responsibilities to ensure that the quality of life for its citizens is improved. The new role for local government includes provision of basic services, creation of jobs, promoting democracy and accountability and eradication of poverty. Preparing and having the IDP therefore enables the municipality to be able to manage the process of fulfilling its developmental responsibilities.

Through the IDP, the municipality is informed about the problems affecting its municipal area and, being guided by information on available resources, is able to develop and implement appropriate strategies and projects to address the problems.

Here is why every municipality should have an IDP:

- It helps to make more effective use of scarce resources by:
 - focusing on identified and prioritised local needs taking into consideration local resources;
 - searching for more cost-effective solutions; and
 - addressing causes, rather than just allocating capital expenditure for dealing with symptoms.
- It helps to speed up delivery by:
 - providing a tool which guides where investment should occur;
 - getting the buy-in of all relevant role-players for implementation;
 - providing deadlock breaking decision-mechanisms; and
 - arriving at realistic project proposals taking into consideration limited resources.
- It helps to attract additional funds:

Where there is a clear municipal development plan, private investors and sector departments are willing and confident to invest their money because the IDP is an indication that the municipality has a development direction.
- It helps to strengthen democracy and hence institutional transformation because decisions are made in a democratic and transparent manner, rather than by a few influential individuals.
- It helps to overcome apartheid legacy at local level by:
 - promoting integration of rural and urban areas, different socio-economic groups, places where people live and work etc.; and
 - facilitating redistribution of resources in a consultative process.
- It promotes intergovernmental coordination by:
 - facilitating a system of communication and coordination between local, provincial and national spheres of government.

The IDP also provides specific benefits for different target groups, namely:

Stakeholder	Benefits
(a) Municipal council	Enables the municipality to: <ul style="list-style-type: none"> • Obtain access to development resources and outside investment; • Provide clear and accountable leadership and development direction; • Develop a cooperative relationship with its stakeholders and communities; and • Monitor the performance of officials.
(b) Councillors	<ul style="list-style-type: none"> • Provides councillors with a mechanism of communicating with their constituencies; • Enables councillors to represent their constituencies effectively by making informed decisions; and • Enables councillors to measure their own performance.
(c) Municipal officials	<ul style="list-style-type: none"> • Provides officials with a mechanism to communicate with the councillors; • Enables the officials to contribute to the municipality's vision; and • Enables officials to be part of the decision-making process.
(d) Communities and other stakeholders	<ul style="list-style-type: none"> • Gives them an opportunity to inform the council what their development needs are; • Gives them an opportunity to determine the municipality's development direction; • Provides a mechanism through which to communicate with their councillors and the governing body; and • Provides a mechanism through which they can measure the performance of the councillors and the municipality as a whole.
(e) National and Provincial sector departments	<ul style="list-style-type: none"> • A significant amount of financial resources for the implementation of projects lie with sector departments. The availability of the IDP provides guidance to the departments as to where their services are required and hence where to allocate their resources.
(f) Private sector	<ul style="list-style-type: none"> • The IDP serves as a guide to the private sector in making decisions with regard to areas and sectors to invest in.

Table1: Benefits of an IDP for different target groups

In the absence of an IDP, a municipality would act in an ad hoc, uninformed and uncoordinated manner which would lead to duplication and wastage of limited resources. Furthermore, the lack of a municipal tool to guide development would result in other spheres of government imposing their development programmes, which might not be priority for a municipal area.

2.3 WHO SHOULD PARTICIPATE AND WHY?

→ As mentioned before, the integrated development planning process is participatory in nature and requires input from various role-players, namely:

- **The officials**

Integrated development planning is not a function of the municipality's Planning Department. Everything that all departments do including treasury and human resources, has to be guided by the municipality's management tool which is the IDP. As a result all departments have to get directly involved in the integrated development planning process.

- **The councillors**

Councillors have to play a leading role in the IDP process. Not only is the IDP a mechanism through which they have to make decisions, it also contains their constituency's needs and aspirations. Councillors have to participate therefore to ensure that their communities' issues are well reflected and addressed.

- **The municipal stakeholders**

The IDP is about determining the stakeholder and community needs and priorities which need to be addressed in order to contribute to the improvement of the quality of life. Community and stakeholder participation in determining those needs is therefore at the heart of the IDP process. The Constitution and the Municipal Systems Act clearly stipulates that the municipality must mobilise the involvement and commitment of its stakeholders by establishing an effective participatory process. The municipality should in particular ensure participation of previously disadvantaged groups e.g. women, the disabled etc. so that their voices could be heard.

In the case of stakeholder groups that are not organised, the NGOs or other resource persons play a critical role to advocate the interests of those groups. The nature of the IDP process is therefore such that it allows all stakeholders who reside or conduct business within a municipal area to contribute to the preparation and implementation of the development plan.

By abstaining from participating, stakeholders empower other people to make decisions on their behalf, which decisions might not be in their interest.

- **Provincial and National sector departments**

The IDP should guide where sector departments allocate their resources at local government level. At the same time, the municipality should take into consideration the sector departments' policies and programmes when developing its own policies and strategies. It is in the interest of the sector departments, therefore to participate in the integrated development planning process to ensure that there is alignment between its programmes and that of municipalities.

→ **PRINCIPLES OF PUBLIC PARTICIPATION**

Since the IDP involves participation of a number of stakeholders, it is crucial for the municipality to adopt an appropriate approach and also put in place appropriate structures to ensure effective participation. Here are some principles on participation:

- The elected *council* is the *ultimate decision-making forum* on IDPs. The role of participatory democracy is to inform, negotiate and comment on those decisions, in the course of the planning/decision-making process.
- Public participation has *to be institutionalised* in order to ensure that all residents of the country have an *equal* right to participate. Institutionalising participation means:
 - setting clear minimum requirements for participation procedures which apply for all municipalities by means of regulations; and
 - providing a legally recognised organisational framework.

- *Structured participation:* Most of the new municipalities are too big in terms of population size and area to allow for direct participation of the majority of the residents in complex planning processes. Participation in integrated development planning, therefore, needs clear rules and procedures specifying who is to participate or to be consulted, on behalf of whom, on which issue, through which organisational mechanism, with what effect.
- *Diversity:* The way public participation is institutionalised and structured has to provide sufficient room for diversity, i.e. for different participation styles and cultures. While there has to be a common regulatory frame for institutionalised participation in the country, this frame has to be wide enough for location-specific adjustments to be made by provinces and municipalities.
- *Promotion of public participation* by municipal government has to distinguish between:
 - *creating conditions* for public participation, which is a *must* for all municipalities (in line with the MSA); and
 - *encouraging* public participation, which *should* be done in particular with regard to disadvantaged or marginalised groups and gender equity in accordance with the conditions and capacities in a municipality.

Guide I provides more guidance on public participation, namely:

- Tools, procedures and mechanisms for a structured process of public participation;
- Guidelines for creating conditions for public participation;
- Guidelines on the encouragement of public participation; and
- Guidelines on phasing public participation.

2.4 WHAT ARE THE ROLES AND RESPONSIBILITIES OF DIFFERENT SPHERES OF GOVERNMENT?

The responsibility to prepare and adopt IDPs lies with municipalities. However integrated development planning is an inter-governmental system of planning which requires involvement of all three spheres of government. Some contributions have to be made by provincial and national government to assist municipal planning.

The different roles and responsibilities between the three spheres include:

Sphere of government	Roles and responsibilities
LOCAL (a) Local municipality (b) District municipality (c) Metros	To: <ul style="list-style-type: none"> • Prepare an IDP • Adopt an IDP • Prepare an IDP • Adopt an IDP • Provide support to poorly capacitated local municipalities • Facilitate the compilation of a framework which will ensure coordination and alignment between local municipalities and the district • Prepare an IDP • Adopt an IDP

<p>PROVINCIAL</p> <p>(a) Department of Local Government</p> <p>(b) Sector Departments</p>	<p>To:</p> <ul style="list-style-type: none"> • Coordinate training • Provide financial support • Provide general IDP guidance • Monitor the process in the province • Facilitate coordination and alignment between district municipalities • Facilitate resolution of disputes between municipalities • Facilitate alignment of IDPs with sector department policies and programmes • Assess IDPs <ul style="list-style-type: none"> • Provide relevant information on sector department's policies, programmes and budgets • Contribute sector expertise and technical knowledge to the formulation of municipal policies and strategies • Be guided by municipal IDPs in the allocation of resources at the local level
---	---

<p>NATIONAL</p> <p>(a) Department of Provincial and Local Government</p> <p>(b) Sector Departments</p>	<p>To:</p> <ul style="list-style-type: none"> • Issue legislation and policy in support of IDPs • Issue Integrated Development Planning Guidelines • Provide financial assistance • Provide a national training framework • Establish a Planning and Implementation Management Support System <ul style="list-style-type: none"> • Provide relevant information on sector department's policies, programmes and budgets • Contribute sector expertise and technical knowledge to the formulation of municipal policies and strategies • Be guided by municipal IDPs in the allocation of resources at the local level
--	--

Table 2: Roles and responsibilities of different spheres

3. AN OVERVIEW OF THE GUIDES

3.1 INTRODUCTION

The IDP Guide-pack is made up of 6 Guides, namely:

- Guide I – General IDP guidelines
- Guide II – Preparing for the IDP process
- Guide III – IDP methodology
- Guide IV – IDP toolbox
- Guide V – Sectoral and cross-cutting policy guidelines
- Guide VI – Implementation and Monitoring

Each one of the Guides, at different points of the IDP process, contribute to the preparation of an integrated development plan that municipalities can implement and use as a management tool for the municipal area. It is important for the people responsible for the management of the IDP process to be familiar with what each Guide contains, and also to know how to apply it during the IDP process. The Guides need not be used in any particular sequence. They should be interacted with regularly at different stages in the process.

There are many role-players in an IDP process, each one of them with specific roles and responsibilities that they fulfil. Some of the Guides are targeted at specific role-players who fulfil specific roles in the process. However all other role-players should have access to all the Guides should they require more in-depth understanding of the content of each Guide.

3.2 A SHORT DESCRIPTION OF EACH GUIDE

i. Guide I: General IDP guidelines

☆ Purpose

Guide 1 provides more in-depth information on the purpose and practice of integrated development planning. It has the following purpose:

- To create better awareness of the relevance and benefits of IDP; and
- To provide clear guidance on the IDP process, expected outcomes and interrelationships with other processes which can help to fulfil the legal minimum requirements of the Municipal Systems Act.

☆ Target group

The municipal managers and IDP managers require a clear understanding of Guide 1 in order to be able to properly coordinate and manage the process, whereas the professional planners and facilitators need it to be able to appropriately lead the process. Other actors must understand the context of integrated development planning and how they can contribute effectively.

☆ Content of the Guide

The following outline is contained in Guide I:

- Why Integrated Development Planning guidelines?
- Purpose of municipal Integrated Development Planning
- Consideration of existing national policy guidelines
- Implications of municipal Integrated Development Planning on an inter-governmental system of development planning
- Aligning municipal sector planning and integrated development planning
- Roles and responsibilities of district and local municipalities

- Organisational arrangements for Integrated Development Planning
- Planning approach and methodology
- Public participation in the integrated development planning process
- Support systems for municipal planning
- Assessment and approval of IDPs
- Legal status of IDPs.

☆ **Where to consider in the IDP process**

Guide I is useful to refer to during the preparation stage.

ii. Guide II: Preparing for IDP

☆ **Purpose**

Before any municipality could commence with the planning process, it has to do some preparation. The purpose of Guide II is to assist municipalities with the preparation for the integrated development planning process in order to:

- Ensure a well organised planning process with adequate and effective involvement of all relevant actors
- Ensure that the IDP becomes a tool for institutional transformation
- Help municipalities to plan the process in line with the requirements of the Municipal Systems Act.

☆ **Target Groups**

The target groups for this Guide are: the municipal managers and IDP managers – to be able to organise and manage the process accordingly, the professional planners – to be able to apply it in a flexible and creative manner, and other actors – to get an overview in order to be able to fulfil their roles in a competent manner.

☆ **Contents of the Guide**

Guide II provides guidance on:

- (i) Process plan
- (ii) Framework for IDP
- (iii) Distribution of roles and responsibilities
- (iv) Organisational structure
- (v) Organising participation
- (vi) Alignment and Assessment

☆ **Where to consider in the IDP process**

Understanding Guide II is necessary before the commencement of the planning process. It assists municipalities to prepare for the processes and the structures it will need to follow and set up for the planning process. At the same time, Guide II is useful as a reference during the IDP process.

iii. Guide III: IDP methodology

☆ **Purpose**

The purpose of Guide III is to provide the municipality with methodological guidance for doing IDP. The contents are summarised in section 4 i.e. planning process.

☆ **Target group**

Guide III is targeted at those role-players who require a detailed and technical knowledge of the IDP process because of the role that they play. The IDP manager requires a good understanding of Guide III in order to be able to properly organise and manage the process. Professional planners and facilitators also need a clear understanding to be able to lead the process and produce relevant documentation.

☆ **Where to consider in the IDP process**

This Guide is the crux of the planning process. It should be used in each phase of the planning process.

iv. Guide IV: Toolbox

☆ **Purpose**

Guide IV is the toolbox which provides different analytical and decision-making planning tools and techniques which can be applied during the planning process. The tools are optional and differ with regard to applicability in different types of municipalities.

☆ **Target group**

The target group for Guide IV is professional planners and facilitators who have the responsibility of applying the provided tools.

☆ **Where to consider in the IDP process**

Guide IV has to be used in conjunction to Guide III. The tools are used at different stages of the planning process and in some cases the same tool can be used on a number of occasions.

v. Guide V: Sectoral and cross-cutting policy guidelines

☆ **Purpose**

The purpose of Guide V is to make municipalities aware of other national and provincial principles and programmes that should be taken into consideration when preparing municipal development plans.

☆ **Target group**

The target group includes municipal managers and IDP managers, as they have to ensure that the relevant policies and programmes are considered in the municipal IDP and professional planners and facilitators who need to know how the requirements can be accommodated in the process.

☆ **Where to consider in the IDP process**

Guide V has to be used in conjunction with Guide III.

vi. Guide VI: IDP Implementation and Monitoring

☆ **Purpose**

The purpose of Guide VI is to guide municipalities on how to manage the implementation of IDPs.

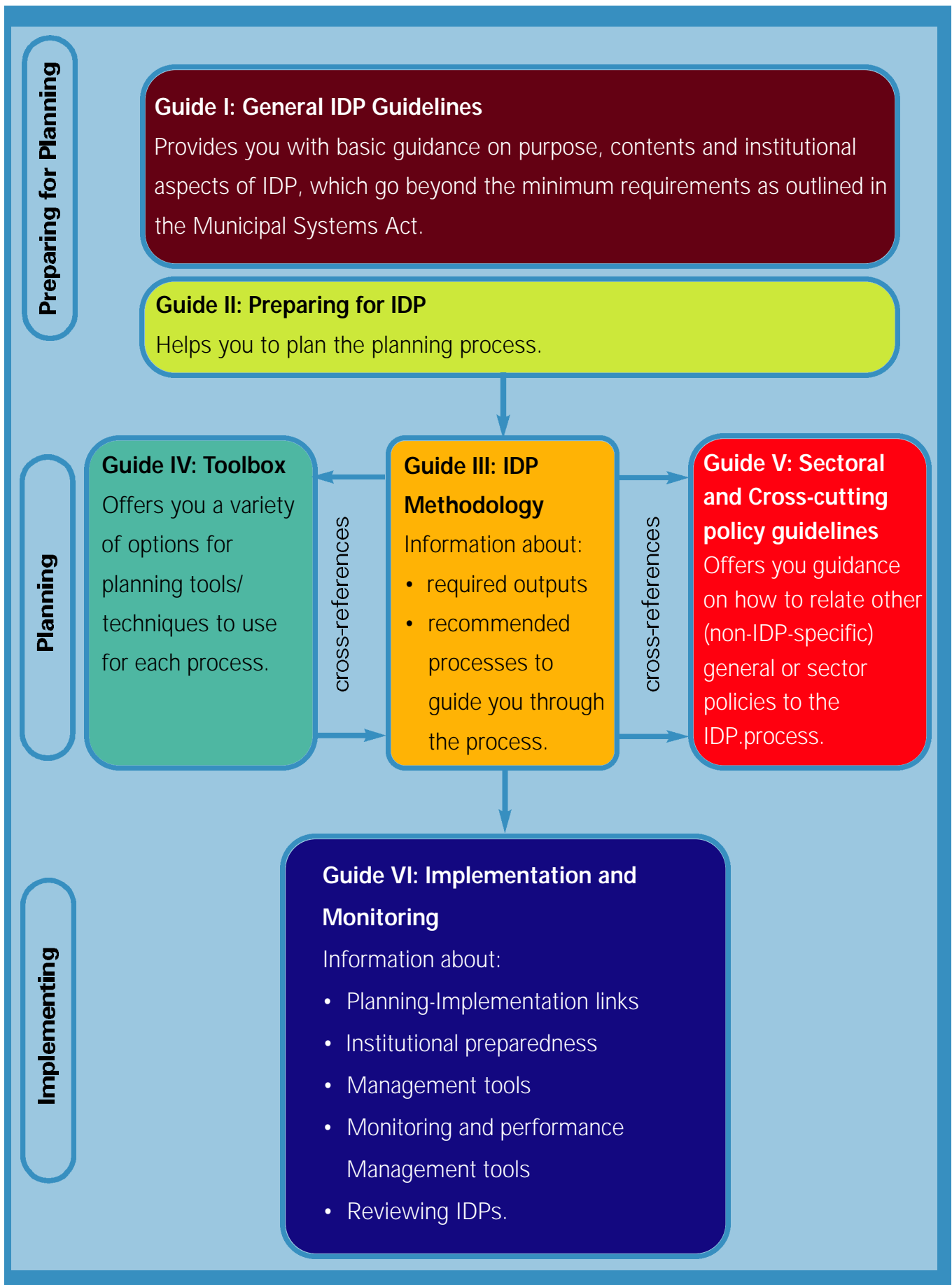
☆ **Target groups**

The target groups are those that are charged with ensuring that implementation occurs in line with the IDP i.e. Municipal Manager and Treasurer, and Heads of Departments and their officials responsible for managing implementation of specific projects.

☆ **Where to consider in the IDP process**

The Guide should be considered during the implementation and the monitoring and review phases.

Diagram 1: overview of the guides



4. AN OVERVIEW OF THE PLANNING PROCESS

This section provides a summary of the planning methodology that is recommended in the Guide-pack. The detail on the methodology is contained in Guide III.

4.1 INTRODUCTION

Strategic planning generally occurs in a cycle which is made up of four main stages:

- Planning – identification of issues, objectives and strategies.
- Resource allocation – human and financial resources are committed to the projects.
- Implementation – the actual execution of the projects which address the objectives.
- Monitoring and review – during planning performance indicators are formulated to monitor implementation and its impact. The outcome of monitoring sometimes results in the adjustment of the plan and implementation programme.

The integrated development planning process also follows a similar cycle and logic in the process outlined below.

4.2 PREPARATION FOR THE PROCESS

- **“IDP process plan”**

There is some preparatory work that needs to be done prior to the commencement of the planning process. Preparation involves the production of an “IDP process plan”. The programme is necessary to ensure proper management of the planning process. It must contain the following:

- Institutional structures to be established for management of the process
- Approach to public participation
- Structures to be established for public participation
- Time schedule for the planning process
- Roles and responsibilities (who will do what)
- How the process will be monitored.

- **“The framework for Integrated Development Planning”**

Also as part of the preparation stage, the district council, in consultation with its local municipalities must adopt a framework for integrated development planning. The framework determines procedures for coordination, consultation and alignment between the district and the local municipalities and therefore binds them both. The framework guides each local municipality in preparing its process plan.

Guide II provides detailed guidelines on preparing for planning.

4.3 THE METHODOLOGY

The Integrated Development Planning methodology consists of the following phases:

- The Analysis
- The Strategies
- The Projects
- The Integration
- The Approval

i. Phase 1: Analysis

☆ Process

The analysis phase deals with the existing situation. It is the focused analysis of the type of problems faced by the people in the municipal area. The issues normally range from lack of basic services to crime and unemployment. The problems identified are weighed according to their urgency and /or importance to come up with those to be addressed first i.e. priority issues.

In identifying the problems, the municipality considers people's perceptions of their problems and needs, but also facts and figures. It is important during this phase that the municipality understands not only the symptoms, but also the causes of the problems in order to make informed decisions on appropriate solutions. Stakeholder and community participation is very critical in this phase. The municipality must not make assumptions on what the problems are in its area. The people affected should be involved in determining the problems and the extent of the problems.

It is important to determine the priority issues because the municipality will not have sufficient resources to address all the issues identified by different segments of the community. Prioritisation assists the municipality in allocating the scarce resources to those issues highlighted as more important and /or urgent.

The municipality must be aware of existing and accessible resources and of resource limitations so that realistic solutions are decided on.

☆ Outputs

The outputs of this phase are:

- Assessment of existing level of development
- Priority issues or problems
- Information on causes of priority issues/problems
- Information on available resources.

ii. Phase 2: Strategies

☆ Process

Once the municipality understands the problems affecting the people of the area and its causes, it must then formulate the solutions to address the problems. This phase includes the formulation of:

- The *vision* – The vision is a statement indicating the ideal situation the municipality would like to achieve in the long term. This is the situation the municipality would find itself in once it has addressed the problems identified in Phase 1.
- The *development objectives* – once the priority issues are identified in Phase 1, they need to be translated into objectives. Development objectives are statements of **what** the municipality would like to achieve in the medium term in order to address the issues (problems) and also contribute to the realisation of the vision. In other words the objectives should bridge the gap between the current reality and the vision.
- The *development strategies* – Once the municipality knows where it wants to go (vision) and what it needs to achieve to realise the vision (objectives), it must then develop strategies. Development strategies provide answers to the question of **how** the municipality will reach its objectives. They are strategic decisions about the most appropriate ways and means to achieve the objectives.
- *Project identification*

Once strategies are formulated, they result in the identification of projects.

Public participation takes place in Phase 2 in the form of a public debate on the appropriate ways and means of solving problems.

☆ Outputs

Outputs of Phase 2 include:

- The vision
- Objectives
- Strategies
- Identified projects.

iii. Phase 3: Projects

☆ Process

Phase 3 is about the design and specification of projects for implementation. The municipality must make sure that the projects identified have a direct linkage to the priority issues and the objectives that were identified in the previous phases. It must also be clear on the target group (intended beneficiaries), the location of the project, when it will commence and end, who will be responsible for managing it, how much it will cost and where the money will come from. Furthermore targets and indicators are formulated to measure performance and impact of the project.

☆ Outputs

The outputs of this phase include:

- Performance indicators
- Project outputs, targets, location
- Project related activities and time schedule
- Cost and budget estimates.

Designing projects requires input from specialists to work with project formulation teams.

Stakeholders and communities affected by a particular project participate in this phase on questions related to project design.

iv. Phase 4: Integration

☆ Process

Once the projects are identified, the municipality must make sure that they are in line with the municipality's objectives and strategies, and also with the resource framework, and comply with the legal requirements. Furthermore this phase is an opportunity for the municipality to harmonise the projects in terms of contents, location and timing in order to arrive at consolidated and integrated programme e.g. a local economic development programme.

☆ Outputs

The output of this phase is an operational strategy which includes:

- 5 year financial plan
- 5 year capital investment programme
- Integrated Spatial Development Framework
- Integrated sectoral programmes (LED, HIV, poverty alleviation, gender equity etc)
- Consolidated monitoring/performance management system
- Disaster management plan
- Institutional plan
- Reference to sector plans.



v. Phase 5: Approval

☆ Process

Once the IDP has been completed, it has to be submitted to the municipal council for consideration and approval. The council must look at whether the IDP identifies the issues (problems) that affect the area and the extent to which the strategies and projects will contribute to addressing the problems. The council must also ensure that the IDP complies with the legal requirement before it is approved.

Futhermore, before the approval of the IDP, the municipality must give an opportunity to the public to comment on the draft. Once the IDP is amended according to the input from the public, the council considers it for approval.

☆ Output

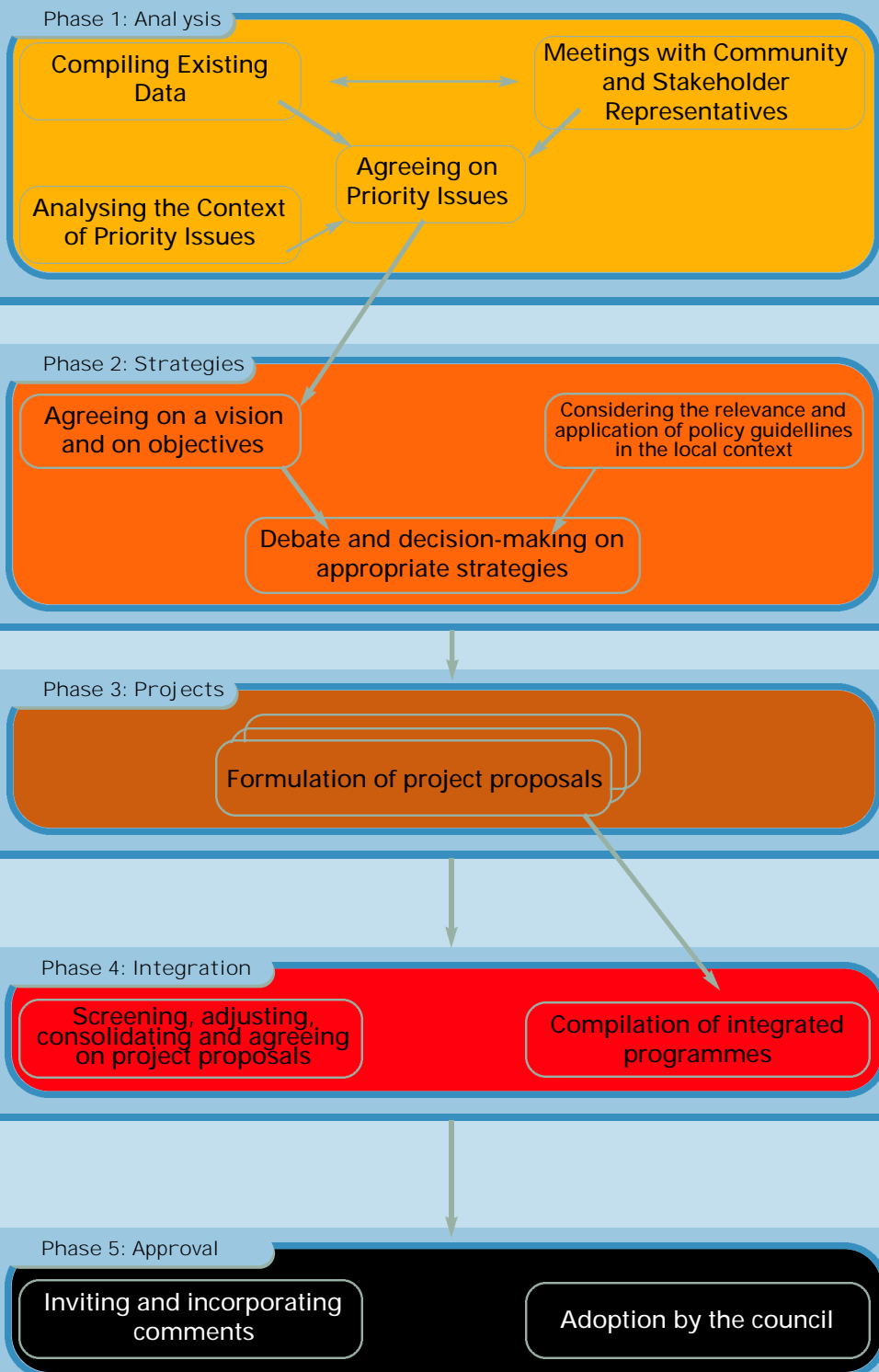
The output of this phase is an approved IDP for the municipality.

vi. Provincial assessment

Once a municipality has adopted its IDP, it must, within 10 days of adoption, submit a copy thereof, together with the "Process plan" and the "Framework for the IDP" (in the case of a District Municipality), to the MEC of the province for assessment. The Municipal Systems Act does not require the MEC to approve the IDP, only to assess that the IDP complies with the requirements of the Act and also that it is not in conflict with IDPs and strategies of other municipalities and organs of state.



Diagram 2: Overview of the planning process



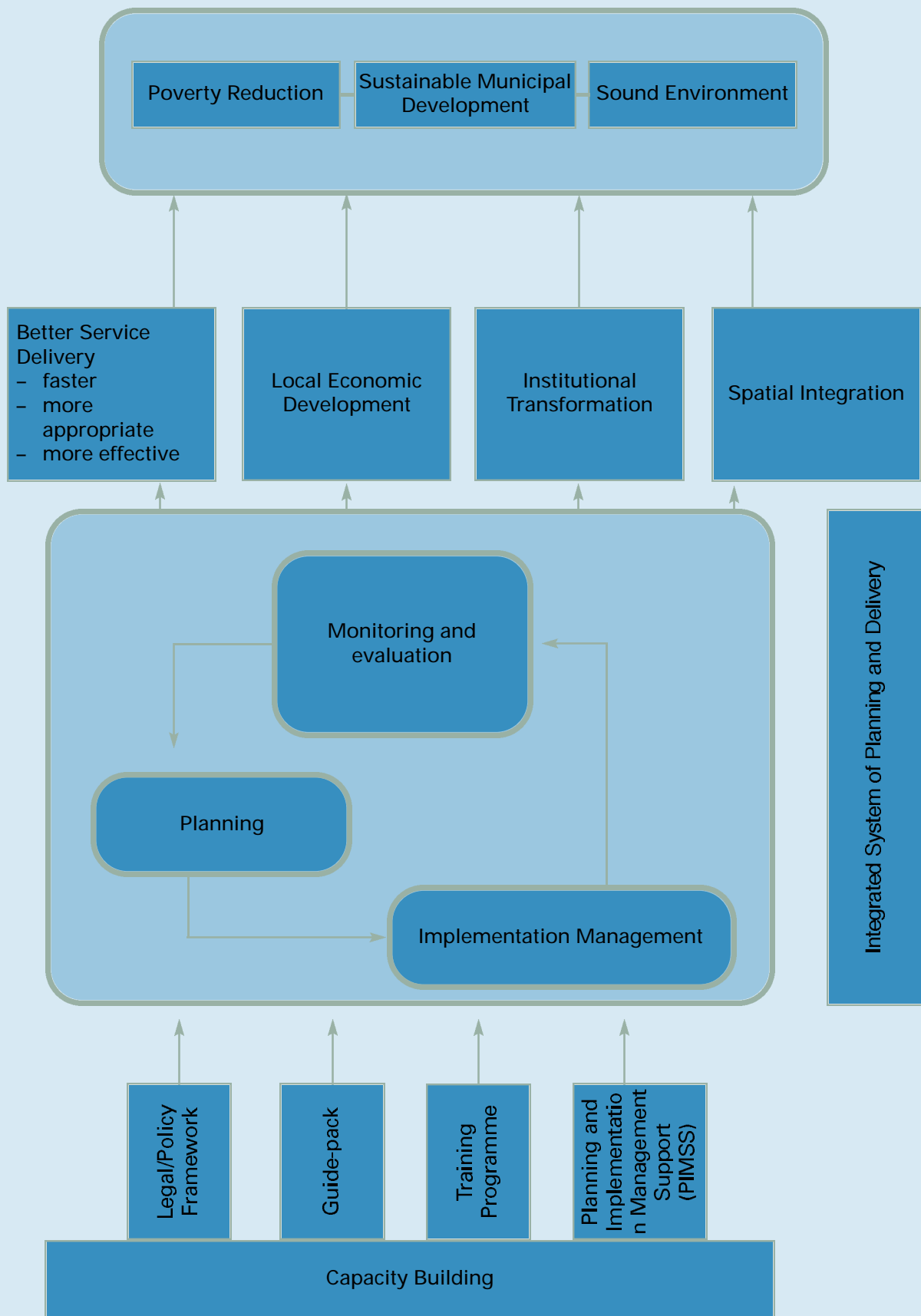
4.4 WHAT AN IDP MIGHT LOOK LIKE

Form and content of an IDP document is largely (with exception of those contents prescribed in the Municipal Systems Act) subject to the discretion of each municipality. Therefore, a list of contents is not prescribed.

A list of contents is, however, quite a useful tool to provide an idea of how an IDP might look. The following example may help to get an impression, but it should not prevent anyone from developing his/her own creative ideas.

LIST OF CONTENTS	No of pages
1. The Planning Process	(3 – 6)
1.1 Institutional arrangements/roles and responsibilities	(1 – 2)
1.2 Process overview: Steps and events	(1 – 2)
1.3 Self-Assessment of the Planning Process	(1 – 2)
2. The Situation	(30 – 40)
2.1 Current Reality: Basic facts and figures	(3 – 5)
2.2 Summary of community and stakeholder Priority Issues	(1 – 2)
2.3 Priority Issues from a Municipal Perspective	(1 – 2)
2.4 Spatial Analysis: Patterns and trends	(2 – 4)
2.5 Social Analysis: Poverty situation and gender-specific issues	(2 – 3)
2.6 Economic Analysis: Major patterns and trends	(1 – 2)
2.7 Environmental Analysis: Major risks and trends	(1 – 2)
2.8 Institutional Analysis: Strengths and weaknesses of the municipal administration	(1 – 2)
2.9 Priority Issues in Context: Summary reports on in-depth analysis	(15 – 20)
3. Development Strategies	(25 – 40)
3.1 The Municipal Vision	(1)
3.2 Localised Strategy Guidelines	(15 – 20)
3.3 Objectives and strategies for each Priority Issue (including objectives, available resources, alternatives taken into consideration, assessment and proposed strategy)	(10 – 15)
3.4 Financial Strategy	(1 – 2)
3.5 Summary list of identified projects	(1 – 2)
4. Projects 1 page project format per project (see 3/3)	(15 – 30)
5. Operational Strategies	(16 – 25)
5.1 Operational 5-year Action Plan	(1 – 2)
5.2 5-year Financial Plan	(1 – 2)
5.3 Capital Investment Programme	(1 – 2)
5.4 Integrated Spatial Development Framework	(3 – 5)
5.5 – 5.8 Integrated Social, economic, environmental and institutional programmes	(6 – 10)
5.9 Disaster Management Plan	(2 – 3)
5.10 Monitoring and information flow system	(2 – 3)
	<hr style="width: 100%; border: 0.5px solid black;"/> (90 – 140)

Diagram 3: IDP support system



The Department of Provincial and Local Government (DPLG) has a legislative mandate to provide an enabling environment for municipalities to fulfil their responsibility to prepare IDPs. DPLG's support strategy is made up of four pillars as indicated in the above diagram.

I. LEGAL AND POLICY FRAMEWORK

The Municipal Systems Act and the policy framework provide municipalities with an enabling legal framework for engaging in integrated development planning.

II. IDP GUIDE-PACK

The IDP Guide-pack provides municipalities with approaches, methods and tools for doing IDPs.

iii. IDP TRAINING

In order to increase the capacity of those involved in the IDP particularly the councillors and the officials, DPLG has developed a national curriculum development framework which is meant to assist service providers in developing the appropriate curriculum for IDP training.

Based on the curriculum framework and in conjunction with South African Local Government Association (SALGA), DPLG has developed an IDP training programme. The training to be provided to various role-players is targeted training. It is based on the different roles different role-players fulfil in an IDP process and hence the type of skills they require to be able to effectively fulfil their roles. For information on available training programmes, municipalities can contact the DDP Task Team (See page 22 for contact details).

IV. PLANNING AND IMPLEMENTATION MANAGEMENT SUPPORT SYSTEM (PIMSS)

- What is PIMSS?

Preparation of IDPs is a new requirement for South African Local Government. The majority of municipalities do not have sufficient capacity to do IDPs on their own. To support municipalities, DPLG initiated the PIMS System. PIMSS is a national IDP support system which has been established to provide support to municipalities in the preparation and implementation of IDPs. The core element of the PIMSS is the Planning and Implementation Management Support Centres (PIMS-Centres). The PIMS-Centres are established at the district council level and their mandate is to assist local municipalities, which have limited capacity, with the IDP process.

The PIMS-Centres are staffed by experienced professionals with qualifications and experience in local government, development planning and facilitation as well as other relevant skills required for the integrated development planning process.

- Who can benefit from PIMSS?

The establishment of PIMSS is geared towards assisting local councils, however at the same time other stakeholders and community groups can access the PIMSS if they require any form of assistance e.g. how to organise themselves in order to participate effectively in the IDP process. The PIMS-Centre staff would provide the assistance directly or refer a role-player to relevant service providers who have the expertise.

CONCLUSION

As illustrated in the diagram, the combination of the 4 pillars of capacity-building provides an enabling environment which enables municipalities to produce proper IDPs which address the issues of:

- service delivery;
- local economic development;
- institutional transformation; and
- spatial integration,

which would ultimately result in the improving quality of life at a municipal level.

Useful contacts

key departmental contact persons

Name	Position	Telephone	Fax	E-mail
Mr Elroy Africa	Acting DDG: Governance and Development	(012) 334-0799	(012) 334-0763	Elroy@dso.pwv.gov.za
Ms Esme Magwaza	Director: Development Planning and LED	(012) 334-0823	(012) 334-0612	Esme@dso.pwv.gov.za

ddp task team (idp programme)

Name	Position	Telephone	Fax	E-mail
Mr Yusuf Patel	DDP Manager	(012) 334-0805	(012) 334-0808	Yusuf@dso.pwv.gov.za
Dr Theo Rauch	GTZ – DDP adviser	(012) 334-0802	(012) 334-0808	Vira@dso.pwv.gov.za
Ms Musa Majazi	Task Team member	(012) 334-0803	(012) 334-0808	Musa@dso.pwv.gov.za
Ms Vira Denton	Administrator	(012) 334-0806	(012) 334-0808	Vira@dso.pwv.gov.za
Mr Marc Feldman	Task Team member	(011) 487-1002	(011) 487-1025	Marcfeld@global.co.za
Ms Maria Coetzee	Task Team member	(012) 841-2552	(012) 841-4036	Mjcoetze@csir.co.za

idp provincial coordinators

Name	Position	Telephone	Fax	E-mail
Ms Mosa Molapo	KZN	(0333) 95-2114	(0333) 42-8825	Molapom@lgh.kzntl.gov.za
Ms Andrea Steenkamp	North West	(018) 387-3605	(018) 387-3608	Asteenkamp@nwpg.org.za
Mr Thabo Mathabathe	Northern Cape	(053) 830-9538	(053) 831-2904	Tmathabathe@pancmil.ncape.gov.za
Mr Eddie Scott	Free State	(051) 405-4415	(051) 403-3403	Dsp@majuba ofs.gov.za
Mr Solly Maluleke	Northern Province	(015) 295-5400	(015) 295-3463	Malulekeps@locptb.norprov.gov.za
Ms Mani Molefe	Mpumalanga	(013) 755-3300	(013) 755-3363	Mmolefe@nel.mpu.gov.za
Mr Tebogo Moremi	Gauteng	(011) 355-5119	(011) 355-5262	Tebogo@gpg.gov.za
Mr Philip Globler	Western Cape	(021) 483-4326	(021) 483-4527	Pglobler@pawc.wcape.gov.za
Mr Kojo Gyan	Eastern Cape	(040) 609-5466	(040) 609-5525	Gyan@dhlg1.ecape.gov.za

ddp steering committee

As above, with the following additional members:

Name	Position	Telephone	Fax	E-mail
Mr Chris du Plessis	DLA	(012) 312-9357	(012) 312-9348	Hcduplessis@sghq.pwv.gov.za
Ms Lize Coetzee	DoT	(012) 309-3428	(012) 323-9370	Coetzeel@ndot.pwv.gov.za
Mr H Makobe	SALGA	(012) 338-6700	(012) 338-6747	Hmakobe@salga.org.za
Ms Bev Pretorius	DWAF	(012) 338-8812	(012) 321-1193	Pretorius@dwaf.pwv.gov.za
Mr Diet von Broembsen	DoH	(012) 421-1453	(012) 341-8893	Diet@housepta.pwv.gov.za
Ms Emmarie Behrens	DEAT	(012) 310-3745	(012) 320-5469	

pimss national task team

Name	Position	Telephone	Fax	E-mail
Marion Mbina	Pimss Manager	(012) 334-0788	(012) 334-0790	Pimss@dso.pwv.gov.za
Nomalizo Zibi	Administrator	(012) 334 0788	(012) 334-0790	Pimss@dso.pwv.gov.za
Katharina Hubner	GTZ junior Adviser	(012) 334-0839	(012) 334-0790	Katharina@dso.pwv.gov.za
Pinky Kunene	Task Team member	(012) 334-0788	(012) 334-0790	Pinky@dso.pwv.gov.za
Kentse Sesele	Task Team member	(012) 334-0788	(012) 334-0790	Seselek@worldonline.co.za
Danso Agyemang	Task Team member	(012) 334-0788	(012) 334-0790	

other dpl g programmes

Name	Programme	Telephone	Fax	E-mail
Karen Harrison	LED	(012) 334-0801	(012) 334-0763	Karen@dso.pwv.gov.za
Sam Choshi	Social Plan	(012) 334-0755	(012) 334-0610	Sam@dso.pwv.gov.za
Richard Kruger	CMIP	(012) 334-0744	(012) 334-0610	Richard@dso.pwv.gov.za
Zama Nofemela	MSP	(012) 334-0750	(012) 334-0610	Zama@dso.pwv.gov.za